



सत्यमेव जयते

**CENTRAL SECRETARIAT**

**MANUAL**

**OF**

**OFFICE PROCEDURE**

**THIRTEENTH EDITION**

**MINISTRY OF PERSONNEL, PUBLIC GRIEVANCES AND PENSIONS**  
**DEPARTMENT OF ADMINISTRATIVE REFORMS AND PUBLIC GRIEVANCES**

**SEPTEMBER, 2010**

(Website:[www.darpg.gov.in](http://www.darpg.gov.in))

*Efficiency comprises mainly speed, quality and economy. Effectiveness comprises efficiency and ability to deliver the desired results.*

*"I am not interested in excuses for delay; I am interested in getting the work done."* -

**Pandit Jawahar Lal Nehru**

**First edition, March 15, 1955- Cabinet Secretariat (O&M Division).**

**Second edition July 31, 1956 - Cabinet Secretariat (O&M Division).**

**Third edition February 27, 1958- Cabinet Secretariat (O&M Division).**

**Fourth edition June 4, 1963- (Department of AR&PG).**

**Fifth edition November 1, 1969- (Department of AR&PG).**

**Sixth edition June 15, 1972- (Department of AR&PG).**

**Seventh edition July 31, 1977 - (Department of AR&PG).**

**Eighth edition October 3, 1978- Department of AR&PG)**

**Ninth edition October 3, 1982 - (Department of AR&PG).**

**Tenth edition March 30, 1987 - (Department of AR&PG).**

**Eleventh edition March 31, 1996 - (Department of AR&PG)**

**Twelfth edition May 5, 2003 - (Department of AR&PG).**

**Thirteenth edition September 23, 2010 - (Department of AR&PG)**

**O&M = Organization and Methods.**

**AR&PG = Administrative Reforms & Public Grievances.**

**PRITHVIRAJ CHAVAN**

**Minister of State (Independent Charge) for Science  
& Technology and Earth Sciences; Minister of  
State in the Prime Minister's Office; Personnel,  
Public Grievances and Pensions and  
Parliamentary Affairs  
Government of India, New Delhi**



## **MESSAGE**

I am immensely pleased to note that the Department of Administrative Reforms & Public Grievances is bringing out the Thirteenth Edition of the Central Secretariat Manual of Office Procedure (CSMOP). It is a comprehensive guide to office work. The procedures contained in this edition of the CSMOP have been augmented by factoring in the recommendations made by the Second Administrative Reforms Commission (ARC) which have been accepted by the Government. The provisions of revised CSMOP also instill a greater sense of responsiveness, accountability, transparency and public service excellence in the current system of governance and also fulfil the need for further simplifying the government procedures and processes.

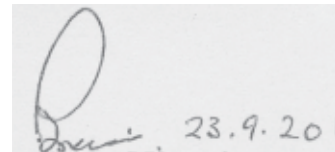
I am sure that the Manual would be of help to all who serve in the Central Secretariat to increase their efficiency and effectiveness. I am sure that the Manual will form the backbone of process management in our offices and make office work more rewarding for all the stakeholders.

**(PRITHVIRAJ CHAVAN)**

## FOREWORD

The Department of Administrative Reforms & Public Grievances in the Ministry of Personnel, Public Grievances & Pensions, as nodal Government agency, is charged with the responsibility of prescribing procedures for secretariat work. These are comprehensively embodied in the Central Secretariat Manual of Office Procedure (CSMOP). The 13<sup>th</sup> Edition of CSMOP has taken into consideration suggestions of various Ministries/Departments, the relevant recommendations of the Second Administrative Reforms Commission (2<sup>nd</sup> ARC) and the RTI Act, 2005 etc,. The overall aim is to increase productivity in work and make the administration more responsive. Efforts have been made to maintain concordance between organizational goals, procedures of work and functionaries entrusted with the responsibility of discharging them.

For those who are working in the Government and for future entrants, the Manual will be an invaluable source of training, guidance and reference.



**(RAMESH C. MISRA)**  
**Secretary,**  
**Department of Administrative Reforms &**  
**Public Grievances,**  
**Ministry of Personnel,**  
**Public Grievances & Pensions,**  
**Government of India**

New Delhi,  
the 23<sup>rd</sup> September 2010

## ABBREVIATIONS — foreign words/phrases etc.

Short Form	Full form
A.S.	Additional Secretary
ab initio*	from the beginning
ad infinitum*	to infinity
A.D.*	Assistant Director/Acknowledgement due/Anno Domini* (in the year of our Lord i.e the Christian era)
ADG/Add.DG	Additional/Assistant Director General
AFA	Assistant Financial Advisor
B.I.S.	Bureau of Indian Standards
BPST	Bureau of Parliamentary Studies and Training
CBI	Central Bureau of Investigation
C/Cor.	Correspondence
C&AG	Comptroller and Auditor General of India
cc.*	Carbon Copy
CCEA	Cabinet Committee on Economic Affairs
CCI	Competition Commission of India
Cent*	centum (a hundred)
cf&i.*	Cost, freight and insurance
CFL	Central Forensic Laboratory
CGAR	Core Group on Administrative Reforms
CGEGIS	Central Government Employees Group Insurance Scheme
CGHS	Central Government Health Scheme
CIC	Central Information Commission
Cf./cp.*	Confer (=compare)
CAT	Central Administrative Tribunal
C.L.	Casual Leave
CPIO	Central Public Information Officer
C.R.	Central Registry/Confidential Report
CSMOP	Central Secretariat Manual of Office Procedure
CVC	Central Vigilance Commission
DD	Deputy Director/Demand Draft
DDG	Deputy Director General
DDO	Drawing and Disbursing Officer
Dy.No.	Diary Number
D.F.A.	Draft for Approval.
DFPR	Delegation of Financial Power Rules

short Form	Full form
D.O.	Demi-Official/Desk Officer
DG	Director General
DRO	Departmental Records Officer
DRR	Departmental Record Room
DS	Deputy Secretary
DSIWS	Designated Section for handling Internal Work Study
Dte	Directorate
e.g.*	exempli gratia (=for example)
EFC	Expenditure Finance Committee
e-mail	Electronic Mail
etc.*	Et cetera/ceteri (=and others, and so forth)
E.L.	Earned Leave
E.O.L	Extraordinary Leave
EPAX	Electronic Private Automatic Exchange
Esp.*	Especially
FA	Financial Adviser
F/C	Flag 'C' or Fair copy (for approval/signature)
FN	Forenoon
F.No.	File No.
f.o.b.*	free on board
FR (s)	Fresh Receipt (s)
G.P.F.	General Provident Fund
GFR	General Financial Rules
GOI	Government of India
GOM	Group of Ministers
H.E.	His Excellency
HPL	Half Pay Leave
Ib./ibid.*	Ibidem (in the same place)
i.e.*	Id est (that is)
IFC	Information Facilitation Counter
IFD or IFW	Integrated Finance Division or Wing
Inter alia/alios*	among other things/persons
I.D. Note	Inter-Departmental Note (formerly U.O. Note)
I.S.D.N.	International Subscriber Dialing Network
I.W.S.U.	Internal Work Study Unit (Since abolished).
J. D.	Joint Director
J. S.	Joint Secretary.
L. A.N.	Local Area Network.
L .C.D.	Liquid Crystal Display
LDC/UDC	Lower/Upper Division Clerk
MP	Member of Parliament

short Form	Full form
MOP.	Manual of Office Procedure
mutatis mutandis*	With necessary changes
N.S.O.	Non-Secretariat Organization
N.I.C.	National Informatics Centre
O/C	Office Copy (of the fair communication issued)
O&M	Organization and Methods
O.M.	Office Memorandum
O.H.P.	Overhead Projector
Pp.1 -2/N	Pages 1-2/Notes
P.A.	Personal Assistant
P.C.	Personal Computer
PS	Private Secretary
P.S.	Post Script
PPS	Principal Private Secretary
P/pp.1 -7/c	Page/Pages 1-7/correspondence
Pps pl.	Previous papers please
PSMs	Personal Staff Members(it includes Staff Officer, Sr. Principal Private Secretary, Principal Private Secretary, Private Secretary, Personal Assistant and Stenographers)
PSU	Public Sector Undertaking
P.U.C.	Paper Under Consideration
P.T.O.	Please Turn Over
R&I	Receipt & Issue
RTI	Right To Information
S.T.D.	Subscriber Trunk Dialing
S.F.S.	Single File System
SIU	Staff Inspection Unit
US	Under Secretary
vide*	See
WAN	Wide Area Network
w.e.f.	With effect from
Wifi	Wireless high-speed Internet facility
W.S.	Work Study
vs.	versus (against)
Viz	Videlicet (=namely)

N.B. There are many more abbreviations used in various organizations, which have to be learnt locally on the job.

\* Appendix of any standard dictionary should be consulted for examples of more such abbreviations etc.

## TABLE OF CONTENTS

### (Volume I)

Content	Para No.	Page No.
CHAPTER I — INTRODUCTION		1-2
CHAPTER II — DEFINITIONS	1	3
CHAPTER III— MACHINERY OF THE GOVERNMENT		
The President.	2	8
The Council of Ministers	3	9
Transaction of Government Business	4	8
Department	5	9
Integrated Head Quarters of Ministry of Defence	6.1	12
Attached and Subordinate Offices	6.2	12
Constitutional Bodies	7	13
Statutory Bodies	8	13
Autonomous Bodies	9	13
Public Sector Undertakings	10	13
Information and Facilitation Counters (IFCs)	11	13
CHAPTER IV-DAK-RECEIPT, REGISTRATION AND DISTRIBUTION		
Receipt of dak	12	14
Acknowledgement of dak	13	14
Registration of dak	14	14
Distribution of dak	15	16
CHAPTER V-RECEIPTS-SUBMISSION AND DIARIZATION		
Perusal and marking of receipts	16	17
Diarizing of receipts in Sections	17	17
Diarizing of receipts addressed to officers	18	18
Movement of receipts	19	18
Action by higher officers	20	18



Content	Para No.	Page No.
Allocation of disputed receipts	21	19
<b>CHAPTER VI-ACTION ON RECEIPTS</b>		
General Principles	22	20
Action by dealing hand	23	20
Action by Section Officer	24	21
Examination by Section	25	21
Standard Process Sheets	26	22
Level of disposal and channel of submission	27	22
Direct submission of cases by senior assistants	28	23
Examination by officer	29	23
Deviation from normal procedures or rules	30	23
Running Summary of facts	31	23
Guidelines for noting	32	24
Modification of notes or orders	33	25
Noting on files received from other departments	34	25
Aids to processing	35	26
Oral discussions	36	26
Oral instructions by higher officers	37	26
Oral orders on behalf of or from Minister	38	27
Confirmation of oral instructions	39	27
Examination of progress of cases in which two or more authorities are consulted	40	27
Filing of papers	41	27
Arrangement of papers in a case	42	28
Referencing	43	28
Linking of files	44	29
Use of Urgency of gradings	45	30
<b>CHAPTER VII-HANDLING OF RECEIPTS UNDER DESK OFFICER SYSTEM</b>		
General	46	31

Content	Para No.	Page No.
Receipt of Dak	47	31
Action by Desk Officer	48	31
Maintenance of reference materials	49	31
<b>CHAPTER VIII-FORMS AND PROCEDURE OF COMMUNICATION</b>		
Forms of written communication and methods of delivery	50	32
Telephonic communications	51	34
Correspondence with attached and subordinate offices	52	34
Single File System (SFS)	53	35
Inter-departmental consultation	54	35
Nodal Ministries/Departments	55	37
References to the Attorney-General of India	56	37
References to Constitutional/Statutory Authorities	57	37
References to the Comptroller and Auditor General of India	58	37
References to the Union Public Service Commission	59	37
Correspondence with Union Territory Administrations	60	37
Correspondence with State Governments	61	38
Correspondence with the Lok Sabha and Rajya Sabha Secretariats	62	38
Correspondence with Members of Parliament	63	38
Correspondence with Ministers of State Governments	64	38
Correspondence with Foreign Governments and International Organizations	65	38
Prompt response to letters received	66	39
Target date for replies	67	39
<b>CHAPTER IX-DRAFTING OF COMMUNICATIONS</b>		
Procedure for drafting	68	40
General instructions for drafting	69	40
Authentication of Government Orders	70	42
Addressing communications to officers by name	71	42
Drafting of demi-official letters	72	42
<b>CHAPTER X- ISSUE OF DRAFTS</b>		
Marking of drafts for issue	73	43
Fairing of approved drafts	74	43
Procedure to be followed in sections	75	43
Procedure to be followed in Desks	76	44
General instructions regarding typing	77	44
Procedure where centralized typing pool exists	78	44
Marking of drafts	79	45
Stamping of drafts	80	45
Distribution of work among typists	81	45

Content	Para No.	Page No.
Registration of draft	82	46
Comparison	83	46
Signing of fair communications	84	46
Issue of signed communication	85	47
Despatch of postal communications	86	47
Despatch of non-postal communications	87	48
Return of papers	88	49
Issue of inter-departmental notes	89	49
Stamps Account Register	90	50
Action after issue	91	50
Reference lists.	92	51
<b>CHAPTER XI-FILE NUMBERING SYSTEM</b>		
File numbering system	93	52
Functional file numbering system	94	52
File numbering system based on subject classification	95	52
Instances where files need not be opened	96	53
File Register	97	54
Part File	98	54
Transfer, reconstruction and renumbering of files	99	54
Movement of files and other papers	100	54
Filing system under desk pattern	101	55
<b>CHAPTER XII-RECORDS MANAGEMENT</b>		
Activities involved in records management	102	56
Stage of recording	103	56
Procedure for recording	104	56
Categorization of records	105	57
Stage of Indexing	106	57
Manner of Indexing	107	58
Custody of Index slips	108	59
Compilation of departmental index	109	59
Precedent Book	110	59
Record Retention Schedule	111	59
Custody of Records	112	60
Review and weeding of records	113	61

Content	Para No.	Page No.
Records maintained by officers and their personal staff	114	62
Requisitioning and restoration of records	115	62
CHAPTER XIII- SECURITY OF OFFICIAL INFORMATION AND DOCUMENTS		
Communication of official information	116	64
Treatment of classified papers	117	64
Confidential Character of notes/files	118	64
Communication of information to the press	119	65
Use of restrictive classification for printed reports, etc	120	65
CHAPTER XIV- CHECKS ON DELAYS		
Time Limits	121	66
Handling of public/staff grievances	122	66
Weekly arrear statement	123	68
Monthly statement of cases pending disposal over a month	124	69
Call Book	125	70
Monthly progress reports of recording and review of files.	126.	70
Watch on disposal of communications received from Members of Parliament	127	71
Watch on disposal of communications received from VIPs	128	72
Monitoring of Court/CAT cases and implementation of Court/CAT Orders	129	72
Applications received under the Right to Information Act-2005.	130	72
Register of Parliamentary Assurances	131	73
Check-List of periodical reports	132	73
Review of periodical reports/returns	133	73
Responsibility of expeditious disposal of work	134	74
Check on delays under Desk Officer system	135	74
CHAPTER XV- INSPECTIONS		
Purpose and periodicity	136	75
Inspecting authorities	137	75
Inspection programme	138	75
Inspection Report	139	76
Supplementary Inspections	140	76
Periodic Inspection by Supervisory Officers	141	76
CHAPTER XVI- OFFICE AUTOMATION AND ELECTRONICALLY SUPPORTED OFFICE PROCEDURES SYSTEM		
Purpose of office automation	142	77

Content	Para No.	Page No.
Areas amenable to automation	143	77
e-office project	144	77
CHAPTER XVII- MISCELLANEOUS		
Annual Action Plan	145	80
Concept of Citizen's/Client's Charter	146	80
Consumer Protection	147	83
Official Language for purposes of Government work	148	83
Departmental instructions	149	84
Compilation/consolidation of orders/instructions	150	84
Review of rules, regulations and manuals.	151	84
Maintenance/transfer of records in the personal offices of Ministers	152	85
Review of forms & Procedures.	153	86
Modernization of offices	154	86
Procedure for processing reports of Commissions/Committees and other expert bodies	155	86
Preparation of Induction material	156	87
SEVOTTAM	157	87
O&M/WS activities in the Ministries/Departments	158	87

## APPENDICES

S.No.	Appendices	Para No.	Page No.
			89
1.	Dak Register	14(6)	90
2.	Invoice	15(1)	91
3.	Section/Desk diary for receipts	17 (1) & (2)	92
4.	Personal Section Diary	18(1)	93
5.	Movement Slip	20 (3)	94
6.	Assistant's Diary	23(2)	95
7.	Style in notes and drafts	32 (12)	96
7.1	Procedural requirements to be met while preparing/submitting Notes for the Cabinet/Cabinet Committees/Group of Ministers	32(14)	103
7.2	Procedure regarding preparation and submission of papers for consideration of the Committee of Secretaries.	32(15)	111
7.3	Instructions on Constitution/Reconstitution of High Level Commissions/Committees etc.	32(16)	114
8.	Illustrative list of Acts, rules and instructions of a general nature to be maintained by each Section	35(2)	116
9.	Specimen forms of Communications	50	117
10.	Extracts from the Indian Telegraph Rules and P&T Manual regarding classification and use of urgency grading for State Telegrams.	50 (5) (c)	128
11.	Composition of the Gazette of India and instructions for sending material for publication therein	50 (11)	130
12.	Distribution Chart	81(1)	133
13.	Typist's Diary	81(2)	134
14.	Issue Diary	82(1)	135
15.	Specimen form for authentication of communications for issue	84(3)	136
16.	Dispatch Register for postal communications only	86(2)	137
17.	Revised procedure for maintenance of Service Postage Stamp Account.	86(7)	138
18.	Stamps Account Register	90(1)	139
19.	Section Desptach Register	91(1)(d)	140
20.	Statement of cases other than those of a routine nature disposed of without reference to the Minister- in-charge	91(2)(b)(i)	141
21.	Essentials of a functional file index and an identifying file numbering system	94(3)	142
22.	File Register	97	146
23.	File Movement Register	100(1)	147
24.	Register for watching the progress of Recording	104(2) (b) & (3)	149

S.No.	Appendix	Para No.	Page No.
25.	Illustrative list of records fit for permanent preservation because of (A) their value for administrative purposes; and (B) their historical importance	105(1)(a), (b) & (2)	150
26.	Example of titles of files and index slips	107(3)(c), (d) and 109(2)(a) (ii)	151
27.	Precedent Book	110	153
28.	Retention schedule for records prescribed in the Manual of Office Procedure	111(1) (c)	154
29.	List of files transferred to National Archives of India/ Departmental Record Room/ Sections / Desks	112(2) and (3)	156
30.	Record Review Register	112(4)	157
31.	List of files due for review	113 (4) & (6)]	158
32.	Register of spare copies of publications, circulars, orders etc.	113(8)	159
33.	Results of special drives conducted on record management	113 (9)(a)	160
34.	Record Requisition Card	115 (1)	161
35.	Statement showing particulars of receipts/cases in hand for more than 7 days	123(1)	162
36.	Weekly arrear statement consolidated form for the Section as a whole	123(3)	163
37.	Case sheet	124(2)(a)	164
38.	Numerical abstract of cases pending disposal for over a month	124(4)(d)	165
39.	Consolidated numerical abstract of cases pending disposal for over a month	124(8)(a) and(b)	166
40.	Call book	125(1)	167
41.	Monthly progress report on recording of files	126 (1)	168
42.	Monthly progress report on review of files	126 (1)	169
43.	Consolidated monthly progress report on recording of files	126(3)(a) & (b)	170
44.	Consolidated monthly progress report on review of recorded files.	126(3)(a) & (b)	171
45.	Register for keeping a watch on the disposal of communications received from Member of Parliament (for personal sections)	127(1)	172
46.	Register for keeping a watch on the disposal of communications received from Members of Parliament (for sections/desks)	127(2)(a)	173
47.	Particulars of M.P.'s letters pending over a fortnight	127 (4)	174
48.	Illustrative list of VIPs	128	175
49.	Details of pending Court/CAT cases	129(1)	176
50.	Status of implementation of Court/CAT judgements	129 (2)(a)	177
51.	Number of Court/CAT cases pending	129(4)	178
52.	Register of Parliamentary Assurances	131 (1)	179
53.	Check-List for watching Receipt of incoming periodical reports for the year	132(1)	180
54.	Check-List for watching despatch of outgoing periodical reports for the year	132(1)	181

S.No.	Appendix	Para No.	Page No.
55.	Inspection Questionnaire for Central Receipt and Issue Section	136(1)	182
56.	Inspection Questionnaire for Organization & Methods (O&M) for Sections/Desks (Other than Central Receipt and Issue Section)	136(1)	189
57.	Inspection Questionnaire for Departmental Record Room	136(2)	199
58.	Management Information System (MIS)	136(3)	203
59.	Executive Summary for Secretary	136 (4)	211
60.	Matters in respect of which Departments may issue departmental instructions	149(1)	215
61.	Despatch Register to be maintained by the personal offices of Ministers	152 (1)(a)(ii)	216
62.	File movement Diary to be maintained by the personal offices of the Ministers	152(1)(a)(iii)	217
63.	Particulars of files given informally to Minister	152(3)(b)	218
64.	Procedure to be followed for processing of Reports of Commissions/ Committees and other expert bodies	155	219
65.	Illustrative list of functions to be performed by the designated section handling work of IWSU/O&M units	158(3)	220
66.	Report on O&M activities	158(3)	222



# CHAPTER-I

## INTRODUCTION

Application of methods and procedures in organizations has been age-old. The efficiency of an organization depends largely on evolution of adequate processes and procedures and the ability of its employees to follow them. Accordingly, the efficiency of persons handling secretarial work in an organization can be judged by their ability to dispose of matters - mostly receipts, cases etc. with speed and quality, following the procedures prescribed for the purpose. The ultimate object of all Government business is to meet the citizens' needs and further their welfare without undue delay or dilatoriness. At the same time, those who are accountable for fair conduct of business have to ensure that public funds are managed with utmost care and prudence. It is therefore necessary, in each case, to keep appropriate record not only of what has been done but also of why it was so done. These records serve as evidence, precedent, guide and training material too.

The procedures prescribed in this manual, attempt to balance the conflicting considerations of speed, quality, transparency and propriety. In a dynamic context, this balance cannot be rigidly or permanently fixed. Every rule and step in the procedure must serve a definite purpose and meet such tests: Is it necessary or sufficient? Is there any simpler and quicker way to serve the purpose?

In order to create awareness about these processes and practices especially at the cutting-edge level and to sensitize new entrants inducted at various levels in the Central Secretariat, the Department of Administrative Reforms & Public Grievances, as a nodal agency in the field of 'Organization & Methods', has laid down various procedures for performance of secretariat work by the functionaries in various Ministries/Departments of the Government of India in the form of Central Secretariat Manual of Office Procedure (CSMOP).

The procedures laid down in the CSMOP, have been adopted for use after careful examination of the recommendations of various administrative commissions, committees etc. Methods of working have been improved time and again to increase productivity and provide responsive administration. Efforts have always been made to maintain a close relationship among the organization, procedure of work, and the functionaries.

First published in March 1955, CSMOP has been updated from time to time to take care of the changing scenario. This is the thirteenth revised edition in the series.

Mere written procedures may not ensure their effective operation. A written procedure just guides how to do the work. In order to make sure that procedures are being followed, documentation of actual practice and spot checks of actual work, need to be done. Newly inducted officials must be trained on the procedures contained in the CSMOP and Refresher courses should also be organized.

A well designed procedure serves as a standing order, a means to coordinating effort, a tool of communication, and a basis for performance measurement and appraisal. CSMOP will, therefore, continue to form the backbone of process management in the Central Secretariat. It has been augmented by incorporating procedures in the context of the various accepted recommendations made by the 2nd Administrative Reforms Commission, RTI Act, 2005 and technological advancements without altering its basic structure. Constructive comments or suggestions for further improvement of CSMOP are welcome.

The Department of Administrative Reforms & Public Grievances, Government of India has also taken up the e-Office Mission Mode Project (MMP) under National e-Governance Plan (NeGP) that has been conceptualized to modernize the Central Government Offices through introduction of Information Technology. The e-Office MMP envisages a user-friendly and integrated file and records management software solution with implantation of associated process reforms. The e-Office MMP is aimed at introducing the concept of e-file in the government offices leading to 'less paper offices'.

As of now, the project is under implementation at three pilot locations viz. Department of Administrative Reforms & Public Grievances, Training Division of Department of Personnel & Training and e-Governance Division of Department of Information Technology. Its implementation in the other Central Government Offices will be taken up after analysis and its success at the pilots.

The Department is also in the process of finalizing an e-Manual which will provide detailed guidelines/procedures for functioning of e-Office, which may eventually substitute CSMOP once e-Office becomes fully operational across all offices of the Government of India.

The Volume II of the 13th Edition of the CSMOP is the 'Guidelines of Government of India Websites', which was brought out by the Department of Administrative Reforms & Public Grievances in January, 2009. This document recommends policies and guidelines for Indian Government websites and portals, at any organizational level and belonging to Central Government as well as State/UT Governments (including District Administrations to Village Panchayats) for making Indian Government websites citizen centric and visitor friendly. Compliance with these guidelines will ensure a high degree of consistency and uniformity in the content coverage and presentation and further promote excellence in Indian Government Web space. These guidelines also address common policy issues and practical challenges that Government Departments face during development and management of their websites. The guidelines aim at assisting the Departments to ensure that their website conforms to a consistently high standard. This is expected to enhance trust level of the citizens while accessing Government information and availing service online.

## CHAPTER II

# DEFINITIONS

### 1. Definitions - The Definitions of some of the terms used in the manual are :—

- (1) '**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.

- (2) '**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.

- (3) '**Branch**'- The Unit of a Division and may comprise a couple of Sections/Units/Cells.

- (4) '**Branch officer**' for a section - The officer who is directly above the section in the line of control for execution of work.

- (5) '**Case**' - a current file or a receipt together with other related papers, if any.

- (6) '**Central issue section**' - The unit within a department responsible for typing of drafts, comparing of fair copies, preparation of pads for signature and despatch of communication to the addressees and includes functionaries like resident clerk and night duty clerk. In departments where centralized typing pool does not exist in central issue section, this section will be responsible only for despatch of signed communications to the addressees.

- (7) '**Central receipt and issue section**' - A unit within a department consisting of the central registry and the central issue section.

- (8) '**Central registry**' - A unit within a department charged with the responsibilities of inter-alia receiving, registering and distributing dak meant for that department and includes functionaries like resident clerk and night duty clerk, dispatch riders etc.

- (9) '**Classified dak**' - Dak bearing a security grading.

- (10) '**Citizen's/Client's Charter**' - Document which represents a systematic effort to focus on the commitment of the Organization towards the Citizens/Clients in respect of Standard of Services, Information, Choice and Consultation, Non-discrimination and Accessibility, Grievances Redress, Courtesy and Value for Money. This also includes expectations of the Organization from the Citizen/Client for fulfilling the commitment of the Organization.

- (11) '**Come-back case**' - Case received back for further action such as re examination or preparing a draft or a summary of the case.

- (12) **‘Correspondence portion’** - The portion of file containing ‘receipts’ and ‘office copies of the communications issued from the file including self-contained inter-departmental notes but excluding those recorded on the notes portion of the file itself’.
- (13) **‘Central Registry No.’** - The serial number assigned by the central registry to dak in the dak register preceded by the code letter identifying the register.
- (14) **‘Current file’** - Means a file action on which has not been completed.
- (15) **‘Dak’** —Every type of written communication such as letter, telegram, interdepartmental note, file, fax, e-mail, wireless message which is received, whether by post or otherwise, in any department for its consideration.
- (16) **‘Dealing hand’** —any functionary such as a lower/upper division clerk, an assistant entrusted with initial examination and noting upon cases.
- (17) **‘Department’** —Any of the ministries, departments, secretariats and offices mentioned in the First Schedule to the Government of India (Allocation of Business) Rules, 1961, as amended from time to time.
- (18) **‘Departmental index’** —A consolidated index of files opened by different sections of a department during a calendar year (except those of a classified nature or those proposed to be retained for less than 10 years) arranged in a single series in the alphabetical order of the catchwords under which they have been indexed. The catchwords are followed further by the rest of the subject and the file number.
- (19) **‘Departmental instructions’**—Instructions issued by a department to supplement or vary the provisions of the Manual of Office Procedure,
- (20) **‘Departmental Record Officer (DRO)’**—The officer nominated by the records creating agency under the Public Records Act, 1993 and rules made there under for overall records management.
- (21) **‘Desk’** —An officer-oriented work unit within a department with a specific task assigned to it.
- (22) **‘Desk Functionary’**—An officer assigned a well-defined sub-function or activity in the charge of desk.
- (23) **‘Designated section’** — Designated section for handling the work of Internal work Study.
- (24) **‘Diarist’** — A clerk within a section charged with the responsibility inter-alia of maintaining the section diary.
- (25) **‘Diarising’** —Registration of receipts in the computer or Section Diary as well as in the diary register with the Personal Staff of Officers.
- (26) **‘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 (‘H’ for section diary for Hindi receipt and ‘O’ for Section Diary for other receipts)/Officer’s designation, the year and the abbreviated symbol of the section e.g., 205-H/2010-O&M or 123-O/DS(O&M)/2010
- (27) **‘Division’** —A unit of a Wing within a Department. A division may comprise a number of branches.

- (28) **‘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.
- (29) **‘File’** - A collection of papers on a specific subject matter, assigned a file number and consisting of one or more of the following parts:
- (a) Notes; (b) Correspondence; (c) Appendix to Notes; and (d) Appendix to correspondence.
- (30) **‘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.
- (31) **‘Fresh Receipt (FR)’** — Any subsequent receipt on a case which brings in additional information to aid the disposal of a paper under consideration.
- (32) **‘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.
- (33) **‘Index slip’** — A card or a paper slip displaying the title of file under a catchword followed by the subject and its file number.
- (34) **‘Information and Facilitation Counter (IFC)’** — A Facilitation Counter, normally set up outside the Security Zone of Ministries/Departments/Organizations to provide information to the citizens/clients about the programmes, schemes, status of cases, applications, etc. IFCs are also called ‘May I Help You’ or ‘Help’ Counters in certain organizations.
- (35) **‘Issue’** — A communication issued in a case.
- (36) **‘Issue of fair communication’** — Includes all stages of action after the approval of a draft ending with despatch of the signed communication to the addressee, e.g., fair typing, comparing, attaching enclosures, preparing pads for signature, preparing covers, making entries in the despatch registers and messenger books, affixing stamps, where necessary.
- (37) **‘Messenger Book’** — A record, maintained in form, of particulars of despatch of non-postal communications and their receipt by the addressees.
- (38) **‘Minute’** — A note recorded by the President, the Vice-President, the Prime Minister or a Minister.
- (39) **‘Night Duty Clerk’** — A clerk on duty outside office hours who performs the functions of the central receipt and issue section during such hours. The term includes resident clerk also.
- (40) **‘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.
- (41) **‘Notes portion’ of a file** — The portion containing notes or minutes recorded on a case.
- (42) **‘Nodal Ministry/Department’** — One which is primarily concerned with a specific subject allocated to it under the Government of India (Allocation of Business Rules) and interacts with all other Ministries/Departments to ensure uniformity in handling it.

- (43) **‘Ordinary postal dak’** — Postal dak for which no specific acknowledgement is obtained by the Post offices.
- (44) **‘Parliamentary matters’** — This includes Parliament Questions, Bills, Resolutions, Motions, Assurances, etc. [The procedure for handling these matters has been laid down in detail in the “Manual for Handling of Parliament Matters”, published by the Ministry of Parliamentary Affairs.]
- (45) **‘Paper under consideration (PUC)’** — A receipt pertaining to a case, the consideration of which is the subject matter of the case.
- (46) **‘Personal staff members’**—Staff Officer, Senior Principal Private Secretary, Principal Private Secretary, Private Secretary, Personal assistant, Stenographer, Assistant, clerk or any other clerical staff appointed to assist the functionary as well as the personal section of a Minister.
- (47) **‘Postal communication’** — A communication despatched by post/courier and includes telegrams.
- (48) **‘Postal dak’ /‘courier dak’** — All dak received through Post offices/Couriers.
- (49) **‘Receipt’** — Dak after it has been received by the concerned section officer.
- (50) **‘Record’** — Information preserved in a physical medium/something set down in writing or other permanent form for future reference.
- (51) **‘Record clerk’** — A clerk in a section responsible inter-alia for typing and maintaining index slips and for looking after routine aspects of recording work.
- (52) **‘Recording’**—The process of closing a file after action on all the issues considered thereon has been completed. It includes operations like completing references, removing routine papers, revising the file title, changing the file cover, recording rulings (if any) in the Precedent Book, categorizing the file indicating the retention period and stitching the file.
- (53) **‘Reference folder’ on a particular subject** — A folder containing copies of relevant rules, orders, instructions, etc., arranged in chronological order for ready reference.
- (54) **‘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.
- (55) **‘Running summary of facts of a case’** — A summary of the facts of the case updated from time to time to incorporate significant developments as and when they take place. This may be termed ‘Self Contained Note’ if it figures in the notes portion of the file. [It is placed below the notes portion to avoid repeated recapitulation of the case through “Self Contained Notes”].
- (56) **‘Secretariat Offices’** — Offices responsible for formulation of the policies of the government and also for the execution, monitoring and review of those policies.
- (57) **‘Section’** — The basic work unit within a department, responsible for attending to items of work allotted to it. It is generally headed by a section officer and includes ‘Cell’, ‘Unit’

and other like terms.

- (58) '**Sectional note**' — A note recorded on only one of the many issues raised in the PUC.
- (59) '**Section officer**' — An officer supervising a section and includes functionaries like Superintendent and Assistant-in-Charge.
- (60) '**Security grading**' — Security marking of classified documents as 'Restricted', 'Confidential', 'Secret', or 'Top Secret'.
- (61) '**Standing guard file on a subject**'—Compilation consisting of the following three parts :
  - (a) a running summary of the principles and policy relating to the subject with number and date of relevant decisions/orders quoted in margin against each;
  - (b) copies of the decisions or orders referred to, arranged in chronological order; and
  - (c) model forms of communications to be used at different stages.
- (62) '**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 designed to serve as:
  - (a) a complete background material for review of the existing policy or procedure;
  - (b) a brief for preparing replies to Parliament questions or Notes for supplementaries thereto; and
  - (c) induction or training material.
- (63) '**Standard process sheet**' — A standard skeleton note developed for a repetitive item of work, indicating predetermined points of check or aspects to be noted upon. It makes noting brief and precise.
- (64) '**Urgent dak**' — Dak marked 'Immediate' or 'Priority', and includes telegrams, wireless messages, telex messages, fax, e-mail, Court/CAT/ RTI cases, Parliament Matters etc.
- (65) '**Wing**'—A unit of the Department and may comprise of a number of divisions.

## CHAPTER III

# MACHINERY OF THE GOVERNMENT

2. **The President**—The executive power of the Union formally vests in the President and may be exercised by him either directly or through officers subordinate to him, in accordance with the Constitution.

### 3. **The Council of Ministers** —

- (1) In the exercise of his functions, the President is aided and advised by a Council of Ministers headed by the Prime Minister. In actual practice the executive power of the Union resides in the Council of Ministers.
- (2) The Council of Ministers consists of three categories of Ministers, namely :
  - (a) Cabinet Ministers;
  - (b) Ministers of State; and
  - (c) Deputy Ministers.
- (3) The Cabinet, which consists of Ministers of the first category only, is responsible for shaping the overall policies of the Government in discharging its responsibilities. It sometimes functions through its Committees.

### 4. **Transaction of government business**—

- (1) Among the rules issued by the President for the convenient transaction of the business of the Government, under Article 77 (3) of the Constitution, are :
  - (a) The Government of India (Allocation of Business) Rules, 1961 (as amended from time to time); and
  - (b) The Government of India (Transaction of Business) Rules, 1961 (as amended from time to time).
- (2) The Allocation of Business Rules allocates the business of the government among its different departments which are assigned to the charge of the Ministers by the President on the advice of the Prime Minister. In relation to the business allotted to a Minister, these rules also permit the association of another Minister or Deputy Minister to perform such functions as may be specifically assigned to him. A Minister without Portfolio may be in charge of a specific subject of great importance.
- (3) The Transaction of Business Rules seeks to define the authority, responsibility and obligations of each department in the matter of disposal of business allotted to it. While providing that the business allotted to a department will be disposed of by, or under the direction of, the Minister-in-charge, these rules also specify;
  - (a) cases or classes of cases to be submitted to the President, the Prime Minister, the Cabinet or its Committees for prior approval; and
  - (b) the circumstances in which the department primarily concerned with the business under disposal will have to consult other departments concerned and secure their concurrence before taking final decisions.



The details of Allocation of Business Rules and Transaction of Business Rules are available on the website of the Cabinet Secretariat ([www.cabsec.nic.in](http://www.cabsec.nic.in)).

#### 5. Department —

- (1) A Department is responsible for formulation of policies of the Government in relation to business allocated to it and also for the execution, monitoring and review of those policies.
- (2) For the efficient disposal of business allotted to it, a Department is divided into wings, divisions, branches and sections/units/cells
- (3) A Department is normally headed by a Secretary to the Government of India who acts as the administrative head of the department and principal adviser of the Minister on all matters of policy and administration within the Department.
- (4) The work in a department is normally divided into wings with a Special Secretary/Additional Secretary/Joint Secretary in charge of each wing. Such a functionary is normally vested with the maximum measure of independent functioning and responsibility in respect of the business falling within his wing, subject to the overall responsibility of the Secretary for the administration of the department as a whole.
- (5) A wing normally comprises a number of divisions each functioning under the charge of an officer of the level of Director/Joint Director/Deputy Secretary. A Division may have several branches, each under the charge of an Under Secretary or equivalent officer.
- (6) A Section is generally the lowest organizational unit in a department with a well-defined area of work. It normally consists of Assistants, Technical staff such as Investigators, Research Assistants, Technical Assistants, Data Entry Operators etc. and clerks supervised by a Section Officer. Initial handling of cases (including noting and drafting) is generally done by Assistants and aforementioned staff who are also known as the dealing hands.
- (7) While the above represents the commonly adopted pattern of organization of a department, there are certain variations, the most notable among them being the Desk Officer system. In this system, the work of a department at the lowest level is organized into distinct functional desks each manned by two Desk Functionaries of appropriate ranks e.g. Under Secretary or Section Officer. Each Desk Functionary handles the cases himself and is provided adequate stenographic and clerical assistance.
- (8) The other notable variation is the Integrated Headquarters of Ministry of Defence where, the Vice Chiefs of Staff, the Principal Staff Officers of the concerned branches and other appropriate authorities, exercise the powers delegated by the Raksha Mantri through various Branches and Directorates of Integrated Headquarters of the Ministry of Defence.
- (9) Functions of various levels of functionaries :
  - (a) **Secretary** —A Secretary to the Government of India is the administrative head of the Ministry or Department. He is principal adviser of the Minister on all matters of policy and the administration within his/her Ministry/Department, and his responsibility is complete and undivided.
  - (b) **Special Secretary/Additional Secretary/Joint Secretary**—When the volume of work in a Ministry/Department exceeds the manageable charge of a Secretary, one or more wings may be established with Special Secretary/Additional Secretary/Joint Secretary, in charge of each wing. Such a functionary is entrusted with the maximum measure of independent functioning and responsibility in respect of all business falling within his wing, subject to the general responsibility of the Secretary for the administration of the wing as a whole.
  - (c) **Director/Deputy Secretary**—Director/Deputy Secretary is an officer who acts on behalf of the Secretary. He holds charge of a Secretariat Division and is responsible for the disposal of Government business dealt within the Division under his charge. He should not only provide able leadership but also ordinarily dispose of the majority

of cases coming up to him on his own. He should use his discretion in seeking orders of the Joint Secretary/Secretary on important issues either orally or by submission of papers.

- (d) **Under Secretary**— An Under Secretary is in charge of the Branch in a Ministry/ Department consisting of two or more Sections and in respect thereto exercises control both in regard to the disposal of business and maintenance of discipline. Work comes to him from the Sections under his charge. As Branch Officer, he provides the necessary leadership to the Sections under his control; he disposes of as many cases as possible at his own level, but he takes the orders of Deputy Secretary or higher officers on important cases.
- (e) **Section Officer**—

#### **A. General Duties**

- (i) Distribution of work among the staff as evenly as possible;
- (ii) Training, helping and advising the staff ;
- (iii) Management and coordination of the work;
- (iv) Maintenance of order and discipline in the section;
- (v) Maintenance of a list of residential addresses and contact phone numbers of the Staff.

#### **B. Responsibilities relating to Dak—**

- (i) to go through the receipts;
- (ii) to submit receipts which should be seen by the Branch Officer or higher officers at the dak stage;
- (iii) to keep a watch on any hold-up in the movement of dak; and
- (iv) to scrutinize the section diary once a week to ensure that it is being properly maintained;

#### **C. Responsibilities relating to issue of draft —**

- (i) to see that all corrections have been made in the draft before it is marked for issue;
- (ii) to indicate whether a clean copy of the draft is necessary;
- (iii) to indicate the number of spare copies required;
- (iv) to check whether all enclosures are attached;
- (v) to indicate priority marking.
- (vi) to indicate mode of despatch;
- (vii) to see that the telephone number, fax number and e-mail address of the signing authority have been indicated below the signature.

#### **D. Responsibility of efficient and expeditious disposal of work and checks on delays—**

- (i) to keep note of important receipts with a view to watching the progress of action;
- (ii) to ensure timely submission of arrear and other returns;

- (iii) to undertake inspection of dealing hands' table to ensure that no paper or file has been overlooked;
- (iv) to ensure that cases are not held up at any stage;
- (v) to go through the list of periodical returns every week and take suitable action on items requiring attention during next week.

**E. Independent disposal of cases —**

He should take action independently on the following—

- (i) issuing acknowledgements, reminders and other routine communications;
- (ii) obtaining or supplying factual/statistical information of a non-classified nature;
- (iii) any other action which a Section Officer is authorized to take independently.

**F. Duties in respect of recording and indexing—**

- (i) to approve the recording of files and their classification;
  - (ii) to review the recorded files before weeding;
  - (iii) to order and supervise periodic weeding of unwanted spare copies;
  - (iv) ensuring proper maintenance of registers required to be maintained in the section;
  - (v) ensuring proper maintenance of reference books, folders of office-orders etc. and keep them up-to-date;
  - (vi) ensuring neatness and tidiness in the Section;
  - (vii) dealing with important and complicated cases himself;
  - (viii) ensuring strict compliance with Departmental Security Instructions.
- (f) **Assistants & Upper Division Clerks**—They are two separate categories of dealing hands, which work under the orders and supervision of the Section Officer and are responsible for the work entrusted to them. Where the line of action on a case is clear or clear instructions have been given by the Branch Officer or higher officers, he should put up a draft without much noting. In other cases, he will put up a note keeping in view the following points:—
- (i) to see whether all facts open to check, have been correctly stated;
  - (ii) to point out any mistakes or incorrect statement of the facts;
  - (iii) to draw attention, where necessary, to precedents or Rules and Regulations on the subject;
  - (iv) to put up Guard file, etc., if necessary, and supply other relevant facts and figures;
  - (v) to bring out clearly the questions under consideration and suggest a course of action wherever possible
- (g) **Personal Staff Members of Officers (PSMs) - Staff Officer, Senior Principal Private Secretary/Principal Private Secretary/Private Secretary/Personal Assistant/Stenographer**—He will keep the officer free from routine nature of work by mailing correspondence, filing papers, making appointments, arranging meeting and collecting information so as to give the officer more time to devote himself to the work in which he

has specialized. The Personal Assistant will maintain the confidentiality and secrecy of confidential and secret papers entrusted to him. He will exercise his skill in human relations and be cordial with the persons who come in contact with his boss officially or who are helpful to his boss or who have dealings with the boss as professional persons. Some of the more specific functions are enumerated below:—

- (i) taking dictation in shorthand and its transcription in the best possible manner.
  - (ii) fixing up appointments and if necessary cancelling them;
  - (iii) screening the telephone calls and the visitors in a tactful manner;
  - (iv) keeping an accurate list of engagements, meetings, etc. and reminding the officer sufficiently in advance for keeping them up;
  - (v) maintaining, in proper order, the papers required to be retained by the officer;
  - (vi) keeping a note of the movement of all incoming & outgoing papers, files, etc.
  - (vii) destroying by burning the stenographic record of the confidential and secret letters after they have been typed and issued;
  - (viii) carrying out corrections to the Officer's reference books and making fair copies of draft demi-official letters to be signed by the officer. During the office hours they can take the assistance of the source where the draft has been typed.
  - (ix) generally assisting the officer in such a manner as he may direct.
- (h) **Lower Division Clerks**—Lower Division Clerks are ordinarily entrusted with work of routine nature, e.g. registration of Dak, maintenance of Section Diary, File Register, File Movement Register, indexing & recording, typing, comparing, photocopying, faxing, e-mailing, etc., despatch, preparation of arrears and other statements, supervision of correction of reference books and submission of routine and simple drafts, etc.

**6.1 Integrated Headquarters of Ministry of Defence** —Integrated Headquarters of Ministry of Defence comprising Army Headquarters, Naval Headquarters, Air Headquarters and Defence Staff Headquarters will be associated in the formulation of policies in relation to matters concerning the Defence of India and the Armed Forces of the Union. They would be responsible for providing executive direction required in the implementation of policies laid down by the Ministry of Defence. They shall exercise delegated administrative and financial powers. The role and functions of the Services Headquarters designated as Integrated Headquarters in all other respects remain unchanged.

## **6.2 Attached and Subordinate Offices**

- (1) Where the execution of the policies of the government requires decentralization of executive action and/or direction, a Department may have under it executive agencies called 'Attached' and 'Subordinate Offices'.
- (2) **Attached Offices** are generally responsible for providing detailed executive direction required in the implementation of the policies laid down by the Department to which they are attached. They also serve as a repository of technical information and advise the department on technical aspects of questions dealt with by them.
- (3) **Subordinate offices** generally function as field establishments or as agencies responsible for the detailed execution of the policies of the government. They function under the direction of an attached office, or where the volume of executive direction involved is not

considerable, directly under a department. In the later case, they assist the Departments concerned in handling technical matters in their respective fields of specialization.

7. **Constitutional Bodies**—Such bodies which are constituted under the provisions of the Constitution of India.

8. **Statutory Bodies**—Such bodies which are established under the statute or an Act of Parliament.

9. **Autonomous Bodies**—Such bodies which are established by the Government to discharge the activities which are related to governmental functions although such bodies are given autonomy to discharge their functions in accordance with the Memorandum of Associations, etc., but the Government's control exists since these are funded by the Government of India.

10. **Public Sector Undertakings**—Public Sector Undertaking is that part of the industry which is controlled fully or partly by the Government. These undertakings have been set up in the form of companies or corporations in which the shares are held by the President or his nominees and which are managed by Board of Directors which includes officials and non-officials.

11. **Information and Facilitation Counters (IFCs)**—The Information and Facilitation Counter will provide the following services to the clients/customers of the organization :

- (1 ) information regarding services provided and programmes, schemes, etc., supported by the organization and the relevant rules and procedures, through brochures, folders etc;
- (2) facilitating the customer/client to obtain the services of the Organisation optimally, timely, efficiently and in a transparent manner and providing forms etc., for public usage;
- (3) information regarding the standards of quality of service, time norms, etc., evolved by the organization with reference to the services /schemes/functioning of the organization;
- (4) information regarding hierarchical set up of Public Grievances Redress Machinery of the organization; and
- (5) receiving, acknowledging and forwarding the grievances/application/request/form etc. (related to the services provided by the Organization) to the concerned authority in the organization and providing information on their status/disposal.

\*\*\*\*\*

## CHAPTER IV

# DAK-RECEIPT, REGISTRATION AND DISTRIBUTION

### 12. Receipt of Dak—

- (1) (a) During office hours, the entire dak of the department including that addressed to Ministers/Officers by name will be received in the Central Registry/Information Facilitation Counter. Where, however, immediate/ important dak addressed to Ministers/Officers by name is sent through special messenger directly to the addressees themselves, it will be received by them or their personal staff.  
  
(b) In case an officer is on long leave, has retired or left the office after completion of his tenure, the incumbent or the personal staff concerned or the officer just below the concerned officer dealing with the subject will receive the immediate/important references, except confidential letters. In case none of the above mentioned officers is in position, the central registry will receive such letters. In no case immediate/important letters should be undelivered or returned.
- (2) Outside the office hours, dak will be received by the addressee himself at his residence if marked 'immediate' and addressed by name. In such cases, the officer will normally be informed in advance over telephone about the dak being delivered at his residence. In all other cases, dak will be received, outside office hours by :—
  - (a) the night duty clerk of the Department concerned; or
  - (b) where no such arrangements exist, by the officer designated by the Department concerned to receive such dak.
- (3) Communication received through e-mails in the Department will be downloaded centrally in the Computer Centre of the Department by a designated person, who will forward the same to the Central Registry. Such communications addressed to Ministers/Officers will be downloaded by them or their personal staff.
- (4) Communication received through FAX should be immediately photocopied as the text of the FAX message fades with the passage of time.

13. **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.

### 14. Registration of dak —

- (1) Urgent dak will be separated from other dak and dealt with first.
- (2) All covers, except those addressed to Ministers/Officers by name or those bearing a security grading, will be opened by the Central Registry.
- (3) On opening dak, the Central Registry/IFC will check enclosures and make a note of any item found missing.

- (4) All opened dak, as well as the covers of unopened classified dak, will be date-stamped (vide specimen as under) :—

Ministry/Department of .....

Received on .....

C.R./I.F.C. Number.....

Section Diary Number.....

- (5) The entire dak will be sorted out section-wise (and officer-wise, if addressed by name). To facilitate this, the Central Registry will keep a list (refer para 92) showing the up to date allocation of the subjects to various sections.
- (6) The following categories of dak will be registered by the Central Registry/IFC in the dak register (**Appendix-I**):
- (a) telegrams, wireless messages, FAX messages, telex messages and email messages received from the Computer Centre;
  - (b) registered postal dak;
  - (c) inter-departmental files;
  - (d) court/CAT summons etc and receipts enclosing valuable documents, e.g. service books, agreements, etc;
  - (e) parliament questions, resolutions, cut motions and references seeking information relating to them;
  - (f) unopened inner covers containing classified dak;
  - (g) letters from Members of Parliament;
  - (h) any other category covered by departmental instructions; and
  - (i) envelopes received without contents or with material not marked to any officer will be registered with necessary comments in the remarks column of Dak Register.
- (7) The Central Registry, IFC will maintain one or more dak registers or computers as may be found convenient. In no case, however, will a single register/computer be operated upon by two or more clerks. Where more than one dak register is maintained, each register will be identified with an alphabetical code letter 'A', 'B', 'C' and so on.
- (8) The CR/IFC Number assigned to dak, manually in the dak register or through the computer, will be indicated on the dak in the appropriate place in the stamp affixed on it.
- (9) Dak received may, however, be registered in the computer wherever such a facility is available in Central Registry/IFC. In that case, dak register and invoice register need not be maintained manually.

#### 15. Distribution of dak —

- (1) The Central Registry/IFC will prepare an invoice (**Appendix-2**) separately for each section to which the dak is to be distributed. The dak, along with invoice, will be sent to the section concerned and acknowledged by the diarist. The invoice, duly signed, will then be returned to the Central Registry/IFC, where it will be filed section-wise and date-wise.

In case the dak is registered through computer, section-wise and date-wise report will be generated by computer.

- (2) Alternatively, dak may be distributed and acknowledgement obtained in messenger books or dak register maintained section-wise.
- (3) The above procedure will also apply to the dak meant for Ministers/Officers, which will be acknowledged by their personal staff.
- (4) Urgent dak will be distributed as and when received. Other dak may be distributed at suitable intervals (i.e. 11.00 A.M., 2.00 P.M. and 4.00 P.M.). Such part of the ordinary dak as is received too late to be included in the last daily round, will be kept ready for distribution early next day. The official in charge of the Central Registry will ensure :—
  - (a) that, as far as possible, sorting, registration and invoicing of dak is completed on the day of its receipt;
  - (b) that to the extent which the above work cannot be completed during the day, and without prejudice to the processing of urgent dak, the night duty staff attends to it; and
  - (c) that the total number of receipts pending at the end of the day for sorting, registration and invoicing are noted in a register and the full signatures of the night duty staff are obtained on it in token of their having taken custody of these.
- (5) Urgent dak received outside office hours will be sent to the sections concerned if there is staff on duty. In other cases, such dak will be dealt with in accordance with the instructions issued by the Department concerned.



## CHAPTER V

# RECEIPTS - SUBMISSION AND DIARIZATION

### 16. Perusal and marking of receipts —

The diarist will submit all receipts to the Section Officer who will :

- (1) go through the receipts;
- (2) forward the misdirected receipts to the sections concerned;
- (3) separate those which, either under the Departmental Instructions or in his discretion, should be seen by higher officers before those are processed and mark those to such officers;
- (4) mark to himself such of the remaining receipts as are of a difficult nature or present any special features requiring his personal attention;
- (5) mark other receipts to the dealing hands concerned, and where necessary, indicate urgency grading, deadline and give directions regarding line of action;
- (6) keep a note in his diary of important receipts requiring prompt action or disposal (by a specified date); and
- (7) submit the case to the officer who last noted on it, if it is one returned by another Ministry/ Department.

### 17. Diarizing of receipt in sections—

- (1) Each Section will maintain a section diary (**Appendix-3**). Devanagri script will be used for diarizing Hindi receipts.
- (2) The diarist will diarize in the section diary (**Appendix-3**) all receipts except the following before these are submitted to the officers concerned or distributed amongst the dealing hands :—
  - (a) receipts which, as a class, are adequately taken care of by a register specially devised for the purpose (e.g. telephone bills which are entered in telephone register);
  - (b) receipts which have already been diarized in computer;
  - (c) communications received from Members of Parliament for which a separate register is maintained for watching their disposal vide para 127.
  - (d) unsigned communications (except e-mail) on which no instructions have been recorded by officers and on which no action is to be taken;
  - (e) identical copies of representations, except the one received first;
  - (f) post copies of telegrams, unless they contain additional information;

- (g) petty contingent vouchers such as those relating to night duty or overtime claims of the staff, claims for coolie hire or conveyance hire, chits asking for articles of furniture, stationery, etc.;
  - (h) routine acknowledgements;
  - (i) casual leave applications;
  - (j) copies of miscellaneous circulars, office memoranda, extracts, etc., circulated by any section for general information, e.g. orders of general application, telephone lists, notices of holidays, tour programmes, etc; and
  - (k) any other types of receipts which under departmental instructions are not required to be diarized.
- (3) Inter-departmental notes, telegrams, or any other category of receipts sought to be distinguished from the rest, may be entered in the section diary in red ink.
  - (4) Receipts redirected to other sections will also be diarized.
  - (5) Papers referred to another Department will be diarized each time they are received back. For those referred under diary numbers, however, previous and later entries in the diary will be linked by giving the earlier and the later diary numbers against each entry.
  - (6) If a receipt is diarized after a lapse of more than 15 days from the date it bears, the entry date in column 3 of the section diary will be circled in red ink.
  - (7) The diary number of a receipt will be indicated in the space provided for the purpose in the stamp affixed by the central registry vide para 14(4).
  - (8) The Section Officer will scrutinize the section diaries once a week to see that these are being properly maintained and append his dated initials in token of scrutiny.
  - (9) Under the computerized environment also the format of the diary register will be as in **Appendix-3**. A single diary number will be generated irrespective of where a receipt is diarized. All exclusions mentioned in sub-para (2) above would be applicable. Appropriate codes in Remarks column would indicate the different categories of receipts as well as redirected receipts or receipts diarized after lapse of more than 15 days from the date it bears, as mentioned in earlier sub-paras. Papers received back from other departments will be diarized and will be linked with previous diary numbers so that these can be easily traced electronically. The diary number will be indicated on the receipt as in the manual system. The Section Officer will generate a status report of the receipts from computer every week to ensure proper monitoring.

**18. Diarizing of receipts addressed to officers —**

- (1) The personal staff of officers of the rank of Deputy Secretary and above will diarize receipts addressed to their officers in respective personal section- diary. Envelopes received without contents or with material not marked to any officer should also be diarized (**Appendix-4**) with necessary comments.
- (2) No receipt will be diarized more than twice including once in the Section. A communication once diarized above the section level will not be diarized a second time till it reaches the section, where it will be diarized in the section diary. For example, a communication received by the Minister and diarized by his personal staff need not be diarized at the level of Secretary, Special Secretary, Additional Secretary/Joint Secretary, Director/Deputy Secretary, etc.

- (3) In the computerized diary system no receipt will be diarized more than once. For receipts addressed to officers, diarizing will be done by their personal staff. For receipts received in the Central Registry it will be done by the data entry operator and after office hours by the night duty clerk proficient in computer operation. The dak will also be scanned at the initial source.

**19. Movement of receipts—**

- (1) Receipts submitted to officers will move in pads conspicuously labeled as 'Receipts Pad'. Their movement and perusal will receive prompt attention.
- (2) The Section Officer will keep a careful watch on any hold-up in the movement of receipts. The diarist will bring to his notice any receipt which is not received back from officers within one working day.

**20. Action by higher officers—**

Officers to whom receipts are submitted will :

- (1) go through the receipts and initial them;
- (2) remove receipts which they may like to dispose of without assistance from section or to submit to higher officers;
- (3) enter the diary numbers of the receipts removed vide sub-para (2) above on the movement slip (**Appendix 5**);
- (4) where necessary, give directions regarding line of action to be taken on other receipts; and
- (5) return the receipts together with movement slip, if any, to the Section Officer for action in terms of paras 16(4) and 16(5) above.

**21. Allocation of disputed receipts—**

If a section feels that it is not concerned with a misdirected receipt *forwarded* to it vide para 16 (2), the same should be brought to the notice of the officer designated by the department for deciding allocation of disputed receipt.

## CHAPTER VI

# ACTION ON RECEIPTS

### 22. General principles:—

Action on receipts will be so organized that it results in speedy and correct decision-making process. All records creating agencies will use good quality paper (IS : 1774-1986 Type II Grade II) and ink (IS:1581-1950) as prescribed by the Bureau of Indian Standards while transacting official business so as to ensure longevity of records and easy retrieval of information. While the detailed drill to be followed is given in the succeeding paragraphs, certain general principles to be observed in this regard are given below :

- (1) An officer will himself initiate action on as many receipts as possible, keeping in view the priority requirements.
- (2) Number of levels at which a case is examined will be reduced to the minimum.
- (3) Paper work will be kept at an essential minimum.
- (4) Least possible time will be taken for examination and disposal of cases.
- (5) While disposing of cases, an officer will aim at optimizing the quality as well as the quantity of work performed by him.
- (6) Simplified and pre-structured formats will be devised for processing routine i.e. repetitive cases. Simplified formats should also be devised for the benefit of the citizen in his interaction with the offices.

### 23. Action by dealing hand—

The dealing hand will:

- (1) go through the receipts and separate urgent receipts from the rest;
- (2) enter the receipts in the assistant's diary (**Appendix 6**); it is not necessary to maintain this diary separately in a computerized environment, as the system can generate information through query;
- (3) deal with the urgent receipts first; Code indicating the priority may be given in a computerized environment.
- (4) check enclosures and if any found missing, initiate prompt action to obtain it;
- (5) 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;
- (6) bring the receipt on to a current file if one already exists or open a new file as per paras 94 and 95; indicate file No. in column 4 of the Assistant's diary. If the current file is under submission, a part file will be opened, which will be subsequently merged with the main

one by the dealing assistant when he accesses both. In a computerized environment the relevant file number, whether of existing file or a new file, should be indicated in the relevant column in the diary register itself.

- (7) file papers in accordance with para 41 ;
- (8) assign the receipt page number (s) and a serial number in terms of paras 43(1) and 43 (2);
- (9) docket the receipt and reproduce on the notes portion of the file remarks, if any, recorded by an officer on the receipt;
- (10) with the help of file registers (para 97 and Appendix 22), indices, precedent book (para 110 and Appendix 27), standing guard files (para 35), reference folders (para 35), etc. locate and collect other files or papers, if any, referred to in the receipt, or having a bearing on the issues raised therein;
- (11) identify and examine the issues involved in the case and record a functional note vide instructions in paras 25, 32 and 34;
- (12) arrange papers and reference them in the case properly (vide paras 42-44);
- (13) Where necessary, attach a label indicating the urgency grading appropriate to the case (vide para 45);
- (14) put up the case to the appropriate higher officer; and
- (15) indicate the date of submission in column 5 of the assistant's diary. In the computerized diary system, indicate the details of submission, at the appropriate column.

**24. Action by section officer—**

- (1) The Section Officer will:
  - (a) scrutinise the note of the dealing hand;
  - (b) finally dispose of routine cases;
  - (c) take intermediate routine action;
  - (d) record, where necessary, a note setting out his own comments' or suggestions; and
  - (e) submit the case to the appropriate higher officer.
  - (f) in computerized environment also make a suitable entry in the electronic diary register
- (2) What constitutes 'routine cases' or 'intermediate routine action' in terms of (b) and (c) above will be specified by each department in its departmental instructions.

**25. Examination by section—**

When the line of action on a receipt is obvious or is based on a clear precedent or practice, or has been indicated by a higher officer, and a communication has to issue, a draft/fair communication for approval/signature will be put up without any elaborate note. In other cases, the section, while putting up a case, will :

- (1) see whether all the statements, so far as they are open to check, are correct;
- (2) point out mistakes, incorrect statements, missing data or information, if any;
- (3) draw attention, if necessary, to the statutory or customary procedure and point out the relevant law and rules;
- (4) furnish other relevant data or information available in the department, if any;
- (5) state the questions for consideration and bring out clearly the points requiring decision;
- (6) draw attention to precedents;
- (7) evaluate relevant data and information; and
- (8) suggest, where possible, alternative courses of action for consideration,

26. **Standard Process Sheets**—For dealing with cases of repetitive nature e.g. sanctioning of leave, GPF advances, HBA, forwarding or processing of numerous applications, etc., standard process sheets will be devised by the respective Ministries/Departments and will be prescribed through departmental instructions. No notes will be recorded in such cases. Standard process sheets will also be maintained in electronic form in a computerized environment.

**27. Level of disposal and channel of submission.**

- (1) Each Ministry/Department should lay down a detailed scheme of delegation at all levels so that the decision making takes place at the most appropriate level. This delegation should be arrived at on the basis of an analysis of the activities and functions of the Ministry/Department and the type of decisions that these entail which should be dovetailed with the decision making units identified in the Ministry/Department.
- (2) The scheme of delegation should be updated periodically and should also be 'audited' at regular intervals. This audit should ensure that the delegated authority is actually exercised by the delegatee. The scheme of delegation should be placed in the public domain.
- (3) The number of levels through which a file passes for a decision should not exceed three.
  - (a) In cases where the Minister's approval is required, the file should be initiated by the Deputy Secretary/Director concerned and should be moved through Joint Secretary (or Additional Secretary/Special Secretary) and the Secretary (or Special Secretary) to the Minister.
  - (b) Cases requiring approval of the Secretary should go through just two levels (e.g. either US and DS/Director or US and JS or DS/Director and JS).
  - (c) Cases requiring approval of the JS/Director/DS should come through just one level. The exact combination of levels should be spelt out in the scheme of delegation by each Ministry/Department.
- (4) For addressing cross cutting issues, the Secretary of the concerned Department should have the flexibility to create inter-disciplinary teams.
- (5) A Desk Officer will submit cases direct to Deputy Secretary or Director who in turn would submit it to the Joint Secretary/Additional Secretary.

- (6) A Joint Secretary can submit cases directly to Secretary/Minister and not necessarily through the Additional Secretary.
- (7) Additional Secretaries in large ministries should be allowed to function independently in day-to-day administrative and functional matters. In matters requiring orders of the Minister, other than those relating to policy/important cases, Additional Secretary can submit files directly to the Minister.
- (8) In Ministries/Departments with a Special Secretary and Secretary, there should be a clear delegation of authority to the Special Secretary so that in most matters he can function independently.
- (9) Wherever level jumping is done in respect of any category of cases, each such case on its return, will pass through all the levels jumped over who in suitable cases could resubmit the cases for reconsideration.
- (10) In a computerized environment, the system will provide scope for level jumping.

**28. Direct submission of cases by senior assistants.—**

- (1) An assistant in a conventional section who has more than five years service in the grade including at least six months in the section concerned may be required to submit all his cases direct to the branch officer. In appropriate cases, assistants with less than five years service in the grade may also be permitted to submit cases direct to branch officer.
- (2) All the cases directly submitted by assistants to the branch officer will as a rule, go back to the assistants through the section officer. The section officer will be free to bring to the notice of the branch officer any omission or flaws in the submission of cases or the decisions taken and thus give an opportunity to the branch officer to reconsider the matter.

**29. Examination by Officer—**

- (1) An Officer will regularly discuss with and guide his staff to decide the course of action to be taken on various cases. Normally a single note will be put up to the decision making level after the line of action is decided.
- (2) For dealing with important problem solving issues, the technique of writing a self-contained "Note" may be used. This involves entrusting an officer or a group of officers with preparing a comprehensive note which will be put up straight to the decision making level. The note will contain the background of the problem, issues arising out of its precedents, if any, analysis of all relevant facts, and recommendations.

**30. Deviation from normal procedures or rules: —** In every case where a major or minor infraction, other than trivial, of the existing procedures or rules, is sought to be made, it shall be the responsibility of the decision making authority to ensure that reasons are recorded in writing, justifying such a deviation from the rules or procedures.

**31. Running summary of facts—**To facilitate consideration and obviate repeated recapitulation of consecutive noting, a running summary of facts will be prepared and placed on the file in a separate folder labeled as such in every case in which it is evident that such a summary would contribute to its speedy disposal. This summary will also include the advice or views of other departments consulted in the matter but not opinions of individual officers within a department. It should be kept up to date, incorporating changes whenever further developments take place. Running summary of facts will also be maintained in electronic form in a computerized environment. It is essential in long drawn cases calling for consideration at senior levels from time to time.

### 32. Guidelines for noting:—

- (1) All notes will be concise and to the point. Lengthy notes are to be avoided, by shifting bulk of material to statements placed below.
- (2) The verbatim reproduction of extracts from or paraphrasing of the paper under consideration, fresh receipt, or any other part of correspondence or notes on the same file, should not be attempted.
- (3) When passing orders or making suggestions, an officer will confine his note to the actual points he proposes to make without reiterating the ground already covered in the previous notes. If he agrees to the line of action suggested in the preceding note, he will merely append his signature.
- (4) Any officer, who has to note upon a file on which a running summary of facts is available will, in drawing attention to the facts of the case, refer to the appropriate part of the summary without repeating it in his own note.
- (5) Relevant extracts of a rule or instruction will be placed on the file and attention to it will be drawn in the note with proper referencing, rather than reproducing the relevant provisions in the note.
- (6) Unless a running summary of facts is already available on the file or the last note on the file itself serves that purpose, a self-contained note will be put up with every case submitted to the Minister. Such a note will bring out briefly but clearly relevant facts, including the views expressed on the subject by other departments, if any, consulted in the matter and the point or points on which the orders of the Minister are sought.
- (7) If apparent errors or incorrect statements in a case have to be pointed out or if an opinion expressed therein has to be criticized, care should be taken to couch the observations objectively, in courteous and temperate language free from personal remarks.
- (8) When a paper under consideration raises several major points which require detailed examination and respective orders, each point (or group of related points) will be noted upon separately in sectional notes; such notes will each begin with a list of the major point(s) dealt with therein and placed below the main note in a separate folder.
- (9) Notes and orders will normally be recorded on note sheets in the notes portion of the file and will be serially numbered. Black or Blue ink will be used by all category of staff and officers. Only an officer of the level of Joint Secretary to Government of India and above may use green or red ink in rare cases.
- (10) The dealing hand will append his full signature with date on the left below his note. An officer will append his full signature on the right hand side of the note with name, designation and date.
- (11) A note will be divided into serially numbered paragraphs of easy size, say ten lines each. Paragraphs may preferably have brief titles. The first few paragraphs will give the profile of the problem, position of rules, precedents and the position of resources with proper analysis and sequence and an indication of the evidence and the conclusions reached. The final paragraph should weigh the arguments and recommend the best course of action, with a supporting draft communication, if necessary.
- (12) In writing notes, the observations made in **Appendix 7- 'Style in notes and drafts'** will be kept in view.



- (13) A small margin of about one inch will be left on all sides (left, right, top and bottom) of each page of the note sheet to ensure better preservation of notes recorded on the files as at times the paper gets torn from the edges making reading of the document difficult. However, notes should be typed/written on both sides of the note sheet as per instructions of Department of Expenditure.
- (14) While preparing/submitting Notes for the Cabinet/Cabinet Committees/Groups of Ministers, the required procedure as detailed in **Appendix-7.1** will be kept in view.
- (15) While preparing/submitting of papers for consideration of the Committee of Secretaries, the required procedure as detailed in **Appendix-7.2** will be kept in view.
- (16) While constitution/reconstitution of High-level Commissions/Committees, the required procedure as detailed in **Appendix-7.3** will be kept in view.

**33. Modification of notes or orders.—**

- (1) Senior officers should not require any modification in, or replacement of, the notes recorded by their juniors, once they have been submitted to them. Instead, the higher officers should record their own notes giving their views on the subject, where necessary correcting or modifying the facts given in earlier notes. In any case, the replacement or modification of the notes which have already been recorded on a file when the file has been further noted upon by others should not be permitted.
- (2) Pasting over a note or a portion of it to conceal what has been recorded is not desirable. Where a note recorded in the first instance requires any modification on account of additional facts or any error having come to notice, a subsequent note may be recorded, keeping the earlier note intact.
- (3) Where a final decision already communicated to a party is found later on to have been given on a mistaken ground or wrong facts or wrong interpretation of rules due to misunderstanding, such withdrawal may have also legal implications. In all such cases, in addition to consulting the Ministry of Law, wherever necessary, such a withdrawal should be permitted only after the approval of an officer higher than the one, who took the original decision, has been obtained and reasons for the reversal or modification of the earlier decision have been duly recorded on the file.

**34. Noting on files received from other departments—**

- (1) If the reference seeks the opinion, ruling or concurrence of the receiving department and requires detailed examination, such examination will normally be done separately through routine notes and only the final result will be recorded on the file by the officer responsible for commenting upon the reference. The officer to whom such a note is submitted will either accept that note or record a note of his own. In the former case, he may direct that the note in question or a specified portion thereof may be reproduced on the main file for communication to the department concerned. In the latter case, he will record a suitable note on the main file itself. In either case, a copy of the note recorded on the main file will be kept on the routine notes folder for retention in the receiving department before the file is returned to the originating department.
- (2) The department will open subject-wise files each year in which such routine notes will be kept. The inter-departmental note recorded on the file of the originating department will bear the subject file number to facilitate filing of papers and their retrieval for future reference. The retrieval is faster in a computerized environment due to easier tracking.

- (3) Where the reference requires information of a factual nature or other action based on a clear precedent or practice, the dealing hand in the receiving department may note on the file straightway.
- (4) Where a note on a file is recorded by an officer after obtaining the orders of a higher officer, the fact that the views expressed therein have the approval of the latter should be specifically mentioned.

**35. Aids to processing—**

- (1) To facilitate processing of a case, each section will develop and maintain the following processing tools for important subjects dealt with by it:
  - (a) standing guard files;
  - (b) standing notes;
  - (c) precedent book (vide para 110);
  - (d) standard process sheets (for repetitive items of work only); and
  - (e) reference folders containing copies of circulars, etc.

The above records will also be maintained in electronic form in a computerized environment.

- (2) Apart from copies of Acts, rules, orders and instructions concerning subjects dealt with by it, each section is expected to maintain, for ready reference, the Constitution of India and certain Acts, rules and instructions of a general nature references of most of which have been made in this manual. Each department is expected to procure an adequate number of copies of these acts, rules and instructions and make them available to all concerned. An illustrative list of such acts, rules and instructions is contained in **Appendix 8**. These acts, rules and instructions will be accessed electronically if available on website of issuing Ministries/Departments.
- (3) The documentation-cum-reference system (manual as well as electronic form) will include reference material peculiar to the need of the functional sections and a consciously developed information system to act as an aid to policy formulation, review and operational decisions.

**36. Oral discussions: —**

- (1) All points emerging from discussions (including telephonic discussions) between two or more officers of the same department or from discussions between officers of different departments, and the conclusions reached will be recorded precisely on the relevant file by the officer authorizing action.
- (2) All discussions/instructions/decisions which the officer recording them considers to be important enough for the purpose, should be got confirmed by all those who have participated in or are responsible for them. This is particularly desirable in cases where the policy of the government is not clear or where some important deviation from the prescribed policy is involved or where two or more levels differ on significant issues or the decision itself, though agreed to by all concerned, is an important one.

**37. Oral instructions by higher officers—**

- (1) Where an officer is giving direction (including telephonic direction) for taking action in any case in respect of matters on which he or his subordinate has powers to decide, he shall ordinarily do so in writing. If, however, the circumstances of the case are such that there is no time for giving the instructions in writing, he should follow it up by a written confirmation at the earliest.

- (2) An officer shall, in the performance of his official duties, or in the exercise of the powers conferred on him, act in his best judgment except when he is acting under instructions of an official superior to him. In the latter case, he shall obtain the directions in writing wherever practicable before carrying out the instructions, and where it is not possible to do so, he shall obtain written confirmation of the directions as soon thereafter as possible. If the Officer giving the instructions is not his immediate superior but one higher to the latter in the hierarchy, he shall bring such instructions to the notice of his immediate superior at the earliest.

**38. Oral orders on behalf of or from Minister:—**

- (1) Whenever a member of the personal staff of a Minister communicates to any officer an oral order on behalf of the Minister, it shall be confirmed by him in writing, immediately thereafter.
- (2) If any officer receives oral instructions from the Minister or from his personal staff and the orders are in accordance with the norms, rules, regulations or procedures they should be brought to the notice of the Secretary (or the head of the department where the officer concerned is working in or under a non-secretariat organization).
- (3) If any Officer receives oral instructions from the Minister or from his personal staff and the orders are not in accordance with the norms, rules, regulations or procedures, he should seek further clear orders from the Secretary (or the head of the Department in case he is working in or under a non-secretariat organization) about the line of action to be taken, stating clearly that the oral instructions are not in accordance with the rules, regulations, norms or procedures.
- (4) In rare and urgent cases when the Minister is on tour/ is sick and his approval has to be taken on telephone, the decision of the Minister shall be conveyed by his Private Secretary in writing. In such cases, confirmation will be obtained on file when the Minister returns to Headquarters/rejoins.

**39. Confirmation of oral instructions—**

- (1) If an officer seeks confirmation of oral instructions given by his senior, the latter should confirm it in writing whenever such confirmation is sought.
- (2) Receipt of communications from junior Officers seeking confirmation of oral instructions should be acknowledged by the senior officers or their personal staff, or the personal staff of the Minister, as the case may be.

**40. Examination of progress of cases in which two or more authorities are consulted—**

Where two or more State Governments, Central Government departments or other authorities are simultaneously consulted, the examination and, where necessary, tabulation of the replies will ordinarily be started as soon as replies begin to arrive and not held over till the receipt of all the replies or the expiry of the target date. A check-list of the replies received/pending should be maintained in a separate folder and the position should be put up periodically on file after regular reminders to the defaulters.

**41. Filing of papers:—**

- (1) Papers required to be filed will be punched neatly on the left hand top corner and tagged on to the appropriate part of the file viz. notes, correspondence, appendix to notes and appendix to correspondence, in chronological order, from left to right
- (2) Both 'notes portion' and 'correspondence portion' will be placed in a single file cover. Left end of tag in the notes portion will be tagged onto the left side of the file cover and right

- end of the tag will remain as such i.e., untagged. In the case of correspondence portion, right side of tag will be tagged on to the right side of the same file cover and left side of the tag will remain as such i.e., untagged.
- (3) Earlier communications referred to in the receipt or issue, will be indicated by pencil by giving their position on the file.
  - (4) (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 used for keeping appendix to notes and appendix to correspondence.
  - (5) Routine receipts and office copies of the communications issued (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.
  - (6) When the 'notes' plus the 'correspondence' portion of a file become bulky (say exceed 150 pages), it will be stitched and marked 'Volume 1'. 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.
  - (7) 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.
  - (8) On top of the first page of the note portion in each volume of the file, file number, name of the Ministry/Department, name of branch/section and subject of the file will be mentioned.

#### **42. 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.

#### **43. Referencing :—**

- (1) Every page in each part of the file (viz., notes, correspondence, appendix to notes, and appendix to correspondence) will be consecutively numbered in separate series in pencil on the right top corner. Blank intervening pages, if any will not be numbered.
- (2) Each item of correspondence in a file, whether receipt or issue, will be assigned a serial number which will be displayed prominently in red ink at the top middle of its first page.

- (3) The paper under consideration on a file will be flagged 'PUC' and the latest fresh receipt noted upon, as 'FR'. In no circumstances, will a slip, other than 'PUC' and 'FR', be attached to any paper in a current file. If there are more than one 'FR', these should be flagged separately as 'FR I', 'FR II' and so on.
- (4) In referring to the papers flagged 'PUC' or 'FR', the relevant page numbers will be quoted invariably on the margin. Other papers in a current file will be referred to by their page numbers only.
- (5) Recorded files and other papers put up with the current file will be flagged with alphabetical slips for quick identification. Only one alphabetical slip will be attached to a recorded file or compilation. If two or more papers contained in the same file or compilation are to be referred to, they should be identified by the relevant page numbers in addition to the alphabetical slip, e.g. 'A/23.n, 'A/17.c, and so on.
- (6) To facilitate the identification of references to papers contained in other files after the removal of slips, the number of the file referred to will be quoted invariably in the body of the note and the relevant page numbers, together with the alphabetical slip attached thereto, will be indicated on the margin. Similarly, the number and date of orders, notifications and the resolutions, and, in the case of acts, rules and regulations, their brief title together with the number of the relevant section, rule, paragraph or clause, referred to will be quoted in the body of the notes, while the alphabetical slips used will be indicated on the margin.
- (7) Rules or other compilations referred to in a case need not be put up if copies thereof are expected to be available with the officer to whom the case is being submitted. The fact of such compilations not having been put up will be indicated on the margin of the notes in pencil.
- (8) The reference slips will be attached neatly on the back of the papers so flagged. When a number of papers put up in a case are to be flagged, the slips will be spread over the entire width of the file so that every slip is easily visible.

#### 44. **Linking of files—**

- (1) If the issues raised in two or more current files are so inter-connected that they must be dealt with together simultaneously, the relevant files will be linked in the manner indicated in sub-para (2) below. Such linking may also be resorted to, if a paper on one current file is required for reference in dealing with another current file, unless a copy of the paper can be conveniently placed on the first file.
- (2) When files are to be linked, strings of the file board of the lower file (but not its flaps) will be tied around the upper file and those of the file board or flap of the upper file tied underneath it in a bow out of the way so that each file is intact with all its connected papers properly arranged on its file board or flap.
- (3) On receipt after completion of action, the linked files will be immediately delinked after taking relevant extracts and placing them on the linked files, where necessary.
- (4) In a computer environment, the file tracking system has the facility for easy linkage of files and its subsequent movement.

**45. Use of Urgency gradings:—**

- (1) The two urgency gradings authorized for use on cases are 'Immediate' and 'Priority' .
- (2) 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.
- (3) Where Lok Sabha/Rajya Sabha labels for questions, assurances, motions, bills, notices etc. are used, it will not be necessary to use, in addition, 'Immediate' or 'Priority' label.
- (4) The grading of urgency assigned to a case will be reviewed by all concerned at different stages of its progress and where necessary, revised. This is particularly important for cases proposed to be referred to other Departments.

## CHAPTER VII

# HANDLING OF RECEIPTS UNDER DESK OFFICER SYSTEM

46. **General**—The general principles governing the action on receipts given in para 22 will apply to the Desk Officer System of functioning also. While the general drill for receipt, distribution and handling of dak, etc., has been laid down in Chapters IV, V and VI, the special features that distinguish the desk-pattern from the conventional section-based functioning are given below.

47. **Receipt of dak**—The Central Registry/IFC will send dak along with invoice (Appendix 2) direct to the desk functionary who will acknowledge its receipt on the invoice. Each desk functionary will maintain a desk diary (Appendix 3).

**48. Action by desk functionary—**

(1) The desk functionary will examine the receipt and will:

- in simple situations draft and issue a reply; and
- in other cases submit a draft/fair communication to Deputy Secretary/ Director/ Joint Secretary for approval/signature without any elaborate note.

In case of any doubt he will take appropriate action after discussion with Deputy Secretary/ Director/ Joint Secretary.

(2) Occasionally a communication may give rise to a problem, requiring to be solved. In such cases the technique of writing a self-contained paper described in para 29(2) will be adopted.

(3) The supporting staff (i.e. stenographer, assistant, desk attache, etc.) attached to a desk officer will inter alia assist him in:

- filing of papers and file management.
- dealing with simple cases including issue of acknowledgements forwarding of papers etc.;
- collection, compilation, collation etc. of data in given forms;
- maintaining codes, Manuals and other relevant research and reference material;
- records management, including retrieval, review, etc.
- typing and doing other miscellaneous work that may arise from time to time.

**49. Maintenance of reference materials.—**

Each desk functionary will develop a reliable documentation-cum-reference system (manual or electronic form) comprising aids to processing mentioned in para 35.

\*\*\*\*\*

## CHAPTER VIII

# FORMS AND PROCEDURE OF COMMUNICATION

### 50. Forms of written communication and methods of delivery—

The different forms of written communication and methods of delivery generally used by a department are described below. Each form has a use and, in some cases, a phraseology of its own. Only black or blue ink will be used in communications. A small margin of about one inch will be left on all sides (left, right, top and bottom) of each page of communication to ensure better preservation of records as at times the paper gets torn from the edges, making reading of the documents difficult. Specimens of these forms are given in **Appendix 9**.

(1) **Letter**—This form is used for corresponding with Foreign Governments, State Governments, the Union Public Service Commission and other constitutional bodies, heads of attached and subordinate offices, public enterprises, statutory authorities, public bodies and members of the public generally. A letter begins with the salutation "Sir/Madam" as may be appropriate and ends with the subscription "Yours faithfully".

(2) **Demi-official letter -**

(a) This form is generally used in correspondence between Government officers for an interchange or communication of opinion or information without the formality of the prescribed procedures. It may also be used when it is desired that the matter should receive personal attention of the individual addressed. Since demi-official letter is written in the first person in a personal and friendly tone, it should be addressed by an officer in a Ministry/Department who is ordinarily not more than one or two levels below the officer to whom such communication is addressed.

**Note:** For the purpose of determination of level, Secretary/Additional Secretary and Director / Deputy Secretary will be considered as one level.

(b) Communications to non-officials can also take the form of a demi-official letter.

(3) **Office Memorandum**—This form is generally used for corresponding with other Departments or in calling for information from or conveying information to its employees. It may also be used in corresponding with attached and subordinate offices. It is written in the third person and bears no salutation or subscription except the name and designation of the officer signing it.

(4) **Inter-departmental note (I.D.Note)**—

(a) This form is generally employed for obtaining the advice, views, concurrence or comments of other Departments on a proposal or in seeking clarification of the existing rules, instructions etc. It may also be used by a department when consulting its attached and subordinate offices and vice versa.

(b) The inter-departmental note may either be recorded on a file referred to another department or may take the form of an independent self-contained note. The subject need not be mentioned when recorded on the file itself.

**Note:** Formerly [i.e. prior to publication of 6th Edition of CSMOP in 1975 the I.D. Note used to be known as Unofficial Note (U.O.Note)].



- (5) **Telegram** -
- (a) This form is used for communicating with outstation parties in matters demanding prompt attention. The text of the telegram should be as brief as possible.
  - (b) Telegrams are of two kinds viz. enclair telegrams and cypher code telegrams. The former are worded in plain language. The latter are expressed in secret language (code or cypher or both) but a combination in the same telegram of figures and letters having a secret meaning is not permitted. In editing, numbering and issuing of cypher/code telegrams, the instructions issued by the Ministry of External Affairs in respect of external telegrams and by the Ministry of Home Affairs in the case of internal telegrams from time to time, should be carefully observed.
  - (c) There are four gradings of urgency authorized for use in State telegrams viz: (i) 'SVH', (ii) 'Most Immediate' and (iii) 'Operation Immediate' and (iv) 'Immediate'. The use of these grading is regulated by the rules issued by the Department of Posts. Relevant extracts from these rules are contained in **Appendix 10**.
  - (d) Telegrams, other than cypher and code telegrams, should normally be followed by post copies.
- (6) **Fax facility**—In urgent and important matters (including legal and financial messages), departments may use fax facilities to send messages, wherever available. Offices not connected through fax but having telex facilities, may send urgent and important messages through telex, instead of a telegram in communicating with outstation offices.
- (7) **Registered Post/Registered A D (Acknowledgement Due)**—This method of delivery is used in communicating with offices to ensure receipt of the communication and in the case of Registered A D an acknowledgement of the delivery is also received by the issuing office.
- (8) **Speed Post**—This method of delivery is used to ensure quick receipt of messages warranting urgent attention at the receiving end and an acknowledgement of the delivery is also received by the issuing office.
- (9) **Office order**—This form is normally used for issuing instructions meant for day to day internal administration, e.g., grant of regular leave, distribution of work among officers and sections, appointments and transfers, etc.
- (10) **Order**—This form is generally used for issuing certain types of financial sanctions and for communicating government orders in disciplinary cases, etc., to the officials concerned.
- (11) **Notification**—This form is mostly used in notifying the promulgation of statutory rules and orders, appointments and promotions of gazetted officers, etc. through publications in the Gazette of India. The composition of the gazette, the types of matters to be published in each part and section thereof, the instructions for sending the matter for publication therein and for sending copies thereof are indicated in **Appendix 11**.
- (12) **Resolution**—This form of communication is used for making public announcement of decisions of government in important matters of policy, e.g., the policy of industrial licensing, appointment of committees or commissions of enquiry. Resolutions are also published in the Gazette of India.
- (13) **Press communique/note**—This form is used when it is proposed to give wide publicity to a decision of government. A press communique is more formal in character than a press note and is expected to be reproduced intact by the press. A press note, on the other hand, is intended to serve as a hand-out to the press which may edit, compress or enlarge it, as deemed fit.

- (14)) **Endorsement**—This form is used when a paper has to be returned in original to the sender, or the paper in original or its copy is sent to another department or office, for information or action. It is also used when a copy of a communication is proposed to be forwarded to parties other than the one to which it is addressed. Normally this form will not be used in communicating copies to state governments. The appropriate form for such communication should be a letter.
- (15) **Circular**—This form is used when important and urgent external communications received or important and urgent decisions taken internally have to be circulated within a department for information and compliance by a large number of employees.
- (16) **Advertisement**—This form is used for reaching out to the general public to create awareness about government policies and operational matters. It may take the form of audio-visual or written communication or both.
- (17) **E-mail**—This is a paperless form of communication to be used by department having computer facilities supported by internet or intranet connectivity.

**51. Telephonic communications—**

- (1) Appropriate use of the medium of telephone may be made by departments for intra and inter-departmental consultation and for communication of information between parties situated locally.
- (2) In matters of urgency, departments may communicate with out-station offices also over the telephone.
- (3) The provisions of para 50(5) (c) also apply to official trunk calls.
- (4) Telephonic communications, wherever necessary, may be followed by written communications by way of confirmation.
- (5) Resort to ISD/ STD and trunk calls will be regulated by departmental instructions.

**52. Correspondence with attached and subordinate offices—**

- (1) (a) Senior Officers/ Head of a subordinate/attached office under an administrative Ministry /Department will correspond in respect of matters involving intervention/ approval of another Ministry/ Department in a note form to their concerned Ministry/ Department.
- (b) Head of an autonomous body under an administrative Ministry will write in respect of matters involving intervention/ approval of another Ministry/ Department to the Secretary of the concerned Ministry/ Department in a letter form.
- (c) In both the cases, concerned Ministry/ Department, if required, will take up the matter with another ministry.
- (d) Attached office/ subordinate office may, however, seek factual information from another Ministry/ Department directly.
- (e) An officer of a subordinate office/ attached office/ autonomous body will not correspond directly with the Minister of another Ministry except the Head of a statutory body/ regulatory authority set up by an Act of Parliament.
- (2) In the case of their own attached offices /subordinate offices placed directly under them i.e without the intervention of an attached office, as are located in Delhi/New Delhi- referred to herein as 'Non-Secretariat Organization' (NSO) for convenience- the departments will introduce the Single File System of correspondence, details of which are in para 53.

**Note:** The Single File System will not apply to correspondence between a department and any statutory, corporate or other autonomous body which might be owned or controlled by it.

### **53. Single File System (SFS)—**

- (1) This will apply to matters which have to be referred by the Non-Secretariat Organization (NSO) to the department for seeking a sanction/order, i.e. a decision not within its own delegated powers.
- (2) The file cover of an SFS case should prominently show the name of the (originating) NSO and likewise indicate that it follows the SFS system.
- (3) The SFS file need not bear an I.D. No. or other formal method of sending, but will be sent as though it is from one officer to another in the same organization.
- (4) The SFS file should be complete in all respects, so as to enable the department to take a decision expeditiously; hence the NSO will ensure that:
  - (a) every point for decision/order is clearly brought out;
  - (b) all relevant connected papers are placed on the file, properly arranged and referred to;
  - (c) draft orders/sanctions are put up, where they are required to be approved by the department for issue; and
  - (d) the availability of funds, etc., is certified where additional expenditure is involved in the proposal.
- (5) The officer last dealing with the SFS case in the NSO will mark it to the appropriate officer in the department, by name; policy files will, however, be referred to the department at appropriate levels to be determined by the department and the NSO concerned, through a general order.
- (6) All SFS files will be invariably routed through the central registry of the department concerned. Their receipt will be entered electronically or in a separate register which will also record, against the relevant receipt entry, the despatch of the file on its return to the NSO.
- (7) As a rule, all notings in the department will be on the NSO file. However, where sensitive or delicate matters in the sphere of personnel, policy issues and finance are involved; the recording of notes in 'duplicate' files may be permitted by issuing general or special orders by the department. This will be done at a particular stage of the SFS case or at or above a particular level, with the final decision thereafter being suitably recorded on the SFS file.
- (8) As a convention, the secretariat noting on a SFS file will start on a new page and the noting done sequentially, except in matters of the nature referred to in (7) above.
- (9) Action to implement the government decision in SFS case will be initiated in and by the NSO on the return of the file. Orders so issued should specifically state that they have received the concurrence of Government in the department concerned. Copies of every sanction/order so issued by the NSO will be endorsed without fail to all the officers concerned in the department.

### **54. Inter-departmental consultation—**

- (1) Inter-departmental consultation may take the form of inter-departmental notes, inter-departmental meetings or oral discussions.

- (2) In making written inter-departmental references, the following points should be observed:
- (a) Inter-departmental references will normally be made under the directions of an officer not below the rank of Under Secretary or as may be provided by the departmental instructions.
  - (b) The points on which the opinion of other departments is sought or which it is desired to bring to their notice should be clearly stated.
  - (c) Where possible, the drafts of the orders proposed to be issued may also be shown to the departments sought to be consulted.
  - (d) When it is necessary to consult more than one department on a case, such consultation may be effected simultaneously by self-contained inter-departmental notes unless:
    - (i) it involves copying of a large number of documents available on the file; or
    - (ii) the need for consulting the second Department would arise only after the views of the first have become available.
- (3) (a) When such a reference requires concurrence of one or more Ministries under the Government of India (Transaction of Business) Rules, the following further points should be observed:
- (i) The originating Ministry should invariably prescribe a time-limit when calling for comments or concurrence from other Ministries.
  - (ii) In case any of the Ministries so consulted is not in a position to send its comments/concurrence within the prescribed time-limit, it should write back promptly, in any case before the prescribed time-limit, and indicate the additional time they would require for furnishing their final reply.
  - (b) When such a reference does not require such concurrence under the Rules, the originating Ministry need not wait for the comments of other Ministry beyond the prescribed time-limit, and it should feel free to go ahead with its scheme/proposal without waiting any longer.
  - (c) The initiating Ministry should always feel free to recall its file from another Ministry, to which such a reference has been made on a file, if such a course is required to be adopted for expediting the process of decision-making in the case. Such a decision to recall a file should be taken at a level not lower than that of a Branch Officer in the originating Ministry.
- (4) Inter-departmental meetings may be held where it is necessary to elicit the opinion of other departments on important cases and arrive at a decision within a limited time. No such meeting will normally be convened except under the orders of an officer not below the level of Joint Secretary. In respect of such meetings, it will be ensured that:
- (a) the representatives attending the meeting are officers who can take decisions on behalf of their departments;
  - (b) an agenda setting up clearly the points for discussion is prepared and sent along with the proposal for holding the meeting, allowing adequate time for the representatives of other departments to prepare themselves for the meeting; and
  - (c) a record of discussions is prepared immediately after the meeting and circulated to the other departments concerned, setting out the conclusions reached and indicating the department or departments responsible for taking further action on each conclusion.

- (5) On occasions it may be necessary to have oral discussions (including teleconferencing or video conferencing) with officers of other departments, e.g., when:
  - (a) a preliminary discussion between the officers of the departments concerned is likely to help in the disposal of the case;
  - (b) it is desirable to reach a preliminary agreement before proceeding further in the matter;
  - (c) inter-departmental noting reveals a difference of opinion between two or more departments; or
  - (d) it is proposed to seek only information or advice of the department to be consulted. The result of such oral consultation should be recorded in a single note on the file by the officer of the department to which the case belongs. The note will state clearly the conclusions reached and the reasons thereof. A copy of the note will also be sent to the departments consulted in order that they have a record of the conclusions reached.
- (6) Reopening of decisions arrived at after proper inter-departmental consultations should normally be avoided. In case adequate grounds exist for re-opening of such issues, it should be settled after a quick re-assessment.
- (7) In case two or more departments persist in their respective view points leading to a deadlock or impasse, such issues should be sorted out by raising the level of consideration to a forum like the Committee of Secretaries headed by the Cabinet Secretary or to the level of Ministers concerned, to arrive at a quick decision without continuing with protracted correspondence/discussions among the disputing departments.
- (8) Nodal Ministries/Departments, which render advice to various departments and do so through different Divisions, will ensure that the views expressed by them at inter-departmental discussions are consistent, and they are not found deviating from their views on different occasions. The expression of conflicting views by the different Divisions of the same department during such inter-departmental discussions should be discouraged.

**55. Nodal Ministries/Departments**—In order that the number of interdepartmental references are minimized so as to facilitate reduced paperwork and secure faster decision-making, nodal Ministries/Departments such as Law, Finance, Personnel, Power, Electronics, Environment, Planning Commission, Surface Transport, Petroleum, Science & Technology etc. may lay down clear guidelines on their respective subjects for individual departments to follow. Guidelines should be so framed that reference to nodal departments will be necessary in exceptional cases only.

**56. References to the Attorney-General of India**—References to the Attorney-General will be made only by the Ministry of Law and Justice.

**57. References to constitutional/statutory Authorities**—References to constitutional and statutory authorities such as Election Commission of India will normally be made in the letter form addressed to Principal Secretary/Secretary. In no case an office memorandum will be sent to such authorities by the Ministries/ Departments.

**58. References to the Comptroller and Auditor General of India**—References to the Comptroller and Auditor General of India for his views or advice can be made only by or through the Ministry of Finance. In matters of day-to-day administration, Ministries/departments may, however, at their discretion, correspond direct with the Office of the Comptroller and Auditor General of India.

**59. References to the Union Public Service Commission**—References to the Union Public Service Commission will normally be made in the form of a letter addressed to the Secretary. In certain matters, e.g., requisitions for recruitment, formal references should ordinarily be preceded by personal discussion at appropriate levels.

**60. Correspondence with Union Territory Administrations**—All communications of a routine nature which clearly relate to the business of a particular department, will ordinarily be addressed to the Secretary in the appropriate department. Other important communications may be addressed to the Chief Secretary or the Administrator, by an officer of senior level.

**61. Correspondence with State Governments—**

- (1) Communications on the subjects which clearly relate to the business of a particular department will normally be addressed to the Secretary of that department. Other communications including those of special nature or importance warranting attention at higher levels may be addressed to the Chief Secretary. Demi-official letters can also be sent to officers of State Governments. In case of demi-official communications to the Chief Secretary of a State, this level will not be below the level of Joint Secretary.
- (2) Communications other than those of a purely routine nature e.g., acknowledgements will not ordinarily be addressed to State Governments, except with the prior approval and over the signature of the branch officer. Purely routine communications can, however, be signed by a section officer.

**62. Correspondence with the Lok Sabha and the Rajya Sabha Secretariats—**

Communications meant for the Lok Sabha Secretariat or the Rajya Sabha Secretariat and requiring urgent or high level attention may be addressed to the officers concerned in the Secretariat of the House concerned and not to the Secretary General.

**63. Correspondence with Members of Parliament—**

- (1) Communications received from Members of Parliament should be attended to promptly.
- (2) Where a communication is addressed to a Minister, it should, as far as practicable, be replied to by the Minister himself. In other cases, a reply should normally be issued over the signature of an officer of the rank of Secretary only.
- (3) Where, however, a communication is addressed to the head of an attached or subordinate office, Public Sector Undertakings, Financial Institutions (including nationalized banks) Division/Branch In charge in a Ministry/Department/Organisation, it should be replied to by the addressee himself. In routine matters, he may send an appropriate reply on his own. In policy matters, however, the officer should have prior approval of higher authorities before sending a reply. It should, however, be ensured that the minimum level at which such replies are sent to Members of Parliament is that of Under Secretary and that also in a polite letter form only.
- (4) Normally information sought by a Member should be supplied unless it is of such a nature that it would have been denied to him even if asked for on the floor of the Houses of Parliament.
- (5) As far as possible, in corresponding with Members of Parliament, pre-printed or cyclostyled replies should be avoided.
- (6) In case a reference from an ex-Member of Parliament is addressed to a Minister or Secretary, reply to such reference may be sent by the concerned Divisional Head after obtaining approval of the Secretary of the Ministry/Department. In case the reference is addressed to a lower level officer, reply to such reference could be sent by the officer on his own in non-policy cases and after obtaining approval of the higher authorities in policy cases,. However, the lowest level at which reply could be sent, should be that of an Under Secretary and that too in a polite letter form only.

**64. Correspondence with Ministers of State Governments—**The procedure laid down in the above paragraph (No.63) may also be followed in dealing with communications received from the Ministers of State Governments.

**65. Correspondence with Foreign Governments and International Organizations—**

Correspondence with Foreign Governments and their Missions in India, Heads of Indian Diplomatic Missions and posts abroad and United Nations and its specialised agencies will normally be channelized through the Ministry of External Affairs. The exceptions under which direct

correspondence may be resorted to are indicated in the instructions entitled "Channel of communication between the Government of India and State Governments on the one hand; and Foreign and Commonwealth Governments or their Missions in India, Heads of Indian Diplomatic Missions and posts abroad and United Nations and its specialized agencies on the other" issued by the Ministry of External Affairs.

**66. Prompt response to letters received—**

- (1) Each communication received from a Member of Parliament, member of the public, recognized association or a public body will be acknowledged within 15 days, followed by a reply within the next 15 days of acknowledgement sent.
- (2) Where (i) delay is anticipated in sending a final reply, or (ii) information has to be obtained from another Ministry or another office, an interim reply will be sent within a month (from the date of receipt) indicating the possible date by which a final reply can be given.
- (3) If any such communication is wrongly addressed to a department, it will be transferred promptly (within a week) to the appropriate department under intimation to the party concerned.
- (4) Where the request of a member of the public cannot be acceded to for any reason, reasons for not acceding to such a request should be given courteously.
- (5) As far as possible, requests from members of public, should be looked at from the user's point of view and not solely from the point of view of what may be administratively convenient.

**67. Target date for replies—**In all important matters in which State Governments, departments of the Central Government, or other offices, public bodies or individuals are consulted, time limit for replies may ordinarily be specified. On expiry of the specified date, orders of the appropriate authority may be obtained on whether the offices, whose replies have not been received, may be allowed an extension of time or whether the matter may be processed, without waiting for their replies.

## CHAPTER IX

# DRAFTING OF COMMUNICATIONS

### 68. Procedure for drafting—

- (1) No draft is required to be prepared in simple and straight-forward cases or those of a repetitive nature for which standard forms of communication exist. Such cases may be submitted to the appropriate officer with fair copies of the communication for signature.
- (2) It is not always necessary to await the approval of the proposed line of action and the draft will be put up simultaneously along with the notes by the initiating level officer. The higher officer may revise the draft, if it does not conform to the approved course of action.
- (3) After a final decision is taken by the competent authority he may have the fair communication made for his signature and authorize its issue; otherwise, he will prepare a draft and submit it to the appropriate higher officer for approval.
- (4) The officer approving the issue of a draft will append his initials with date on the draft. It is also expected that he orders on the file simultaneously whether the draft so approved should be kept on the file (along with the office copy of the communication issued in fair) or not.
- (5) Initial drafting will be done in black or blue ink. Modifications in the draft at the subsequent levels may be made in green or red ink by the officers so as to distinguish the corrections made.

### 69. General instructions for drafting—

- (1) A draft should carry the message sought to be conveyed in a language that is clear, concise and incapable of misconstruction.
- (2) Lengthy sentences, abruptness, redundancy, circumlocution, superlatives and repetition, whether of words, observations or ideas, should be avoided.
- (3) Official communications emanating from a department and purporting to convey the views or orders of the Government of India must specifically be expressed to have been written under the directions of Government. This requirement does not, however, imply that each communication should start with the phrase 'I am directed to say' or 'The undersigned is directed to convey', which has the effect of distancing the communicator from the reader at the very outset. A more direct and to-the-point format is to be preferred if some degree of rapport is to be established with the receiver of the communication. The obligatory requirement can be met in a variety of imaginative ways. For instance, variations of the phrase can be added to the operative part of the letter towards the end as under:



.....I have the pleasure to inform you that the government, on reconsideration of the matter, has decided to sanction an additional grant of:.. ...

or

.....In the circumstances, it is regretted that it has not been found possible to accede to your request.

or

.....We do, therefore, regret that we have not found it possible to accede to your request.

- (4) Communications of some length or complexity should generally conclude with a summary.
- (5) Depending upon the form of communication, the subject should be mentioned in it (including reminders).
- (6) The number and date of the last communication in the series, and if this is not from the addressee, his last communication on the subject, should always be referred to. Where it is necessary to refer to more than one communication or a series of communications, this should be done on the margin of the draft.
- (7) All drafts put up on a file should bear the file number. When two or more communications are to issue from the same file to the same addressee on the same date, a separate serial number may be inserted before the numeral identifying the year to avoid confusion in reference, e.g., A- 12012/5/(1)08-Admn & A- 12012/5/(2)08-Admn.
- (8) A draft should clearly specify the enclosures which are to accompany the fair copy. In addition, short oblique lines should be drawn at appropriate places on the margin for ready reference by the typist, the comparers and the despatcher. The number of enclosures should also be indicated at the end of the draft on the bottom left of the page e.g.-'Encl. 3'.
- (9) If copies of an enclosure referred to in the draft are available and are, therefore, not to be typed/photocopied, an indication to that effect will be given in the margin of the draft below the relevant oblique line.
- (10) If the communication to be despatched by post is important (e.g., a notice cancelling a license or withdrawing an existing facility) or encloses a valuable document (such as an agreement, service book or a cheque) instructions as to whether it should be sent through registered post or speed post or Courier or in an insured cover, will be given on the draft by the section officer concerned with its issue.
- (11) Urgent communications with bulky enclosures to far-flung areas like Andaman & Nicobar Islands, Lakshadweep etc. will be arranged to be despatched by Air Parcel through Air India. The addressee will also be advised through telephone or alternative ways to take delivery of the consignment. Instructions to this effect will be given by the Divisional Head/Branch Officer/Section Officer at the time of approval of draft.
- (12) The name, designation, telephone number, fax number, and e-mail address of the officer, over whose signature the communication is to issue, should invariably be indicated on the draft. It would be beneficial to indicate the telephone number and the fax number of the person to whom the communication is being addressed.
- (13) In writing or typing a draft, sufficient space should be left for the margin and between successive lines for additions or interpolation of words, if necessary.

- (14) A slip bearing the words 'Draft for approval' (DFA) should be attached to the draft. If two or more drafts are put up on a file, the drafts as well as the slips attached thereto will be marked 'DFA I', 'DFA II', 'DFA III' and so on.
- (15) Drafts which are to issue as 'Immediate' or 'Priority' will be so marked under the orders of an officer not lower in rank than a Section Officer.
- (16) Instructions contained in para 32 (2) to (13) will be observed while drafting.

#### **70. Authentication of Government Orders—**

- (1) All orders and other instruments made and executed in the name of the President should be expressed to be made in his name and signed by an officer having regular or ex-officio secretariat status of and above the rank of Under Secretary, or others specifically authorized to authenticate such orders under the Authentication (Orders and Other Instruments) Rules, 2002 (as amended from time to time).
- (2) Where the power to make orders, notifications, etc., is conferred by a statute of the Government of India, such orders and notifications will be expressed to be made in the name of the Government of India (and the complete name of the relevant statute, and the number of relevant Section of the statute should also be mentioned).

**71. Addressing communications to officers by name—**Normally no communication, other than that of a classified nature or a demi-official letter, should be addressed or marked to an officer by name, unless it is intended that the matter raised therein should receive his personal attention either because of its special nature, urgency or importance, or because some ground has already been covered by personal discussions with him and he would be in a better position to deal with it.

#### **72. Drafting of demi-official letters—**

- (1) As the objective of writing a Demi-Official (D.O.) letter is to draw the personal attention of the addressee, the style of writing should be direct, personal and friendly. More usage of active voice is to be preferred. (e.g., "Please" instead of "You are requested to ....." 'I notice' rather than 'It is noticed'). It is expedient to come to the issue at the beginning itself e.g. 'I seek your cooperation in the matter of ..... ..' or "As you may recall we had a discussion on....." etc.
- (2) A D.O. letter should preferably not exceed one page. If the message to be conveyed is lengthy, it is better to condense it into one page in a few small and succinct paragraphs in a manner that holds the interest of the addressee and the detailed arguments can be set out in appendices.
- (3) The colour code in D.O. letter will be as follows. A D.O. letter from a Minister will exhibit the National Emblem in blue colour and that from an officer will exhibit the National Emblem in red colour. In either case the national emblem shall be in the centre of the letter head, in accordance with the instructions issued by the Ministry of Home Affairs.

## CHAPTER X

# ISSUE OF DRAFTS

### 73. **Marking of drafts for issue—**

After a draft has been approved, the section officer will:

- (1) examine the draft to see that all corrections of spelling, grammar, etc., have been properly carried out and that there are no typographical errors;
- (2) preferably keep photocopy of signed communication as office copy;
- (3) ensure that copies of enclosures are attached to the draft where these are available in the section;
- (4) give clear indication on the draft, where a communication is to be despatched by a special messenger/fax/speed post/registered post/courier on account of its special nature, importance or urgency;
- (5) mark the draft for 'issue' (if there are more than one draft for issue from the same file, indicate the total number of drafts, e.g., 'issue 3 drafts'); and
- (6) mark the file for recording whenever the issue of said communication constitutes final disposal of the case under consideration.

74. **Fairing of approved drafts—**All stages of action after the approval of drafts ending with signing of fair communications will be performed in the section except where centralized typing pool exists.

The same procedure may be followed for issue of drafts generated through computer.

### 75. **Procedure to be followed in sections:—**

- (1) Section officer, while marking the draft for typing and before passing on the file to the diarist, will ensure that clear indication has been given where copies of any papers contained in any file are to be typed or photocopied or a computer-printout taken as enclosure(s).
- (2) The diarist will:
  - (a) enter the number of the file marked for recording [as per para 73(6)] in column 2 of the 'register for watching the progress of recording' (Appendix 24); and
  - (b) pass on the file to the typist.
- (3) The approved draft will be fair-typed, compared and got signed. General instructions regarding typing given in para 77 will be observed
- (4) On return of signature pads, the section officer will see that fair copies have been duly signed by the officer and make sure that corrections, if any made while signing, are carried out in all copies.
- (5) The signed fair copies, together with office copies, drafts and relevant file/files will then be passed on to the diarist.

- (6) The diarist will:
  - (a) enter the number of the fair communications and office copies in messenger book; and
  - (b) send the fair communications and office copies, along with messenger book, to the despatcher of the central issue section at appropriate intervals during the day.
- (7) The despatcher will:
  - (a) remove the fair communications and office copies; and
  - (b) acknowledge receipt in the messenger book.
- (8) In case of urgent communications, dak may be issued direct from the section concerned at the discretion of the section officer.

**76. Procedure to be followed in desks—**

- (1) After a draft has been approved or a letter has been dictated by the desk functionary for fair typing, the stenographer attached to the desk functionary will type the letter, get it compared and signed. General instructions regarding typing given in para 77 will be observed by the stenographer.
- (2) The stenographer will add all relevant enclosures to the signed communication and send it to the Central Issue Section for despatch through messenger book after making necessary entries in it.
- (3) A desk functionary may draw on the services of the Wing Registry, wherever set up, for attending to extra typing work.

**77. General instructions regarding typing**

- (1) Urgent drafts will be attended to first.
- (2) Fair copies of all communications will be typed on printed letter heads of suitable sizes. The name of the issuing departments with full address, including PIN code, telephone number, telegraphic address, telex code, Fax number and e-mail address, if any, will be got printed on the letter heads.
- (3) Fair copies will be typed with single spacing unless otherwise directed.
- (4) The oblique lines should be drawn on the margin at appropriate places to indicate the enclosures, if any, to be sent along with the communication.
- (5) Stencils will be cut whenever more than 50 copies of a communication are required. Alternatively photocopies may also be made in such cases.
- (6) The typist will type his initials with date in the left hand bottom corner of the fair copy e.g., RCK/20-05-2010. If the draft is typed in computer, the spell-check shall be used to avoid errors in spellings.
- (7) In a computer environment, username alongwith path will be indicated on the fair copy by the typist (except classified documents).

**78. Procedure where centralized typing pool exists—**Steps from the marking of drafts for issue upto the stage of signing of fair communications under a centralized typing arrangement have been laid down in paras 79 to 84.

**79. Marking of drafts:—**

- (1) Section officer, while marking the drafts for issue and before passing on the file to the diarist, will:

- (a) indicate whether fair copies are to be signed by the officer approving the draft or are to be authenticated for issue by the section officer of the central issue section as per para 84; and
  - (b) write the words 'with file' on the draft where the file also is to be sent to the central issue section, e.g., where copies of any paper contained therein are to be typed as enclosures.
- (2) The diarist will:
- (a) enter the file number of the file 'marked for record' [as per para 73(6)] in column 2 in the 'register for watching the progress of recording' (Appendix 24);
  - (b) remove the draft, unless the file itself is to be sent to the central issue section, place it in the pad prominently marked 'drafts for issue' and make suitable entry (e.g., sent for issue on 20-3-2009) on the margin of the notes portion of the file;
  - (c) mark the movement of the file in the file movement register [para 100(1) and Appendix 23], where the file is to be sent with the draft;
  - (d) enter the number of drafts of communications and of the files (if the files are to be sent along with the drafts of communications) in the messenger book;
  - (e) send these to the Central Issue Section at appropriate intervals during the day; and
  - (f) report to the Section Officer, at the end of each day, the number of drafts not received back within two days from the date those were sent to the Central Issue Section.
- (3) The receipt of the drafts of communications in Central Issue Section will be acknowledged in the messenger book and the messenger book returned to the section concerned.

80. **Stamping of drafts**—On receipt in the Central Issue Section, the drafts will be stamped with the use of an automatic numbering machine, having an adjustable date, as per specimen given below:

Date .....
S.No. ....
Typists.....
Comparers .....

81. **Distribution of work among typists:—**

- (1) The drafts will then be placed before the Section Officer of the Central Issue Section who will mark them to the typists for fair-typing by indicating their initial letters (e.g., KCG), in the space provided in the stamp for the purpose. To enable him to distribute the typing work among the typists equitably, he will maintain a distribution chart (**Appendix 12**).
- (2) The typist will enter in the typist's diary (**Appendix 13**) the drafts received by him for typing.

- (3) The drafts will be typed in accordance with the instructions in para 77. Thereafter, at the end of the day, the typist will submit the diary, together with the unfinished typing work, to the Section Officer.
- (4) The section officer will:
  - (a) complete the distribution chart;
  - (b) arrange for the typing of urgent un-typed work outside office hours, where necessary; and
  - (c) take the arrears into account in allocating fresh work on the next working day.

**82. Registration of draft—**

- (1) Before the drafts are handed over to the typists, these will be entered in the issue diary (**Appendix 14**).
- (2) Drafts of telegrams and other communications marked 'immediate' will be entered in red ink to distinguish these from the rest.
- (3) At the end of the day, the clerk maintaining the issue diary will submit his diary to the section officer for assessing arrears and for taking appropriate action.

**83. Comparison:—**The typed matter, along with the drafts and relevant files, if any, will be passed on by the typists to the comparers who will:

- (1) compare the fair copies with the draft;
- (2) initial (with date) in the space provided for the purpose in the stamp affixed on the draft;
- (3) attach enclosures, if any, and write the word 'attached' below the oblique line on the office copy; and
- (4) send the fair copies, along with enclosures and the duplicate office copy, if any, together with the approved drafts, in a signature pad to the officer concerned for signature (vide para 84).

**84. Signing of fair communications—**

- (1) Departments may issue instructions authorizing Section Officer of the Central Issue Section to authenticate specified categories of fair communications for Issue.
- (2) Such authorizations, however, will not extend to:
  - (a) orders and instruments issued in the name of the President;
  - (b) financial sanctions; and
  - (c) communications to Members of Parliament, State Governments, public bodies and members of the public generally.
- (3) Authentication by Section Officer of fair copies of communications for issue, where permitted, will be done in the manner indicated in **Appendix 15**.
- (4) Signing of fair communications and movement of 'signature pads' will receive prompt attention.
- (5) On return of signature pads, the section officer will see that the fair copies have been duly signed by the officer concerned and corrections, if any, made .while signing are carried out in all the copies. The signed fair copies together with office copies, drafts and relevant files, if any, will then be passed on to the despatcher.

**85. Issue of signed communication**—The despatcher of the Central Issue Section will:

- (1) date the fair copy, office copy and spare copies, if any;
- (2) affix the stamp 'Issued' (after adjusting date) as per specimen given below, on the office copy and initial it;

ISSUED
Initials.....
(Date).....

- (3) where for any reason an enclosure has to be sent separately, make a note to that effect on the communication (both fair copy and office copy) and attach a slip to the enclosure indicating the number and date of the communication to which it relates;
- (4) separate the communications to be sent by post/through electronic form/to be delivered by hand, for further processing in accordance with paras 86 and 87;
- (5) enclose communications meant for despatch by post or those addressed to officers by name in covers of appropriate size ensuring at the same time that all communications intended for the same addressee are placed in a single cover;
- (6) use economy slips for all covers except:
  - (a) those with bulky contents;
  - (b) those addressed to foreign governments; and
  - (c) those intended for despatch under registered or insured covers for which better quality cover (e.g. cloth-lined covers) should be used.
- (7) where window envelopes are in use, fold the fair communications in such a way that the address typed thereon is visible through the window;
- (8) where other covers are used, write the address and the number of the communication on an economy slip or the cover, as the case may be; and
- (9) bring to the notice of the Section Officer:
  - (a) urgent communications which could not be despatched on the day of their receipt; and
  - (b) ordinary communications which could not be despatched even on the day following the day of their receipt

**86. Despatch of postal communications**

- (1) The despatcher will hand over communications to be sent by post to the peon/daftry, who will:
  - (a) separate those to be sent by foreign post from the rest;
  - (b) paste the telegrams, if typed on plain paper, over the printed form of telegram supplied by the Department of Posts and affix service postage stamps of the appropriate value thereon;
  - (c) if a credit deposit account is maintained for issuing telegrams, affix rubber-stamp indicating the credit deposit account number assigned to the department in the space provided for affixing postage stamps;
  - (d) affix postage stamps of the appropriate value on covers, packets, etc., where

necessary after weighing them, using ordinary postage stamps for foreign post and service postage stamps for inland post;

- (e) where postal franking machines are in use, frank the covers, etc., instead of affixing postage stamps;
  - (f) stamp the covers with a rubber-stamp bearing the name of the department; and
  - (g) return the communications to the despatcher.
- (2) The despatcher will enter the particulars of the communications and the value of stamps affixed thereon in the despatch register (**Appendix 16**). This can be generated automatically in a computerized environment.
  - (3) In the case of telegrams, the serial number assigned to them in the despatch register will be noted at a convenient place on the top receipt portion of the printed telegram form to facilitate the linking of the telegram receipts to the relevant entries in the despatch register.
  - (4) Departments despatching registered post exceeding a daily average of 10 will use postal registration books so that the outgoing registered communications could straightway be entered in that book instead of in the despatch register. Each entry in such a book will then be got stamped by the post office.
  - (5) If a communication is to be sent by registered post (acknowledgement due), the number of the communication will be written on the 'acknowledgement card' also so that, when received back, it can be sent to the section concerned.
  - (6) Receipts for telegrams, speed post, registered and insured post, etc., will be checked carefully by the despatcher. These will be filed properly for future reference.
  - (7) In offices where despatch work is heavy and where central dispatch registers are maintained in detail, the procedure for maintenance of service postage stamps account will be as given in **Appendix 17**.

#### **87. Despatch of non-postal communications**

- (1) Non-postal communications will be sorted out according to the location of the addressees, entered in messenger books and handed over to messengers for delivery to the addressees.
- (2) Messenger books will be numbered serially and an adequate number of such books would be allotted to each department/office or several departments/offices grouped conveniently according to their location.
- (3) Urgent communications will be despatched promptly. The time of despatch will invariably be noted in the messenger book. The recipients will similarly be required to indicate the time of their receipt. Ordinary communications will be despatched at least twice a day at suitable intervals.
- (4) Only urgent communications will be despatched outside office hours. No communication will be sent to an officer at his residence unless:
  - (a) it is of such a nature that action on it cannot wait till the commencement of the next working day;



- (b) it is marked 'immediate' and addressed to the officer by name; and
  - (c) its delivery to the officer's residence has been authorized by the branch officer concerned at the despatching end.
- (5) After the communications have been delivered, the despatcher will examine the messenger books to see that all the communications entered therein have been duly acknowledged by the recipients under signatures with date, written in ink. Instances where the communications have not been acknowledged will be immediately reported to the section officer of the central issue section for investigation and further suitable action.
- (a) Urgent communications sent through **fax** will generate a confirmation slip of delivery on the fax machine, which will be placed on the file along with the office copy. The original communication sent through fax will subsequently be sent in a routine manner also.
  - (b) **E-mail** will be used in offices having computers supported by internet or intranet connectivity. Messages received through e-mail will ordinarily be replied to in the same form by the officer receiving the message or his subordinate. E-mail correspondence may also be initiated to cut down the time taken in communications on most of the issues. All points emerging during e-mail correspondence will be recorded through a note on the file concerned.

**88. Return of papers**—After issue of fair communications the despatcher will hand over office copies, together with drafts and relevant files, if any, to the clerk maintaining the issue diary. The latter will return the papers to the diarists of the sections concerned after making entries in column 3 of the issue diary.

**89. Issue of inter-departmental notes**

- (1) Drafts of self-contained inter-departmental notes will be issued in the same manner as any other draft.
- (2) Inter-departmental notes sought to be recorded on files will be fair typed and compared in the sections/desks concerned, but despatched through the Central Issue Section.
- (3) Before sending the files to the Central Issue Section for despatch, the diarist will:
  - (a) mark the movement in the file movement register (where relevant, in electronic form) in the case of section's own file and in the section diary in other cases (movement is to be updated against file/diary number);
  - (b) in respect of section's own files, prepare a challan in duplicate and place one copy on the file and hand over the other to the dealing hand concerned;
  - (c) enter the file in the messenger book; and
  - (d) send it to the despatcher of the Central Issue Section.
- (4) In the desk system, the jobs corresponding to (a) to (d) will be performed by the stenographer/assistant attached to the desk functionary.

- (5) The despatcher will:
  - (a) remove the file for despatch to the addressee;
  - (b) acknowledge its receipt in the messenger book; and
  - (c) return the messenger book to the section concerned.

**90. Stamps Account Register**

- (1) The despatcher will maintain an account of the postage stamps in the form given in **Appendix 18**.
- (2) The Section Officer will check the entries made in the register every day and append his signature with date in token of his having done so. He will also conduct surprise test checks of envelopes ready for despatch by post to make sure:
  - (a) that the value of stamps affixed thereon tallies with that shown in the despatch register; and
  - (b) that the required value has been secured by using the minimum number of stamps of appropriate higher denominations.
- (3) The branch officer in-charge of the Central Issue Section will also inspect the two registers once a month and verify that the value of stamps in hand tallies with that shown in the register. In the computerized system, this information will be generated once a month.

**91. Action after issue**

- (1) On receipt of papers after issue, the diarist will:
  - (a) check that the office copies bear the stamp issued;
  - (b) make sure that files and other papers sent with the drafts to the Central Issue Section have been received back;
  - (c) make entries about the return of files in the file movement register;
  - (d) make entries in section despatch register (**Appendix 19**);
  - (e) place office copies, with drafts, if any, on the relevant files; and
  - (f) pass on the files to the dealing hands concerned.
- (2) The dealing hand will:
  - (a) docket the communication(s) issued along with the original of the approved draft(s) where so required.
  - (b) examine whether the case is fit for inclusion in any of the following reports and obtain orders of the appropriate officer:
    - (i) weekly statement of cases (automatically generated in computerized environment) other than those of a routine nature, disposed of without reference to the Minister-in-charge (**Appendix 20**), to be submitted to the Minister in accordance with departmental instructions; and
    - (ii) monthly summary of the principal activities of the department to be furnished to the Cabinet Secretariat in accordance with the instructions issued by it.
  - (c) initiate action to record the file where it has been marked for record by the Section Officer [vide para 73(6)].
  - (d) if a reply to the communication issued is to be awaited or further action on the file is to be resumed at a later date-

- (i) mark the file for being brought forward on that date. In computerized environment an entry will automatically generate a reminder on that date;
  - (ii) make a note of it in the engagement calendar and diary of the relevant date; and
  - (iii) pass on the file to the diarist for recording its movement in the file movement register vide para 100 [Similar action will be taken also on duplicate copies of challan in respect of files referred to other departments vide para 89 (3)(b)].
- (3) The section officer will scrutinize the section despatch register (**Appendix 19**) once a week to see that it is being properly maintained and append his initials with date in token of scrutiny. In computerized environment he will generate weekly report through the computer.
- (4) In the desk system, all activities outlined in sub-paras (1) to (3) above will be performed by the desk functionary with the assistance of the stenographer/assistant attached to him.

## 92. Reference lists

- (1) To facilitate quick despatch of papers the central issue section will maintain the following lists and directories:
- (a) residential addresses and telephone numbers of officers and staff of the department;
  - (b) departments which have arrangements within the central registry for receipt of dak outside office hours (with name and telephone number of the official incharge);
  - (c) residential addresses and telephone numbers of officers of other departments designated to receive urgent dak outside office hours [vide para 12 (2) (b)];
  - (d) residential addresses and telephone numbers of officers of other departments designated to receive parliamentary papers;
  - (e) postal addresses of all offices under the department, attached offices, subordinate offices, autonomous bodies, etc; which deal directly with it;
  - (f) telegraphic and e-mail addresses, and telephone and fax numbers of State Governments and other outstation offices frequently addressed;
  - (g) Members of Rajya Sabha and Lok Sabha (including Council of Ministers);
  - (h) Delhi Official Directory issued by the President's Secretariat;
  - (i) Official Directory issued by the Ministry of Home Affairs;
  - (j) List of India's Representatives Abroad issued by the Ministry of External Affairs;
  - (k) Diplomatic List issued by the Ministry of External Affairs;
  - (l) Schedule of postal rates; and
  - (m) Postal PIN code directory.
  - (n) List of subjects allotted to various Sections/Officers.
- (2) These lists will be kept up to date and displayed prominently for easy consultation by the despatcher, the resident clerk and other officials on duty.
- (3) The Central Issue Section shall make use of the websites of Ministries/Departments/ Offices and the Department of Personnel & Training for updation of the aforesaid lists, from time to time.
- (4) The RAX directory of RAX telephones issued by the Ministry of Home Affairs shall, however, be maintained personally and discreetly by the Senior Officers themselves.

## CHAPTER XI

# FILE NUMBERING SYSTEM

93. **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 in the secretariat:—

94. **Functional file numbering system**—

- (1) In this system the range and dimensions of the subjects falling under the scope of business allocated to a 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.
- (2) 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.
- (3) 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 in accordance with **Appendix 21**, which explains the essentials of such a system.
- (4) For opening files on subjects which are common to all Ministries/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, as contained in the booklet "Record Retention Schedule" in respect of records common to all Ministries/Departments issued by the Department of Administrative Reforms & Public Grievances in 2004 will be followed.

95. **File numbering system based on subject classification**—

- (1) 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.
- (2) The standard heads will bear consecutive serial numbers. No such numbers, however, will be allotted to standard sub-heads.
- (3) 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 branch officer concerned. The serial numbers once allotted to the standard heads should not ordinarily be changed.
- (4) 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.
- (5) 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.
  - (6) 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.
  - (7) 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.
  - (8) 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.
  - (9) 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.

**96. 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 :

- (1) can be disposed of straightaway by recording the reply on the source receipts and returning them to the originators; or
- (2) 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.

97. **File register**—A record of files opened during a calendar year will be kept in a file register (**Appendix 22**) 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 exactly in the form of the **Appendix-22** will also be prepared and maintained in the computerized environment.

98. **Part file**—

- (1) 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.
- (2) A part file will normally consist of :
  - (a) receipt or note dealt with; and
  - (b) notes relating thereto.
- (3) 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.
- (4) A part file will be merged with the main file as soon as possible, after removing duplicate papers, if any.
- (5) 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.

99. **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 endeavor 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.

100. **Movement of files and other papers**—

- (1) Movement of files will be entered meticulously in the file movement register (**Appendix 23**). Electronic file movement register exactly in the form of the **Appendix-23** will be prepared and maintained in the computerized environment.
- (2) When current files are linked as per para 44, 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 illustrated in notes 2 and 3 under **Appendix 23**.

- (3) 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 in the manner illustrated in note 4 under **Appendix 23**. It will also be ensured that the procedure regarding requisitioning of recorded files as laid down in para 115 is observed, invariably.
  - (4) 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.
  - (5) No current file will be issued to other sections except against written requisition and after marking its movement in the file movement register.
  - (6) 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.
  - (7) 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.
  - (8) The personal staff of officers of the rank of Deputy Secretary and above will maintain the movement of papers received by their officers in the respective personal section diary (Appendix 4). Movement of any file handed over personally to a higher officer or the Minister 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.
  - (9) In a computerized environment the movement of files will be recorded electronically at every stage.
101. **Filing system under desk pattern**—The provisions of paragraphs 93 to 100 will also be applicable to the desk pattern of functioning. Assistant/stenographer attached to a desk functionary will assist him in maintaining a proper filing system and movement of files.

## CHAPTER XII

# RECORDS MANAGEMENT

### 102. Activities involved in records management

- (1) Records management covers the activities concerning mainly recording, retention, retrieval and weeding out.
- (2) Each record creating agency will nominate, in pursuance of provisions of the Public Records Act, 1993 and the Public Records Rules, 1998, a Departmental Records Officer (DRO) who is not below the level of a Section Officer for overall records management of the organization as a whole and liaison with the National Archives of India.

103. **Stage of recording**—Files should be recorded after action on the issues considered thereon has been completed. However, files of a purely ephemeral nature (such as casual leave records or circulars of temporary nature) containing papers of little reference or research value may be destroyed after keeping for one year without being formally recorded.

### 104. Procedure for recording —

- (1) Action for Recording :

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 category of record (vide para 105 below) and in the case of category 'C', also specify the retention period and the year of review/weeding on the file cover; for non-file documents, indicate the number of years for retention on the front cover.
- (b) where necessary, revise the title of the file so that it describes adequately the contents at that stage;
- (c) get the file indexed (vide para 107 below) unless it is to be retained for less than 10 years from the date of closing.
- (d) 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/standing note/precedent book/reference folder, etc.;
- (e) remove from the file all superfluous papers such as reminders, acknowledgements, routine slips, working-sheets, rough work drafts, surplus copies, etc., and destroy them;
- (f) complete all references and, in particular, mark previous & later references on the subject, on the file cover;
- (g) pass on the file to the record clerk;

- (2) Action on Recorded Files

The record clerk will thereafter :

- (a) complete columns 4 and 5 of the file register and correct the entry in column 2 (i.e. the subject, if revised), where necessary;



- (b) enter the file number in column 2 of the register for watching progress of recording **(Appendix 24)**;
- (c) write the word 'recorded' prominently in red ink (*make suitable entries in computer environment*), across the entries in the file movement register;
- (d) indicate page numbers and other references (except references to alphabetical slips) in ink which were earlier made in pencil
- (e) indicate the year of review on the file cover in respect of category 'C' files;
- (f) prepare fresh covers, where necessary, with all the entries already made thereon; and
- (g) hand over the file to the daftry/peon.

(3) The multi skilled staff will repair the damaged papers, if any, stitch the file and, show it to the record clerk for making entries in the register for watching progress of recording **(Appendix 24)** before keeping it in the bundle of recorded files.

105. **Categorization of records** :—Files may be recorded under any one of the following categories :

(1) *Category 'A' meaning 'keep and microfilm'* -This categorization will be adopted for :

(a) files which qualify for permanent preservation for administrative purposes (vide part 'A' of **Appendix 25**) and which have to be microfilmed because they contain :

(i) a document so precious that its original must be preserved intact and access to it in the original form must be restricted to the barest minimum to avoid its damage or loss; or

(ii) material likely to be required for frequent reference by different parties simultaneously/frequently.

(b) files of historical importance such as those listed in Part 'B' of **Appendix 25**.

(2) *Category 'B' meaning 'keep but do not microfilm'* -This category will cover files required for permanent preservation for administrative purposes, such as those listed in part 'A' of **Appendix 25**. It will, however, exclude the nature of material falling under the category described in (i) or (ii) of sub-para (1) (a) above and therefore need not be microfilmed.

(3) *Category 'C' meaning 'keep for specified period only'*. This category will include files of secondary importance having reference value for a limited period not exceeding 10 years. In exceptional cases, if the record is required to be retained beyond 10 years it will be upgraded to B Category.

106. **Stage of indexing** - Files will be indexed at the time of their recording. Only those files which are categorized as 'A' and 'B' (vide para 105) will be indexed.

## 107. Manner of indexing -

- (1 ) While preparing a file for record (vide para 104) the dealing hand or the desk assistant will underline :
  - (a) the 'index head', i.e., the standard head or the most important catch-word in the standard head which will naturally occur to any official searching for the file and which will determine the position of the relevant index slip in the consolidated index; and
  - (b) the 'index sub-head', i.e. the catch-word or catch-words in the standard sub-heads and/or the 'content' of the title which will give a further and more specific clue to the file under search.
- (2) Where the functional filing system is followed, files need not be indexed under the basic, primary, secondary and tertiary heads for which the classification scheme itself will provide the master index. However, such files will have to be indexed under the catch-words used in the content part of the title which falls outside the standardised headings.
- (3) After index heads and sub-heads in the title have been approved by the section officer/ desk functionary, the record clerk/desk assistant will:
  - (a) type out in duplicate, as many index slips as there are index heads and sub-heads underlined in the title;
  - (b) distinguish the index heads from the sub-heads by typing the former in capital letters;
  - (c) indicate at the top of the index slips all the heads and sub-heads mentioned in the title, one below the other, followed by the complete title of the file and the file number, as per specimens in **Appendix 26**.
  - (d) allot a pair of slips to each index head and sub-head by scoring out entries relating to the others as per specimens in **Appendix 26**.
  - (e) arrange the index slips in two sets, one in alphabetical order of the heads/sub-head for use in the section, and the other in the sequence of file numbers for the use of the compiler of the departmental index;
  - (f) keep each set of a paper index slips in separate spring clip folders for each year; and
  - (g) indicate the date of indexing on the file cover and initial it in the space provided for the purpose.
- (4) Index slips will normally be typed on good quality paper. In the case of important files requiring frequent and urgent reference, however, card indices could also be prepared. Even here, the duplicate set meant for incorporation in the departmental index will be typed on good quality paper. Card indices, where maintained, will be kept according to an alphabetical order of their respective catch-words, in a single series for all the years. Each department will issue departmental instructions specifying the categories of file in respect of which card indices will be maintained.
- (5) To ensure consistency and facilitate consolidation of departmental index, files relating to parliamentary business will be indexed not only under the appropriate standard heads and sub-heads but also, under the nature of such business, e.g. parliament questions, cut-motion, resolutions etc.

#### 108. Custody of index slips—

- (1) Index slips will remain in the custody of the record clerk.
- (2) After all the files relating to a year have been recorded, the set of index slips in respect of that year meant for use within the section (viz. that arranged in alphabetical order) will be neatly stitched and the stitched compilation kept at a convenient place for reference by all concerned.

#### 109. Compilation of departmental index —

- (1) The index slips pertaining to files relating to a year will be sent to the compiler of the departmental index one year after the close of the year to which they relate. If some files of that year still remain current even at the time of sending the index slips as envisaged above, the dealing hand, with the approval of the section officer, will prepare index slips in respect of such files as are likely to be retained for 10 years or more from the date of recording. These will also be added to the set of slips being sent to the compiler of the departmental index.
- (2) The compiler of the departmental index will :
  - (a) edit the index slips by :
    - (i) allowing the full title to appear only on the main index slips, i.e. those indexed under the index heads; and
    - (ii) scoring out the title on the subsidiary index slips, i.e. those indexed under the index sub-heads and giving a cross reference to the relevant index head, as per specimen in **Appendix 26**.
  - (b) arrange the index slips received from different sections, in alphabetical order in a single series for the department as a whole; and
  - (c) arrange for the printing or cyclostyling of the consolidated departmental index for each year.

110. **Precedent Book**—Every section will maintain a precedent book in the prescribed form (**Appendix 27**) for keeping note of the important rulings and decisions having a precedent value for ready reference. Entries in this record will be made at the earliest opportunity and, in any case, at the stage of recording the file.

#### 111. Record Retention Schedule—

- (1) To ensure that files etc. are neither prematurely destroyed, nor kept for periods longer than necessary, every department will :
  - (a) in respect of records connected with accounts, observe the instructions contained in Appendix 13 to the General Financial Rules;
  - (b) in respect of records, relating to establishment, personnel and housekeeping matters common to all departments, follow the 'Record Retention Schedule' in Respect of Records Common to All Ministries/ departments', issued by the Department of Administrative Reforms and Public Grievances.

- (c) in respect of records prescribed in this Manual, observe the retention periods specified in **Appendix 28**; and
  - (d) in respect of records connected with its substantive functions, issue a departmental retention schedule prescribing the periods for which files dealing with specified subjects should be preserved, in consultation with the National Archives of India.
- (2) The above schedules should be reviewed at least once in 5 years.

#### 112. Custody of records—

- (1) Recorded files will be kept serially arranged in the sections/desks concerned for not more than one year, after which they will be transferred to the departmental record room. For files due for such transfer the register as at **Appendix 24** will be consulted.
- (2) In the event of transfer of work from one section to another, the relevant files also will be transferred, after being listed in duplicate in the form at **Appendix 29**. One copy of this list will be retained by the section taking over the files for its record and the other acknowledged and returned to the section transferring them.
- (3) Files transferred by a section to the departmental record room will be accompanied by a list of files (**Appendix 29**) in duplicate. The departmental record room will verify that all the files mentioned in the list have been received, retain one copy of the list and return the other, duly signed, to the section concerned. In the record room, these lists will be kept section-wise in separate file covers.
- (4) The departmental record room will maintain a record review register (**Appendix 30**) in which a few pages will be allotted for each future year. Category 'C' files marked for review in a particular year will be entered in the pages earmarked for that year in the register.
- (5) Files of category 'A' and 'B' surviving the review on their 25th year of life [vide para 113(3)] will be stamped prominently as 'transferred to NAI' and retired to the National Archives. Files transferred to the National Archives will be accompanied by a list (in triplicate), one copy of which will be returned by the National Archives, duly signed, to the departmental record room.
- (6) Record rooms will be properly ventilated, with adequate lighting and fire-safety equipment and avoid exposure to moisture. The records will be arranged serially section-wise and will be regularly dusted. For proper preservation, the records will be periodically fumigated and naphthalene moth-balls will be used.

### 113. Review and weeding of records —

- (1) A Category 'C' file will be reviewed on the expiry of the specified retention period and weeded out unless there are sufficient grounds warranting its further retention. Justification for retaining a file after review will be recorded on the file with the approval of branch officer/divisional head concerned. Retention after a review will be for a period not exceeding ten years, including the period already retained. If a file was originally retained for a period of 10 years, any further retention will require up-gradation of the category.
- (2) Category 'A' and category 'B' files will be reviewed on attaining the 25th year of their life, in consultation with the National Archives of India. In these reviews, the need for revising the original categorization of category 'B' files may also be considered.
- (3) The year of review of category 'C' files will be reckoned with reference to the year of their closing and that for category 'A' and category 'B' files with reference to the year of their opening.
- (4) Beginning in January each year, the departmental record room will send to the sections/desks concerned the files due for review in that year, together with a list of files in the form at **Appendix 31**, in four lots in January, April, July & September.
- (5)
  - (i) Files received for review will be examined by, or under the direction of, the section officer or the desk functionary concerned and those files which are no longer required will be marked for destruction. Other files may be marked for further retention vide sub-para (2) & (3). It may, however, be ensured that in case an inquiry has been initiated departmentally or by a Commission of Inquiry or as a result of Court proceedings having a bearing on the subject matter contained in the files/documents concerned or the files/documents which are required in connection with the implementation of order/judgment of any court of law, such files/documents will not be destroyed, even if, such files/documents have completed their prescribed life as per the Record Retention Schedule.
  - (ii) Files/documents referred to above may be, destroyed only after submission of the Report by the Commission or completion of inquiry or implementation of the judgment/order of the court(s), with the approval of the concerned Joint Secretary/Head of the Department concerned. In case the implementation of the court order has been challenged/appealed against either by the Government or by the applicant in a higher court, the relevant files/documents will not be weeded out until, such time the appeal/challenge is considered and finally decided. In such cases the limitation period prescribed for appeals should also be kept in mind.
- (6) After review, the record clerk/desk assistant will make entries of revised categorization/retention period in the file registers and return them to the departmental record room along with the list (**Appendix 31**) after completing column 3 thereof.
- (7) The Departmental Record Room, under the supervision of Departmental Record Officer (DRO), will :
  - (a) transfer category 'A' and category 'B' files surviving the review undertaken at the 25th year of their life vide sub-para (3) above, to the National Archives;

(b) in the case of other files :

(i) destroy those marked for destruction, after completing column 4 of the list of files (**Appendix 29**); and

(ii) restore the rest i.e. those marked for further retention, to the departmental record stacks after making the required entries in the record review register in the case of category 'C' files;

(8) Records not falling within the definition of file, e.g., publications, spare copies of circulars, orders, etc., will also be subjected to periodic reviews at suitable intervals and those no longer needed should be weeded out. To facilitate such reviews each section will maintain a register in the form at **Appendix 32**.

(9) Considering the urgency to reduce the volume of records being retained without any significant need for their retention, the following measures may be taken in the Ministries/ Departments :

(a) A special drive may be launched every 6 months to record/review all old files and to weed out those no longer needed. The results of such special drives will be submitted to the DAR&PG in the proforma shown in **Appendix 33**;

(b) Each Joint Secretary may review every quarter the state of indexing/recording/review/weeding out of files in his wing and allot such time-bound tasks towards this and to the members of the staff;

(c) Inspecting officers may be asked to pay special attention to the stage of Records Management in the sections as well as the Departmental Record Rooms during their inspections.

(10) The following manner of Weeding/Destruction of records will be adopted :

(a) Routine files/records will be manually torn into very small pieces and disposed.

(b) Other documents including classified files/records will be destroyed by incinerating (burning) or by shredding.

(c) Secret files/records will also be incinerated after being shredded as per provision under 'Departmental Security Instructions' issued by the Ministry of Home Affairs.

**114. Records maintained by officers and their personal staff**—Each department will issue detailed departmental instructions to regulate the review and weeding of records maintained by officers and their personal staff.

**115. Requisitioning and restoration of records**—

(1) No recorded file will be issued from the sections, departmental record room or Archival records except against a signed requisition in form prescribed under Public Records Act, 1993/ Public Records Rules, 1998 in the case of Archival records, and in the form at

**Appendix 34** in the case of other records.

- (2) Requisitions for files belonging to other departments and in the custody of the National Archives will be got endorsed by the department concerned before they are sent to the Archives. If the requisitioned file happens to be a confidential one, the Archives will not supply the file direct to the requisitioning department but route it through the department to which it belongs.
- (3) The requisition will be kept in the place of the file issued.
- (4) If the requisitioned file is one that has been microfilmed or printed, normally a microfilmed or printed copy and not the original will be issued to the requisitioning department.
- (5) If a requisitioned file initially obtained for being put up in one case is subsequently put up on another, a fresh requisition should be given to the section daftry or sent to the departmental record room or the National Archives, as the case may be, for replacing the original requisition which will be returned to the office concerned. In the case of records obtained from the National Archives, the fresh requisition slip will be prominently marked 'change slip'.
- (6) On return, the requisitioned file will be restored to its place and the requisition returned to the section/official concerned.
- (7) Files obtained by a section from the departmental record room will normally be returned within 3 months. If they are not received back within this period, the departmental record room will remind the section concerned. For this purpose, the record room will maintain a simple register for keeping a record of the files issued to the various sections each month. A similar register will be maintained by each section as a record of files borrowed from it by other sections.
- (8) Files obtained by a department from the National Archives will not normally be retained for more than 6 months, except with the latter's specific knowledge and consent.

## CHAPTER XIII

# SECURITY OF OFFICIAL INFORMATION AND DOCUMENTS

116. **Communication of official information**—Every Government Servant shall, in performance of his duties in good faith, communicate to a 'member of public or any organization full and accurate information, which can be disclosed under the Right to Information Act, 2005. (Nothing stated above shall be construed as permitting communication of classified information in an unauthorized manner or for improper gains to a Government Servant or others).

### 117. **Treatment of classified papers**—

- (1) The provisions contained in this manual apply primarily to unclassified papers. In handling classified papers, the official concerned will exercise special care and follow the provisions under the Departmental Security Instructions' issued by the Ministry of Home Affairs. Since according to these instructions classified papers (other than confidential) are expected to be handled either by officers themselves or in sections designated as 'secret' or 'top secret', it is essential that in sections' not so designated:
  - (a) a separate set of registers and other records (e.g., dak register, section diary, file register, file movement register, precedent book, index slips, various arrears and disposal statements, electronic media, floppies, CDs, etc.), is maintained by section officer himself; and
  - (b) the recording of such files and their review is also undertaken by him personally, keeping in view the provision under the Departmental Security Instructions.
- (2) Every classified file will be reviewed once in five years for declassification. A declassified file considered fit for permanent preservation will be transferred to the National Archives.

### 118. **Confidential character of notes/files**—

- (1) The notes portion of a file referred by a department to another will be treated as confidential and will not be referred to any authority outside the secretariat and attached offices without the general or specific consent of the department to which the file belongs. If the information is in electronic form it will be handled by the authorized official only.
- (2) Where the general consent has been obtained under sub-para (1) above, such consent will, however, exclude classified files or to files in which the officer to whom the file is supposed to be referred or shown, is personally affected, or in which his official conduct is under consideration.
- (3) For the purpose of attending meetings/discussions outside office an officer not below the level of Section Officer/Desk Officer may carry confidential papers/files or an officer not below the level of Under Secretary may carry Secret papers/files in a special circumstance with the written authorization of Joint Secretary concerned. The authorization will be produced by the officer on demand.



**119. Communication of information to the press—**

- (1) Official information to the press and other news media, i.e. radio and television, will normally be communicated through the Press Information Bureau.
- (2) Only Ministers, Secretaries and other officers specifically authorized in this behalf may give information or be accessible to the representatives of the press, will direct them to the Press Information Bureau or will seek the permission of the Secretary of the department before meeting the press.
- (3) Whenever it is proposed to release an official information to the press, or to hold a press conference or press briefing or to give publicity to an official report, resolution or any other publication, the department concerned will consult the accredited information officer in advance. The accredited information officer will meet the authorized officials from time to time and collect information worthy of publicity.
- (4) Detailed procedure in respect of matters mentioned in this para, as laid down by the Ministry of Information and Broadcasting, should be followed.

**120. Use of restrictive classification for printed reports etc.—**

- (1) The restrictive classification 'For official use only' will not be assigned to any printed report, pamphlet or compilation, unless it contains information disclosure of which would not be in the public interest. In doubtful cases, the test that may be usefully applied is whether the publication, whose circulation is proposed to restrict to official use only, is such that the Minister would be justified in refusing to lay it before the Parliament.
- (2) No official publication (including in electronic form) will be marked 'For official use only', except with the prior approval of the branch officer, who will obtain the orders of the Secretary or Minister in cases of doubt.

## CHAPTER XIV

# CHECKS ON DELAYS

121. **Time limits**—Time Limits will be fixed for disposal of as many types of cases as possible handled in the Department through departmental instructions. As a general rule, no official shall keep a case pending for more than 7 working days unless higher limits have been prescribed for specific types of cases through departmental instructions. In case of a case remaining with an official for more than the stipulated time limit, an explanation for keeping it pending shall be recorded on the note portion by him. The system of exception reporting will be introduced to monitor the disposal of receipts.

### 122. **Handling of Public/Staff Grievances** :—

Grievances are expressions of resentment against specific acts of omission or commission that are wrong or perceived as wrong, and requiring corrective action to be taken. In other words, if a grievance is received, it needs to be redressed. For the present purpose, grievances include complaints by service recipients against nondelivery of services as expected by service recipients, but do not include requests for service delivery in the normal course.

Grievance Redress Mechanisms (GRMs) are process systems set up by organizations to receive, record, investigate, redress, analyze, prevent, or take any other appropriate action in respect of grievances lodged against them. GRMs in Central Ministries/Departments include grievances received by them from the public and clients/service recipients as well as from their own employees. As such, these include issues related both to service delivery as well as to employment related matters (e.g. transfers, promotions, pensions, pay fixation).

For the purpose of SEVOTTAM compliance, GRMs include systems to manage grievances received in respect of service delivery issues mainly. Such grievances are generally received from the public, but in some cases these could also be received from client departments/employees or retired employees. For example, Directorate of Estates, Ministry of Urban Development is responsible for allocation of residential accommodation to central government officers. This is a service delivery issue and not a service matter and therefore will be covered under SEVOTTAM compliance by Department of Personnel & Training, Ministry of Personnel, Public Grievances & Pensions. Similarly, Department of Pensions and Pensioner's Welfare (DoPPW), also a Department under Ministry of Personnel, Public Grievances & Pensions, is responsible for issuing clarifications regarding interpretation of pension rules. This is also a service delivery issue and will be covered under SEVOTTAM compliance by DoPPW.

In practice, GRMs in Government of India Ministries/Departments have been partly functional. The practice has been to maintain registers for complaints where all written complaints received are entered. Thereafter, photocopies are made and a copy of the complaint is forwarded to the Head of Department or division to which it pertains. There it is marked down the hierarchy till it reaches the dealing hand who needs to investigate and either take corrective action for redress or to otherwise resolve it if no corrective action is required. The maintenance of such registers is decentralized, and practices of issuing acknowledgements to complainants, classification of complaints, setting time norms for their disposal, and tracking them through to final resolution are not uniform. With the availability of computerized systems, it has become possible to maintain such systems centrally so that grievances

can be managed with some uniformity even across large, decentralized organizations. More importantly, it has become possible for the citizens/clients to lodge grievances from the comfort of their homes or offices without having to visit any office specially for lodging a grievance. One such system extensively being used in the Central Government Ministries/Departments is the Centralized Public Grievance Redress and Monitoring System (CPGRAMS). Its 2007 version is an internet based tool for lodging, forwarding for redress, and monitoring grievances relating to Ministries/Departments/Organizations of Government of India. The citizens can lodge their grievances from any internet facility on [www.pgportal.nic.in](http://www.pgportal.nic.in) Postal grievances received from citizens can also be scanned and uploaded on the System for ease of processing. The System can be accessed by the Director of Grievances in each Ministry/Department. It provides facility to the Director of Grievances to classify the grievances, forward them to subordinate offices, monitor the process of redress, and to communicate with citizens. It also facilitates analysis of grievances for identifying grievance prone areas. The System is already functional in 89 Ministries/Departments/Organizations and their subordinate offices. An improved version of CPGRAMS is likely to be made functional shortly. The essential features of CPGRAMS are as under :

- (1) All officers of the level of Deputy Secretary and above will redress public grievances pertaining to the divisions under their charge. They will view public grievances with sympathy and make special efforts to decide on such cases expeditiously.
- (2) Each Ministry/Department/Public Sector Undertaking/Autonomous Body of the government will set up Internal Grievance Redress Machinery for public as well as staff.
- (3) A senior officer of the level of Joint Secretary or above should be designated as Joint Secretary/ Director of Public Grievances. An officer of the level of Deputy Secretary/ Director should be designated as the Staff Grievance Officer.
- (4) The name, designation, room number, telephone number, etc., of the Director of Grievances should be displayed prominently at the Reception office and some other convenient place in the office building of Ministry/Department/Public Sector Undertaking/ Autonomous Body, so that members of the public are made fully aware of it.
- (5) Every Wednesday of the week should be observed strictly as a meeting-less day. The Director of Grievances and other officers of the level of Deputy Secretary and above should remain in their offices during specified hours (10 a.m. to 1p.m.) on every Wednesday to receive and carefully hear grievances of the members of the public.
- (6) The receptionists, security personnel and peons will be given suitable instructions about the meeting-less day so as to allow the members of the public to meet officers on that day without prior appointment.
- (7) A locked **complaint box** will be placed at the **Reception office** for convenient registration of complaints by members of the public which must be opened by the designated officer at regular intervals.
- (8) In the interest of expeditious disposal of grievances, the Director of Grievances will be empowered to call for papers/documents of cases pending for more than three months and take decisions with the approval of the Secretary of the Ministry/Department or Head of the Public Sector Undertaking/ Autonomous Body.
- (9) (a) A grievance should be acknowledged immediately and at the most within three days of the receipt of the grievance. A grievance should be redressed within a period of a maximum of two months of its receipt. If finalization of a decision on a particular grievance is anticipated to take longer than two months, an interim reply should invariably be sent.  
(b) In case it is not feasible to accede to the request made in the petition, a reasoned reply may be issued to the aggrieved citizen within this stipulated time limit.

- (c) While sending replies communicating final rejection of a grievance petition, the reasons or the rule(s) under which it has been rejected will be communicated to the petitioner along with details of the Appellate Authority wherever applicable.
- (10) Ministries/Departments will analyze grievances received by them with a view to identifying the major grievance-prone areas and devising corrective measures so as to reduce the scope of recurrence of grievances. Assistance of the Department of Administrative Reforms & Public Grievances may be obtained to study these areas for improvement.
- (11) Publicity will be given about the grievance redress machinery in the Ministries/Departments/ Public Sector Undertakings/ Autonomous Bodies.
- (12) The feedback mechanism and the monitoring system for grievance redress will be strengthened, in view of the time limits fixed as per sub para 9 above. Ministries/ Departments will also ensure timely submission of reports/returns about the redress of grievances to the Department of Administrative Reforms and Public Grievances.
- (13) The machinery and work relating to public grievances and the statistics relating to receipt/ disposal of public grievances shall form a part of the Annual Action Plan and the Annual Administrative Report of the Ministry/Department.
- (14) (a) All public grievances received directly or through MPs/VIPs/President Secretariat/ Directorate of Public Grievances (Cabinet Secretariat)/Department of AR&PG/e-mail, etc., will be registered and processed in the computerized Public Grievance Redress and Monitoring System (CPGRAMS). Action to acknowledge and dispose of the grievances according to time norms fixed will be taken. Acknowledgement will contain registration number of the grievance for reference.
- (b) The progress and final disposal of the grievance will be indicated in PGRAMS so that the petitioner can access the information through Internet.
- (15) The record of grievances will be retained in the computer for one year after the date of final disposal of the grievances.

### 123. Weekly arrear statement—

- (1) On the first working day of every succeeding week, each Section officer will give particulars of receipts/cases pending with each dealing hand for more than 7 days in the form at **Appendix 35**.
- (2) The Section Officer will also prepare similar statement in respect of receipts/cases required to be dealt with by him and pass them on to the diarist.
- (3) The diarist will consolidate the above statements in the form at **Appendix 36** and submit the consolidated statement to the Section Officer on the same day. In a computerized environment the Section Officer will generate a pendency statement from the computer on the first working day of every week.
- (4) The Section Officer will :
- (a) check the consolidated arrear statement for accuracy;
  - (b) scrutinize the statement of receipts/cases which are more than one week old;
  - (c) give his remarks or instructions, where necessary; and
  - (d) submit the statements to the Branch Officer.

- (5) The Branch Officer will watch the progress of work in the section and, where necessary, give suitable directions for expeditious handling of delayed receipts/cases.
- (6) On receipt back in the section, action will be taken as per directions.

**124. Monthly statement of cases pending disposal over a month—**

- (1) Every section will prepare, each month, a statement indicating briefly the position of each case pending disposal for over a month.
- (2) On the last working day of each month, the diarist will :
  - (a) go through the case sheets (**Appendix 37**) of pending cases for the preceding month and indicate the latest position of each case included in column 2 of the statement.
  - (b) prepare fresh case sheets for cases opened during the preceding month but not yet finally disposed of, by completing columns 1 and 2 of the form and placed on top; and
  - (c) hand over the case sheets to the dealing hands concerned.
- (3) The dealing hand will :
  - (a) scrutinize entries in the first two columns of the case sheets;
  - (b) draw a red line across case sheets of cases that have been finally disposed of or transferred to call book (para 125 and **Appendix 40**)
  - (c) complete column 3 of other case sheets; and
  - (d) return the case sheets to the diarist by the 2nd of the month following that to which the statement relates.
- (4) The diarist will :
  - (a) remove the case sheets of files that have been finally disposed of or transferred to call book vide para 125(1) for being kept in a separate folder;
  - (b) arrange the remaining case sheets in chronological order of the dates of the commencement of cases, the latest being on top;
  - (c) place the case sheets in a file cover marked 'Monthly statement of cases pending disposal for over a month';
  - (d) prepare, in duplicate, a numerical abstract in the form at **Appendix 38**; and
  - (e) submit the monthly statement and the two copies of the numerical abstract to the Section Officer by the 3rd of the month.
- (5) the Section Officer will :
  - (a) scrutinize the case sheets and, where necessary, add his remarks;
  - (b) check the numerical abstract for accuracy;
  - (c) submit the monthly statement and one copy of the numerical abstract, with a brief forwarding note, to the Branch Officer by the 5th of the month; and
  - (d) send the second copy of the numerical abstract to the designated section for Internal Work Study (DSIWS)
- (6) Unless otherwise provided in the departmental instructions, the monthly statement together with the numerical abstract will go up to the Joint Secretary. Each of these officers may :

- (a) add such remarks as he would like to make about latest position of a case;
- (b) in suitable cases give directions or make suggestions for expeditious disposal
- (7) The Joint Secretary may bring any case included in the monthly statement to the specific notice of higher officers or Minister, either through submission of the monthly statement itself or otherwise, as deemed fit.
- (8) The designated section for Internal Work Study (DSIWS) will :
  - (a) post the consolidated figures in the numerical abstract, in the form at **Appendix 39** and return the abstract to the section concerned;
  - (b) prepare the consolidated statement for the department as a whole by totalling the columns vertically in the form at **Appendix 39**;
  - (c) analyse the trend of disposal of cases; and
  - (d) bring to the notice of the O&M officer and the Secretary, any significant trend.

#### 125. Call Book—

- (1) If a current case has reached a stage when *no action* can or need be taken (e.g. cases held up in law courts) to expedite its disposal *for at least 6 months*, it may be transferred to the call book (**Appendix 40**) with the approval of an officer not below the level of Branch Officer/ Divisional Head.
- (2) Closed cases in which a review is contemplated after a period of 6 months or more may also be included in the call book.
- (3) Cases transferred to call book vide sub-para (1) above, will be excluded from the monthly statement of pending cases mentioned in para 124, till they are reopened vide sub-para (4) below.
- (4) When a case included in the call book becomes ripe for action or if action has to be restarted as a sequel to an unexpected development, e.g. receipt of a communication from the party concerned earlier than expected, it will be revived and its progress watched in the usual way through the monthly statement of pending cases. The date of commencement of such reopened cases, however, will be the date of occurrence of the development or that of the first note leading to the reopening of the case.
- (5) The section officer will scrutinize the call book in the last week of every month to see that the cases which become ripe for further action during the following month are brought forward and action initiated on due dates. The call book will be submitted to the Branch Officer/ Divisional Head once in a quarter, i.e. during the months of January, April, July and October. He will satisfy himself that no case on which action could have been taken suffers by its inclusion in the call book and, in suitable cases, give directions for the action to be taken.

#### 126. Monthly progress reports of recording and review of files—

- (1) On the first working day of each month, the record clerk will prepare, in duplicate, progress reports on the recording and review of files for the preceding month, in the forms at **Appendices 41 and 42** and submit them, together with the following records, to the section officer :
  - (a) register for watching the progress of recording (**Appendix 24**); and

- (b) lists of files received for review (**Appendix 31**).
- (2) The section officer will check the two statements, submit one copy of the report to the branch officer and send the other to the designated unit looking after Internal Work Study.
- (3) The designated section for Internal Work Study (DSIWS) will:
  - (a) post the figures in the forms at **Appendices 43 and 44** and return the reports to the section concerned;
  - (b) prepare the consolidated statement for the department as a whole by vertically totalling the columns in the form at **Appendices 43 and 44**;
  - (c) watch the progress of recording and review work generally; and
  - (d) bring to the notice of the designated O&M officer and the Secretary, any significant trends in the matter.

**127. Watch on disposal of communications received from Members of Parliament—**

- (1) The personal section of each Joint Secretary/Director (if the Director submits cases direct to Secretary/Additional Secretary) will maintain a separate register of communications received from Members of Parliament in the form given in **Appendix 45**. The serial number at which a letter is entered in this register will be prominently marked on that letter together with its date of registration e.g.,  
 '125/JS/(P)MP'  
 20.3.2009
- (2) To keep a special watch on speedy disposal of communications received from Members of Parliament, each section will;
  - (a) maintain a register as in form at **Appendix 46**; and
  - (b) mark out prominently those communications finally disposed of by circling the serial numbers in the register in red ink.
- (3) If for any reason an .M.P.'s letter is received by a section without being registered in the personal section of the Joint Secretary/Director, it should be got registered there immediately.
- (4) On the first working day of each month, each section will submit the register, along with the report in the form at **Appendix 47** to the Under Secretary/Deputy Secretary. The report, with the remarks of Under Secretary/Deputy Secretary, will be submitted to the Director/Joint Secretary and register will be returned to the section.
- (5) The personal section of the Joint Secretary/Director will check whether all the communications entered in its register figure in the reports sent by the sections. If any discrepancy is found, it should be reconciled. Thereafter, the report will be submitted to the Joint Secretary/Director for scrutiny and for such other action as he may consider appropriate.
- (6) Ministries/Departments may, through departmental instructions, include additional columns in the forms at **Appendices 45, 46 & 47** to suit local needs.

## 128 Watch on disposal of communications received from VIPs—

A special watch on communications received from VIPs (illustrative list at **Appendix 48**) will be kept along the lines mentioned in para 127.

## 129 Monitoring of Court/CAT cases and implementation of Court/CAT Orders :

- (1) The Personal section of each Joint Secretary/Director (if the Director submits cases direct to Secretary/Additional Secretary) will maintain a separate register of Court/CAT Cases from the date of filing the petition/application in Court/CAT in the form given in **Appendix 49**. The serial number at which a petition is entered in the register will be prominently marked on the petition/application together with its date of registration e.g.

12/JS/Court/CAT Case

18.9.2009

- (2) To keep a watch on status of Implementation of Court/CAT judgments/orders, each section will :
  - (a) maintain a register as in form at **Appendix 50**; and
  - (b) mark out prominently those Court/CAT cases finally implemented /disposed of by rounding off the serial numbers of the register in red ink and give date of implementation of Court/CAT orders.
- (3) If for any reason Court/CAT case is received by a section without being registered in the personal section of the Joint Secretary/Director, immediate steps will be taken to get it registered there.
- (4) On the 1st & 15th day of each month, each section will submit the register along with the reports in the form at **Appendices 49 to 51** to the Under Secretary/Deputy Secretary. The report, with the remarks of Under Secretary/Deputy Secretary, will be submitted to the Director/Joint Secretary and register will be returned to the section.
- (5) The personal section of the Joint Secretary/Director will check whether all the Court/CAT cases entered in its register figure in the reports sent by the sections. If any discrepancy is found, it should be reconciled. Thereafter, the report will be submitted to the Joint Secretary/Director for scrutiny and for such other action as he may consider appropriate.
- (6) Ministries may through departmental instructions include additional columns in the forms at **Appendices 48, 49 and 50** to suit local needs.

## 130. Applications received under Right to Information Act, 2005 (RTI)—

The applications received under Right to Information Act, 2005 (RTI) will be dealt with and monitored by the Assistant Public Information Officer, Public Information Officer, Central Public Information Officer and Appellate Authority as per the relevant provisions contained in the RTI Act-2005.



### 131. Register of Parliamentary Assurances—

- (1) Each section in a department will keep a record in the form at **Appendix 52** of Assurances given by a Minister to either House of Parliament, whether in replies to questions or in the course of discussions on Bills, Resolutions, Calling Attention Notices, Motions, etc. A separate register will be maintained for each House and entries therein will be made session-wise.
- (2) The Section Officer will :
  - (a) scrutinize the registers once a week;
  - (b) ensure that necessary follow-up action is in fact being taken; and
  - (c) submit the registers to the branch officer every fortnight if the House concerned is in session and once a month otherwise, drawing his special attention to the Assurances which are not likely to be implemented within a period of three months.
- (3) The branch officer will keep the higher officers and the Minister informed of the progress made in the implementation of assurances given by him in Parliament. Cases, in which there is likely to be any delay in the implementation of a promise or an undertaking should be particularly brought to their notice well in advance.

### 132. Check-list of periodical reports —

- (1) To ensure timely receipt, preparation and dispatch of periodical reports, each section will maintain two check-lists, one for incoming reports and the other for outgoing reports, in the forms at **Appendices 53 and 54**, respectively. All periodical reports will be listed in column 2 of the appropriate check-list in the order of their frequency, weekly reports being entered first, fortnightly reports next, and so on.
- (2) The check-lists will be prepared at the commencement of each year, approved by the section officer, shown to the branch officer and displayed prominently on the wall.
- (3) The section officer will go through the check-lists once a week to plan action on items requiring attention during the following week or so. After a periodical report has been received or despatched the relevant entry in the date column of the appropriate check-list will be circled in red ink.

### 133 Review of periodical reports/returns—

- (1) All periodical reports and returns relating to each section will be reviewed at the level of Joint Secretary or above every three years with the following objectives;
  - to eliminate those that are unnecessary;
  - to redesign those that do not provide information/data in usable form;
  - to rationalise/simplify the essential ones by combining two or more of them, if possible;
  - and

—to revise the frequency in relation to the need with due regard to constraint of time required for collection of information/data from field levels.

- (2) The results of the review during each year will be reported by the section to the Section designated for handling work of IWSU by 7th of April.
- (3) The Section designated for handling work of IWSU will consolidate the reports received from various sections and send a report covering the Ministry/Department as a whole, to the Department of Administrative Reforms and Public Grievances, by the 30th of April as per item 6 of **Appendix 66**.

**134. Responsibility of expeditious disposal of work—**

- (1) The primary responsibility for expeditious disposal of work and timely submission of arrear-and-disposal statements rests with the Section Officer. To this end, he will inspect the sections' diary and the assistant's diaries, and take such other action as may be necessary to ensure:
  - (a) that no paper or file has been overlooked; and
  - (b) that no receipt or case though actually pending with the dealing hand, has been excluded from the relevant arrear statement.
- (2) The branch officer also will keep a close watch on the progress of work in the sections under his control. In particular, he will ensure that the prescribed arrear and disposal statements are submitted punctually and regularly.

**135. Checks on delays under desk officer system—**The provisions of paragraphs 121 to 134 will also govern the desk pattern of functioning.

## CHAPTER XV

# INSPECTIONS

136. **Purpose and periodicity**—Inspections are not investigations. They are to find facts/state of affairs and improve functioning, to help introspection rather than find faults/lapses for punitive action. With the abolition of the IWSU/O&M Units in various Ministries/Departments the work of inspection activity could be given to Sections like General Administration or Coordination or any other Unit/Section designated for the purpose, (DSIWS). The branch officer heading this Unit/Section will be designated as the O&M Officer of that particular Ministry/Department.

- (1) Each Section/Desk in the Department will be inspected once a year to ascertain the extent to which the provisions of this manual and the instructions issued thereunder are being followed. Each Department will also inspect once a year all attached and subordinate offices under their administrative control through their designated senior officers who will give them useful tips on the spot for improvement. Questionnaires at **Appendices 55 and 56** will be used for this purpose.
- (2) The Record Room in the Department will be inspected in association with a representative of the National Archives of India once a year. Questionnaire at **Appendix 57** will be used for this purpose.
- (3) In addition to the information mentioned at sub-para (1) and (2), the Administration/Establishment section will generate information in the form given at **Appendix 58** which will be updated monthly and it will be used as the Department's tool of Management Information System.
- (4) The information generated in the form at **Appendices 56 and 58** for the entire Department will be consolidated by the designated Section handling IWSU functions. The information culled from the above will then be submitted to the Secretary of the Department in the form given at **Appendix 59** (Executive Summary) every quarter to facilitate monitoring of key issues.
- (5) Department of Administrative Reforms and Public Grievances will also undertake a study in two or three Departments each year for sharing ideas and experiences in the field of Establishment, Administration, Public Grievances redress, Audit and O&M for mutual benefit.

137. **Inspecting authorities**—As far as possible, the inspection will be conducted by an officer of or above the level of Desk Officer/Under Secretary officer who does not handle any part of the work of the Section/Desk to be inspected.

138. **Inspection programme**—

- (1) The designated Section handling work of IWSU will draw up in advance every year, for the approval of the Secretary, a monthly programme of inspection of Sections/Desks to be undertaken during the following year, indicating the names of the inspecting officers and the months in which the inspections would be carried out.
- (2) The programme will also include a few Sections/Desks to be inspected by the officer in charge of the designated section handling work of IWSU.

- (3) The designated section handling work of IWSU will also arrange for a joint inspection of record room by an officer of the Department and a representative of the National Archives of India, besides the officer in charge of the designated Section handling work of IWSU.
- (4) At the end of every quarter, the designated Section handling work of IWSU will submit to the Secretary, a report indicating whether the programme of inspections for the previous quarter was carried out.

**139. Inspection report—**

- (1) The inspecting officer will present his report to the higher officer concerned endorsing a copy each to the Divisional Head, the O&M officer and the Section Officer/Desk functionary concerned. In the case of record room, a copy of the inspection report will also be endorsed to the National Archives of India.
- (2) The Section Officer/Desk functionary will take necessary action to rectify the defects pointed out in the inspection report and submit a compliance report to his senior officer within fifteen days, endorsing a copy to the Divisional Head and the O&M officer. The Divisional Head will review the action taken on inspection reports.
- (3) The higher level, to which the inspection reports and the compliance reports should be submitted, will be governed by departmental instructions.
- (4) The O&M officer will report the significant points, if any, emerging from the inspection reports to the Secretary. In addition, he will bring the following to the notice of the Department of Administrative Reforms & Public Grievances by the 30th April each year:
  - (a) number of sections/desks/units inspected during the preceding financial year;
  - (b) name of the attached/subordinate offices inspected;
  - (c) deficiencies noticed in the existing procedures;
  - (d) suggestions received for improvement of procedures common to all departments, together with his comments thereon; and
  - (e) any other points of general application emerging from the inspections.
- (5) If so approved by the Secretary of the Ministry concerned, the significant points emerging from the inspection reports may be brought to the notice of Deptt. of AR&PG for further necessary action.

**140. Supplementary inspection—**

- (1) Apart from the annual general inspection (vide para 136), departmental instructions may prescribe supplementary inspections for all or any of the Sections/Desks, with special reference to the nature of their work.
- (2) Surprise inspections may be organized in accordance with such instructions as the Secretary may lay down.

**141. Periodic inspections by supervisory officers—**The inspections as provided in paras 136 to 140 should be supplemented by periodic inspections by the Branch Officer/Deputy Secretary/Joint Secretary who is responsible for effective functioning of the Sections/Desks in his charge.

## CHAPTER XVI

# OFFICE AUTOMATION AND ELECTRONICALLY SUPPORTED OFFICE PROCEDURES SYSTEM

142. **Purpose of office automation**—The slow age old snail mail is on the way out. Use of labour- and-time saving modern office equipments in the disposal of business in Government departments is now in vogue to facilitate faster processing and delivery of quality information, accurate analysis of facts and figures, higher efficiency and productivity, and elimination of fatigue etc. arising from performing repetitive jobs manually. For reasons of economy, however, a judicious selection of the most appropriate machine/mode e.g. using e-mail over fax/phone should be made.

143. **Areas amenable to automation** - The following areas of office work are suitable for automation:

- (a) collection, collation, storage and retrieval of information;
- (b) processing and delivery of information;
- (c) document creation and duplication; and
- (d) faster communication.

### 144. e-Office Project

#### Introduction

The Department of Administrative Reforms and Public Grievances (DAR&PG) has taken up the e-Office Mission Mode Project (MMP) that has been conceptualized to modernize the Central Government Offices through introduction of Information Technology. The mandate for the department has been to not only introduce the IT solutions and best practices, but also to bring in process reengineering to create an efficient office environment. The Mission Mode Project on e-Office aims to address the fundamental requirements of the offices of the Central Government, in the areas like efficiency, productivity, transparency and accountability.

#### Vision of e-Office

The e-Office MMP envisages an user-friendly and integrated file and records management software solution with implementation of associated process reforms and Central Secretariat Manual of e-Office Procedure. The e-Office MMP is aimed at introducing the concept of e-file (electronic files), rule based file routing, flexible workflows, quick search and retrieval of files and office orders, digital signatures, forms and reporting components in the government office leading to Less Paper and efficient Offices (LPO) in all the Government of India offices.

## **Objectives of e-Office**

The broad objectives of e-Office are as below:

1. To improve efficiency, consistency and effectiveness of government responses
2. To reduce turnaround time and to meet the demands of the citizens charter
3. To provide for effective resource management to improve the quality of administration
4. To enhance transparency and accountability

## **Features of the present implementation plan**

As a prelude to development of e-office solutions, detailed study was conducted by the Department of AR&PG on the following issues

1. As is Study
2. Best Practice Survey
3. Technology Scanning
4. Technology Architecture
5. Technology Standards
6. Business Process Reengineering
7. Change Management Strategy
8. e-Manual
9. Functional Requirements Specification

Based on these studies, the present e-Office solution was designed which is in sync with the needs of a modern Government and has been conceived as the instrument for the Next Generation Government. It paves a platform for personalized, role based, secure access to internal information for the employees that is accessible through any browser. Personalised services are enabled and employees receive electronic notifications of services and transactions based on their needs and contingencies

## **Main Components and functionalities of e-Office**

e-Office has been divided into various modules. Each module aims to streamline and automate a particular office work flow to provide it a greater level of efficiency and transparency. The modules envisaged under the e-Office umbrella are as follows :

### **Admin Module**

The admin module in e-Office is the controlling module which allows the administration of user groups, applications, the various e-Office modules such as correspondence manager, e-file, e-Record, etc. among other things.

### **e-File & Correspondence Manager**

The e-file Manager is one of the most critical modules of e-Office framework. This module will be used by Dealing Hand/Section Officer and all other higher officers who use e-files for taking all decisions. The module will let the users create e-files, work on e-files, send e-files, review, monitor

and track status of e-files and close e-files. The e-file will create transparency in the system along with a better mechanism to track and dispose of e-files. The proposed framework will also help smooth and expeditious disposal of cases.

This module will contain all functionalities from the present physical file system which is relevant to e-file manager module.

According to the newly described framework, all the e-files in the department will have a unique e-file number. The e-file will contain digital signature of user and once affixed will not allow any changes on the e-file. The system will also have automatic pre-defined reports, alerts at defined frequency to relevant officers to make them aware of the status of e-file and help them take pro-active action in disposal of cases.

### **Records Manager**

This module will be used by Dealing Hand/Section Officer and all other higher officers. The module will let the users create e-records after the e-file has been closed, create requisitions for referencing e-records created outside the section, review e-records on timely basis, monitor and track status of review of all e-records due for review, send alerts for timely review, issue of records and create a back up copy in Disaster Recovery Site.

The proposed framework will eliminate the need of a physical record room as well as a record officer, as all activities currently being undertaken in a physical record room, such as receiving physical file, allocating location, storage, retrieval of physical file for issue or review and despatch will be moved to an electronic Digital Record Room. Also all e-records will be reviewed on the e-Office platform making the review process quick and efficient. Records will be become easy to store, trace, move along with giving added security to the records being maintained.

### **Knowledge Management**

This module will be used for maintaining the knowledge repository of the department.

The Department is also about to finalize an e-Manual which will provide detailed guidelines / procedures for functioning of e-Office, which may eventually replace CSMOP once e-Office becomes fully operational across all offices of the Government of India.

## **CHAPTER XVII**

# **MISCELLANEOUS**

### **145. Annual Action Plan**

(1) Formulation - In order to secure a systematic implementation of the programmes and projects undertaken each Department will formulate an Annual Action Plan in the month of January. The Action Plan will reflect the manner and time-frame of action with month-wise break-up of targets to be achieved in respect of each of the activities to be completed during the financial year ahead.

(2) Accountability - The action plan will identify the levels of accountability, both direct and supervisory, for implementation of each action point. Achievement of action plan targets will form an important element of performance appraisal of each employee.

(3) Review - Each officer will review the progress made against action points pertaining to his charge every week and take appropriate steps for effective and timely implementation of the tasks assigned. Secretary of the Ministry/Department will review the performance of the Department as a whole in respect of the Action Plan items in a monthly meeting with senior officers. Follow up action on the points minuted therein should be taken promptly.

### **146. Concept of Citizen's/Client's Charter**

(1) The Citizen's/Client's Charter is a written declaration by a Government department that highlights the standards of service delivery that it subscribes to, availability of choice for consumers, avenues for grievance redress and other related information. In other words, it is a set of commitments made by a department regarding the standards of service which it delivers.

Though not enforceable in a court of law, the Citizen's/Client's Charter is intended to empower citizens and clients so that they can demand committed standards of service and avail remedies in case of non-compliance by service provider organizations. The basic thrust of the Citizen's/Client's charter is to render public services citizen centric by making them demand driven rather than supply driven.

#### **Citizens**

(2) Citizens are individuals, groups of individuals (companies, trusts, associations, unions etc.) and the common public at large. They are outside the government and are generally referred to as *external clients*. Being outside the government machinery, the general presumption is that they do not have sufficient knowledge of the government's internal processes. Therefore the onus is on the service provider to ensure that citizens are well aware of the service standards and the expectations from service recipients. It cannot be presumed that all citizens are literate or understand the official language, and it may be necessary to communicate with them in the local language also.

#### **Clients**

(3) Clients could be government agencies and government employees availing services from another government agency. Services here will exclude administrative control activities, references



and opinions to be provided on policy related matters which cannot be disposed-off within pre-defined time norms. Clients are part of the government and are generally referred to as internal clients. Being part of the government machinery, the general presumption is that clients have sufficient knowledge of the government's internal processes. Therefore, the onus of ensuring that clients who are also part of the government are well aware of the service standards and the expectations from service recipients is equally divided between the service provider and the service recipient. It is presumed that all clients are literate and communicating with them in the official language of the service provider agency is sufficient.

#### **Format of Citizen's/Client's Charter**

(4) The Citizen's Charter for a Ministry/Department/Office should contain the following nine sections:

- i. Cover Page
- ii. Vision
- iii. Mission
- iv. Service Standards
- v. Grievance Redress Mechanism
- vi. Stakeholders / Clients
- vii. Responsibility Centers
- viii. Indicative expectations from service recipients
- ix. Month and Year for next review of the charter

(5) In what follows, each section is described briefly.

(i) *Cover Page*

To ensure instant recognition and user-friendliness, it is important that all Citizen's/Client's Charters have a uniform cover page as given below :

<p><b>National Emblem Logo (if any)</b></p> <p><b>CITIZEN'S/CLIENT'S CHARTER</b></p> <p><b>NAME OF THE MINISTRY/DEPARTMENT</b></p> <p><b>(Name of the Ministry to which the department belongs)</b></p> <p><b>Address with website ID</b></p> <p><b>Month and Year of issue</b></p>
---

(ii) *Vision*

It should contain the vision of the Department/Ministry/Organisation.

(iii) *Mission*

It should contain the mission of the Department/Ministry/Organisation.

(iv) *Service Standards*

The information in this section should be presented in the following format :—

<b>SERVICE STANDARDS</b>		
<b>SNo.</b>	<b>MAIN SERVICES*</b>	<b>STANDARD</b>

\* Main Services include services that are being provided on a regular basis to the Ministry / Department's service recipients. Departmental Services rendered occasionally under exceptional or extraordinary circumstances should not be a part of Main Services. These should also be aligned with the GRM processes.

(v) *Grievance Redress Mechanism*

This section should contain information relating to the following items:

- a. Name and contact details of Public Grievance Officer:
- b. Helpline number/Website url to lodge grievance
- c. Response to be expected by person lodging the grievance
- d. Timelines for redress:

(vi) *Stakeholders*

This section should contain the list of stakeholders/clients who have been consulted for setting service standards.

(vii) *Responsibility Centers and Subordinate Organizations*

This section should contain a list of the Responsibility Centers and Subordinate Organizations under the administrative control of the Ministry/Department. Information in this section should include references to the service standards of the Responsibility Centers and Subordinate Organizations, how to lodge a grievance against them, and the role of the Ministry/Department in ensuring that they have set standards for service and are delivering services accordingly.

(viii) *Indicative expectations from service recipients*

This section should contain responsibilities of the citizens / clients if they are to avail efficient service delivery at the standards stated in the Charter. Examples of this would include submitting completed application forms, along with all the required enclosures, duly attested where required; cross-checking for information or the latest position on a matter on the Department's website before raising a query or a grievance, etc.

(ix) *Month and Year for the next review of the Charter*

This section should indicate the month and year for the next review of the Charter. This allows the citizens to be patient till the next major revision. The next date of review should not be too distant.

Upper time limit of once in a year or once in two years may be prescribed.

(b) Activities relating to the Charters as detailed below will be included in the Annual Report of the Ministry/Department—

- (i) Action taken to formulate the Charter for the Ministry/Department and its subordinate formations;
- (ii) Action taken to implement the Charter;
- (iii) Details of Training Programmes, Workshops, etc., held for proper implementation of charter;
- (iv) Details of publicity efforts made and awareness campaigns organized on Charter for the Citizens/Clients;
- (v) Details of internal and external evaluation of implementation of Charter in the Organisation and assessment of the level of satisfaction among Citizen/Clients; and
- (vi) Details of revisions made in Charter on the basis of internal and external review.

#### **147. Consumer Protection**

All Ministries/Departments should examine the procedures regulating grant of licenses, permissions or registration including the underlying Acts, Rules, Notifications, etc. These should be recast with the following underlying principles :—

- (i) There should be an upper time limit for grant of any license/ permission/ registration. The law should provide for penalties if an application is not disposed of within the stipulated period.
- (ii) Applications should be processed only on a “First in First out Basis”. All applications received and pending should be put on the licensing authority’s website.
- (iii) Selecting units for surprise inspection should not be left to the discretion of the inspecting officers. Each office should devise an objective method to randomly select units for inspection. Exceptions can be made in case of receipt of genuine complaints against any unit.
- (iv) The outcome of all inspections must be immediately put in the public domain.
- (v) There should be an annual audit of the licensing and inspection system each year by an independent agency.
- (vi) All licensing authorities should evolve an accessible system for receipt of citizens’ complaints.

#### **148. Official language for purposes of Government work—**

(1) In accordance with the provisions of Article 343 of the Constitution, Hindi has been the official language of the Union since the 26th January, 1950. However, the Official Languages Act, 1963 permits the continued use of English for specified purposes of Government work subject to certain conditions. The Official Languages Rules, 1976 have been framed under the Official Languages Act, 1963. Instructions are issued from time to time by the Department of Official Languages to ensure compliance with them. Each year an annual programme of action is also issued.

(2) Each Department is expected to ensure that the provisions of the above mentioned Act, Rules and instructions issued under them as well as the annual programme of action as prepared by the Department of Official Languages are strictly observed. In particular, the following should be ensured :

- (a) Communications to the offices of State Governments and the Administration of the Union Territories or persons residing in Region (A) i.e. Bihar, Chattisgarh, Haryana, Himachal Pradesh, Jharkhand, Madhya Pradesh, Rajasthan, Uttarakhand and Uttar Pradesh, as well as the Union Territories of Delhi and Andaman & Nicobar Islands, and in Region (B) i.e. Gujarat, Maharashtra and Punjab as well as the Union Territory of Chandigarh as

- defined in sub-rules (2)(f) and (g) of the Official Languages Rules 1976, shall be made in Hindi. In case a person responsible for drafting a letter does not have sufficient knowledge of Hindi, the draft prepared by him in English will be got translated into Hindi and the letter will be issued in Hindi.
- (b) Communications to the offices of the remaining States and Union Territories as well as persons residing therein may be made in English.
  - (c) Correspondence with Central Government offices located in all regions shall be made in Hindi in the proportions as fixed in the Annual Programme issued by the Department of Official Languages.
  - (d) All communications received in Hindi, irrespective of their source, shall be replied to in Hindi.
  - (e) For noting as well as drafting purposes, other than those specified hereinbefore, an official is permitted to use Hindi or English, according to his convenience.
  - (f) An official who does not possess working knowledge of the language used in a case, is provided with a translation or a precis thereof in the language he knows and employs for the purpose of Government work.
  - (g) Both Hindi and English **shall** be used for:—
    - (i) Resolutions, general orders, rules, administrative and other reports, notifications and press communiques;
    - (ii) Administrative and other reports and official papers laid before a House of Parliament; and
    - (iii) Contracts and agreements executed as well as licenses, permits, notices and forms of tenders.

**149. Departmental instructions—**

- (1) This manual lays down the essential procedures for efficient paperwork management, i.e. processing, handling and control of official papers, in the Central Secretariat. To provide for sufficient flexibility, the manual suggests the issue of departmental instructions which could supplement or vary, within broad limits, the prescribed procedures to suit special conditions and requirements. The provisions of the manual which visualize issue of departmental instructions are listed in **Appendix 60**.
- (2) The inspecting officer, at the time of Annual Inspection, shall check whether the Section is ensuring compliance with departmental instructions or not.

**150. Compilation/consolidation of orders/instructions—**

- (1) In April every year, each section will prepare a list of subjects in respect of which orders issued by it require compilation/consolidation.
- (2) The list will be submitted to the Joint Secretary who, after approval of list, will fix a time-bound programme for completion of compilation/consolidation work.
- (3) A copy of this programme will be sent to the designated Section handling work of Internal Work Study.
- (4) The designated Section will submit the report on the progress made to the DAR&PG by 30th April every year.

**151. Review of rules, regulations and manuals—**

- (i) Every section will maintain an up to date list of rules, regulations and manuals administered by it and take action for their review, every three years.

- (ii) The designated Section handling work of IWS will report the progress made in review of rules, regulations and manuals to the DAR&PG by 30th of April every year.

**152. Maintenance/transfer of records in the personal offices of Ministers—**

- (1) Procedure for maintenance of records in the personal offices of Ministers—
  - (a) Following records will be maintained (electronically wherever possible) by the personal offices of Ministers :
    - (i) A diary register in the form at **Appendix 3** to enter particulars of references received in the office and also to record their disposal;
    - (ii) A despatch register in the form at **Appendix 61** to show the letters/notes issued from the personal offices;
    - (iii) File Movement Diary in the form at **Appendix 62**; and
    - (iv) Folders-containing office copies of orders issued by the Minister/Private Secretary, serially numbered.

The above records will be in addition to files and folders for papers of secret nature connected with the Cabinet meetings, etc. and a separate diary maintained for these. Ministers may prescribe additional folders, registers etc. if necessary, for instance for parliamentary debates, material for interaction with the Press/Media, personal speeches made by them, etc. The personal staff will also maintain such other registers as prescribed in the Manual of Office Procedure or otherwise from time to time, e.g., trunk-call/STD registers, overtime duty register, etc.

- (b) Instructions laid down by the Cabinet Secretariat in the 'Rules of Procedure in regard to the Proceedings of the Cabinet', and in the 'Departmental Security Instructions' (issued by the Ministry of Home. Affairs) shall be followed strictly so far as maintenance of classified documents is concerned.
- (2) Procedure for transfer of records/papers when Ministers demit office :
  - (a) The instructions laid down by the Cabinet Secretariat in the ' Rules of Procedure in regard to the Proceedings of the Cabinet' will be followed so far as transfer of records pertaining to Cabinet meetings is concerned. As regards other classified documents and papers, the procedure prescribed in Departmental Security Instructions issued by the Ministry of Home Affairs will be followed. As per these instructions, copies of classified papers should be passed on to the appropriate authorities. In case of doubt as to whom these papers should be transferred, the PS to Minister will transfer such papers to the Secretary to the Ministry/Department, along with separate inventories of such papers transferred to various authorities and to the Secretary. The register, maintained for entering the particulars of secret papers will also similarly be transferred to the Secretary or his Private Secretary. The Secretary may, in turn, pass on all these papers to the Joint Secretary in charge of vigilance for safe custody. These papers will be handed over to the succeeding Minister as soon as he takes over the office. The information maintained electronically, will be kept similarly secure in consultation with NIC.
  - (b) As regards other papers, the following procedure will be followed:
    - (i) The folders containing office copies of orders issued by the Minister/Private Secretary, serially numbered, will be handed over to the O&M officer of the department by the PS to the Minister with the list of such papers. These papers

will remain in the safe custody of the O&M officer. These papers will be periodically reviewed and weeded out with the approval of Secretary as and when no longer required.

- (ii) Records like the registers and diaries and other papers shall also be taken over by the O&M officer of the department and remain in his custody till the next PS of the succeeding Minister takes over charge to whom they may then be handed over.
  - (iii) The entire records need not physically be taken over by the O&M officer, but a list of records and papers left by the relinquishing PS to Minister may be made available by the latter to the O&M officer, the records themselves being kept under lock and key in the room generally occupied by the PS to Minister. The O&M officer or his section will, however, ensure that all the records are there in the almirah(s) as mentioned in the list.
- (3) Miscellaneous
- (a) The personal section shall prepare at the end of every month, a list of files pending with the Minister and submit it to PS who will suitably remind the Minister for their early disposal.
  - (b) As soon as an officer leaves a file or any paper with the Minister for seeking his orders, or for any other purpose, informally, PA/PS to that officer will report the brief particulars of the file etc. to the PS to Minister in the form at **Appendix 63**. PS to Minister will on receipt of these particulars, satisfy himself that such a file has been received by the Minister and watch its further movement and return the file to the officer concerned as soon as the matter has received the attention of the Minister, and the file has been disposed of by him.
- (4) It shall be the specific responsibility of the Private Secretary or the senior most officer in the Personal Office of the Minister to ensure that the instructions are observed meticulously in the interest of efficiency of the Ministry/Department as a whole.

**153. Review of forms and procedures**—A mechanism should be set up for review of measures already taken at short periodic intervals. The possibility of further simplifying forms and procedures will thus be explored so as to make them more transparent and ensure better enforcement of accountability. Clouding or confusion of issues and processes through which decisions are taken should be avoided. Forms and procedures should be simplified in order to make it more user/citizen friendly for removing scope of irregularities.

**154. Modernization of Offices**—The Department of Administrative Reforms & Public Grievances has been acting as a catalyst by providing funds to Ministries/Departments and their attached offices and Statutory bodies located in Delhi (but not to Training Institutions and Subordinates Offices) under a Plan Scheme for modernization of selected section/unit based on suitable layout plans as an overall process of administrative reforms. The scheme envisages improvement in work environment by adopting a holistic approach through optimum use of space, effective supervision, cost-effective and space efficient records management, efficient service to public, etc. This is a model Scheme and is supplemental to the modernization efforts being made by the various Ministries/Departments/Offices.

**155. Procedure for processing reports of Commissions/Committees and other expert bodies** —In order to ensure expeditious processing and implementation of the recommendations made in the reports of Commission/Committees and other expert bodies including those of DAR&PG,

the procedure given in the **Appendix 64** should be strictly followed.

The main feature of this procedure is the appointment of an “Empowered Committee” with a representative on it from each of the Ministries concerned, which will :—

- consider the report as a whole directly without the traditional note based examination at a number of levels in every department or other agency concerned;
- take firm decisions;
- submit concrete proposals for the Ministers/Cabinet’s approval where necessary; and
- ensure that the processing of the report is completed and firm decisions are taken within 3 month of its receipt as far as possible.

**156. Preparation of Induction Material**—Every Ministry/Department should prepare ‘induction material’ under the guidance of the Joint Secretary (Administration) for the use of not only their officers but for the convenience of other Ministries/Departments also in making interdepartmental references. The ‘induction material’ should clearly spell out the functions and structure of the organization, detailed work distribution among various divisions and sections with their names, room numbers, location, officers in-charge, telephone numbers, functional parameters, etc. The ‘induction material’ should be revised at periodic intervals so as to keep it up-to-date.

#### **157 SEVOTTAM**

- i. *Sevottam* is a framework developed for bringing continuous improvement in the quality of service delivery by government organizations. It has three modules of Citizen’s Charter, Public Grievance Redress and Service Delivery Capacity. The three modules have three criteria, each giving nine criteria in all. The nine criteria are further subdivided in to 33 elements that facilitate monitoring of service delivery quality.
- ii. Details of the framework may be accessed at “[www.darpg.nic.in](http://www.darpg.nic.in).” Queries, if any may be sent to Help Desk, of Department of AR&PG, on the e-mail, [Sevottam@nic.in](mailto:Sevottam@nic.in).

#### **158 O&M/WS activities in the Ministries/Departments**

- (1) Based on the recommendations of SIU, Department of Expenditure, the O&M/IWSU set-up has been abolished in the Ministries/Departments. While Department of Administrative Reforms & Public Grievances provide some initiative, incentive, information, advice, etc. the main task of evolving and implementing reform measures will continue to be responsibility of all Ministries/Departments who may entrust the job to their appropriate formation like Administration, Coordination etc. Strengthening of these divisions for handling the O&M work for necessary improvements/ simplification/ streamlining in administration in the Ministries/Departments concerned will, therefore, be essential. Similar steps will also be taken in the attached/ subordinate offices and public sector undertakings/ autonomous bodies.
- (2) Sufficient awareness and interest should be created among the officials though training, conference, colloquium, pamphlets, booklets, etc., to be used as reference material.

- (3) An illustrative list of O&M functions to be performed is given in **Appendix 65**. The Ministries/ Departments/Attached/Subordinate Offices/Public Sector Undertakings/Autonomous Bodies should try and computerize work relating to O & M functions for better monitoring. The designated Section handling work of IWSU will report about O & M activities annually to the Secretary in the proforma given at **Appendix 66**. The Annual Report will pertain to the period from 1 st April to 31 st March of the year.
- (4) For O&M studies Ministries/Departments will be guided by the Department of Administrative Reforms and Public Grievances. As regards the work relating to work measurement studies is concerned, the units will be guided by the Staff Inspection Unit of the Department of Expenditure.



---

---

## **APPENDICES**

---

---

**APPENDIX 1**

Dak Register

[Vide para 14(6)]

Date .....

S.No	Particulars of dak received		From whom received	To whom sent	Remarks
	Number	Date			
1	2	3	4	5	6

## APPENDIX 2

Invoice

[Vide Paragraph 15(1)]

Department. ....

Section/Desk .....

Date	C.R./IFC Nos. of dak sent	Number of items of dak		Total	Signature of receiver
		registered in dak register	Not registered in dak register		
1	2	3	4	5	6

### APPENDIX 3

Section/Desk Diary for Receipts  
[Vide Paragraph 17(1) and (2)]

Date. ....

Sl. No.	Diary Number	Number & date of receipt		From whom	Brief subject	To whom marked	File No.	Replied to		No reply was necessary	Remarks
		Number	Date					In Hindi	In English		
1	2	3	4	5	6	7	8	9	10	11	12

#### INSTRUCTIONS

1. Column 1, a Running Sl.No. will be given datewise.
2. Columns 2-7 will be filled at the stage of diarising *i.e.* before the receipts are made over to the dealing hands.
3. Devnagri script will be used for diarising Hindi receipts. In case Hindi is used for all entries in the section diary, Hindi receipts may be suitably distinguished by either marking 'Hindi' in Column 12 or using a different colour of ink.
4. Column 8 will be filled on the basis of entries in Column 5 of the assistant's diary. For this purpose, the diarist will collect and consult the assistant diaries periodically, say once a week.
5. Columns 9 and 10 will be filled by diarist on receipt of office copy of issue.
6. Column 11 will be filled by the dealing hand after a decision has been taken at an appropriate level that no reply is necessary.
7. Movement of receipts marked to officers for perusal will be indicated in column 12.
8. In the case of a desk, all the columns will be filled, at appropriate stages, by the supporting staff attached to the desk functionary.



**APPENDIX 5**

Movement Slip

*[Vide Para 20(3)]*

Diary Nos. of receipts removed for :—	
Processing	Submission to higher officers (to be specified)
(1)	(2)



## APPENDIX 7

*[Vide paragraph 32(12)]*

### STYLE IN NOTES AND DRAFTS

The style/clarity/ precision/format in notes and drafts is as important as their contents. The following will be observed in drafting and also in writing notes :—

- (1) “Information” is singular. If information is called for on many points, it does not become “Informations.”
- (2) The words “Proximo”, “Idem” and “Ultimo” should be avoided. They are not necessarily even abbreviations and they possess no recommendations. On the contrary, they lead to confusion and one has to take the trouble of looking at the date of the letter to find out what they mean. The names of the months must be used instead.
- (3) “The same” must not be used instead of “it” or some other simple word.
- (4) Such needlessly formal words as “therein” and “thereon” should not be used instead of “in it” or “on it”.
- (5) The preference for passive verbs over active verbs generally make the style vague and clumsy, as “It is understood” for “I do not understand” or “The date of issue of the order should be reported by him” for “he should report when he issues the order”.
- (6) A simple or short word is to be preferred in place of a long phrase. Examples of needless verbosity are preference of “make the assessment” to “assess”, “purchase”, to “buy”, “commence” to “begin” and “omitted to” or “failed to” to the simple “did not” (the two latter ones are very common); “make enquires” for “enquire”; “building purposes” for “buildings” Where “omit” by itself is proper and sufficient. The love of such redundant phrases is displayed as “has been omitted to be entered in the register” instead of “has been omitted from the register”. Another widespread error is the use of “for being” instead of “to be” and “for doing” instead of “to do” and “returned for being stamped” instead of “to be stamped”. If the Secretary orders that an assistant should be punished “for being corrupt” he does not mean “in order to make him corrupt”.



- (7) Foreign or classical words and expressions should be avoided as far as possible; vernacular words should only be used when their meaning cannot be expressed equally well in English.
- (8) Short sentences should be preferred to long ones “Secretary’s attention is invited to O.M .....He is requested ..... ..” is better than “The Secretary’s attention is invited to O.M ..... and he is requested”. “In case in which” is a clumsy phrase for which “when”, “where” or “if ” can usually be substituted. The word “necessary” is usually superfluous in such phrases as “the necessary entries”, “the necessary corrections”, “the necessary instructions”, etc.
- (9) The phrase “do the needful” should never be used. Either state definitely what is to be done or say “do what is necessary”. The word “avail” is very awkward one, as it is reflexive and also takes “of ” after it. It is better avoided. Moreover, if you do use it, you must not say “the leave was availed of” or “I availed of the leave”, still less “he is permitted to avail the holidays”. You must say “I availed myself of the leave” and so on. But why not simply say “took the leave”? “Available” also is a bad word. A register “not readily available” may mean anything, for example, that it was needed for reference by one of the members, or had been sent some-where out of the office, or was locked up and the key was elsewhere. It is very annoying to have one’s work increased by having to send a note back to ask what it means.
- (10) Split infinitives should be avoided. Write “Kindly to state” and not “to kindly state”. A very common and equally objectionable feature of official communications is a similar splitting of other verbal phrases. For instance, “The Deputy Commissioner will, in the circumstances now stated, be requested” is not good English. It is quite as easy to say “In the circumstances now stated, the Deputy Commissioner will be requested to .....”
- (11) Do not write “marginally noted” which could only mean “having marginal notes”. Write “noted on margin”. Similarly “Plan marked” could only mean “marked with plans” (Compare “pock-marked”), and “plaint mentioned” neither does nor possibly could mean anything.
- (12) Instead of such a phrase as “the figures for 1949, 1950 and 1951 were 256, 257 and 348 respectively” which is confusing, write “the figure for 1949 was 256, that for 1950 was 257 and that for 1951 was 348”. This is a little, if at all, longer and is perfectly clear. “Former” and “latter” should also be avoided as they are constant sources of confusion.

- (13) Do not ride any phrase to death. Some persons begin every letter with the phrase “with reference to”, It is better to vary the phrase so as to make it definite. Say “In reply to”, “As directed in” and so on; or begin in narrative form “In their order ..... Government directed .....”. “ Avoid the phrase “with advertence to”.
- (14) In ordinary English “in case” does not mean the same as “if” “I shall take my umbrella in case it rains” means “so as to be prepared for rain”. Nor does “as well as” mean the same as “and”. It is much more emphatic. It would be absurd to say “a man was 5 feet 8 inches high as well as 21 years of age”, But you might well say that “he was a good painter as well as a remarkable musician”.
- (15) The fondness for writing “as well as” for “and” and “in case” for “if” presumably arises from the fondness of the users for a longer expression. “In case “if” is a stage further on the downward path. “I am unable to” for “I cannot” and “hand over” for “give” are other common examples of the preference for the longer phrase. “By the time” is sometimes wrongly used for “then”. “By that time” is sometimes wrongly used for “then”. “By that time” means “then”. “By the time that” means “when”. Always be as definite as possible.
- (16) “As such” is often misused. It is correct to say “Mr. A was then the Superintendent and as such was bound to report-”but “Mr. A was not then the Superintendent and as such he is not to be blamed” is meaningless. “While such being the case” is a familiar embellishment of criminal complaints, etc. “While” is here redundant.
- (17) Tenses and moods are misused in almost every note or draft. The misuse of “had” is one of the commonest errors. The pluperfect “had” is rightly used to emphasize the priority of one event in the past to another. It is correct to say “I had gone to bed when the house caught fire” but senseless to say “I had gone to bed at 10 O’clock last night” (“I went” is correct)- unless the meaning is that you had gone to bed before 10 O’clock. The present tense is wrongly used for the incomplete perfect, as in “I am record-keeper from 1906. “I have been record-keeper since 1906” is correct. “Government press for a reply” should be “Government are pressing for a reply”. “The following men now act” is wrong. It should be “are now acting”. “Act” means “usually act” or, habitually act”;; “are acting” emphasizes the fact that they are doing so now.

- (18) "Must have" is sometimes misused for "should have" or "ought to have". "Must have done it" means that he certainly has done it. It is not to be used to mean that he has not done it but should have. "Till" is commonly misused in a way that it is positively misleading. "No reply was received till January last" implies that a reply was received on January 1st but it is erroneously used to mean that even on January 1st no reply had been received. To convey this latter meaning "up to" with the pluperfect is the correct English-"Up to January 1st, I had received no reply".
- (19) Distinguish "all the stamps have not been punched" which is ambiguous from "Not all the stamps have been punched" or "the stamps have not all been punched", which mean that some have been punched and some not. These phrases are commonly confused. "He has yet to collect Rs.1,000", is not ordinarily modern English. "Still has" is correct. "Yet" may be used with a negative, e.g., "has not yet applied" and is only used with a positive a verb in special phrases such as "I have yet to learn".
- (20) "So" is not equivalent to "very". It is sometimes written "the peon is so impertinent" "I warned him so many time" meaning "very impertinent", "very often". "Not so bad" means "rather goods", but this is a colloquial phrase. Similarly, "too" has generally a relative sense, that is, it implies exacts relatively to a certain standard or object not absolute intensity so to speak (except in a few colloquial phrases such as "it is too bad"); but it is commonly written "it is too hot" meaning "it is very hot".
- (21) The verb "to hope" implies pleasurable anticipation. It is used sometimes instead of a natural word such as "think", and thereby producing comically inappropriate phrases such as "I hope your honour is ill". Omission of articles (a, an, the) is a common fault. It is permissible in a telegram for reasons of economy-not elsewhere. But articles must be used correctly. The statement "appellant is the inhabitant of Jaipur," implies that there is only one inhabitant. "An inhabitant of Jaipur" is correct "This is serious omission" should be "This is a serious omission".
- (22) "As to" is common redundant form e.g. "The Deputy Commissioner is directed to report as to whether", "whether" alone is sufficient. So also "as against "or" as compared with" are commonly used in comparing figures, where "against" or "compared with" are sufficient and correct. It is correct to say "as compared with last harvest, the yield was poor", but not

the “yield was 4 rupees as compared with 8 rupees last year”. “As” mean, nothing in the latter phrase.

- (23) Pseudo-accuracy account for much unnecessary verbiage. “If any” is a common example of this fault. It is quite unnecessary to say “The Deputy Commissioner is requested to report the number of cases if any”. If there are none, the Deputy Commissioner will say so. In the same way it is unnecessary to say “The Deputy Commissioner is requested to report whether it is advisable or not to”.... The use of the word “ask” instead of “order” or “direct” produces a curiously important effect when a lower subordinate is referred to. “The S.D.O. may be asked to report” sounds silly.
- (24) On the other hand, the use of such phrases as “at all”, “in spite of ” sometime sounds needlessly discourteous as well as unidiomatic. “In spite of three reminders the Deputy Commissioner has not at all cared to reply” is rude as well as un-English “It” will be enough if the Deputy Commissioner .... is not English. The more appropriate phrase is “the Deputy Commissioner need only”. A void pretentious words such as “penultimate”. “Last but one” is quite good enough.
- (25) “I am directed to request that you will be so good as to furnish me with information as to whether” is the sort of stuff that we come across frequently. “I am directed to enquire whether” means exactly the same and is not unduly curt. Never use several words where one will do. Do not write “make an application” but “apply” or “a liable of the value of fifty paise only” instead of “a fifty paise stamp”. Addition of the word “only” after any sum of money is in place in a bill or cheque not elsewhere.
- (26) “In this connection” at the beginning of a sentence is a favorite bit of hackneyed padding. It means nothing at all. “In returning herewith” a favourite but inappropriate type of opening phrase. It is often aggravated by making the subject of the main sentence different from the implied subject of “returning” or by changing to the passive construction. You can say “In returning..I am directed to point out”. You must not say “In returning herewith the statement received with his letter.... the Deputy Commissioner is informed”. But this is quite common. On the other hand, such phrases as “Turning to paragraph.... it may be observed” and so on (“Regarding”, “Concerning”, “Considering”, etc.), are unobjectionable though “Turning to paragraph 1” is no doubt more strictly correct.
- (27) A needless anxiety to avoid repetition gives rise to various faults. Sometimes, instead of repeating a man’s name, an assistant will say “the individual” which is not good English. The use of “former and latter”, “respectively” and “the same” have been mentioned already and also come under this head.

- (28) The words “Comprise”, “compose” and “consists” are confused with each other. It is written “the land comprises of 3 plots” or “is comprised of”. The correct forms are “the land comprises/ consists/ is composed of three plots”. It is also written “the old building was substituted by a new one”. You can say “a new building was substituted for the old one” “or” “the old building was replaced by a new one”. “Dispose it off” is a common error for “dispose of it”, also “tear off” for “tear up” and “stick up” for “stick in” (You can stick a thing “up” on a wall of course but not “up” in a book). “Stick up too” is used for “Stick to” itself a slang phrase. “He stuck up to the agreement” is wrong. It is also written “slips have been pasted” and the “papers have been stitched” whereas “pasted in” and “stitched (or preferable ‘Sewn’) together” are correct.
- (29) “Agree” and “tally” cannot be used actively. Figures may agree or tally. You cannot “agree” figures or “tally” them. Generally use unpretentious words rather than pompous ones. “I went to camp” not “I proceeded”, “live” or “dwell”, not “reside”. “Instead of” is much more usual in ordinary English than “in lieu of”, which is a phrase used mainly in legal documents. “Stamp” is the ordinary English not “label”; and “Envelope” or “letter” not “cover”.
- (30) You cannot say “He told/expressed that he was unwilling”. It must be “he told me that he was unwilling”, “he expressed his unwillingness”, “he expressed himself strongly”. “Enough of money” is not good English. Say “enough money”; “of follows”, “enough” when for any reason it is necessary to use “enough” as a substantive, e.g. “I have had enough of this” “I don’t know enough of the language, to “but I know enough English to”.... “None” for “no one” is obsolete or poetical. Do not write “None made any offer” but “no one made any offer”. Do not say “it is not used by any” but “but it is not used by anyone”. Do not say “this is known to all” but “everyone knows this”. “There is no use of sending” is wrong. It should be “it is no use sending”, “it is no use to send” or “there is no use in sending”.
- (31) Do not qualify expressions, needlessly. To do so produces flabby style. Words like “it seems” and “it appears” are used when there is really no doubt. “He was absent in his house” meaning that he was elsewhere than in his house, is a contradiction in terms. “Absent

from” is correct, but the ordinary English would be “he was not at home”, or simply “he was away” or “was out”. “Also” is misused with negatives. “He did not address the letter and did not also stamp it” should be “nor did he stamp it”.

- (32) “He puts himself up at...” or “he is put up at”, are wrong. The correct English (and it is colloquial) is “He is putting up at”, “Wooden piece” for “piece of wood” is a common error.
- (33) “I inquired/enquired into the witness” is another frequent mistake. You “examine” a witness and “enquire into” a case. But one does not “investigate into a case”, one “investigates it”. ‘Male member’ should not be used to mean “male” or “man”. You can say “the male members of my family”. Do not say “my family members” but “members of my family”. “Through” meaning “past” and “cross” meaning “went past” are frequently used e.g., “I went through the temple”, or “I crossed the temple”. You “cross” a river or a road when you go from one side of it to the other.
- (34) Do not use such phrases as “has breathed his last”, or “is no more”, for “is dead”. “It is high time to do so and so” is an idiomatic English phrase. “As it was high time, the Court adjourned the case till next day” is not English.
- (35) “In view to do” “so and so” is wrong. You can say “with a view to reducing” meaning “in order to reduce”, and you can also say “in view of these circumstances” meaning “having regard to them”. “In view to” is impossible.
- (36) “You should insist on the Under Secretary to reply” is wrong. It should be “should insist on his replying”. “Address” is used sometimes as though it meant “ask”. “Government will be addressed to reconsider their order” is, strictly speaking, meaningless.
- (37) “Government sanctioned a peon to the Deputy Secretary” should be “for the Deputy Secretary”. “Petitioner wants that the land should be transferred” is wrong. It should be “wants the land transferred/to be transferred.”

**APPENDIX - 7.1 [vide  
paragraph 32(14)]**

**PROCEDURAL REQUIREMENTS TO BE MET WHILE PREPARING/SUBMITTING NOTES  
FOR THE CABINET/ CABINET COMMITTEES/GROUPS OF MINISTERS.**

**I. FORMAT AND PRESENTATION OF THE NOTE:**

1. The copies of the Notes should be made on A-4 size paper;
2. The copies of the Note should be made in both English and Hindi versions and both versions should be made available together to the Cabinet Secretariat for placing before the body for whose consideration it is submitted;
- 3.(a) The note should be typed in double space (in font size 12-14) and preferably both sides of the paper should be used. Care should be taken to ensure that the impression is legible and clear in all the pages in all the copies/ photocopies;
- (b) A wide margin (not less than 1.5 inch) should be left towards that edge of the paper (the left edge on the obverse and the right edge on the reverse) which is put in the pads for the meetings; and
- (c) All the Paragraphs and sub-paragraphs of the Notes should be appropriately numbered and bullets and such markings should be avoided.
4. The Note should be security graded 'Secret' or 'Top Secret', as required. The copies of the note should also be numbered. While giving the security grading, the proposed classification should be properly evaluated with reference to the subject matter of the Note;
5. On the first page of the note, security grading and below that copy number should be indicated on the top right side. Below that, in the centre, the file number and the name of the Sponsoring Ministry and Department should be indicated;
6. The words "Note for the Cabinet" or "Note for the Cabinet Committee/GOM on————", as the case may be, should appear below the name of the Ministry/Department on the first page;
7. Below the caption "Note for the Cabinet/Cabinet Committee/GOM", a brief subject heading should be given. The heading should be fully indicative of the proposals contained in the paper;
8. The note should bear a date on the top page, which should be the date on which its copies are sent to the Cabinet Secretariat. In those cases where the Note is required to be rectified/ revised and resubmitted, it should be given a fresh date accordingly;
9. All the pages in the Note, including the annexes, should carry continuous page numbers on the bottom extreme right hand corner, simultaneously indicating total number of pages, in the manner "page x of y", where "x" is the running serial number of the page and "y" is the total number of pages in the note;
10. Each page of the Note including its Appendix and Annexes should bear the continuous page numbering, security grading, name of the" sponsoring Department and the file number. The fact that Appendices/Annexes are attached with the note should be indicated at appropriate place in the main note. Continuous page numbers of the Appendices/Annexes should also be indicated in bracket against each. On each Appendix/Annex the relevant paragraph of the main note should be indicated, for easy reference.

11. The penultimate paragraph of the Note should state that “the Statement of Implementation Schedule in respect of the above proposals has been given in Appendix to the note”. The Statement of Implementation Schedule marked as Appendix should be placed immediately after the main note and it should be followed by other Annexes. It should contain the following information :

- (a) Gist of the decision(s) sought;
- (b) Likely benefits arising out of the decisions (in physical/financial or social terms, e.g. employment generation, development of backward areas, benefits to target groups, etc.); and
- (c) Time-frame and manner of implementation of the decision and its reporting to the Cabinet Secretariat.

12. It should be indicated at the end of the body of the note (last paragraph) that the proposals made therein have the approval of the Minister-in-charge of the sponsoring Ministry;

(Specimen formats for the main note as well as the Statement of Implementation Schedule are enclosed at Appendix-7.1 (a) and Appendix -7.1 (b).)

13. The note as well as Statement of Implementation Schedule should be signed by an officer not below the rank of Joint Secretary in the main Ministry/Department sponsoring the note;

14. Note should be properly tagged or stapled. Spiral/hard binding of the note should be avoided;

15. The papers should be sent to the Cabinet Secretariat well in advance of the meeting at which they are sought to be considered. It should be borne in mind that the papers are required to be circulated by the Cabinet Secretariat among the members of the Cabinet/Cabinet Committees normally 72 hours before the time of the commencement of their meeting;

16. The telephone number of the officer forwarding the note should invariably be indicated in the forwarding memo.

## **II. CONTENTS:**

17. Special attention needs to be paid in regard to the drafting quality of the notes. The main note should be self-contained, lucid, straightforward and contain only the relevant details. It should not in any case exceed the prescribed length of 7-8 pages in double space in font size 12-14. Most of the details, which should also be brief as far as possible, should be relegated to annexes or appendices.

18. It may be ensured that all acronyms/abbreviations used in the text of a note are explained when the term is first used in the note by writing its full form, with the acronym/abbreviation given in brackets. Acronyms that are not commonly used may be avoided.

19. The approval paragraph should be self-contained and it should indicate the specific point or points on which the approval/decision is sought, together with the recommendations of the Minister-in-charge. Reference to proposals in earlier paragraphs should be avoided;



20. The names as well as the observations of the Ministries/Departments consulted should be briefly indicated in the main note. The detailed comments if any along with the observations of the sponsoring Ministry thereon should be tabulated and attached as an annex.

21. There have been instances in which the data/information, based on which proposals are formulated, has undergone significant changes by the time the proposals are actually considered by the Cabinet/Cabinet Committees/GOM. In such cases, it would be advisable either to withdraw the Note for necessary updating and revision or bring the facts to the notice of the Cabinet Secretary/ Cabinet/Cabinet Committees/GOM for consideration, before the note is taken up for consideration;

### III. NO. OF COPIES:

22. Number of copies of the notes required to be sent to Cabinet Secretariat are indicated below (modified vide OM No. 1/13/4/2005-Cab. dated 23-2-2006) :

Note for consideration of Cabinet.	<b>60 copies</b> in English and Hindi plus additional copies equivalent to the number of Departments consulted in the matter.
Notes for Cabinet Committees	<b>45 copies</b> in English and Hindi plus additional copies equivalent to the number of Departments consulted in the matter.
Notes for Cabinet Committee on Political Affairs/ Cabinet Committee on Security	<b>20 copies</b> in English and Hindi

23. 5 copies each of the Acts, Ordinance, rules and Regulations referred to in the note should be sent to the Cabinet Secretariat along with the requisite number of copies of the Note for placing before the Cabinet/Cabinet Committee/ GOM;

### IV. PRESS BRIEF:

24. (a) As per the existing instructions, a 'Draft Press Brief ' on the assumption that the proposal will be approved by the Cabinet/Cabinet Committee/GOM should be prepared and 2 copies of the same be enclosed with the communication forwarding the note for the Cabinet/Cabinet Committee. In case the 'Draft Press Brief ' is not attached to the note, the reasons for not doing so may be mentioned in the forwarding communication; and
- (b) In the event there has been a lapse of two weeks between the date of preparation of the brief and the date on which the item is taken up in the Cabinet meeting, an updated brief inter alia indicating subsequent developments, if any, should be handed over to the Cabinet Secretariat on the date of the meeting for taking further necessary action. In case of any significant development, an updated brief may be given even if the gap between the preparation of the brief and the date of the meeting is less than two weeks.
- (c) No press brief would be necessary in respect of ordinances and proposals on purely administrative matters with which the public at large is not directly concerned.
- (d) When Parliament is in session, no draft press brief needs to be sent in respect of proposals relating to major questions of policy.

## **V. INTER-MINISTERIAL CONSULTATIONS:**

### **(A) Normal Procedure:**

25. The sponsoring Ministry/Department should consult all the Ministries/Departments which may be concerned with the subject matter and should also show them, wherever necessary, the draft note in order to ensure that the views of other Ministries/Departments are properly brought out in the note. The views of consulted Ministry/Department should have the approval of their Minister-in-charge. It is, therefore, essential that while conveying the views on the proposals contained in the draft notes to the sponsoring Ministry/Department, the Ministries/Departments should categorically state that the same have the concurrence of their Minister-in-charge. The sponsoring Ministry/Department, on their part, need to invariably indicate in the final notes that the views of the consulted Ministries/Departments brought out therein have the concurrence of the Minister-in-charge.

26. When the differing Ministry/Department's remarks are reproduced in-extenso in the final Note, no second reference to the differing Ministries/ Departments concerned is necessary. However, this is subject to the proviso that if any addition is made to the Note by the sponsoring Ministry to rebut the arguments advanced against its proposal, it should be shown to the differing Ministries/Departments. The obligation would, however, be limited only to showing the paper and not to securing consent to the views expressed by the sponsoring Ministry/Department in rebuttal. In such cases, the fact that the note, in its final form, has been shown to the differing Ministry/Department should be reflected in the Note;

27. The suggestion either in the Note or in the forwarding memo. to the effect that the views of the Ministries/Departments concerned have not been received and they may be obtained in the meetings would normally be an unacceptable departure from the rules and instructions. The appropriate adherence to the Rules demands that vigorous efforts are made to obtain the views of the Departments concerned, the difference of opinion, if any, is reconciled and the resultant position is incorporated in the Note;

### **(B) Urgent and time bound proposals:**

28. In the case of urgent and time bound proposals, the following procedure may be followed :

- (a) The Ministries/Departments should furnish their comments/concurrence on Cabinet proposals to the administrative Ministry/Department *within 15 (fifteen) days of receipt of the same*; .
- (b) In order to ensure that communication seeking the comments/concurrence of the Ministries/Departments concerned on Cabinet proposals receive due attention at the appropriate level, it has to be ensured by the administrative Ministry/Department that at least one copy of all such communications is invariably addressed to the Secretary of the Department by name, inter-alia indicating the urgency;
- (c) In exceptional cases when it would not be feasible to furnish comments within the stipulated period of 15 days, the Ministries/Departments consulted should indicate this position immediately with reasons to the administrative Ministry/Department and the Cabinet Secretariat;

- (d) In case the comments/concurrence are not communicated by the Ministries/ Departments consulted within the stipulated 15 days period and also no communication has been received from that Ministry/Department seeking additional time for furnishing the comments, it would be appropriate if a demi official letter to the Secretary to that Department is issued bringing to his notice the lack of comments from his department, so that there is no communication gap. It may also be mentioned therein that the note is proposed to be submitted to the Cabinet Secretariat, by a given date. While forwarding the note to the Cabinet Secretariat an advance copy of the note in the final form may also be sent to the Department concerned; and
- (e) If the comments are received after the note in final form has been sent to the Cabinet Secretariat, and these involve substantial differences or modification of the proposal, an attempt should be made to send a supplementary note dealing with the comments at the earliest possible, but before the proposal comes up for consideration in the Cabinet.

**(c) Cases considered by PIB/EFC etc.**

29. Certain types of cases are considered in inter-ministerial meetings before their consideration by the Cabinet. In respect of the proposals considered by the following Committees viz. Core Group on Disinvestment (*CGD*), Public Investment Board (*PIB*), Expenditure Finance Committee (*EFC*), Expanded Board (*EB*), Foreign Investment Promotion Board (*FIPB*), Central Empowered Committee (*CEC*), High Powered Price Monitoring Board (*HPPMB*), and Export Promotion Board (*EPB*) a simplified procedure of inter-ministerial consultations would be followed, which is given below :—

- (a) Secretaries participating in the deliberations of the *CGD*, *PIB*, *EFC*, *EB*, *FIPB*, *CEC*, *HPPMB* and *EPB* should obtain the orders of their respective Ministers immediately after the Board/Committee takes a decision and communicate their comments, if any, to the Secretary of the Ministry sponsoring the proposal within a week of the receipt of the minutes of the Board/Committee meeting failing which the formal concurrence of their Ministry will be assumed;
- (b) If the recommendations made by the *CGD*, *PIB*, *EFC*, *EB*, *FIPB*, *CEC*, *HPPMB*, *EPB* are not accepted either by the Minister of the sponsoring Ministry or any other Minister, it will be obligatory for the sponsoring Ministry to show the Note for the Cabinet/Cabinet Committees/GOM to all concerned Ministries before it is finalised for submission;
- (c) In all other cases, namely, those in which the recommendations of the *CGD*, *PIB*, *EFC*, *EB*, *FIPB*, *CEC*, *HPPMB*, *EPB* are acceptable to all Ministries concerned, the sponsoring Ministry will send the Note for the Cabinet/Cabinet Committees/GOM together with the minutes of the Board/Committee meeting as an annexure thereto to the Cabinet Secretariat with the request that it will be placed before the Cabinet/Cabinet Committee/GOM at the first meeting which is held 7 days after its receipt. A copy of the Note should be simultaneously sent by the sponsoring Ministry to all Ministries concerned. The rationale of the proviso for holding back submission to the Cabinet/Cabinet Committees/GOM for 7 days after the receipt of the Note is that the other Ministries should have an opportunity to check that their viewpoint has been correctly reflected therein. The notes for Cabinet/Cabinet Committees/GOM being submitted accordingly should have the approval of the competent authorities as indicated below :—

Sl. No.	BODY	APPROVAL REQUIRED
1.	Core Group on Disinvestment (CGD)	Minister of Disinvestment.
2.	Public Investment Board (PI B), Expenditure Finance Committee (EFC)	Minister-in-charge of the Administrative Ministry and Finance Minister.
3.	Expanded Board (EB)	Minister of Railways
4.	Foreign Investment Promotion Board (FIPB)	Minister of Commerce and Industry.
5.	Central Empowered Committee (CEC)	Minister-in-charge of the Ministry of Statistics and Programme Implementation and Deputy Chairman, Planing Commission.
6.	High Powered Price Monitoring Board (HPPMB).	Minister of Consumer Affairs, Food and Public Distribution or Minister of Commerce and Industry depending on the case.
7.	Export Promotion Board (EPB)	Minister of Commerce and Industry and Finance Minister.

(d) Should the submission of a Note to the Cabinet/Cabinet Committee/GOM be delayed by the Administrative Ministry concerned for more than three months after the approval of the proposal by the PIB,EFC,EB, FIPB, CEC, HPPMB, EPB, it will be necessary to obtain fresh clearance from the Chairman of the Board/Committee;

(e) In respect of urgent cases being submitted for consideration of the Cabinet Committee on Prices (CCP), which have not been considered by the HPPMB, the Administrative Departments may normally give seven days time to all concerned to convey their views on the draft note before the same is finalised and submitted for consideration of the CCP. However, in cases of extreme urgency, a shorter period may be allowed depending on the situation. In such cases, the Administrative Department will inform Cabinet Secretariat as soon as such notes are circulated;

(Cabinet Secretariat Memo No.1 /16/1 /2002-Cab dated... .. )

**APPENDIX- 7.1(a)**

**SPECIMEN FORMAT OF THE MAIN NOTE**

**SECRET**

**Copy No.-----**

No. -----

MINISTRY OF -----

DEPARTMENT OF -----

New Delhi, the-----

(date of the note)

**NOTE FOR THE CABINET**

**OR**

**NOTE FOR THE CABINET COMMITTEE ON**

**OR**

**NOTE FOR THE GROUP OF MINISTER ON**

Subject : -----

- (a) Contents should be typed in double space (in font size of 12-14) not exceeding 7 to 8 pages. All pages of all copies should be legible.
- (b) Each para and sub-para should be appropriately numbered.
- (c) The fact that Appendix and Annexes are attached with the note should be indicated at relevant place(s) in the note. Continuous page numbers of the Appendices/Annexes should also be indicated in bracket against each. On each Appendix/Annex the relevant paragraph of the main note should be indicated, for easy reference.
- (d) The names of the Ministries/Departments consulted on the proposal(s) should be indicated in a separate paragraph. Their views together with the comments of administrative Ministry/ Department thereon should be briefly indicated in the note. The details in this regard may be indicated in a tabular form in annexes to be attached with the note.
- (e) There should be a separate approval para which should be self-contained and seek approval to the specific proposal/proposals.
- (f) The penultimate para should indicate about the Implementation Schedule attached as Appendix. (This appendix is to be placed immediately after the main note).
- (g) The last para should indicate about the approval of the Minister-in-charge to the proposal(s) contained in the note.

Signature -----

Name-----

Designation-----

(Not below the rank of Joint Secretary in the sponsoring Ministry/Department)

**Telephone No.-----**

**[Cabinet Secretariat Memo. No. 1/16/1/2002-Cab. Dated-----]**

**APPENDIX-7.1(b)**

**SPECIMEN FORMAT FOR THE STATEMENT OF  
IMPLEMENTATION SCHEDULE**

APPENDIX

SECRET

No. \_\_\_\_\_

MINISTRY OF \_\_\_\_\_

DEPARTMENT OF \_\_\_\_\_

STATEMENT OF IMPLEMENTATION SCHEDULE

Subject:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

\*\*\*\*\*

Gist of decision required	Project benefits/results	Time-frame and manner of Implementation/Reporting to Cabinet Secretariat

Signature \_\_\_\_\_

Name \_\_\_\_\_

Designation \_\_\_\_\_

(Not below the rank of Joint Secretary in the sponsoring Ministry/Department)

Telephone No. \_\_\_\_\_

[Cabinet Secretariat Memo. No. 1/16/1/2002-Cab. dated \_\_\_\_\_]

## APPENDIX-7.2

[ vide paragraph 32(15) ]

### PROCEDURE REGARDING PREPARATION AND SUBMISSION OF PAPERS FOR CONSIDERATION OF THE COMMITTEE OF SECRETARIES

Instructions have been issued from time to time by the Cabinet Secretariat regarding the procedures to be followed in the preparation and submission of papers for consideration of the Committee of Secretaries (COS). The instructions have been revised wherever necessary in the light of past experience and are indicated below in consolidated form for the guidance of and compliance by all concerned.

#### General and Attendance

1. Purpose of COS Meetings: The COS meets in the Cabinet Secretariat to discuss important issues referred to them by the Departments/Ministries.

2. Who is to attend Meetings of COS: Since the meetings of COS are fixed generally after ascertaining the convenience and availability of the participating Secretaries, the invitee Secretaries are expected to attend them in person and not with or through their representatives. In case an invitee Secretary is not in a position to attend the meeting on account of unforeseen circumstances and for compelling reasons, he may depute a senior representative (not below the rank of Joint Secretary) of his Department, after prior approval of the Cabinet Secretary. In such cases, the officer attending the meeting should be fully briefed and authorized to enter into necessary commitments on behalf of the Secretary. .

3. It may be necessary, in rare cases, for invitee- Secretary to be accompanied by another officer to assist him. In such cases also Cabinet Secretary should be kept informed in advance by the invitee—Secretary.

#### **Types of cases that can be brought before COS**

4. All cases of the nature specified below can be brought before the COS :—

- a. Cases pursuant to a specific direction of Prime Minister/Cabinet/Cabinet Committee/ GOM.
- b. Cases specifically referred to COS for discussion.
- c. Cases where there is/are non-reconciled difference(s) of opinion between the sponsoring Department and the Ministries/Departments consulted at official level and where discussion in COS would be of help in resolving or narrowing down the differences.
- d. Cases of very urgent nature requiring direction on policy or course of action within a prescribed time limit regarding which a consensus among the Ministries/Departments concerned is considered necessary.
- e. Cases where decisions taken in a particular Ministry/Department could have repercussions on matters dealt with in other Ministries/Departments concerned and a discussion in COS for evolving a coordinated approach is necessary;

- f. Cases in which a Secretary of a Department desires advice of COS on a subject assigned to his charge; and
- g. Cases of new policy initiatives or change in policy where discussions in COS concerned may be helpful.

#### **Types of Cases NOT TO BE submitted to COS**

- 5. The following cases are NOT TO BE brought before the COS:—
  - a. Those cases which are within the scope of the various Committees of the Government like PIB, FIPB, etc.;
  - b. Those cases which concern one or two Ministries only and where the issues can be resolved bilaterally;
  - c. Cases where the issues can be resolved through inter-Ministerial meeting(s); and where instructions exist for consulting specific Departments/Agencies e.g. Department of Banking, Reserve Bank of India, etc.;
  - d. Cases of routine nature relating to creation of posts etc.;
  - e. Cases involving large financial allocation in which Ministry of Finance has not concurred.

#### **Preparation of Notes for COS**

- 6. The essential procedural requirements which should be complied for the preparation and submission of Notes for COS are as under :—
  - a. The notes should bear the name of the Ministry /Department at the top. It must also carry File Number and date. The words "Note for the Committee of Secretaries" should appear below the name of the Ministry or Department;
  - b. The note must be Security Graded (Secret or Top Secret as the case may be), and the copies of the notes be serially numbered. The Security Grading must appear on all pages of the note;
  - c. A brief subject heading indicative of the proposals contained in the paper be given in all cases;
  - d. All the pages of the note, including the Annexes, should carry continuous page numbers on the bottom extreme right hand corner of the pages, simultaneously indicating total number of pages in the manner "Page x of y", where "x" is the running serial number of the page and "y" is the total number of pages in the note.

#### **Contents of the COS Notes**

- 7. The following may be observed while preparing notes for COS:—
  - a. The notes should be self-contained. They should not be unnecessarily long and, in any case should not exceed five-six pages. Other relevant material should be relegated to its annexes/appendices;
  - b. The last para of the note must indicate that the note has the approval of the Secretary of the sponsoring Ministry /Department;



- .. c. The note must be signed by an officer of the rank of Deputy Secretary/Director or above;
- d. The last but one para of the note should contain the points on which decisions/ recommendations of the COS are sought, together with the view of the sponsoring Ministry/ Department;
- e. In all cases, the Ministries/Departments concerned must be consulted before hand and their views or comments be included in the COS note;

In urgent and time bound cases, the opinion/comments of other concerned Ministries be indicated in the note for COS if they are known through previously convened meetings or inter-departmental consultations.

The inter-departmental consultations should provide full opportunity to the Departments concerned to list their objections, and reservations, if any. The Ministries/Departments should, therefore, avoid sending their comments to this Secretariat on the Agenda notes circulated to them and their objections, reservations may be articulated in the meeting itself. In cases, where it is necessary to sent the comments on Agenda notes to the Cabinet Secretariat, this must be as a supplementary note in the format prescribed for COS notes under these instructions;

- f. Paragraphs of the note must be numbered;
  - g. 20 copies of the note should be sent to the Cabinet Secretariat;
  - h. Notes should be sent well in advance so that there is sufficient time to convene the meetings; and
  - i. The notes must be typed on both sides of the paper in double space with sufficient space (not less than 1.5") on the left edge of the obverse side of the paper and on the right edge on the reverse of the paper.
- 8. All the papers pertaining to COS are classified documents and the Departmental Security Instructions must be followed scrupulously in regard to their handling and safe custody.
  - 9. These instructions may be strictly followed/adhered to by all concerned.

**[Cabinet Secretariat Memo. No. 1/16/1/2002-Cab. dated.....]**

## APPENDIX-7.3

[ vide paragraph 32(16)]

### **INSTRUCTIONS ON CONSTITUTION/RECONSTITUTION OF HIGH-LEVEL COMMISSIONS/ COMMITTEES ETC.**

The administrative Ministries/Departments are required to obtain the approval of the Prime Minister through the Cabinet Secretary before High-Level Commissions or committees are set up or their compositions altered. The procedure for processing the proposals is indicated below:

#### **2. Definition:**

The term “High-Level Committee/Commission” means a Committee or Commission presided over by a high ranking dignitary, e.g. a Minister, a Judge of the Supreme Court, a Vice-Chancellor etc. which inter-alia includes prominent persons in public life as members. .

#### **Explanation I :**

In determining whether a Committee or Commission is High-Level or not, regard should be had to the nature of its terms of reference and their importance from the economic, social or political stand points. In other words, even if the Commission or Committee is presided over not by a high-level dignitary, but some one otherwise prominent and its terms of reference are important, it should be regarded as High-Level.

#### **Explanation II:**

Proposals for setting up Public Commissions or Committees of Inquiries, i.e. Commissions or Committees set up under the Commission of Inquiry Act or other Commissions or Committees of Inquiry which may have to call for information and evidence from the public are outside the purview of these instructions; such proposals require the approval of the Cabinet and should be submitted in accordance with the procedure prescribed for submission of cases to the Cabinet. However, should any alteration in the composition of such Commission/Committee become necessary after their establishment has been approved by the Cabinet, it would be sufficient if the approval of the Prime Minister is obtained to the proposed changes through the Cabinet Secretariat.

#### **Explanation III:**

Departmental or Technical Committees presided over by, and composed principally of Government officials or experts in different disciplines, even if one or more non-officials are proposed to be included, are also outside the purview of these instructions. However, should such Committees include any Member of Parliament; the prior approval of Prime Minister to their inclusion must be obtained.

#### **3. Procedure:**

- (i) The question as to whether the proposed Commission/Committee conforms to the definition of the term “High-Level” should be carefully considered in accordance with the guidelines in para 2 above.
- (ii) If it is proposed to include Members of Parliament in the proposed Commission/Committee, the prior approval of Minister of Parliamentary Affairs should be obtained to the nomination of the MPs.

- (iii) Following receipt of a reply from the Department of Parliamentary Affairs in cases in which MPs are proposed to be included and ab-initio in others, details regarding the terms of reference, composition (MPs and others whether official or non-official) and tenure of the Commission/Committee etc. should be forwarded to the Cabinet Secretariat in the format of Annex.
- (iv) The consent of the proposed members, both MPs and other, should be obtained only after Prime Minister's approval has been communicated by the Cabinet Secretariat.
- (v) Where proposals relate to organizations like CSIR, ICAR and ICMR (all registered societies), any change in the composition of the membership of the society may be made with the approval of the Minister concerned within the frame work of the Memorandum of association of the registered society and its rules and by-laws.
- (vi) For bodies like the Atomic Energy Commission, the Space Commission, the Electronics Commission and the Planning Commission, the Prime Minister is himself the Minister-in-charge. Membership of the respective Commissions, or any changes therein, would therefore, in any case be subject to his prior approval.

**Note:—**The proposed change in composition may at times be limited only to the Members of Parliament and not extend to other members. Even in such cases, a reference to the Cabinet Secretariat after obtaining the formal approval of the Minister for Parliamentary Affairs is necessary. This is because a check is necessary to see whether the names already informally cleared by PM fit in with the rest of the membership of the high-level Commission/Committee before formal approval is accorded.

4. These instructions apply to all high-level Commissions/Committees whether standing or ad-hoc and to all appointments whether part-time or whole-time.

**[Cabinet Secretariat Memo. No. 1/16/1/2002-Cab. dated .....]**

**ANNEX**

Proforma for submitting proposals for constitution/reconstitution or change in the composition of high-level Commission/Committee requiring approval of the Prime Minister.

1.	Name of the Ministry/Department.	
2.	Name of the high-level Commission/Committee.	
3.	Background information leading to the appointment of the of the Commission/Committee.	
4.	Terms of reference of the Commission/Committee.	
5.	Composition/Recomposition/Change in the composition of the Commission/Committee.	
6.	Period prescribed for completion of works assigned to the Commission/Committee.	
7.	Whether concurrence of the Department of Parliamentary Affairs has been obtained in respect of MPs included in the composition of the Commission/Committee.	
8.	Whether the proposal has been approved by the Minister-in-charge of the Ministry/Department.	

## APPENDIX 8

*Illustrative list of Acts, Rules and Instructions of a general nature to be maintained by each section*

*[Vide para 35(2)]*

1. Constitution of India.
2. Government of India (Allocation of Business) Rules, 1961 (As amended from time to time).
3. Government of India (Transaction of Business) Rules, 1961 (As amended from time to time).
4. Authentication (Orders & other Instruments) Rules, 1958
5. Procedure in regard to submission of cases to the Cabinet, issued by the Department of Cabinet Affairs.
6. The Official Languages Act, 1963, the O.L. Rules, 1976 and instructions issued there under.
7. Rules of procedure and conduct of business in Lok Sabha.
8. Directions by the Speaker under the rules of procedure and conduct of business in Lok Sabha.
9. Rules of procedure and conduct of business in Rajya Sabha.
10. Procedure to be followed by Ministries in connection with parliamentary work, issued by Lok Sabha Secretariat.
11. Departmental security instructions issued by the Ministry of Home Affairs.
12. General instructions regarding typewriting, stencil cutting, carbon mari folding, etc., issued by the Institute of Secretariat Training and Management.
13. Channel of communication between the Government of India and State Governments on the one hand and Foreign and Commonwealth Governments or their Missions in India, Head of Indian Diplomatic Missions and Posts abroad and United Nations and its specialized Agencies on the other, issued by the Ministry of External affairs.
14. Standardized functional file index including its file numbering system relating to establishment, finance, budget and account, office supplies and services and other house keeping jobs common to all departments, issued by the Department of Administrative Reforms and Public Grievances.
15. Schedule of periods of retention for records common to all ministries/departments issued by the Department of Administrative Reforms and Public Grievances.
16. Manual for Handling Parliamentary work in Ministries/Departments.
17. Manual of Office Procedure (13th Edition, 2010)

## APPENDIX 9

### Specimen forms of Communications

(Vide para 50)

#### (1 ) Letter (with endorsement)

No. .... Government  
of India (Bharat Sarkar)  
Department of .....  
(..... Vibhag)  
New Delhi, the ..... (Date)

To

Subject:

Sir,

\*With reference to your letter No. .... dated ..... on the  
subject cited above.....

Yours faithfully,

@Sd/  
(A.B.C.)

**Under Secretary to the Govt. of India**

Tele: No. ....

(Endorsement)

No. ....

Copy forwarded for information/necessary action to :

(1 )

(2)

(A.B.C.)

**Under Secretary to the Govt. of India**

Tele : No. ....

---

\*Other alternative forms of the introductory phrases commonly used are :

(i) I am directed to refer to your letter No.... dated. .... on the subject and to say that....

(ii) In continuation of my/our/this Department's letter No. ....dated .....

(iii) With reference to the correspondence resting/ending with your/this department's letter No..... dated.....

@ To be typed on copies intended for (1) and (2) referred to in the endorsement.

**Appendix 9- contd.**

(2) Demi-Official letter

XYZ

Deputy Secretary

Tele:No.

D.O. No.....

GOVERNMENT OF INDIA

(Bharat Sarkar)

Department of .....

(.....Vibhag)

New Delhi, the 2010

My dear/Dear Shri.....

We propose to draw up a model scheme for ..... A copy of the outline prepared in this connection is enclosed.

I shall be grateful if you would let me have your comments as soon as possible. I may add that we intend circulating the draft scheme formally to all departments in due course for their comments.

With regards,

Yours sincerely

**(X, Y, Z)**

**A.B.C.,**

**Deputy Secretary**

**Department of ... ..**

**(... .. Vibhag)**

**Krishi Bhawan,**

**New Delhi 110001.**

**APPENDIX 9 - contd.**

(3) Office Memorandum

No.....

GOVERNMENT OF INDIA

(Bharat Sarkar)

Department of .....

(.....Vibhag)

New Delhi, the 2010

OFFICE MEMORANDUM

Subject:

Reference is invited to this Department O.M. No. ....

..... dated.....

2. Doubts have been expressed whether the provisions of.....also apply to..... It is hereby clarified that.....

(A.B.C.)

Under Secretary to the Govt. of India

Tele. No.....

To

The Department of .....

(... Vibhag)

(Shri/Smt.....)

Yojana Bhavan

Parliament Street

New Delhi 110001.

**APPENDIX 9 - contd.**

(4) Inter-departmental note

GOVERNMENT OF INDIA  
(Bharat Sarkar)

Department of .....

(.....Vibhag)

Subject:

1. The present rules regulating the issue of identity cards provide inter alia that .....

2. A question has now arisen whether.....

3.

4.

5. This department will be grateful for the advice of the Department of Legal Affairs on the issue raised in para 4 above.

(X.Y.Z.)  
Deputy Secretary  
Tele. No. ....

Department of Legal Affairs (Vidhi Karya Vibhag), (Shri .....), Shastri Bhavan, New Delhi

Department of ..... I-D No .....Dated .....



**APPENDIX 9 - contd.**

**(5) Enclair Telegram**

**TELEGRAM**  
£DCOMAH  
MUMBAI

STATE  
\*EXPRESS

No ..... @ ..... REOLET-RYLET JULY TENTH STOP EXPEDITE  
BUDGET PROPOSALS STOP FINANCE PRESSING HARD STOP

£ HOMEX

NOT TO BE TELEGRAPHED

(A. B.C.)  
**Under Secretary to the Govt. of India**  
Tel. No.....  
Department of .....  
( ..... Vibhag)

No. ....

*New Delhi, the 2010*

Copy by post in confirmation.

(X.Y.Z.)  
*for Under Secretary to the Govt. of India*

TO  
The Director of Census Operations,  
Maharashtra Sachivalaya,  
MUMBAI

---

\*Where necessary

£ Telegraphic address of addressee/sender.

@ Stands for 'Reference our letter/Reference your letter'

Note: The form of telex message will be similar to that of telegram.

**APPENDIX 9 - contd.**

**(6) Office Order**

**Specimen - I**

No .....

GOVERNMENT OF INDIA  
(Bharat Sarkar)

Department of ... ..  
(.....Vibhag)

New Delhi, the 2010

**OFFICE ORDER**

Shri Y.X.Z., a permanent Section Officer in this department, is granted earned leave for.....days from..... to.....with permission to prefix ..... and suffix..... both public holidays, to the leave.

2. It is certified that Shri X.Y.Z. is likely, on the expiry of this leave, to return to duty at the station from which he proceeded on leave.

(A.B.C.)  
**Under Secretary to the Govt. of India**

Copy to :

1. Office order file
2. Cashier
3. Section concerned
4. Shri X.Y.Z. Section Officer.

**Specimen - II**

No .....

GOVERNMENT OF INDIA  
(Bharat Sarkar)

Department of ... ..  
(.....Vibhag)

New Delhi, the 2010

**OFFICE ORDER**

It has been decided to transfer the work relating to.....from ..... Section to ..... Section.

(A.B. C.)  
**Under Secretary to the Govt. of India**

Copy to :

**APPENDIX 9 - contd.**

**(7) Order**

**Specimen - I**

No .....  
**GOVERNMENT OF INDIA**  
(Bharat Sarkar)  
Department of .....  
(.....Vibhag)

New Delhi, the 2010

**ORDER**

Sanction of the President is accorded under rule 10 of the Delegation of Financial Powers Rules, to the write off irrecoverable loss of Rs. 5000 (Rupees Five Thousand only) being the value of the following articles belonging to this department.

- (1) X X X X X
- (2) X X X X X

(A.B.C.)  
**Under Secretary to the Govt. of India**  
Tel. No.....:.....

Copy forwarded to :

- 1. The A.G.C.R., New Delhi.
- 2. Internal Finance Section.
- 3. Cash Section.

**Specimen - II**

No .....  
**GOVERNMENT OF INDIA**  
(Bharat Sarkar)  
Department of ... ..  
(.....Vibhag)

New Delhi, the 2010

**ORDER**

Shri ..... a lower Division Clerk in the Department of ..... is hereby informed that it is proposed to take action against him under rule ..... of .....

2. Shri ..... is hereby given an opportunity to make such representation as he may wish to make against the proposal within seven days from the date of issue of this order. .

- 3.
- 4.

(D.E.F.)  
**Deputy Secretary to the Govt. of India**  
Tel. No. ....

To  
Shri                      L.D.C.  
.....  
.....

**APPENDIX 9 - contd.**

**Specimen - I**

**(8) Notification**

[To be published in the Gazette of India, Part I, Section 2]

**GOVERNMENT OF INDIA**

(Bharat Sarkar)

Department of .....

(.....Vibhag)

New Delhi, the 2010

**NOTIFICATION**

No. .... Shri X.Y.Z., Under Secretary in the Department of..... is appointed to officiate as Deputy Secretary in that Department vice Shri ..... transferred to the Department of .....

(A.B.C.)

**Joint Secretary**

No. ....

The Manager,  
Government of India Press,  
(Bharat Sarkar Press) FARIDABAD

'Copy forwarded for information to :

- (1)
- (2)
- (3)

(D.E.F.)

**Under Secretary to the Govt. of India**

**Specimen - II**

[To be published in the Gazette of India, Part II, Section 3 Sub-section (ii)]

**GOVERNMENT OF INDIA**

(Bharat Sarkar)

Department of.....

(.....Vibhag)

New Delhi, the 2010

**NOTIFICATION**

No. S. O..... In exercise of the powers conferred by Section 4 of the Supply and Prices of Goods Act, 1950 (LXX of 1950) .....the Central Government hereby fix the following schedule of maximum price.....

[No .....

(A.B. C.)

**Secretary to the Govt. of India**

The Manager, Government of India Press, (Bharat Sarkar Press)New Delhi.

\*Endorsement should be typed on all copies except the one intended for the press.

**APPENDIX 9 - contd.**

**(9)Resolution**

(To be published in the Gazette of India, Part I, Section 1)

No. ....

GOVERNMENT OF INDIA  
(Bharat Sarkar) Department  
of .....  
(..... Vibhag)

New Delhi, the 2010

**RESOLUTION**

The Government of India have had under consideration the question of further improving the efficiency of the departments and services concerned with the collection of revenue. As a first step in that direction the President has been pleased, under the powers vested in him under Article ..... of the Constitution of India, to decide that a Class I Central Service to be known as 'India Revenue Service' should be constituted with effect from .....

(A.B.C.)  
**Secretary to the Government of India**

**ORDER**

ORDERED that a copy of the resolution be communicated to .....

ORDERED also that the resolution be published in the Gazette of India for general information.

(A B.C.)  
**Secretary to the Govt. of India**

To  
**The Manager,  
Government of India Press,  
(Bharat Sarkar Press)  
FARIDABAD.**

**APPENDIX 9 - contd.**

**(10) Press Communiqué/Note**

Not to be published or broadcast before ..... a.m./p.m. on .....  
day, the ..... 2010.

**PRESS COMMUNIQUE/NOTE**

In response to public demand, the Government of India have appointed a commission to go into the problem of ..... and make suitable recommendations to the Government.

2. The Commission will consist of Shri ..... as Chairman and the following as members;

- (i)
- (ii)
- (iii)

3. In making its recommendations, the Commission is expected to give consideration to the following matters;

- (a)
- (b)
- (c)

4. The Commission is expected to submit its report to the Government by .....

Department of .....  
( ..... Vibhag)

New Delhi, the 2010

No. ....

Forwarded to the Principal Information Officer, Press Information Bureau, Government of India, New Delhi, for issuing the communiqué and giving it wide publicity.

( A.B.C )  
**Joint Secretary**  
**Tele.No. ....**

**APPENDIX 9 - contd.**

**(11) Endorsement**

No. ....

GOVERNMENT OF INDIA

(Bharat Sarkar)

Department of .....

( .....Vibhag)

New Delhi, the 2010

A copy each of the papers mentioned below is forwarded for information and necessary action.

(A.B. C.)

*Under Secretary to the Govt. of India*

Tele. No. ....

List of papers forwarded.

(1 )

(2)

To

---

**Note** :The above is a specimen of endorsement as an independent form of communication. There can, however, be endorsement below other forms of communications also. e.g., letter, Notification etc. as shown in specimen forms (1) and (9).

## APPENDIX 10

*Extracts from the Indian Telegraph Rules and P & T Manual regarding classification and use of urgency gradings for State Telegrams*

*[Vide para 50(5)(c)]*

### Indian Telegraph Rules

#### **Rule 143. Classification and order of Priority for State Telegrams:**

(1) The following classification indicates in descending order the priority which regulates the disposal of State telegrams, namely:

- (i) SVH.
- (ii) Most Immediate and Operations Immediate.
- (iii) Immediate.

(2) Officers empowered to send State telegrams authorized in this behalf by the Director-General, may use these priority indications and obtain for their telegrams precedence over all telegrams of a lower indication awaiting disposal. Telegrams in the course of transmission shall not be interrupted except to prevent delay in disposal of telegrams classed 'IMMEDIATE' or higher priority.

(3) These indications shall be written immediately before the address of the telegram and will be transmitted free.

(4) Telegrams bearing the same priority indications shall be disposed of in the order in which they are booked.

(5) The priority indications mentioned in sub-rule (1) shall operate in respect of telegrams to Sri Lanka and Nepal in respect of foreign telegrams whilst within Indian limits.

**Rule 144. Charges.** - MOST IMMEDIATE, OPERATIONS IMMEDIATE, IMMEDIATE AND WEATHER IMMEDIATE, inland telegrams shall be charged at double the rates for Express telegrams. SVH Telegrams shall be charged at the rates for Ordinary Telegrams. Express and Ordinary State telegrams shall be charged at the rates fixed for private telegrams of the same Class (Rule 60).

#### *Telegrams relating to safety of human life*

**Rule 145.** - Telegrams relating to the safety of human life in maritime or aerial navigation shall bear the service instruction "SVH" written by the sender or the office of origin and telegrams so written shall be given priority in transmission above 'Most Immediate' Priority Telegrams. Such telegrams shall be delivered to the addressee at once by the office of delivery. Every office which receives a telegram of this category classed either as a State Telegram or a Service Telegram or a Meteorological Telegram shall handle it with topmost priority at all stages.



**P & T Manual (Volume XI-Parts I & II)**

**Para 214. Most Immediate, Operations Immediate and Immediate Telegrams.**—The indication 'Operations Immediate' is reserved for messages directly connected with naval, military or air emergency operations. The remaining indications *viz.* Most Immediate and Immediate may be used for any Government purpose when the degree of urgency justifies. Though SVH telegrams in the Inland Service including telegrams to Sri Lanka or Nepal are now charged at ORDINARY rate, they should be given due priority as mentioned in I.T.R. 145.

\*List of officials authorized to send Most Immediate; Operations Immediate and Immediate telegrams are given in Appendix 9, in Part III of this Volume.

- (a) A degree of priority authorized for use by any particular officer may be exercised by that Officer's Immediate deputy (and no one else) when the authorized Officer is away from headquarters.
- (b) In exceptional circumstances, any Officer may use any degree of priority he considers necessary.

NOTE: The Department does not accept any responsibility for verifying that the Officer booking a telegram with a particular degree of priority is actually authorised to do so but reasonable care must be taken in checking the authenticity of such telegrams; any case of clear infringement of the order on the subject should be brought to the notice of the Heads of Circle.

**Para 215.** The Instructions given in Indian Telegraph Rule 143 regarding State messages of the degree of priority Immediate and above must be strictly enforced. Heads of offices will be held responsible for any breach thereof. The words Most Immediate, Operations Immediate or Immediate which are not charged for, should be signaled as Service Instruction immediately before the address thus. - Most Immediate, Governor Bengal, SVH. Most Immediate, Operations Immediate or Immediate telegrams should invariably be signaled in the presence of a supervisor or a Telegraph Master or the Senior official present. To permit of this being done, the Signal CTM should follow the class Prefix or Warning Signal "000". The Supervisor or Telegraph Master or Senior official who supervises the prompt disposal of a Most Immediate, Operations Immediate, or an Immediate telegram should initial the telegram form in token of his having dealt with it [See also paras 46 and 219 (iv)].

---

\*Not reproduced, Secretariat Officers of and above the rank of Deputy Secretary are authorized to use the grading 'IMMEDIATE'

## APPENDIX 11

### Composition of the Gazette of India and instructions for sending material for publication therein

[Vide para 50(11)]

#### A. Composition

Part	Section	Type of matter to be published.
I (To be published from Faridabad)	1.	Notifications relating to resolutions and non-statutory orders issued by the Ministries of the Government of India (other than the Ministry of Defence).
	2.	Notifications regarding appointments, promotions, etc. of government officers issued by the Ministries of the Government of India (other than the Ministry of Defence).
	3.	Notifications relating to resolutions and non-statutory orders issued by the Ministry of Defence.
	4.	Notifications regarding appointments, promotions, etc. of government officers issued by the Ministry of Defence.
II (To be published from Delhi)	1.	Acts, ordinances and regulations.
	1A.	Publication of the authoritative texts in Hindi language of Acts, ordinances and regulations.
	2.	Bills and reports of Select Committees on Bills.
	3.	<i>Sub-Section (i)</i> General statutory rules (including orders, byelaws, etc., of a general character) issued by the Ministries of the Government of India (other than the Ministry of Defence) and by central authorities (other than the administrations of Union Territories)  <i>Sub-Section (ii)</i> Statutory orders and notifications issued by the Ministries of the Government of India (other than the Ministry of Defence) and by central authorities (other than the administrations of Union Territories)

## APPENDIX 11—Contd.

Part	Section	Type of matter to be published.
Faridabad)	3A.	Authoritative texts in Hindi (other than such texts published in section 3 or section 4) of general statutory rules and statutory orders (including bye-laws of general character) issued by the Ministries of the Government of India (including the Ministry of Defence) and by central authorities (other than administrations of Union Territories)
	4.	Statutory rules and orders issued by the Ministry of Defence
	1.	Notifications issued by the Supreme Court, Comptroller and Auditor General, Union Public Service Commission, Railway Administration, High Courts and the attached and subordinate offices of the Government of India.
	2.	Notification and notices issued by the Patent Office, Kolkata.
III (To be published from Faridabad)	3.	Notifications issued by or under the authority of Chief Commissioners.
	4.	Miscellaneous notifications including notifications, orders, advertisements and notices issued by the statutory bodies.
IV (To be published from Faridabad)		Advertisements and notices by private individuals and private bodies.
V (To be published from Faridabad)		Supplement showing statistics of births and deaths, etc. both in English and Hindi.

NOTE 1 - Notifications to be published in sub-section (i) of Section 3 of Part II are serial numbered by press as 'G.S.R. ....and those published in sub-section (ii) as 'S'O ..... The identification numbers given by the ministries will appear within brackets at the end of notification.'

NOTE 2 - Weekly statements of the Reserve Bank of India published by the Central Government under Section 53 (i) of the Reserve Bank of India Act, 1934 is published in subsection (ii) of Section 3 of Part II.

NOTE 3 - Part II of the Gazette is published in octavo form so that each section might, be bound at the end of the year in a form convenient for reference.

### **B. Instructions**

1. The part and the section of the gazette in which the matter is to be published (vide 'A'. Instructions' above) should invariably be indicated on the top of the copy for the guidance of the press. In case of doubt as to whether a notification should be treated as a statutory rule or order and published in sub-section (i) or sub-section (ii) of section 3, as the case may be, of Part II, the Ministry of Law should be consulted.

## **APPENDIX 11—Contd.**

2. The original type-script copy, signed by a competent officer, should alone be sent to the press. Cyclostyled copy, carbon copy or a copy which does not bear the officer's signature will not be accepted by the press. Corrections, if any, in the copy sent to the press, should be legible and attested by the officer signing it.

3. Extraordinary issues of the Gazette can be published whenever necessary. No matter should be required to be published in a Gazette Extraordinary unless it is of such urgent nature that it cannot wait until the publication of the next ordinary issue of the Gazette.

4. In fixing the date which a Gazette Extraordinary should bear, the time-schedule prescribed by the Chief Controller of Printing and Stationery should be observed. Where for any special reasons this is not practicable, the Government Press should be consulted before fixing a date.

5. The notification to be published in a Gazette Extraordinary or the forwarding letter should invariably be signed by an officer not lower in rank than a Joint secretary.

6. All notifications intended for publication as 'extraordinary issues' irrespective of the part, section, or sub-section, in which they are to appear, should be sent to the Government of India Press, New Delhi. The part and the section of the Gazette in which the notification would normally have been published will be indicated by that press in the issue itself.

7. 15 copies of every notification of general public importance will be sent by the department issuing it to the Parliament Library at the same time when it is sent for publication in the Gazette..of India. A copy of the letter, forwarding the copies to the Parliament Library, will be endorsed to the Lok Sabha Secretariat and the Rajya Sabha Secretariat along with a copy of concerned Notification to each of them.

8. Not less than ten copies of every statutory Notification will be sent by the department issuing it to the Legislative Department of the Ministry of Law, Justice and Company Affairs, on the date on which it is sent for publication in the Gazette of India.

9. Copy of every Gazette Notification will be sent by the Organization issuing it to all the concerned Ministries/Departments at the same time when it is sent for publication in the Gazette of India.

**APPENDIX 12**

*Distribution Chart*

[Vide para 81 (1)]

Date .....

Name of typist	Units (pages) of typing work allotted																			
	1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19 20																			

**INSTRUCTIONS**

1. When a typist is initially assigned typing work a red line of appropriate length (i.e. representing the units of typing work allotted will be drawn against his name). When a further item of typing work is given to the same typist, the red line already drawn will be extended by an appropriate length.
2. Matter required to be typed should be measured in terms of pages according to the norms prescribed by the Staff Inspection Unit.

**APPENDIX 13**

*Typists' Diary*

[Vide para 81 (2)]

Date	Issue diary No. of draft	Date on which typed
1	2	3

**INSTRUCTIONS**

If the section officer reallocates the unfinished work to any other typist, he will score out the relevant entry and attest it with his initials and date.

**APPENDIX 14**

*Issue Diary*

[Vide para 82(1)]

S.No.	Draft No.	Typist to whom marked	Date on which returned to the section
1	2	3	4

**INSTRUCTIONS**

1. Entries in this diary will be made in the order of the machine numbers stamped on the drafts so that column 1 reflects the machine numbers.
2. If a draft is accompanied by a file, letter (F) will be added to the entry in this column, as 1/3/2010-O & M(F).

**APPENDIX 15**

*Specimen form for authentication of communications for issue*

[Vide para 84(3)] No.

20/3/2010-Letter 1

GOVERNMENT OF INDIA

(Bharat Sarkar)

Department of .....

(.....(Vibhag) .....

New Delhi, dated.....

OFFICE MEMORANDUM

SUBJECT :-

Subject to the exigencies of work, heads of offices may permit Government employees who wish to join the public welcome to be accorded to ..... on his arrival in Delhi on..... to absent themselves from offices between ..... hours and ..... hours. They should take positions round about the Vijay Chowk and on the two sides of the road between North and South Blocks as ..... is expected to pass that way between these hours.

All attached and subordinate offices of the Ministry of Finance etc., in New Delhi may be informed accordingly.

Sd/- A. B.C.

*Deputy Secretary to the Govt. of India*

Tele. No. :

AUTHORISED FOR ISSUE

(X.Y.Z.)

*Section Officer*

To

All Ministries/Departments of the Government of India, etc.



**APPENDIX 16**

*Despatch register for postal communications only*

*[Vide para 86(2)]*

Number .....

Date .....

S.No.	Number of communication	Addressee	Value of stamps affixed
1	2	3	4

**INSTRUCTIONS**

1. Separate registers will be maintained for (a) foreign post (b) telegrams and (c) other inland post.
2. Entries in column 4 will be totalled up at the end of the day and the total indicated in red ink.

## APPENDIX 17

### *Revised procedure for maintenance of service postage stamp account*

*[Vide para 86(7)]*

- (1) All communications intended to be sent by post will be placed in addressed envelopes, after observing the provisions of para 85(5).
- (2) After affixing postage stamps of the requisite value the envelopes would be sorted out into groups with the same value of stamps.
- (3) The total number of envelopes in each group would be indicated in the 'Register of Daily Abstract of Stamps Used' which would be maintained in the form as at Annexure to this Appendix. This register is in lieu of the despatch register for postal communications at Appendix 16 as per para 86(2). The total value of the stamps used during a day as added up in this abstract, will be entered under column 4 of the stamps account register prescribed in Appendix 18 as per para 90(1).
- (4) The correctness of the entries of outgoing envelopes in the 'Register of Daily Abstract of Stamps Used' would be checked by the supervisor of the central R & I section at least once a week by actual count of the covers ready for despatch. The check should be a surprise one and a certificate of the check made and its results should be recorded in the register. The branch officer incharge would also make a monthly check of this register.
- (5) It is to be noted that the despatch register for foreign dak for which ordinary postage stamps are used will continue to be maintained in the form at Appendix 16, as this procedure will not apply to such dak.

## ANNEXURE TO APPENDIX 17

### *Model Form*

### *Register of Daily Abstract of Service Postage Stamps Used*

S.No.	Value of stamps on each cover	No. of covers	Total value of stamps (Rs.)	Initials of the section officer
1	2	3	4	5
Dated the 30th June, 2010				
1	2.00	40	80.00	
2	3.00	10	30.00	
3	5.00	4	20.00	
4	*Registered letters			
5	*Insured letters			
6	*Telegram			

NOTE : \* In case of registered and insured articles as well as telegrams, the total number of such items despatched will be shown in Column 3 and the total value of stamps used during the day on the basis of postal receipts will be indicated in column 4.

**APPENDIX 18**

*Stamps Account Register*

[Vide para 90 (1)]

Date	Value of stamps			Balance at close of the day (cols. 2+3-4)	Signature of	
	In hand the day	Received during	Used during the day		Despatcher	Section Officer
1	2	3	4	5	6	7

**INSTRUCTIONS**

1. Separate registers should be maintained for (a) ordinary postage stamps and (b) service postage stamps.
2. Column 2 will repeat the figure in column 5 of the previous day.
3. In the case of ordinary postage stamps, column 4 should reproduce the daily total struck in despatch registers for foreign dak. In the case of service postage stamps this column should reproduce the *sum* of the daily totals struck in :
  - (a) despatch register for telegrams.
  - (b) despatch register for inland post, and
  - (c) postal registration books [Vide para 86(4)].

## APPENDIX 19

### Section Despatch Register

[Vide para 91 (1)(d)]

Date .....

S.No.	Number of the issue	Addressee	Issued			Remarks-Nature of the issue e.g., letter or telegram, etc.
			In Hindi	In English	Bilingually	
1	2	3	4	5	6	7

Note :- Put in the relevant column from among columns 4-6.

**APPENDIX 20**

*Statement of cases other than those of a routine nature disposed of without reference to the Minister-in-charge*

[Vide para 91 (2)(b)(i)]

Ministry/Department of ... ..

Week ending .....

S.No.	File No.	Brief Subject	Nature of decision taken	Level at which taken	Date of decision
1	2	3	4	5	6

## APPENDIX 21

### *Essentials of a functional file index and an identifying file numbering system*

[Vide para 94 (3)]

1. *Basic heads* - Identify and list basic functions of the department, these may be called 'basic (or group) heads' e.g. 'labour relations', 'foreigners', 'fertilizers'.

2. *Primary heads* - List under each function (i.e. basic/group heads) its main activities identifying them by appropriate subject headings called 'primary heads'.

3. *Secondary heads* - Divide each primary head into sub-subjects or aspects called 'secondary heads'.

4. *Tertiary heads* - Where necessary, break down each secondary head into its various known factors called 'tertiary heads'.

5. *Further sub-divisions* - In this way the process of breaking down the function could be extended to several descending, consecutive echelons according to needs.

6. *Examples* - Examples of basic, primary, secondary and tertiary heads are given in the Annexure.

7. *Rational sequence* - In drawing up lists of basic, primary, secondary and tertiary heads and their further sub-divisions, where necessary, some rational sequence in arranging the heads in the same list may be followed. Such an arrangement may reflect organic or procedural relationship among the different heads or to adopt any of the following orders or a combination thereof as convenient:

- a step-wise process
- an alphabetical order (particularly when representing regions, produces, commodities, clients, organizations or institutions)
- descending levels of importance of heads.
- diminishing frequency of occurrence of different events identified by suitable heads.

The first two places in the list of secondary heads under each subject may be uniformly reserved for 'general' and 'policy' matters.

Entries in each list of standardized heads (*viz.* Under basic heads, primary heads, secondary heads, tertiary heads and so on) may be arranged in alphabetical order, if any other type of sequence has not been followed.

8. *Identification of basic heads* - If the number of basic heads be large, each may be identified by a group of 2 to 3 letters phonetically selected. If it be small not exceeding 10, they may be identified by assigning consecutive Roman numerals to them.

For example, in the field of agriculture, the basic heads 'fertilizers', 'seeds', 'plant protection', etc. could be symbolised by 'Fert', 'Sd', 'Ppn', etc., respectively.

9. *Identification of primary heads* - Next, the primary heads will each be identified by a group of 2-digit Arabic numerals beginning with 11 and continuing in consecutive order upto 99.

10. *Identification of secondary and tertiary divisions* - Similarly, each secondary head, as also each tertiary head, will be identified by a group of 2-digit Arabic numerals beginning with 11 and going upto 99.

11. *Deviations* - If the subjects be simple relating to a fresh or recent activity, they may well be covered by one list of primary heads alone or by a two-level list of primary heads and secondary heads. Each primary head or secondary head could then be identified as in 8 and 9 above.

## Appendix 21—Contd.

Progressive increase in levels develops as the number of functions increases, so also when the number of activities under each function and the number of operations under each activity increase.

12. *Exception* - If a paper requiring filing is such as apparently does not relate to any of the approved lists, the following questions may be relevant :

- (i) whether it can come under any factor heading i.e. a tertiary heading as related to a secondary heading;
- (ii) whether it seems allied to a secondary heading as related to a primary heading; and if not
- (iii) whether it could be brought under an additional heading placed at appropriate point in the list of primary headings.

If nothing suggests, it may be temporarily placed in the list of primary headings as the last item.

13. *File code* - The file may then be assigned an alphanumeric code symbol composed in the following sequence ::—

- (i) a single letter or a group of 2-3 letters, or a Roman numerical representing the basic head followed by a hyphen as the separator;
- (ii) a 2-digit group of Arabic numerals representing primary head followed by zero as the separator;
- (iii) a 2-digit group of Arabic numerals identifying the secondary head followed by a slant stroke as the separator;
- (iv) serial number of the file opened during the year under the secondary head, followed by a slant stroke as the separator;
- (v) a 4-digit number representing the year, followed by a hyphen as the separator;
- (vi) a group of abbreviating letters representing the section.

If the file opened relates to a standardised tertiary head, a 2-digit Arabic numeral identifying it, enclosed in brackets, may be inserted before the serial number mentioned in (iv) above and the slant stroke preceding it.

14. *Example*. - A file opened by labour Relations I section during 2010 relating to a strike in colliery 'X' may have IV 13024/5/2010/LRI as the file code where 'IV' represents the functions group 'labour relations'. '13' the primary head 'strikes', '0' the separator, '24' the secondary head 'coal mines', '5' the serial number of the file opened during the year under the secondary head 'coal mines' to describe the colliery involved, '2010' the year of opening the file and 'LRI' the section concerned.

To cite another example, a file opened by Foreigners II section to examine an application of Mr. Ferrari, a French national, to visit India may bear the coded number F 17012/2/2010-FII where 'F' represents the group head 'Foreigners', '17' the primary head 'visa/endorsement', '0' the separator, '12' the secondary head 'French' '2' the serial number of the file opened during the year under that head, '2010' the year of opening the file, and 'FII' the concerned section.

Similarly, in Fertiliser IV section, file relating to fertiliser imports could carry the code Frt-19012/3/2010-FIV here 'Frt' would denote the basic head 'fertilisers' and the other symbols would be as explained in the above two examples.

Appendix 21—Contd.

15. *File title.* - A complete title of the file will normally consist of the appropriate standardised heads (from the 'basic' head downwards each separated by a hyphen) followed by a very brief content to describe the particular question, issue, event, person, thing, place, etc. involved. The basic head, however, need not form part of the title, when

(a) the total number of such heads is small and from their identifying Roman numerals, they can easily be known; or

(b) the basic head is identified by a letter or a group of letters phonetically selected.

16. *Indexing.* - In indexing files opened under the functional filing system, index slips need not be prepared in respect of the standardised (i.e., basic, primary, secondary, tertiary, etc.) heads as the identification codes assigned to them can easily be ascertained by reference to the standardised index as developed. However, the 'content' of the file title (*i.e.* outside the standardised headings) may be indexed if it contains a catch word which is likely to help in recalling the case.

For instance, a file with the title "Labour relations - strikes - Coal mines Singhbhum Colliery Dhanbad - report regarding -" need not be indexed under 'labour relations', 'strikes', and 'Coalmines' which are standardised basic, primary and secondary heads respectively. However, it may be indexed under 'Singhbhum' and 'Dhanbad', the names of the particular colliery and place involved in the strike. The index slip relating to files opened under the same secondary, tertiary or the lowest standardised division will be maintained in a single series in the alphabetical order of the catchwords used in the titles.

In the departmental index, these index slips could be very easily and briefly consolidated as follows by indicating only their sub-number and not the full file No.

'LABOUR RELATIONS - STRIKES - Coalmines. (IV-13024)'

<i>Arora Collieries</i>	(7)
<i>Banning of - Procedure</i>	(3)
<i>Duggal Collieries</i>	(9)
<i>Notice - Minimum period</i>	(2)
<i>Singhbhum Collieries, Dhanbad</i>	(1)



## ANNEXURE TO APPENDIX 21

*Examples of basic, primary, secondary and tertiary heads*

Basic Head	Primary-Head	Secondary Head	Tertiary Head
Labour Relations	Strikes	-Coal mines -Oil fields -Banking	
	Lockouts Adjudication of disputes		
Foreigners	Acts and Statutory rules	-Passport (entry into India) Act/Rules -Registration of Foreigners Acts/Rules -Foreigners Act/Rules -Citizenship Act/Rules	
	Visa/endorsement Special permits Extension of stay		
Fertilizers	Imports	-Shipment	-Policy -U K credit -Barter/link deals -Charter
	Planning Statistics Control Promotion	-Foreign exchange	



**APPENDIX 23**

**File Movement Register**

[ Vide para 100 (1)]

File No.
----------

SUBJECT.....

To whom	Date	To whom	Date	To whom	Date	To whom	Date

Space for recording movements of part files


NOTES: (1) Movement will be marked by indicating the officer, section or department to which the file has been sent with date of sending below it, e.g.

DS(N) 11.2.2010
--------------------

MHA 11.2.2010
------------------

**APPENDIX 23 - contd.**

- (2) Movement of the linked files will be marked in the space allotted in file movement register for the file with which these are linked as illustrated below—

File No. ....	
DS(N)	Linked files :-
_____	1. F. No. ....
19-02-2010	2. F. No. ....

- (3) In the space allotted for each of the linked files in the file movement register the movement will be marked as illustrated below—

File No. ....	
DS(N)	
_____	Linked with File No. ....
23-02-2010	

- (4) In the space allotted in the file movement register for the file with which recorded files have been put up, the movement will be marked as illustrated below—

File No.....	
DS(N)	with recorded Files :-
_____	1. F. No. ....
28-02-2010	2. F. No. ....

**APPENDIX 24**

*Register for watching the progress of recording*

*[Vide para 104(2) (b) and (3)]*

Section... .. Month and year .....

Files marked for record during the month		Files recorded during the month	
S.No.	F.No.	S.No.	F.No.
1	2	3	4
1		1	
2		2	
3		3	
4		4	
5		5	
6		6	
7		7	
8		8	
9		9	
10		10	
11		11	
12		12	
13		13	
14		14	
15		15	
16		16	
17		17	
18		18	
19		19	
20		20	

## APPENDIX 25

*Illustrative list of records fit for permanent preservation because of (A) their value for administrative purposes, and (B) their historical importance.*

*[Vide para 105 (1) (a), (b) and (2)]*

### **A - Records of value for administrative purposes**

Papers of the following categories will normally be among those required to be kept indefinitely for administration's use:

- (1) Papers containing evidence of rights or obligations of or against the government, e.g., title to property, claims for compensation not subject to a time limit, formal instruments such as awards, schemes, orders, sanctions, etc.
- (2) Papers relating to major policy decisions, including those relating to the preparation of legislation.
- (3) Papers regarding constitution, functions and working of important committees, working groups, etc.
- (4) Papers providing lasting precedents for important procedures, e.g., administrative memoranda, historical reports and summaries, legal opinions on important matters.
- (5) Papers concerning rules, regulations, departmental guides or instructions of general application.
- (6) Papers relating to salient features of organization and staffing of government departments and offices.
- (7) Papers relating to important litigation or 'causes celebres' in which the administration was involved.

### **B - Records of Historical importance**

Much of the material likely to be preserved for administrative purposes will be of interest for research purpose as well; but papers of the following categories should be specially considered as of value to historians:

- (1) Papers relating to the origin of a department or agency of government; how it was organised; how it functioned; and (if defunct) how and why it was dissolved.
- (2) Data about what the department/agency accomplished. (Samples by way of illustration may be enough; but the need for such samples may be dispensed with where published annual reports are available).
- (3) Papers relating to a change of policy. This is not always easy to recognise, but watch should be kept for (a) summary for a Minister, (b) the appointment of a departmental or inter-departmental committee or working group, and (c) note for the Cabinet or a Cabinet Committee. Generally there should be a conscious effort to preserve all such papers, including those reflecting conflicting points of view. In the case of inter-departmental committees, however, it is important that a complete set of papers be kept only by the departments mainly concerned - usually the one providing secretariat.
- (4) Papers relating to the implementation of a change of policy, including a complete set of instructions to execute agencies etc., and relevant forms.
- (5) Papers relating to a well-known public or international event or *cause celebre*, or to other events which gave rise to interest or controversy on the national plane.
- (6) Papers containing direct reference to trends or developments in political, social, economic or other fields, particularly if they contain unpublished statistical or financial data covering a long period or a wide area.
- (7) Papers cited in or noted as consulted in connection with, official publications.
- (8) Papers relating to the more important aspects of scientific or technical research and development.
- (9) Papers containing matters of local interest of which it is unreasonable to expect that evidence will be available locally, or comprising synopsis of such information covering the whole country or a wide area.
- (10) Papers relating to obsolete, activities or investigations, or to abortive scheme in important fields.
- (11) Any other specific category of records which, according to the departmental instructions issued in consultation with the National Archives, have to be treated as genuine source of information on any aspect of history - political, social, economic, etc., or are considered to be of biographical or antiquarian interest.

## APPENDIX 26

*Example of titles of files and index slips*

*[Vide paras 107(3)(c),(d) and 109(2)(a)(ii)]*

*A- Title with index heads and sub-heads distinguished*

Sl.No	Title of the file	Typed index slips
1	2	3
1	STRIKES-Coalmines-Singhbhum collieries, Dhanbad-Report regarding	STRIKES  Coalmines Singhbhum collieries, Dhanbad Strikes-Coalmines-Singhbhum collieries, Dhanbad Report Regarding F. 3/2/2010-LRI
2	IMPORT LICENSING-Capital Goods-Public Sector Undertakings-Application from Heavy Electricals, Bhopal	IMPORT LICENSING Capital goods Public Sector Undertakings Heavy Electricals Import licensing-Capital goods-Public Sector Undertakings-Application from Heavy Electricals, Bhopal. F4/17/2010-IMP
3.	FAMILY PLANNING-Vasectomy operations-Financial and other incentives for popularising	FAMILY PLANNING Vasectomy  Incentives Family planning-Vasectomy operations-Financial and other incentives for popularising. F.7/3/2010-FPI

*B-Index slip as they will appear before they are included in folders*

### EXAMPLE 1

First slip	<ul style="list-style-type: none"> <li>* STRIKES</li> <li>* Coalmines</li> <li>* Singhbhum</li> <li>* Dhanbad</li> </ul>	Strikes-Coalmines-Singhbhum collieries, Dhanbad-Report regarding F.3/2/2010-LRI
Second slip	<ul style="list-style-type: none"> <li>* STRIKES</li> <li>* Coalmines</li> <li>* Singhbhum</li> <li>* Dhanbad</li> </ul>	Strikes-Coalmines-Singhbhum collieries, Dhanbad-Report regarding F.3/2/2010-LRI
Third slip	<ul style="list-style-type: none"> <li>* STRIKES</li> <li>* Coalmines</li> <li>* Singhbhum</li> <li>* Dhanbad</li> </ul>	Strikes-Coalmines-Singhbhum collieries, Dhanbad-Report regarding F.3/2/2010-LRI

**APPENDIX 26—Contd.**

1	2	3
Fourth slip	* <i>Coalmines</i> * <i>Singhbhum</i> * <i>Dhanbad</i> Strikes-Coalmines-Singhbhum collieries, Dhanbad-Report regarding	F.3/2/2010 LRI

**EXAMPLE 2**

	FAMILY WELFARE * <i>Vasectomy</i>	
First slip	* <i>Incentives</i> Family Welfare-Vasectomy operations-Financial and other incentives for popularising	F.7/3/2010 FWI
Second slip	FAMILY WELFARE * <i>Incentives</i> Family Welfare-Vasectomy operations-Financial and other incentives for popularising	<i>Vasectomy</i> F.7/3/2010 FWI
Third slip	FAMILY WELFARE <i>Incentives</i> Family Welfare-Vasectomy operations-Financial and other incentives for popularising	* <i>Vasectomy</i> F.7/3/2010 FWI

*C-Index slip as they appear in the departmental Index*

Main index slip	Subsidiary index	
STRIKES	1. <i>Coalmines</i>	
<i>Coalmines-Singhbhum Collieries</i>		See 'STRIKES'
<i>Dhanbad-Report regarding</i>	F.3/2/2010 .LRI	
F.3/2/2010LRI		
	2. <i>Singhbhum collieries</i>	See 'STRIKES'
		F.3/2/2010.LRI
	3. <i>Dhanbad</i>	See 'STRIKES'
		F.3/2/2010 .LRI
FAMILY WELFARE	1. <i>Vasectomy</i>	
<i>Vasectomy operations</i>	See 'FAMILY WELFARE'	
Financial and other incentives for popularising	F.7/3/2010 FWI	
F.7/3/2010-FWI		
	2. <i>Incentives</i>	
	See 'FAMILY WELFARE'	
	F.7/3/2010-FWI	



**APPENDIX 27**  
**PRECEDENT BOOK**

[Vide para 110]

Heading Pay Fixation etc.....

Decision or ruling in brief	File No.	Page No.	Date	Remarks

**INSTRUCTIONS**

1. Entries in this book will be made under the appropriate standard-heads and sub-heads arranged in an alphabetical order. Where functional filing system is followed, entries will be made under the appropriate basic, primary, secondary and tertiary heads.
2. The pages of the book will be numbered serially and a few pages allotted to each standardized heading under which entries are to be made vide 1 above. At the beginning the book will be pasted or written a list of such headings and pages allotted to each.

## APPENDIX 28

*Retention schedule for records prescribed in the Manual of Office Procedure*

[Vide para 111 (1) (c)]

Sl. No.	Description of record	Reference to relevant para of the manual	Retention period (years)
1	2	3	4
	1. Dak Register.	14(6)	1
	2. Invoice. . .	15(1)	1
	3. Section Diary. .	17(1)	3
	4. Movement slip of receipts .....	20(3)	To be destroyed after the relevant receipts have been received in the section concerned
	5. Assistant's diary .....	23(2)	1
	6. Standing guard files. ....	35(1)(a)	Permanent. The earlier version of these records will normally be weeded out as soon as the revised version becomes available.
	7. Standing note. . . . .	35(1)(b)	Weeded out as soon as the revised version becomes available
	8. Distribution chart. ....	81(l)	1
	9. Typist's Diary. . . . .	81(2)	1
	10. Issue diary. . . . .	82(1)	1
	11. Despatch Register.	86(2)	5
	11a. Section Despatch Register.	91(1)(d)	5
	12. Postal registration books. . . . .	86(4)	5
	13. Receipts of telegrams .....	86(6)	1
	14. A Register of daily abstract of stamps used.	86(7)	5
	15. Messenger book. ....	87(1)	1
	16. Stamps account register .....	90(1)	5
	17. Weekly statement of cases disposed of without reference to Minister. . . . .	91(2)(b)(i)	1
	18. File register. .	97	Permanent
	19. File movement Register. .	100(1)	1
	20. Register for watching the progress of recording. . . . .	104(2)(b) and (3)	3
	21. Index slips. . .	107	5 years or till printed departmental index becomes available whichever is latter.
	22. Consolidated departmental index. .	107	Permanent
	23. Precedent book. . . .	110	Permanent
	24. List of files transferred to		
	(a) Departmental record room.	112(3)	25
	(b) National Archives. ....	112(5)	Permanent

**APPENDIX 28—Contd.**

1	2	3	4
	25. Record review register.	112(4)	1
	26. List of files received for review.	113(5)	1
	27. Register of spare copies of publications, circulars, orders etc.	113(9)	1
	28. Record requisition slip .....	115	To be destroyed after the requisitioned file has been returned to the National Archives.
	29. Record requisition card. ....	115	To be destroyed after all the space for entries have been used and the last file requisitioned has been returned to the sectional departmental records.
	30. Weekly arrear statement. ....	123(1)	1
	31. Case sheets of cases pending disposal over a month	124(2)(a)	1
	32. Numerical abstract of cases pending disposal for over a month .....	124(4)(d)	1
	33. Consolidated numerical abstract of cases pending disposal for over a month in the various sections of the department. ....	124(8)(a)	3
	34. Call book .....	125(1)	3
	35. Monthly Progress report on recording of files. ....	126(1)	1
	36. Register for keeping a watch on communications received from M.Ps.	127	1
	37. Register for keeping a watch on communications received from VIPs	128	1
	38. Monitoring of Court/CAT cases	129	Permanent
	39. Register of Parliamentary Assurances. .	130(1)	1
	40. Check-lists for periodical reports .....	131	1
	41. Inspection reports. ....	135	one year after the date of inspection.

**Note:** — The retention period will be reckoned with reference to the date from which the record ceases to be current/active. Where, however, it is proposed to weed out a register wherein certain entries are still current, e.g., file movement register where certain files entered therein have not been recorded or the register of assurances, where certain assurances have not been implemented, the current entries will first be transferred to the new register and the old register weeded out thereafter.

## APPENDIX 29

*List of files transferred to National Archives of India/departmental record rooms/sections/desks*

*[Vide para 112 (2) and (3)]*

Ministry/Department of ..... Section .....

S. No.	FileNo.	Subject	Classification and year of review	Date of actual destruction
1	2	3	4	5

**APPENDIX 30**

*Record Review Register*

[Vide para 112 (4)]

Ministry/Department of... ..Year of review... ..

Note: — This register will be maintained for class 'C' files only.

File No.	File No.	File No.	File No.

Note: - This register will be maintained for class 'C' files only.

**APPENDIX 31**

List of files due for review

[Vide para 113(4) & (6)]

Sl. No.	File No.	Instruction of reviewing authority
1	2	3

**INSTRUCTIONS**

1. The departmental record room will prepare this list in triplicate by completing columns 1 and 2 only.
2. The section responsible for review will sign one copy of the list and return it to the departmental record room by way of acknowledgement, retaining the other two copies.
3. After review—the section concerned will complete column 3 of the list in both the copies by indicating:
  - (a) the word ‘keep’ in the case of the files proposed to be retained indefinitely;
  - (b) the letter ‘W’ in the case of files desired to be weeded out; and
  - (c) the precise year of weeding, in the case of class ‘C’ files proposed to be retained for a further period not exceeding 10 years from the date of their closing.
4. Both the copies of the list should accompany the files returned to the departmental record room, which will sign one copy and return it to the section concerned by way of acknowledgement.

## APPENDIX 32

*Register of spare copies of publications, circulars, orders etc.*

[Vide para 113(8)]

Sl.No.	Particulars of document	No. of spare copies available	Remarks
1	2	3	4

### INSTRUCTIONS

1. The register will be essentially in the form of a list of document i.e., publications, circulars, orders, etc. If the number of publication involved is large, register may be maintained in two parts- one for publications and the other for circulars, orders, etc.
2. In column 2 will be indicated the title of the publication or number and date of circulars, etc.
3. As far as possible, circulars, orders, etc., will be entered in chronological order.
4. The number of spare copies of documents available may be ascertained at convenient interval say once a year, for being indicated in column 3. If spare copies of a document are found to have been exhausted or are weeded out, the relevant entry may be scored out in red ink or chalk. The register need not be rewritten except when absolutely necessary.

### APPENDIX 33

*Result of Special Drive Conducted on Records Management*

[vide Para 113(9)(a)]

Period of Special Drive

From.....to .....

Ministry/Department of .....

Number of files recorded	Number of files indexed	Number of files reviewed	Number of files weeded out	Number of files yet to be			Number of files sent to Departmental Record Room	Number of files sent to National Archives of India	Remarks
				Recorded	Reviewed	Weeded out			
1	2	3	4	5	6	7	8	9	10



## APPENDIX 34

### Record Requisition Card

[Vide para 115(1)]

Date	File No. requisition	File No. or Diary No. with which to be put up	Requisitioning official section	Signature of requisitioning official	Date of return	Initials of record custodian
1	2	3	4	5	6	7

#### INSTRUCTIONS

1. The form will be printed on stiff paper of the thickness roughly of the file cover but of a colour-distinct from that normally used for file cover.
2. Where it is not possible to indicate the file or diary No. of the paper with which the requisitioned file is to be put up column 3 should indicate briefly the purpose for which and/or officer for whom the requisitioned file is required.

**APPENDIX 35**

*Statement showing particulars of receipts/cases in hand for more than 7 days*

[Vide para 123(1)]

Name of Section/Desk..... Week ending. ....

Diary No.	Date from which pending	Brief Subject	Reasons for delay	Remarks of Section Officer/higher officer	Action taken on remarks in Column No.5
1	2	3	4	5	6

**APPENDIX 36**

Weekly Arrear Statement Consolidated form for the section as a whole

[Vide para 123(3)]

Name of Section/Desk... ..

Week ending	Number of receipts/cases				In hand		Initials of Section Officer
	B.F.from previous week	Received during the week	Total of Cols.2 and 3	Dealt with during the week	Total	Over 7 days	
1	2	3	4	5	6	7	8
	...						

## APPENDIX 37

### Case Sheet

[Vide para 124(2)(a)]

File/Diary No. ....

Date of commencement. ....

Subject .....

Month ending	With whom pending and since when	Reasons for delay	Remarks of Under Secretary and/higher officer
1	2	3	4

### INSTRUCTIONS

1. A separate sheet will be maintained for each case.
2. The statement will cover not only originating section's/desk's own files but also files received by it from other section/desks/departments and other P.U.Cs. for which no file has been opened. Their diary numbers will identify the last two categories of cases.
3. The date of commencement of a case will normally be the date of receipt of the PUC and can be ascertained from the file register in the case of originating section's/desk's own files and from the section/desk diary or assistant's diary, in other cases.
4. Entries in column 2 will be made on the basis of entries in the file movement register section/desk diary.

## APPENDIX 38

*Numerical abstract of cases pending disposal over a month*

[Vide para 124(4)( d)]

Section/Desk .....

Year.....

As on the last day of	Number of cases (other than those transferred to call book) pending disposal						Number of cases transferred to call book	Initials of Section Officer/desk functionary
	Between 1 & 3 months	Between 3 & 6 months	Between 6 months and one year	Between 1 & 2 years	Over 2 years	Total of cols. 2-6		
1	2	3	4	5	6	7	8	9
January								
February								
March								
April								
May	....							
June								
July								
August								
September								
October								
November								
December								

## APPENDIX 39

### Consolidated numerical abstract of cases pending disposal over a month

[Vide para 124(8)(a) and (b)]

Ministry/Department of .....

Month ending .....

Section	Number of cases (other than those transferred to call book) pending disposal						Number of cases transferred to call book	Variation from previous month	
	Between 1 & 3 months	Between 3 & 6 months	Between 6 months and one year	Between 1 & 2 years	Over 2 years	Total of cols. 2-6		In the case of col. 7	In the case of col. 8
1	2	3	4	5	6	7	8	9	10

## APPENDIX 40

*Call Book*

[Vide para 125(1)]

S1. No.	File Number	Date of commence- ment of file	Subject	Reason why no further action can be taken for over six months	Date on which action is to be restarted	Remarks of B.O./ Divisional head at the time of review	Date of restarting
1	2	3	4	5	6	7	8

**APPENDIX 41**

*Monthly progress report on recording of files*

*[Vide para 126 (1)]*

Section/Desk... ..

Month ending	Number of files				Initials	
	B.F. from previous month	Marked for record during the month	Recorded during the month	Remaining to be recorded at the end of the month (col. 2+3-4)	Record Clerk/ Assistant	Section Officer/ desk functionary
1	2	3	4	5	6	7

**INSTRUCTIONS**

1. Column 1 will also indicate year
2. Column 2 will repeat the figure in column 5 for the preceding month.
3. Column 3 and 4 will be filled on the basis of the register for watching the progress of recording (Appendix 24).



## APPENDIX 42

### Monthly progress report on review of files

[Vide para 126(1)]

Section/Desk .....

Month ending	Number of Files						Initials	
	B.F. from previous month	Received for review during the month	Reviewed during the month			Remaining to be reviewed at the end of the month (col. 2 + 3 + 6)	Record clerk/ Assistant	Section Officer/ desk functionary
			Marked for further retention	Marked for destruction	Total			
1	2	3	4	5	6	7	8	9

### INSTRUCTIONS

1. Column 2 will repeat the figure in column 5 for the preceding month.
2. Column 3 and 4 will be filled on the basis of record review register and lists of file received for review.

### APPENDIX 43

*Consolidated monthly progress report on recording of files*

*[Vide para 126(3)(a) and (b)]*

Ministry/Department. . . . .

Month ending.....

Section	Number of files				Variation of col.5 from col.2
	B.F. from previous month	Marked for record during the month	Recorded during the month	Remaining to be recorded at the end of the month( col.2+ 3-4)	
1	2	3	4	5	6

## APPENDIX 44

*Consolidated monthly progress report on review of recorded files*

*[Vide para 126(3)(a) and (b)]*

Ministry/Department .....

Month ending. ....

Section	Number of files				Variation of col. 5 from col. 2
	B.F. from previous month	Received for review during the month	Reviewed during the month	Remaining to be reviewed at the end of the month( col. 2+ 3- 4)	
1	2	3	4	5	6

## APPENDIX 45

*Register for keeping a watch on the disposal of communications received from Member of Parliament*  
(To be maintained by personal sections of Joint Secretaries/Directors)

[Vide para 127(1)]

Sl. No.	Diary No. & Date	No. and date of communication	Name of M.P.	To whom addressed	Brief Subject	Section/ desk concerned	Remarks
1	2	3	4	5	6	7	8

## APPENDIX 46

*Register for keeping a watch on the disposal of communications received from Members of Parliament*

(To be maintained by Sections/Desks)

[Vide para 127 (2)(a)]

Name of Section/Desk... ..

Sl. No.	Diary No. & Date	Joint Secretary/Director Diary No.	No. & date of Communication	Name of M.P.	To whom addressed	Subject	Date of acknowledgement	File No.	Date of interim reply	Date of final reply	Remarks
1	2	3	4	5	6	7	8	9	10	11	12

## APPENDIX 47

*Particulars of M.Ps. letters pending over a fortnight*

*[Vide para 127 (4)]*

Sl. No.	Name of M.P.	Date from which pending	Brief Subject	Reason for delay	Remarks of Branch Officer/ Divisional Head/Jt. Secy.	Action taken on the remarks in column 6
1	2	3	4	5	6	7
	..					

## **APPENDIX 48**

*Illustrative list of VIPs*

*{Vide Para 128}*

- President
- Vice President
- Prime Minister
- Governors of States
- Former Presidents
- Deputy Prime Ministers
- Chief Justice of India
- Speaker of Lok Sabha
- Cabinet Ministers of the Union
- Chief Ministers of the States
- Deputy Chairman (Planning Commission)
- Former Prime Ministers
- Judges of the Supreme Court
- Chief Election Commissioner
- Comptroller & Auditor General of India
- Ministers of State of the Union
- Attorney General of India
- Chief Justice of High Court
- Cabinet Ministers in States/Chief Ministers of Union Territories
- Chairman, Minority Commission
- Chairman, Scheduled Castes and Scheduled Tribes Commission
- Chairman, Union Public Service Commission
- President's Office
- Prime Minister's Office

## APPENDIX 49

### Details of Pending Court /CAT Cases

[Vide para 129(1)]

Sl. No.	Petition/OA No. with date	Name of Court / Bench of CAT	Major issues involved	Date on which Counter Affidavit was filed	Date of filing subsequent affidavits, if any	Present Status of the case
(1)	(2)	(3)	(4)	(5)	(6)	(7)



## APPENDIX 50

### Status of Implementation of Court/CAT Judgements

[Vide para 129(2)(a)]

Sl. No.	Petition/OA No. with date	Name of Court/Bench of CAT	Date of Judgement	Time-frame, if any, given by Court for implementation	Major Issue	Whether the appeal/review application against the judgement has been filed by Government/ Individual, if so, the date thereof	Status of the appeal/review application	If no appeal etc. has been filed, present status of action taken to implement the judgement	Reasons for delay in implementing the judgement	Whether any contempt petition has been filed for delay in implement. ation or against the manner of implementation of the judgement
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)	(10)	(11)

## APPENDIX 51

*Number of Court/CAT Cases pending*

*[Vide para 129(4)]*

Less than 6 months	Between 6 months to 1 year	Between 1 to 2 years	Over 2 years	Total
(1)	(2)	(3)	(4)	(5)

## APPENDIX 52

### Register of Parliamentary Assurances

[Vide para 131 (1)]

Section/Desk. . . . .

Lok  
Sabha  
Rajya Sabha

Sl. No.	Date	Reference	Subject	Assurance given	How fulfilled	Date on which	
						Sent to Department of Parliamentary Affairs	Laid on the table of the House
1	2	3	4	5	6	7	8
	....						

### INSTRUCTIONS

1. Column 2 will show the date on which the assurance was given.
2. Column 3 will indicate the No. of the question, name of bill, resolution, motion, etc. in connection with which the assurance was given and also reference to the communication from the Department of Parliamentary Affairs with which it was received.

## APPENDIX 53

*Check list for watching receipt of incoming periodical reports for the year.....*

[Vide para 132(1 )]

Ministry /Department of. . . . .

Section/Desk.. ..

Sl. No	Title of the Report & File No.	Periodicity	Due date of Receipt												
			Jan.	Feb.	Mar.	Apr.	May	June	July	Aug.	Sept.	Oct.	Nov.	Dec.	
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	
	..														

### INSTRUCTIONS

1. If the periodicity of a report is more than a month, the prescribed date(s) will be shown under the appropriate months only. For example, if a quarterly report is due on 15th January, April, July and October, only cols. 4, 7, 10 and 13 will be filled by indicating the figure 15 under each.
2. If a report is to be received more than once in a month, two or more entries depending on the frequency of the report will be made in columns 4 to 15. Thus, for instance, fortnight report will require two entries to be made under each month.

**APPENDIX 54**

*Check list for Watching despatch of outgoing periodical reports for the year.....*

[Vide para 132(1)]

Ministry/Department of.....

Section/Desk.....

Sl. No.	Title of the Report and File No.	Periodicity	Due date of Despatch											
			Jan.	Feb.	Mar.	Apr.	May	June	July	Aug.	Sept.	Oct.	Nov.	Dec.
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15

**INSTRUCTIONS**

1. If the periodicity of a report is more than a month, the prescribed date(s) will be shown under the appropriate months only. For example, if a quarterly report is due on 15th January, April, July and October, only cols. 4, 7, 10 and 13 will be filled by indicating the figure 15 under each.
2. If a report is to be despatched more than once in a month, two or more entries depending on the frequency of the report will be made in columns 4 to 15. Thus, for instance, fortnight report will require two entries to be made under each month.

**APPENDIX 55**

**INSPECTION QUESTIONNAIRE FOR CENTRAL RECEIPT AND ISSUE SECTION**

[Vide para 136(1)]

Ministry/Department of.....

Date of present inspection .....

Date of last inspection .....

**PART I - FACTUAL DATA TO BE FURNISHED BY SECTION OFFICER**

***A—Staff position***

---

	S.O.	Asstt.	UDC	LDC	Others (to be specified)
--	------	--------	-----	-----	-----------------------------

---

1. Staff strength :

(1) Present

(a) sanctioned

(b) actual

(2) At the time of last inspection

(a) sanctioned

(b) actual

2. Deployment of staff on :

(a) receipt of dak

(b) opening and stamping of dak

(c) marking of dak

(d) sorting of dak

(e) registration of dak

(f) distribution of dak and preparation of invoices

(g) stamping of drafts

(h) marking of drafts and maintenance of distribution chart

(i) maintenance of issue diary

(j) typing

(k) comparing

(l) despatch

(m) night duty arrangements :

(i) for receipt, registration and distribution of dak

(ii) for issue work

**APPENDIX 55—Contd.**

**B—State of work**

3. (1) Total number of sections in the Ministry/Department  
(2) Number of sections catered to for centralised :
  - (a) receipt of dak
  - (b) typing and comparing
  - (c) despatch
4. Average daily volume of dak :
  - (a) received
  - (b) registered
5. Average daily number of :
  - (1) drafts/cases received for issue
  - (2) pages typed
  - (3) telegrams issued
  - (4) other communications despatched :
    - (a) by registered/insured post
    - (b) by ordinary post
    - (c) otherwise, through messengers
6. Average number of communications received per day by resident clerk/night duty clerk which were :
  - (a) distributed to officers/staff on/late duty in office on the same day
  - (b) sent to officer's residences
  - (c) held over for distribution on the next working day
7. Average number of drafts received per day by the resident clerk/night duty clerk for issue outside office hours.
8. Normal hours of distribution of ordinary dak among sections
9. Office machines :
  - (1) No. of typewriters
    - (a) English
    - (b) Hindi
  - (2) No. of duplicating machines
    - (a) hand-worked
    - (b) power driven

(Signature of Section Officer)

## APPENDIX 55—Contd.

### PART II—INSPECTION OFFICER'S REPORT

A—Detailed observations on compliance with procedural instructions

1. *Are the following* (a) maintained? (b) up to date? (c) handy?
- (1) List of subjects dealt with in each section of the department [*Vide* para 14(5)]
  - (2) List of residential addresses and telephone numbers of officers and staff of the department [*Vide* para 92(1) (a)]
  - (3) List of departments having arrangements within Central Registry, for receipt of dak outside office hours (with name and telephone No. of the official in charge) [*Vide* para 92(1)(b)]
  - (4) List of officers designated by other departments to receive dak outside office hours and their residential addresses [*Vide* para 92(1)(c)]
  - (5) List of telegraphic addresses, e-mail addresses telephone numbers and fax numbers of state governments and other outstation offices frequently addressed [*Vide* para 92(1)(f)]
  - (6) Residential addresses and telephone numbers of officers of other departments designated to receive parliamentary papers [*Vide* para 92(1)(d)]
  - (7) Postal addresses of all offices under it (attached offices, subordinate offices, autonomous bodies etc.) which deal direct with the departments [*Vide* para 92(1)(e)]
  - (8) Delhi Official Directory [*Vide* para 92(1) (h)]
  - (9) Official Directory [*Vide* para 92 (1) (i)]
  - (10) List of India's representatives abroad [*Vide* para 92(1)(j)]
  - (11) Diplomatic list [*Vide* para 92(1)(k)]



## APPENDIX 55—Contd.

- (12) Schedule of postal rates  
[Vide para 92(1)(l)]

2. *Dak registers* [Vide para 14(6)]

- (1) Number Maintained?
- (2) Basis of distribution?
- (3) Basis rational? If not, improvement needed.
- (4) Neat and tidy?
- (5) Entries complete?

3. *Invoices* [Vide para 15( 1)]

- (1) Signed by recipients ?
- (2) Filed properly ?

4. *Processing of dak*

Examine a sample of 50 items of dak entered in invoices, but awaiting distribution and indicate the number :

- (1) not date-stamped
- (2) not bearing identifying code of the dak register
- (3) not marked correctly
- (4) Received :
  - (a) on the previous working day
  - (b) two working days earlier
  - (c) 3 or more working days earlier

5. *Distribution chart (for typing work)*  
[Vide para 81(1)]

- (1) Maintained?
- (2) Distribution fairly even?
- (3) Daily average number of pages :
  - (a) allotted to a typist
  - (b) Typed by a typist

6. *Issue dairy* [ Vide para 82( 1)]

- (1) Neat and tidy?
- (2) Scrutinised by Section Officer daily?
- (3) Examine a sample of 50 more-than- one-month old entries and indicate the number (if any) of :
  - (i) incomplete entries
  - (ii) drafts returned to sections after issue :
    - (a) within 2 working days of their receipt
    - (b) within 3 to 5 working days;
    - (c) over 5 days.

## APPENDIX 55—Contd.

7. *Typing and comparison* [Vide para 81(3) and 83]  
Examine a sample of 20 fair typed communications awaiting signature and indicate the number (if any);

- (i) not typed well
- (ii) not typed on paper of suitable size
- (iii) having enclosures but not indicating number of enclosures and oblique lines
- (iv) of drafts not bearing initials of typists and comparers.

8. *Despatch* [Vide para 85, 86 and 87]

(1) Examine a sample of 50 communications ready for despatch and indicate the number (if any) where :

- (i) covers actually used
- (ii) covers needlessly used
- (iii) covers used were not of appropriate size
- (iv) economy of slips, although required, not used
- (v) addresses written :
  - (a) not neat/clear
  - (b) not complete
- (vi) window envelope used but addresses not visible through the window
- (vii) an unduly large number of stamps of smaller denomination used
- (viii) covers meant for despatch under service postage stamps not franked with facsimile impression of the signature of the officer in charge
- (ix) covers marked for despatch by registered A.D. with AD cards not bearing reference No. of the communication
- (x) the reference No. of telegrams ready for despatch not indicated in the receipt portions of the telegrams.

(2) Receipts for telegrams, registered and insured covers filed properly ?

(3) Take a sample of 5 office copies of the communications issued by the resident clerk/ night duty clerk after the closing hours on the previous day and state the number (if any) that could have been held over for issue till the next working day.

*Daily, Abstract of stamps used*

9. *Despatch register* [Vide para 86(2)]

(1) Separate despatch registers maintained for :—

## APPENDIX 55—Contd.

- (i) telegrams ?
  - (ii) inland post ?
  - (iii) foreign post ?
  - (2) Neat and tidy ?
  - (3) Value of stamps of totalled ?
    - (i) daily ?
    - (ii) correctly ?
  - (4) Postal registration books used for registered post ?
  - 10. *Stamps account register* [Vide para 90(1)]
    - (1) Separate registers maintained :
      - (a) for ordinary postage stamps ?
      - (b) for service postage stamps ?
    - (2) Totals from despatch registers and postal registration books/posted :
      - (a) daily ?
      - (b) correctly ?
    - (3) Scrutinised by Section Officer daily ?
    - (4) Inspection by the Branch Officer every month ?
    - (5) Stock of stamps available tallies with the balance shown in the register ?
  - 11. *Messenger Books* [Vide para 87( 1)]
    - (1) Number of books in use ?
    - (2) Number serially ?
    - (3) Basis of allocation ?
    - (4) Allocation rational ?
    - (5) Time of despatch of urgent communications indicated ?
  - 12. General Remarks
    - (1) Adequacy and condition of :
      - (a) typewriters
      - (b) duplicating machines
      - (c) furniture
    - (2) Seating arrangement
    - (3) Working conditions including lighting, ventilation etc.
- B—Summing up*
- \*13. Brief re-capitulation of defects or short comings noticed.
  - \*14. Suggestions for improvements :
    - (a) by the inspecting officer

**APPENDIX 55—Contd.**

(b) received from the section staff together with the comments of the inspecting officer thereon.

\*15. A general assessment of performance of the section including a comparative appraisal with particular reference to the picture revealed during the last inspection

Date.....

Signature of Inspecting Officer

Designation.....

*Instructions for answering the questionnaire*

Reference to part, section and item in the questionnaire	Instructions
I-B 4 & 5	The daily average should be based on the information for the preceding week and should exclude information relating to work handled by resident/night duty clerk to be furnished separately vide S. Nos. 6 & 7.
I-B4(a)	To be worked out on the basis of figures contained in column 5 of the invoices maintained for different sections.
I-B4(b)	To be worked out with reference to the serial numbers assigned to the first and the last entries in the dak registers.
I-B5(1)	To be worked out with reference to the serial numbers assigned to the first and the last entries in the issue diary.
I-B5(2)	To be assessed from the distribution charts and typists' dairies.
I-B5(3)	To be worked out with reference to the serial numbers assigned to the first and the last entries in the despatch register for telegrams.
I-B5(4)(a)	To be worked out with reference to the serial numbers assigned to the first and the last entries in the despatch register for registered post/book of the postal registration receipts.
I-B5(4)(b)	To be worked out with reference to the serial numbers assigned to the first and the last entries in the despatch register for ordinary dak.
I-B5(4)(c)	To be arrived at by counting the number of entries for a week in a sample of messenger books and projecting the result to the total number of messenger books in use for that week.
II-AI(b)	To be assessed on a test check to be carried out with reference to a new latest known changes.
II-A 2(2)&(3)	To be answered with specific reference to para 14(7) of manual.

\*Use a continuation sheet, where necessary.

## APPENDIX 56

### *Inspection Questionnaire on Organisation & Methods (O&M)*

[Vide para 136 (1)]

(To be filled-in by all Sections / Desks / Units)

MINISTRY / DEPARTMENT \_\_\_\_\_

FOR THE QUARTER ENDING \_\_\_\_\_

OFFICE / SECTION \_\_\_\_\_

1. Subjects allotted to Section / Desk / Unit, in brief :

2. (a) Number of Receipts received :

(b) Number of New Files opened :

**(c) Registers & Folders**

(i) Whether Section Diary Register, Assistant Diary, Despatch Register, File Register, File Movement Register, Call Book, Guard File, Reference Folders, Precedent Book, Subject Distribution Chart, Reminder/Suspense Diary, Register for Communications from MPs, Register for Parliamentary Assurances etc. are being maintained and kept neat and tidy.

(ii) Registers/folders not being maintained along with the reasons.

**(d) Consolidation of Orders and Review of Rules / Manuals etc.**

(i) Whether orders/instructions are being consolidated, if so, details of consolidation of orders made during the year.

(ii) Whether there is any regular mechanism for undertaking revision of old rules regulation, manuals etc.

(iii) Details of rules, regulations, manuals etc. revised/updated/reprinted during the year;

**(e) Work Environment**

(i) Whether work environment in office is congenial keeping in view the general cleanliness seating arrangements etc.

(ii) If not, specify the areas of deficiency and action being taken to improve the same.

**(f) Items of work which have been computerized.**

**3. Staff Strength :**

Sl. No.	Name of Post/ Grade	Sanctioned	In position	Number of vacancies and date from which vacant	Cause of vacancy (Transfer, retirement, death, long leave, etc.)	Remarks
(1)	(2)	(3)	(4)	(5)	(6)	(7)

**APPENDIX 56—Contd.**

**4. Rotation of Staff (Details of persons working in the same sections/unit for more than five years) :**

Sl. No.	Name & Designation of employee	Name of Section/ seat in which working	Date from which working	Whether his/her case of transfer was considered	Justification for such retention
(1)	(2)	(3)	(4)	(5)	(6)

**5. Training of Staff**

Groups	Number of persons in Section/ Unit	Number of persons who have undergone in-service training during the year	Number of persons who require short-term training (i.e. upto 3 months) in work related jobs	Number of persons who require long-term training (i.e. more than 3 months) in work related jobs	Area of Training (Please Indicate) (i) Office Procedure (ii) Computer (iii) Finance/Audit (iv) Statistics/Research (v) Management (vi) Other specialized fields (vii) Any other ( <i>specify</i> )	Remarks
(1)	(2)	(3)	(4)	(5)	(6)	(7)
Group - A						
Group - B						
Group - C						
Group - D						

**6. Punctuality**

- (i) Is Attendance Register maintained properly ? (Please specify, Manual or electronic).
- (ii) Is late Attendance marked showing the time of arrival of late comers ?
- (iii) Is Attendance Register checked by an officer daily ?
- (iv) Is forfeiture of casual leave etc. done as per instructions ?
- (v) Whether surprise visits conducted by senior officers? If so, frequency per month.

**7. Security of Official Documents**

- (i) Whether Classified files and papers (other than those in hand) are being kept in locked almirahs?
- (ii) Whether separate record (e.g. section diary, file register, index slip) is being maintained in respect of secret papers (unless the section itself is designated as secret or top secret) ?
- (iii) Whether any instances of violation of prescribed instructions for treatment and safe guarding of secret/top secret papers/information have come to notice and, if so, action taken thereon ?
- (iv) Whether a periodical review is done to de-classify the existing classified documents and if so, the result thereof.

## APPENDIX 56—Contd.

### 8. Processing, Submission and Monitoring of Cases

(a) Processing and Submission of Papers (*Take a sample of 5 current cases at draft stage*)

- (i) Number of cases, which were properly referenced, flagged and enclosures clearly marked.
- (ii) Whether name, designation, complete address and telephone number of the signatory were marked.
- (iii) Number of files which were found neat and tidy.
- (iv) Extent of computerization of file movement / tracking of papers.

(b) Monitoring of Pending Cases

(i) Whether Weekly / Monthly statements of pending cases are being submitted on due dates:

(ii) Number of Pending Cases

Upto One month	Between 1 to 3 months	Between 3 to 12 months	Over 1 year	Total
(1)	(2)	(3)	(4)	(5)

(iii) Whether cases pending over a month are being brought to the notice of concerned Joint Secretary or higher officers.

### 9. Compliance of Official Language Policy

- (i) Number of letters received in Hindi:
- (ii) Number of letters out of (i) above replied in Hindi:
- (iii) Percentage of correspondence in Hindi with Government offices located in Hindi Speaking States/UTs.
- (iv) Whether all the documents like orders, notifications, contracts, agreements etc. are issued bilingually

### 10. Records Management

- (a) (i) Number of files due for recording
- (ii) Number of files recorded
- (iii) Number of files pending for recording
- (b) (i) Number of files received for review
- (ii) Number of files reviewed
- (iii) Number of files pending for review
- (iv) Number of files marked for further retention after review and its percentage to (ii) above
- (c) (i) Number of files weeded out
- (ii) Whether proper record has been maintained of such files
- (d) Whether Index Slips prepared for recorded files alphabetically
- (e) (i) Number of files sent to Departmental Record Room (DRR)
- (ii) Number of files sent to National Archives of India (NAI)
- (f) (i) Whether Retention Schedule for records has been drawn up relating to substantive work
- (ii) If yes, whether the schedule is reviewed every 5 years

**APPENDIX 56—contd.**

**11. Pending references from M.Ps. and other V.I.Ps,**

Number of references			Number of references disposed	Number of references pending for disposal (from date of receipt)					Out of pending references number of cases in which acknowledgement/interim reply has been sent	Reasons for pendency of cases over one year (in each case. )
Brought forward	Received during the year	Total		less than 3 months	between 3 to 6 months	between 6 to 12 months	Over one year	Total		
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)	(10)	(11)



**12. (a) Matters related to the Parliament (*Pending Assurances given in the Parliament*)**

Sl. No.	Parliament Question No. and date on which replied	Number of Assurances given	Date on which the extended period expires	Assurance pending for			Reasons for non-fulfilment	Present status
				Less than 6 months	Between 6 to 12 months	More than One year		
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)

**12.(b) Directions of Parliament Committees Pending Compliance**

Sl. No.	Name of the Committee	Date on which directions given	Nature of directions	Date by which directions are to be complied	Present status of compliance
(1)	(2)	(3)	(4)	(5)	(6)

**APPENDIX 56—Contd.**

**13. (a) Disposal of representation from the staff**

Number of Representations			Number of Representations disposed	Number of Representation pending for disposal					Reasons for pendency of cases over six months	Broad nature of Representations
Brought forward	Received during the year	Total		less than 3 months	Between 3 to 6 months	Between 6 to 12 months	Over one year	Total pending		
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)	(10)	(11)

**APPENDIX 56—Contd.**

**13. (b) Disposal of Complaints of Women Employees regarding Harassment**

Number of Complaints			Number of complaints disposed	Number of pending complaints	Details of each pending Complaint				Present Status
Brought forward	Received during the year	Total			Number of Woman employee(s)	Date of receipt of Complaint	Whether any hearing has taken place, if so, date thereof	Whether the matter was discussed in the Committee/ Cell set up to look into such Complaints	
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)	(10)

**APPENDIX 56—Contd.**

**13. (c) Disposal of Complaints of SC/ST Employees**

Number of Complaints			Number of complaints disposed	Number of pending complaints	Details of each pending Complaint				Present Status
Brought forward	Received during the year	Total			Number of SC/ST employee(s)	Date of receipt of Complaint	Nature of Complaint	Whether any hearing has taken place and if so, date thereof	
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)	(10)

**APPENDIX 56—Contd.**

**14. Mechanism of Public Grievances and Transparency**

- (i) Whether a senior officer has been appointed as the Director of Public Grievances :
- (ii) Whether the office has been empowered to pursue the matters represented and liaise with all branches and sections :
- (iii) Whether a day of the week has been earmarked for attending to public grievances by senior officers :
- (iv) Whether a complaint box has been placed at the reception :
- (v) Have suitable arrangements been made for visitors for lodging their complaints :
- (vi) Have Information and Facilitation Counters been opened :
- (vii) Has a Complaint Register been opened and are the complaints being entered therein :
- (viii) Has time-frame been fixed for disposal of complaints :
- (ix) Does Head of Office/Department review the action taken for redressal of Public Grievances :
- (x) Whether release of information to the public on Department's activities is taking place through :—
  - (a) Book-lets: (b) Information & Facilitation Counters : (c) Internet :

**15. Disposal of Petitions from the public**

Number of petitions			Number of petitions disposed	Number of petitions pending for disposal (from date of receipt)					Reasons for pendency of cases over six months	Broad nature of petitions received
Brought forward	Received during the year	Total		less than 3 months	between 3 to 6 months	between 6 to 12 months	Over one year	Total ending		
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)	(10)	(11)

**16. Maintenance of Office Support Systems**

- (a) Equipments/Machines (like Typewriters, Computers, etc.)

Equipment	Whether in working order	If not in working order, date from which not working	Action taken for repairing the fault	Whether the number of equipments provided are adequate vis-a-vis Staff/workload
(1)	(2)	(3)	(4)	(5)

- (b) Furniture

Action taken for replacing the old furniture by modular furniture :

**17. Scheme (s) of Awards for Suggestions**

- (i) Whether any 'Scheme of Cash Awards to the Staff/ Public' is in operation for suggesting innovative ideas/new methods/procedures/techniques for improving the efficiency and productivity of the Organisation :
- (ii) Number of suggestions made by the Staff and Public separately during the year :
- (iii) Whether any of the suggestions were accepted for implementation and, if so, details of awardees and their suggestions.

**APPENDIX 56—Contd.**

**18. Inspection of Attached / Subordinate Offices (Details of inspections conducted by the Head of the Department/ Senior Officers during the year)**

Name of Office inspected	Date (s) of Inspection	Name & Designation of Officers who conducted the inspection	Suggestions/ Recommendations/ Defects pointed out (in brief)	How many Suggestions/ Recommendations have been implemented	Suggestions/ Recommendations not so far implemented and reasons therefor	Remarks
(1)	(2)	(3)	(4)	(5)	(6)	(7)

**19. Implementation of Suggestions/Recommendations of Last Inspection**

- (i) Have all the suggestions/recommendations/defects pointed out in the previous inspection been implemented/rectified
- (ii) If not, specific reasons for not implementing the same in each case

**20. Brief recapitulation of defects or shortcomings noticed and any other comments which Inspecting Officer (s) may have to make**

(Section Officer/Junior Analyst)

To

Designated section handling work of IWS/O & M Unit

## APPENDIX 57

### Inspection Questionnaire for Departmental Record Room

[Vide para 136 (2)]

Ministry/Department.....

Date of present Inspection.....

Date of last Inspection.....

#### PART I—GENERAL

#### PERSONAL DATA

---

Factual data to be furnished by S.O./Asstt. /UDC In-charge of Record Room

---

S.O. or equivalent grade like Archivist	Asstt.	UDC/LDC	Multi skilled Staff/Record Attendent/ Record sorter	Multi Skilled Staff
--	--------	---------	---	---------------------------

---

Sanctioned strength

Actual Deployment at the time of inspection

---

#### 2. *Physical condition of the Record Room*

- (i) Location such as e.g. Basement/Ground Floor/Other floors.
- (ii) Area occupied by records
- (iii) Area occupied by staff
- (iv) Total Area  
Is there sufficient space in the Record Room for further accrual and storage of records?
- (v) Number of shelves
  - (a) Steel
  - (b) Wooden
- (vi) Mode of keeping the record:
  - (a) Are the files kept in bundles with plywood/cardboard support or in carton boxes?
  - (b) If in bundles, how they are kept? (horizontal/ vertical)
  - (c) Are the bundles properly labelled indicating their contents?
- (vii) Are there proper ventilation and lighting arrangement?
- (viii) Are there security arrangement against fire hazards, theft and pilferage?
- (ix) Is there enough space for reception and consultation of record?
- (x) Does the Record Room have gangways ?

## APPENDIX 57—Contd.

- (xi) Whether naphthalene bricks/balls are being used? If not, what are the other arrangement for satisfactory preservation of record (e.g. spray of Insecticides like DDT, Pip and Flit etc).
- (xii) Is vacuum cleaner being used for Record Room? If not, state the arrangements for proper dusting and cleaning?
- (xiii) Whether records are being fumigated periodically?
- (xiv) What arrangement exists for mending and repair of records? What materials are used for mending and repair work? [Para (104 (3))]
- (xv) General condition of cleanliness and proper stacking of files etc.

### PART II—RECORD-KEEPING AND THEIR PERIODICAL REVIEW/APPRAISAL

Number of records: Wherever possible please furnish the information for inclusive years (i.e. oldest and the latest year)

- (i) Total number of record (indicating the oldest and the latest on the date of inspection)
  - (a) Files
  - (b) Registers
  - (c) Other records like Maps/Charts/ Drawings/Audio-Visual.
- (ii) Total number of records which are more than 25 years old at the time of inspection
  - (a) Files
  - (b) Registers
  - (c) Other records like Maps/Charts/ Drawings/Audio-Visual.
- (iii) If the Record Room is also accepting classified records the arrangement for their safe custody.
- (iv) Security arrangement for inspection of Secret Record Room where they exist.
- (v) Whether all the files due for review have been sent to respective sections.
- (vi) Number of 'C' category records sent for review to respective sections during the last year. [Para 113 (4)]
- (vii) Number of record reviewed during the last year. [Para 113(5)].
- (viii) Number of records lying unreviewed in different sections.
- (ix) Number of records marked for further retention by concerned sections and sent to Departmental Record Room [Para 113 (1) & (5)]



## APPENDIX 57—Contd.

- (x) Percentage of files marked “keep” to total files reviewed and whether it is excessive?
- (xi) In case further review is called for (if excessive percentage has been marked for retention) number of files checked and advice or measure suggested for improvement.

### *Weeding out:*

- (xii) Number of files/records marked for weeding out during the year. [Para 113 (1)]
- (xiii) Whether the records marked for weeding out have been destroyed? If not, when it is proposed to destroy them. [Para 113 (7) (b) (i) & (ii)].

### *Transfer:*

- (xiv) Number of more than 25 years old files appraised by the National Archives of India during the last year. [Para 113 (2)]
- (xv) Whether the files recommended for retention by National Archive of India have been transferred to that organisation. If not, give reasons.

### *Retention Schedule:*

- (xvi) State if the Retention Schedule for substantive records has been complied. If not, when it is proposed to be compiled. [Para 111 ( 1 )(d)]

## PART III—MAINTENANCE

### *1. Files:*

Please take a sample of 20 files at random and examine

- (i) Whether the files have been properly recorded and classified into, ‘B’ and ‘C’ categories. Has the retention period of ‘C’ category files has been distinctly indicated? (Para 105)
- (ii) Whether they have been stitched properly? [Para 104 (3)]
- (iii) Number of files not found at appropriate places in bundles of recorded files.
- (iv) Are the requisition slips kept in proper places in bundles? If not, state reasons. [Para 115 (3)]
- (v) Number of files lying on the ground. If so, indicate number and reasons therefor.
- (vi) Whether files opened under functional and conventional filing system are kept separately and arranged section-wise, chronologically in a serial order.

## **APPENDIX 57—Contd.**

### **2. Register:**

Whether the following registers are being maintained properly and entries are up-to-date:

- (i) Record Issue Register.
- (ii) Record Review Register. [Para 112 (4); Appendix 30]
- (iii) Accession Register
- (iv) Record Transfer Register [Para 112 (2); Appendix 29].

### **PART IV—INDEXING**

- (i) Has the departmental index been compiled in the consolidated form? [Para 109]
- (ii) What types of finding aid (Reference Aids/ Information Retrieval) sets are available in the Record Room?

### **PART V—INSPECTING OFFICERS' REPORT**

- (i) Additional functions, if any, being performed by the Departmental Record Room.
- (ii) General Remarks of the Inspecting Officers about the state of Record Room.
- (iii) Recapitulation of defects or shortcomings noticed and any other comments which Inspecting Officers may have to make.
- (iv) General Remarks, if any:

*Signature of the Inspecting Officers with date.*

---

One copy of the inspection report may be forwarded to the National Archives of India for their information and record. [Para 138 (1)]

**APPENDIX 58**

*Management Information System (MIS)*

[Vide para 136(3)] MINISTRY/DEPARTMENT \_\_\_\_\_

(To

be filled by Establishment/Administration) OFFICE/SECTION \_\_\_\_\_

Date of Last Inspection.....

Date of Present Inspection.....

**1. Position of Vacant Posts**

Sl. No.	Name of Post/Grade	Sanctioned	In Position	Number of vacancies and date from which vacant	Vacancies arisen under			In case of DR, date on which vacancy sent to UPSC/SSC etc. and the present status	In case of Promotion, action taken for holding DPC meeting and the present status	In case of Transfer/ Deputation, action taken for circulation/ advertisement of post and the present status	Remarks
					Direct Recruit (DR)	Promo- tion	Transfer/ Deputa- tion				
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)	(10)	(11)	(12)

203

**2. Promotional Aspects**

Sl. No.	Name of Post/Grade	Number of employees who have been working in the same post/grade on regular basis for			Reasons for not getting promotion	Whether restructuring/ quinquennial cadre review of different posts/grades have been conducted, wherever applicable	If not, the date of last cadre review	Reasons for not doing restructuring/ periodical cadre- review	Remarks
		10—15 years	15—20 years	More than 20 years					
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)	(10)

**APPENDIX 58—Contd.**

**3. (a) Ad-hoc Promotion**

Sl. No.	Name of Post/Grade	Number of ad-hoc promotees	Reasons for resorting to ad-hoc promotion	Date of promotion	Level of authority whose approval was obtained	Whether the concurrence of DOPT etc. was obtained for continued promotions beyond one year
(1)	(2)	(3)	(4)	(5)	(6)	(7)

**3. (b) Details of requests received for Appointments made on Compassionate Grounds**

Sl. No.	Name & designation of Government servant(s) expired, while in service	Date of death	Date of receipt of application from Dependent	Relationship with the Government servant to whom appointment was given/to be given	Post & Pay Scale for which appointment was made/to be made	Date of appointment	In case pending, reasons for delay
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)

**4. Completion of Probation**

**Details of cases in which satisfactory completion of probation has not been declared :**

Sl. No.	Name of Post/Grade	Number of the probationers	Number of cases in which probation period has been extended	Number of cases of termination of service during probation period, if any	Number of remaining cases	Reasons for delays in each category
(1)	(2)	(3)	(4)	(5)	(6)	(7)

**APPENDIX 58—Contd.**

**5. Recruitment Rules (RRs) for the Posts**

Posts for which RRs to be finalized	Whether action has been initiated. If so, the present status	Reasons for delay in finalization of RRs	Posts for which RRs have not been reviewed/modified as per instructions	Reasons for non-review in each case
(1)	(2)	(3)	(4)	(5)

**6. Maintenance of Service Books**

**(a) Take a sample of 10 Service Books and note the following :**

Are Service Books available for all categories of staff?	Whether Service Books are complete and up-to-date?	Are nomination forms duly filled in and attached?	Are records of Leave, LTC, CGEGIS, HBA, annual increments etc. maintained?	Has verification of service been done particularly for officials retiring in next five years?	Whether Service Books have been shown to the persons concerned every year?
(1)	(2)	(3)	(4)	(5)	(6)

**(b) Where Service Books are not complete, whether any special drive was undertaken and if so, the results thereof :**

**7. (a) Details of Pending Disciplinary Cases**

In case of Pending Disciplinary Cases								
Sl. No.	Name & Designation of delinquent officer	Nature of alleged misconduct (MINOR or MAJOR)	Date of misconduct/ complaint/ cognizance of the offence	Proceedings initiated with date i.e. date of issue of formal charge sheet	Date of initiation of enquiry	Date of Submission of report by the Inquiry Officer	Whether UPSC/CVC was consulted	Present status of the case
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)

**APPENDIX 58—Contd.**

**7. (b) Details of Pending Review/Appeal Cases**

Sl. No.	Name & designation of delinquent official	Nature of Penalty imposed	Date of receipt of appeal/review application	Present Status
(1)	(2)	(3)	(4)	(5)

**8. Number of Vigilance Cases Pending :**                      Group-A : \_\_\_\_\_;    Group-B : \_\_\_\_\_;    Group-C : \_\_\_\_\_;    Group-D : \_\_\_\_\_

**9. Number of Suspension Cases Pending**

Group	Number of Cases Pending	Whether Charge-sheet served within 3 months, if not reasons thereof
Group-A		
Group-B		
Group-C		
Group-D		

**10. Review for Premature Retirement [under FR 56(J)]**

Group/Post	Number of cases ripe for review	Number of cases actually reviewed	Number of cases recommended for continuance in service	Number of cases recommended for premature retirement	Remarks
(1)	(2)	(3)	(4)	(5)	(6)
Group-A					
Group-B					
Group-C					
Group-D					

**APPENDIX 58—Contd.**

**11. Details of Cases where Pension and Pensionary Benefits have not been settled**

**(a) Pending Cases for Settlement of Pensionary Benefits etc. to Persons Retired on Superannuation/Voluntarily**

Sl. No.	Name & designation of Employee	Date of retirement on superannuation/ voluntarily	Nature of pensionary benefits to be settled like pension, CGEGIS and encashment of leave (specify each item separately)	Whether advance action like NOC from the Dte. of Estates, filling of forms for family details, nomination of bank, verification of qualifying service, forwarding of Form-7 & pension calculation sheet was taken as per schedule	If not, reasons for delay in each item	Any other reason for which pensionary benefits were not settled	Present status	Whether anticipatory pension sanctioned in respect of long pending case
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)

207

**(b) Pending Cases for Settlement of Pensionary Benefits etc. to Persons Died in Harness in the office**

Sl. No.	Name & designation of Employee	Date of Death	Date of sanction of immediate relief	Date of receipt of application alongwith death certificate and other papers for sanction of family pension	Date of sanction of family pension	Details of non-settlement of claims like DCRG, PF, CGEGIS, encashment of leave, Deposit Link Insurance	Specify the reasons for non-settlement of each item
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)

**APPENDIX 58—Contd.**

**12. Court Cases (Pendency may be taken from the date of filing the petition/application in CAT/Court)**

**(a) Number of Court Cases pending for**

Less than 6 months	Between 6 months to 1 year	Between 1 to 2 years	Over 2 years	Total
(1)	(2)	(3)	(4)	(5)

**(b) Details of Pending Court Cases**

Petition/OA No. with date	Name of Court/Bench of CAT	Major issues involved	Date on which Counter Affidavit was filed	Date of filing subsequent affidavits if any	Present Status of the case
(1)	(2)	(3)	(4)	(5)	(6)

**(c) Status of Implementation of Court Judgements**

Petition/OA No. with date	Name of Court/Bench of CAT	Date of Judgement	Time-frame, if any, given by Court for implementation	Major issues involved	Whether the appeal/review application against the judgement has been filed by Government/Individual, if so, the date thereof	Status of the appeal/review application	If no appeal etc. has been filed, present status of action taken to implement the judgement	Reasons for delay in implementing the judgement	Whether any contempt petition has been filed for delay in implementation or against the manner of implementation of the judgement.
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)	(10)



**APPENDIX 58—Contd.**

**13. Delegation of Powers by the Head of Department/Senior Officers**

- (i) Whether the Administrative/Financial Powers have been delegated to Subordinate Offices/Officers
- (ii) If so, the order numbers and date vide which such powers were delegated.
- (iii) Whether delegated powers are being exercised.

**14. Maintenance of Advance Registers and Cash Book** *(Take a sample of five registers)*

- (a) (i) Whether registers for long-term advances and short-term advances being maintained properly :
- (ii) Whether entries of all advances like GPF, HBA, Scooter/Car advances are made in the Pay Book Register :
- (iii) Are these registers being submitted to officers :
- (iv) Whether proper account of the Imprest Money is being maintained :
- (b) (i) Is the Cash Book being maintained as per rules/instructions :
- (ii) Are all receipts and payments entered daily in the Cash Book :
- (iii) Is physical verification of Cash in Hand done once in a month by the officers :

**15. (a) Audit Objections**

- (i) Is internal Audit being done every year
- (ii) Date of last visit of external Audit Team

**(b) Details of pending Audit Objections**

Sl. No.	Number of pending Audit Paras, brought to notice by Audit Team	Number of Audit Paras having financial implications	Number of cases of mis-appropriation/ embezzlement, if any	Number of Audit Paras, pending action	Pending Audit Paras, in brief	Reasons for delay in taking corrective action (para-wise)	Remarks
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)

**APPENDIX 58—Contd.**

**16. Vehicle-wise details of Petrol/Diesel consumption** (*Month-wise consumption during the year may be given*)

Make of Vehicle	Registration Number	Whether the Log Book is maintained properly	Actual consumption of Petrol/Diesel	Excess, if any, over the prescribed ceiling of consumption	Whether excess consumption was got regularized with IFD's approval	Remarks
(1)	(2)	(3)	(4)	(5)	(6)	(7)

(Signature)

Under Secretary (Admn./Estt.)

To  
Designated Section handling work of IWSU/O&M Unit

**APPENDIX 59**

Executive Summary for Secretary

[Vide para 136(4)]

(To be prepared by designated section handling work of IWS/O&M Units)

Ministry/Department \_\_\_\_\_ Report for the Quarter ending \_\_\_\_\_

**1. Position of Vacant Posts**

Sl. No.	Name of post/ Grade	Sanctioned	In position	Number of vacancies arisen over 3 months			Total	Vacancies arisen under			In case of DR, date on which vacancy sent to UPSC/SSC etc. and the present status	In case of Promotion, action taken for holding DPC meeting and the present status	In case of Transfer/ Deputation, action taken for circulation/advertisement of post and the present status	Remarks
				Between 3 to 6 months	Between 6 to 12 months	Over 1 year		Direct Recruit (DR)	Promotion	Transfer/ Deputation				
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)	(10)	(11)	(12)	(13)	(14)	(15)

211

**2. (a) Details of pending Disciplinary Cases**

Sl. No.	Name & designation of delinquent official	Nature of alleged misconduct	Date of receipt of complaint/ cognizance of the offence	Proceeding initiated with date i.e. date of issue of formal charge-sheet	In case of major penalties proceedings			Present status of the case
					Date of initiation of Enquiry	Date of submission of report by the Inquiry Officer	Whether UPSC/ CVC was consulted	
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)

**(b) Details of pending Review/Appeal Cases**

Sl. No.	Name and Designation of delinquent official	Nature of penalty imposed	Date of receipt of appeal/review application	Present Status
(1)	(2)	(3)	(4)	(5)

**APPENDIX 59—Contd.**

**3. Details of Vigilance Cases**

Sl. No.	Name of Delinquent employee	Nature of alleged misconduct	Whether PE/RC has been initiated by CBI	Date of receipt of report from CBI	Whether prima facie case established	Whether sanction for prosecution obtained by CBI from the competent authority	In case of gazetted employee, whether CVC was consulted and if so, the date thereof	Whether the delinquent official has been suspended and if so, the date of suspension	Whether prosecution has been launched and if yes, the date of filing of charge-sheet in Court	Remarks
1	2	3	4	5	6	7	8	9	10	11

**4. (a) Details of Pending Court Cases** (*Pendency may be taken from the date of filing the petition/application in CAT/Court*)

Petition/OA Number with date	Name of Court/Bench of CAT	Major issues involved	Date on which counter affidavit was filed	Date of filing subsequent affidavits, if any	Present status of the case
1	2	3	4	5	6

**(b) Status of Implementation of Court Judgements**

Petition/OA No. with date	Name of Court/ Bench of CAT	Date of Judgement	Time-frame, if any, given by Court for implementation	Major issues involved	Whether the appeal/ review application against the judgement has been filed by Government/ Individual, if so, the date thereof	Status of the appeal/review application	If no appeal etc. has been filed, present status of action taken to implement the judgement	Reasons for delay in implementing the judgment	Whether any contempt petition has been filed for delay in implementation or against the manner of implementation of the judgement
1	2	3	4	5	6	7	8	9	10

APPENDIX 59—contd.

**5. Pending References from M. Ps and other V. I. Ps.**

Number of references			Number of references disposed	Number of references pending for disposal (from date of receipt)					Out of pending references number of cases in which acknowledgement/interim reply has been sent	Reasons for pendency of cases over one year (in each case)
Brought forward	Received during the year	Total		Less than 3 months	Between 3 to 6 months	Between 6 to 12 months	Over One year	Total Pending		
1	2	3	4	5	6	7	8	9	10	11

**6. (a.) Matters relating to the Parliament (Pending assurances given in the Parliament)**

Sl. No.	Parliament Question No. and date on which replied	Number of Assurances given	Date on which the extended period expires	Assurance pending for			Reasons for non-fulfilment	Present status
				Less than 6 months	Between 6 to 12 months	More than one year		
1	2	3	4	5	6	7	8	9

**(b) Direction of Parliament Committees Pending Compliance**

Sl. No.	Name of the Committee	Date on which directions given	Nature of directions	Date by which directions are to be complied	Present status of compliance
1	2	3	4	5	6

**APPENDIX 59—Contd.**

**7. Details of Pending Audit Objections**

Sl. No.	Number of pending audit paras brought to notice by Audit Team	Number of audit paras having financial implications	Number of cases of mis-appropriation/ embezzlement, if any	Number of audit paras pending action	Pending audit paras, in brief	Reasons for delay in taking corrective action (para-wise)	Remarks
1	2	3	4	5	6	7	8

214

**8. Disposal of Petitions from the Public**

Number of Petitions			Number of Petitions disposed	Number of Petitions pending for disposal (from date of receipt)					Reasons for pendency of cases over six months	Broad nature of Petition received
Brought forward	Received during the quarter	Total		Less than 3 months	Between 3 to 6 months	Between 6 to 12 months	Over One year	Total Pending		
1	2	3	4	5	6	7	8	9	(10)	(11)

**9. Details of any other aspect(s) which need the attention of the Secretary/Head of Office (may be added as Annexure).**

## APPENDIX 60

Matters in respect of which departments may issue departmental instructions

[Vide para 149(1)]

S.No.	Subject	Reference to the relevant para of the Manual
1	2	3
1.	Designation of an officer to receive urgent dak outside office hours (for departments having no resident clerk or night duty staff for the purpose)	12(2)(b)
2.	Categories of receipts which should be entered in the dak register .	14(6)
3.	Processing of urgent dak received by the central registry outside office hours	15(5)
4.	Types of receipts which should be seen by higher officers before they are processed	16(3)
5.	Types of receipts, other than those mentioned in para 12(1) which should not be diarised	17(2)(k)
6.	Designation of an officer to decide allocation of disputed receipts	21
7.	Categories of routine cases which the Section Officer can dispose of and types of 'intermediate action' which he can take on his own	24(2)
8.	Categories of cases for which standard process sheets can be devised	26
9.	Levels at which different classes of cases may be finally disposed of	27(1)
10.	Booking of telephone trunk calls (or STD) calls from telephones provided in office and at residences of officers	51(5)
11.	Cases or classes of cases in which attached and subordinate offices under control of a department may correspond directly with other departments and <i>vice versa</i>	52(1)
12.	Levels competent to make or authorise inter-departmental references	54(2)(a)
13.	Formulation of guidelines by nodal Ministries/Departments	55
14.	Classes of cases in which fair communications may be authenticated for issue by the Section Officer of central issue section/section concerned	84(3)
15.	Procedure for submission of weekly statement of cases other than those of routine nature disposed of without reference to the Minister-in-charge	91(2)(b)(i)
16.	Classes of cases in respect of which card indices may be maintained	107(4)
17.	Departmental record retention schedule prescribing retention periods for different categories of records connected with substantive functions	111(1)(d)
18.	Procedure for review and weeding out of records maintained by officers and their personal staff	114
19.	Time limits for disposal of cases	121
20.	Declaration of meeting less day in the week	122(5)
21.	Levels to which the monthly statement of cases pending disposal for over a month may be submitted	124(6)
22.	Levels to which the inspection reports and the compliance reports should be submitted.	139(3)
23.	Supplementary inspections of sections with special reference to the nature of their work	140(1)
24.	Categories of record to be treated as historical importance	Item (11) of Part 'B' of Appendix 25

**APPENDIX 61**

*Despatch Register to be maintained by the personal offices of Ministers*  
[Para 152(1)(a)(ii)]

S. No.	Number and date of Communication	Subject	To whom sent	Enclosure
1	2	3	4	5



**APPENDIX 62**

*File Movement Diary to be maintained by the personal offices of the Ministers*  
[Para 152(1)(a)(iii)]

S. No.	File Number	Subject	From whom received and date	To whom sent and date
1	2	3	4	5

\* (For files received from the Secretariat only).

**APPENDIX 63**

*Particulars of files given informally to Minister*  
[Para 152(3)(b)]

File No.	Brief Subject	Designation of officer who handed over the file	Date	Initials of P. S. to Minister
1	2	3	4	5

Note: This shall be prepared in duplicate. While the original is handed over to P.S. to Minister, who will initial the duplicate in token of having received these particulars, the duplicate will be kept by PA/PS to the officer concerned, till the file in question is received back from the Minister.

## APPENDIX 64

### *Procedure to be followed for processing of reports of Commissions/Committees and other expert bodies*

*[vide para 155]*

1. On receipt of a report, it should in the first instance, be examined at the level of Additional Secretary/ Joint Secretary and orders on those recommendations which do not require consultation with other departments and can be accepted straightway should be issued by them within one month from the date of receipt of the report. The remaining recommendations in the reports should be processed through empowered committees.
2. The Ministry primarily concerned with the implementation of a report should appoint an 'Empowered Committee' which may be presided over by the Secretary or AS/JS and may have representative of Department of Administrative Reforms and Public Grievances, Finance, Personnel and such other interests as need to be consulted, with full authority to commit their respective departments to a firm line of action. Composition of the committee should be flexible so that various interests are given due representation.
3. Deputy or Under Secretary may be nominated in the Ministry concerned to handle the secretariat work for the 'Empowered Committee'. Depending on the workload, he may either be a whole-time or part-time officer. In the later event, administrative arrangements should be made to ensure that he can be given adequate time to this work.
4. Except where the 'Empowered Committee' so directs, there should be no noting para-wise, recommendation-wise or chapter-wise. Normally the paper for consideration by the committee should be only the report itself. (Study teams should be asked to ensure that the department view point is duly taken into account and brought out while formulating recommendations, this would reduce the need for noting later).
5. Normally, processing of the report should be completed within three months of its receipt. This limit may be exceeded only in those cases where collection of additional data and further analysis is involved. Recommendations, which are capable of immediate acceptance and implementation should not however be held up, even in such cases.
6. Recommendations involving financial implications are of two categories. For the simpler ones the Finance Ministry representative should be authorised to agree on behalf of his Ministry straightaway. Where very major issues are involved, he should be able to obtain instructions from his Ministry before the particular meeting in which the matter is considered.
7. If a recommendation involves policy requiring the orders of the Minister or the Cabinet, the 'Empowered Committee', should function as a screening committee before the case goes up to that level.
8. Where the viewpoint of the different interests remain unresolved, the issue should be referred to the Committee of Secretaries for consideration.

## APPENDIX 65

*Illustrative list of functions to be performed by the designated section handling work of  
IWSU/O&M Units*

*[Para 158(3)]*

S.No.

**Item of work**

### *I. Organisation and Method Studies*

- (1) *Rationalisation of structures and procedures suo motu or on request, including those relating to activities where the public comes into contact with governmental administration with a view to obviating harassment to the public. (For these studies they will compile and maintain up to date information concerning the organisation and functions of the Ministry/Department including an organisational chart.)*
- (2) Information system (review and rationalisation of reports and returns, devising procedures for facilitating proper collection, transmission, distribution, processing, storage and easy and prompt retrieval of information etc.).
- (3) Forms design and control.
- (4) Standardisation of forms of communication.
- (5) Manner of processing certain types of repetitive work.
- (6) Review of need for continuance of advisory bodies (e.g. committees and councils).
- (7) Review of delegation of financial and administrative powers.
- (8) Filing, i.e.
  - (a) Developing appropriate systems of filing for various items of work or information;
  - (b) Drawing up standardised file indices broadly based on functional designs and periodic review thereof.
- (9) Records management i.e.
  - (a) Ensuring preparation or review of record retention schedules concerning substantive functions of the Ministry/Department by the concerned sections and furnishing guidance therefor as necessary.
  - (b) Scrutiny of monthly reports of arrears relating to recording, indexing, weeding, etc. of files and suggesting remedial action required.
- (10) Office layout.

### *II. Work measurement studies i.e.*

- (a) Undertaking work measurement studies, including scrutiny of proposals for creation of posts received from other sections/divisions, etc.
- (b) Assisting Staff Inspection Unit in work measurement studies.
- (c) Drawing up and reviewing output norms.

## APPENDIX 65—*contd.*

### III. *Controlling delays*

*Scrutiny of various arrears statements so as to bring to notice of appropriate officers' failures in preparation or delays on submission.*

### IV. *Inspections*

Drawing up of a programme of inspections of sections and preparation of confidential roster of surprise inspections and ensuring that they are carried out by the officers concerned.

Scrutiny of the inspection reports, to locate the more common of serious defects with a view to suggesting appropriate remedial action and/or for reporting to the Department of Administrative Reforms as necessary.

### V. *Manualisation*

Over-seeing prompt compilation and manualisation of administration orders and instructions by the section concerned.

### VI. Reports of the Administrative Reforms Commission, Staff Inspection Unit and other external bodies and their processing and implementation.

These reports will be handled by the designated section to handle IWS only if the recommendations therein relate to the work allotted to the designated section to handle IWS. In all other cases they will be transferred to the sections concerned with the substance of the reports.

### VII. Identification of problem areas in and under the Ministry/Department, including cases of delay, either while performing the functions under I to VI above or otherwise (e.g. scrutiny of reports of Parliamentary Committees, other committees or commissions of enquiry or at the instance of higher officers in the Ministry/Department) and study of such problems/cases, with a view to :

- locating common types of defects and devising suitable remedies to prevent their recurrence, or
- taking up the matter with the Department of Administrative Reforms and Public Grievances, making suggestions for improvement, if that is necessary.

(The review of cases of delay will not extend to fixing responsibility)

Notes: 1. Should a problem relating to any of the above items concern all the Ministries/Departments, it should be remitted to the Department of Administrative Reforms and Public Grievances (DARPG) for study.

2. When such studies are undertaken by the DAR&PG, the designated section to handle. Internal Work Study Units should participate as liaison agencies of the Department for assisting in collection and processing of data, conducting case studies or surveys, etc. in their own Ministries/Departments.

**APPENDIX 66**

*Report on O&M Activities*

[para 158(3)]

Ministry/Department

Year Ending \_\_\_\_\_ March, 2002

1. Have the instructions been issued regarding fixation of final levels of disposal of cases and channel of their submission (Para 27 ).

If yes, month & year of issue for the first time and subsequent review done.

Have these instruction been extended to any new type of cases during reviews.

2. Whether Tel. No. and complete address of Officers signing the communications, are being written [Para-69 (12)]

3. Recording of Files (Paras 104-105)

Total No. of files which are due for recording at the start of the year.

Which became due for recording during the year.

Which were recorded during the year.

Which remained due for recording.

4. Other aspects of Record Management

Whether indices are maintained for records retained (Para 107)

Whether record retention schedule is being maintained (Para 111).

No. of special drives carried out during the year. Files weeded out during the drives (Para 113).

5. Review of files (Para 113) Total No. of files

Which were due for review at the start of the year.

Which became due for review during the year.

Which were reviewed during the year.

Out of reviewed during the year.

No. of files marked for further retention.

No. of files marked for destruction.

6. Review of periodical Reports and Returns (Para 133)

Total Number	Reviewed	Streamlined/Rationalised by Amalgamation/Reducing Frequency	Eliminated	Currently in Use

**APPENDIX 66—Contd.**

7. Position of Pending cases over one year (Para 134)

Period	MP References	Court cases	Others	Total
1-2 Years old				
2-5 Years old				
More than 5 Years				
<u>Total</u>				

8. Annual Inspection of Sections (Paras 136-141)

Total number of Sections

No. of Sections inspected during the year

9. Inspection of Departmental Record Room (DRR) [Para 136(2)]

Date of Inspection

Whether DRR was inspected jointly with NAI

Total No. of files held in DRR

at the start of the year

at the end of the year

Out of the above, No. of files over 25 years old

at the start of the year

at the end of the year

No. of files reviewed jointly with NAI

No. of files transferred to NAI after review.

10. Consolidation of Orders/Instructions (Para 150)

— Total Number Due

— Compiled/Consolidated

11. Review of rules, regulations & Manuals (Para 151)

— Total Number

— reviewed during the year

— reviewed during last 5 years

12. Review/simplification of forms : (Para 153) :

Total number of forms in use

Whether Forms Control Committee has been set up. If so, when

No. of forms reviewed and eliminated

No. of forms reviewed and simplified

13. Whether Induction material is maintained (Para 156)

14. Whether Time limits have been fixed for disposal of various types of cases (Para 121) :

15. Whether any suggestions scheme has been introduced :

16. Whether any O&M study was conducted during the year :

**APPENDIX 66—Contd.**

17. Composition of O&M/designated section to handle work of IWS

Officers at the level of	Name and designation	Office Address with Room No., Floor No., Building/Road name etc.	Tele No.
Additional Secy./Joint Secy. in charge of O&M unit			
O&M Officer Dy. Secretary/Dir.			
Under Secretary			
Section Officer			
Research Assistant/ Assistant			
Investigator/JDC			

Notes :—

1. This report duly filled in should be sent to DAR&PG (O&M Division) by April end every year.
2. Any additional information relating to Administrative Reforms introduced, O&M studies undertaken, suggestions for improving efficiency in administration might be given in a separate note.



## APPENDIX 60

Matters in respect of which departments may issue departmental instructions

[Vide para 159(1)]

S.No.	Subject	Reference to the relevant para of the Manual
1	2	3
1.	Designation of an officer to receive urgent dak outside office hours (for departments having no resident clerk or night duty staff for the purpose)	12(2)(b)
2.	Categories of receipts which should be entered in the dak register .	14(6)(h)
3.	Processing of urgent dak received by the central registry outside office hours	15(5)
4.	Types of receipts which should be seen by higher officers before they are processed	16(3)
5.	Types of receipts, other than those mentioned in para 12(1) which should not be diarised	17(2)(k)
6.	Designation of an officer to decide allocation of disputed receipts	21
7.	Categories of routine cases which the Section Officer can dispose of and types of 'intermediate action' which he can take on his own	24(2)
8.	Categories of cases for which standard process sheets can be devised	26
9.	Levels at which different classes of cases may be finally disposed of	27(1)
10.	Booking of telephone trunk calls (or STD) calls from telephones provided in office and at residences of officers	51(5)
11.	Cases or classes of cases in which attached and subordinate offices under control of a department may correspond directly with other departments and <i>vice versa</i>	52(1)
12.	Levels competent to make or authorise inter-departmental references	54(2)(a)
13.	Formulation of guidelines by nodal Ministries/Departments	55
14.	Classes of cases in which fair communications may be authenticated for issue by the Section Officer of central issue section/section concerned	84(3)
15.	Procedure for submission of weekly statement of cases other than those of routine nature disposed of without reference to the Minister-in-charge	91(2)(b)(i)
16.	Classes of cases in respect of which card indices may be maintained	107(4)
17.	Departmental record retention schedule prescribing retention periods for different categories of records connected with substantive functions	111(1)(d)
18.	Procedure for review and weeding out of records maintained by officers and their personal staff	114
19.	Time limits for disposal of cases	121
20.	Declaration of meeting less day in the week	122(5)
21.	Levels to which the monthly statement of cases pending disposal for over a month may be submitted	124(6)
22.	Levels to which the inspection reports and the compliance reports should be submitted.	139(3)
23.	Supplementary inspections of sections with special reference to the nature of their work	140(1)
24.	Categories of record to be treated as historical importance	Item (11) of Part 'B' of Appendix 25

**APPENDIX 61**

*Despatch Register to be maintained by the personal offices of Ministers*  
[Para 162(1)(a)(ii)]

S. No.	Number and date of Communication	Subject	To whom sent	Enclosure
1	2	3	4	5

**APPENDIX 62**

*File Movement Diary to be maintained by the personal offices of the Ministers*

[Para 162(1)(a)(iii)]

S. No.	File Number	Subject	From whom received and date	To whom sent and date
1	2	3	4	5

\* (For files received from the Secretariat only).

**APPENDIX 63**

*Particulars of files given informally to Minister*  
[Para 162(3)(b)]

File No.	Brief Subject	Destination of officer who handed over the file	Date	Initials of P. S. to Minister
1	2	3	4	5

Note: This shall be prepared in duplicate. While the original is handed over to P.S. to Minister, who will initial the duplicate in token of having received these particulars, the duplicate will be kept by PA/PS to the officer concerned, till the file in question is received back from the Minister.

## APPENDIX 64

### *Procedure to be followed for processing of reports of Commissions/Committees and other expert bodies*

*[vide para 155]*

1. On receipt of a report, it should in the first instance, be examined at the level of Additional Secretary/ Joint Secretary and orders on those recommendations which do not require consultation with other departments and can be accepted straightway should be issued by them within one month from the date of receipt of the report. The remaining recommendations in the reports should be processed through empowered committees.
2. The Ministry primarily concerned with the implementation of a report should appoint an 'Empowered Committee' which may be presided over by the Secretary or AS/JS and may have representative of Department of Administrative Reforms and Public Grievances, Finance, Personnel and such other interests as need to be consulted, with full authority to commit their respective departments to a firm line of action. Composition of the committee should be flexible so that various interests are given due representation.
3. Deputy or Under Secretary may be nominated in the Ministry concerned to handle the secretariat work for the 'Empowered Committee'. Depending on the workload, he may either be a whole-time or part-time officer. In the later event, administrative arrangements should be made to ensure that he can be given adequate time to this work.
4. Except where the 'Empowered Committee' so directs, there should be no noting para-wise, recommendation-wise or chapter-wise. Normally the paper for consideration by the committee should be only the report itself. (Study teams should be asked to ensure that the department view point is duly taken into account and brought out while formulating recommendations, this would reduce the need for noting later).
5. Normally, processing of the report should be completed within three months of its receipt. This limit may be exceeded only in those cases where collection of additional data and further analysis is involved. Recommendations, which are capable of immediate acceptance and implementation should not however be held up, even in such cases.
6. Recommendations involving financial implications are of two categories. For the simpler ones the Finance Ministry representative should be authorised to agree on behalf of his Ministry straightaway. Where very major issues are involved, he should be able to obtain instructions from his Ministry before the particular meeting in which the matter is considered.
7. If a recommendation involves policy requiring the orders of the Minister or the Cabinet, the 'Empowered Committee', should function as a screening committee before the case goes up to that level.
8. Where the viewpoint of the different interests remain unresolved, the issue should be referred to the Committee of Secretaries for consideration.

## APPENDIX 65

*Illustrative list of functions to be performed by the designated section handling work of  
IWSU/O&M Units*

*[Para 158(3)]*

S.No.

**Item of work**

### *I. Organisation and Method Studies*

- (1) *Rationalisation of structures and procedures suo motu or on request, including those relating to activities where the public comes into contact with governmental administration with a view to obviating harassment to the public. (For these studies they will compile and maintain up to date information concerning the organisation and functions of the Ministry/Department including an organisational chart.)*
- (2) Information system (review and rationalisation of reports and returns, devising procedures for facilitating proper collection, transmission, distribution, processing, storage and easy and prompt retrieval of information etc.).
- (3) Forms design and control.
- (4) Standardisation of forms of communication.
- (5) Manner of processing certain types of repetitive work.
- (6) Review of need for continuance of advisory bodies (e.g. committees and councils).
- (7) Review of delegation of financial and administrative powers.
- (8) Filing, i.e.
  - (a) Developing appropriate systems of filing for various items of work or information;
  - (b) Drawing up standardised file indices broadly based on functional designs and periodic review thereof.
- (9) Records management i.e.
  - (a) Ensuring preparation or review of record retention schedules concerning substantive functions of the Ministry/Department by the concerned sections and furnishing guidance therefor as necessary.
  - (b) Scrutiny of monthly reports of arrears relating to recording, indexing, weeding, etc. of files and suggesting remedial action required.
- (10) Office layout.

### *II. Work measurement studies i.e.*

- (a) Undertaking work measurement studies, including scrutiny of proposals for creation of posts received from other sections/divisions, etc.
- (b) Assisting Staff Inspection Unit in work measurement studies.
- (c) Drawing up and reviewing output norms.

APPENDIX 65—*contd.*

III. *Controlling delays*

*Scrutiny of various arrears statements so as to bring to notice of appropriate officers' failures in preparation or delays on submission.*

IV. *Inspections*

Drawing up of a programme of inspections of sections and preparation of confidential roster of surprise inspections and ensuring that they are carried out by the officers concerned.

Scrutiny of the inspection reports, to locate the more common of serious defects with a view to suggesting appropriate remedial action and/or for reporting to the Department of Administrative Reforms as necessary.

V. *Manualisation*

Over-seeing prompt compilation and manualisation of administration orders and instructions by the section concerned.

VI. Reports of the Administrative Reforms Commission, Staff Inspection Unit and other external bodies and their processing and implementation.

These reports will be handed by the designated section to handle IWS only if the recommendations therein relate to the work allotted to the designated section to handle IWS. In all other cases they will be transferred to the sections concerned with the substance of the reports.

VII. Identification of problem areas in and under the Ministry/Department, including cases of delay, either while performing the functions under I to VI above or otherwise (e.g. scrutiny of reports of Parliamentary Committees, other committees or commissions of enquiry or at the instance of higher officers in the Ministry/Department) and study of such problems/cases, with a view to :

- locating common types of defects and devising suitable remedies to prevent their recurrence, or
- taking up the matter with the Department of Administrative Reforms and Public Grievances, making suggestions for improvement, if that is necessary.

(The review of cases of delay will not extend to fixing responsibility)

Notes: 1. Should a problem relating to any of the above items concern all the Ministries/Departments, it should be remitted to the Department of Administrative Reforms and Public Grievances (DARPG) for study.

2. When such studies are undertaken by the DAR&PG, the designated section to handle. Internal Work Study Units should participate as liaison agencies of the Department for assisting in collection and processing of data, conducting case studies or surveys, etc. in their own Ministries/Departments.

**APPENDIX 66**

*Report on O&M Activities*

[para 158(3)]

Ministry/Department \_\_\_\_\_

Year Ending \_\_\_\_\_ March, 2002

1. Have the instructions been issued regarding fixation of final levels of disposal of cases and channel of their submission (Para 27 ).

If yes, month & year of issue for the first time and subsequent review done.

Have these instruction been extended to any new type of cases during reviews.

2. Whether Tel. No. and complete address of Officers signing the communications, are being written [Para-69 (12)]

3. Recording of Files (Paras 104-105)

Total No. of files which are due for recording at the start of the year.

Which became due for recording during the year.

Which were recorded during the year.

Which remained due for recording.

4. Other aspects of Record Management

Whether indices are maintained for records retained (Para 107)

Whether record retention schedule is being maintained (Para 111).

No. of special drives carried out during the year. Files weeded out during the drives (Para 113).

5. Review of files (Para 113) Total No. of files

Which were due for review at the start of the year.

Which became due for review during the year.

Which were reviewed during the year.

Out of reviewed during the year.

No. of files marked for further retention.

No. of files marked for destruction.

6. Review of periodical Reports and Returns (Para 132)

Total Number	Reviewed	Streamlined/Rationalised by Amalgamation/Reducing Frequency	Eliminated	Currently in Use



APPENDIX 66—*contd.*

7. Position of Pending cases over one year (Para 133)

Period	MP References	Court cases	Others	Total
1-2 Years old				
2-5 Years old				
More than 5 Years				
<u>Total</u>				

8. Annual Inspection of Sections (Paras 135-141)

Total number of Sections

No. of Sections inspected during the year

9. Inspection of Departmental Record Room (DRR) [Para 136(2)]

Date of Inspection

Whether DRR was inspected jointly with NAI

Total No. of files held in DRR

at the start of the year

at the end of the year

Out of the above, No. of files over 25 years old

at the start of the year

at the end of the year

No. of files reviewed jointly with NAI

No. of files transferred to NAI after review.

10. Consolidation of Orders/Instructions (Para 150)

— Total Number Due

— Compiled/Consolidated

11. Review of rules, regulations & Manuals (Para 151)

— Total Number

— reviewed during the year

— reviewed during last 5 years

12. Review/simplification of forms : (Para 153) :

Total number of forms in use

Whether Forms Control Committee has been set up. If so, when

No. of forms reviewed and eliminated

No. of forms reviewed and simplified

13. Whether Induction material is maintained (Para 156)

14. Whether Time limits have been fixed for disposal of various types of cases (Para 121) :

15. Whether any suggestions scheme has been introduced :

16. Whether any O&M study was conducted during the year :

APPENDIX 66—*contd.*

17. Composition of O&M/designated section to handle work of IWS

Officers at the level of	Name and designation	Office Address with Room No., Floor No., Building/Road name etc.	Tele No.
Additional Secy./Joint Secy. in charge of O&M unit			
O&M Officer Dy. Secretary/Dir.			
Under Secretary			
Section Officer			
Research Assistant/ Assistant			
Investigator/JDC			

Notes :—

1. This report duly filled in should be sent to DAR&PG (O&M Division) by April end every year.
2. Any additional information relating to Administrative Reforms introduced O&M studies undertaken, suggestions for improving efficiency in administration might be given in a separate note.