

PREFACE

This is the third edition of the Manual of Office Procedure of the Nagaland Civil Secretariat. The first edition was published in 1969 and the second edition in November, 1989. The Manual required revision just not for the reason that 20 years have passed since the last revision, but mainly due to conventional office atmosphere quickly transforming into an e-environ.

2. This Manual mainly deals with the office procedure in the Secretariat and does not include the general instructions which are common to most of the offices, namely, the financial procedure, service conditions, holidays etc, which have been issued and circulated separately.

3. The Office Procedure outlined in this Manual is a detailed one. Its observance is expected to systematize the functioning of the Secretariat and strengthen its role in maintenance of institutional memory and decision support system.

4. Suggestions from anyone for modifications, additions and changes to this Manual are welcome and may be sent to the P&AR Department. They shall be considered for incorporation in the next edition of the Manual, and if necessary by way of amendment to the Manual.

5. It is hoped that this publication will be of immense use to the entire institution for which it is meant.

Dated 11/01/2010
Kohima

(TEMJEN TOY)
Commissioner & Secretary (P&AR)

TABLE OF CONTENTS

Page No.

CHAPTER I – Introduction

- | | | | | | | | |
|----|--------------------------|---|---|---|---|---|---|
| 1. | Scope of the Manual | - | - | - | - | - | - |
| 2. | Secretariat Organisation | - | - | - | - | - | - |

CHAPTER II – Definitions

- | | | | | | | | |
|----|------------------|---|---|---|---|---|---|
| 1. | Special meanings | - | - | - | - | - | - |
|----|------------------|---|---|---|---|---|---|

CHAPTER III - Machinery of Government

- | | | | | | | | |
|-----|---------------------------------------------------|---|---|---|---|---|---|
| 1. | The Governor | - | - | - | - | - | - |
| 2. | The Council of Ministers | - | - | - | - | - | - |
| 3. | Transaction of Government Business | - | - | - | - | - | - |
| 4. | Department | - | - | - | - | - | - |
| 5. | Chief Secretary | | | | | | |
| 6. | Secretary (or above Secretary) | - | - | - | - | - | - |
| 7. | Additional Secretary/JS/DS/US | - | - | - | - | - | - |
| 8. | Section Officer | - | - | - | - | - | - |
| 9. | Junior Section Officer/Secretariat Assistant | - | - | - | - | - | - |
| 10. | Private secretary/Personal Assistant/Stenographer | - | - | - | - | - | - |
| 11. | Information and Facilitation Counter | - | - | - | - | - | - |

CHAPTER IV - Dak-Receipt, Registration and Distribution

- | | | | | | | | |
|----|------------------------|---|---|---|---|---|---|
| 1. | Receipt of dak | - | - | - | - | - | - |
| 2. | Acknowledgement of dak | - | - | - | - | - | - |
| 3. | Registration of dak | - | - | - | - | - | - |
| 4. | Distribution of dak | - | - | - | - | - | - |

CHAPTER V- Receipts-Submission and Diarisation

- | | | | | | | | |
|----|--------------------------------------------|---|---|---|---|---|---|
| 1. | Perusal and marking of receipts | - | - | - | - | - | - |
| 2. | Diarising of receipts in Sections | - | - | - | - | - | - |
| 3. | Diarising of receipts received by officers | - | - | - | - | - | - |
| 4. | Movement of receipts | - | - | - | - | - | - |
| 5. | Action by higher officers | - | - | - | - | - | - |
| 6. | Allocation of disputed receipts | - | - | - | - | - | - |

CHAPTER VI - Action on Receipts

- | | | | | | | | |
|-----|-------------------------------------------------|---|---|---|---|---|---|
| 1. | General Principles | - | - | - | - | - | - |
| 2. | Action by dealing hand | - | - | - | - | - | - |
| 3. | Action by Section Officer | - | - | - | - | - | - |
| 4. | Examination by Branch | - | - | - | - | - | - |
| 5. | Standard Process Sheets | - | - | - | - | - | - |
| 6. | Level of disposal and channel of submission | - | - | - | - | - | - |
| 7. | Direct submission of cases by senior assistants | - | - | - | - | - | - |
| 8. | Examination by officer | - | - | - | - | - | - |
| 9. | Deviation from normal procedures or rules | - | - | - | - | - | - |
| 10. | Running summary of facts | - | - | - | - | - | - |
| 11. | Guidelines for noting | - | - | - | - | - | - |
| 12. | Modification of notes or orders | - | - | - | - | - | - |
| 13. | Noting on files received from other departments | - | - | - | - | - | - |
| 14. | Aids to processing | - | - | - | - | - | - |

15.	Oral discussions	-	-	-	-	-	-
16.	Oral instructions by higher officers	-	-	-	-	-	-
17.	Oral orders on behalf of or from Minister	-	-	-	-	-	-
18.	Confirmation of oral instructions	-	-	-	-	-	-
19.	Examination and progressing of cases in which two or more authorities are consulted	-	-	-	-	-	-
20.	Filing of papers	-	-	-	-	-	-
21.	Arrangement of papers in a case	-	-	-	-	-	-
22.	Referencing	-	-	-	-	-	-
23.	Linking of files	-	-	-	-	-	-
24.	Use of urgency gradings	-	-	-	-	-	-

CHAPTER VII - Handling of Receipts under Desk Officer System

1.	General	-	-	-	-	-	-
2.	Receipt of Dak	-	-	-	-	-	-
3.	Action by Desk functionary	-	-	-	-	-	-
4.	Maintenance of reference materials	-	-	-	-	-	-

CHAPTER VIII - Forms and Procedure of Communication

1.	Forms of written communications and methods of delivery	-	-	-	-	-	-
2.	Telephonic communications	-	-	-	-	-	-
3.	Correspondence with attached and subordinate offices	-	-	-	-	-	-
4.	Single File System (SFS)	-	-	-	-	-	-
5.	Inter-departmental consultation	-	-	-	-	-	-
6.	Nodal Departments	-	-	-	-	-	-
7.	References to the Advocate General of Nagaland	-	-	-	-	-	-
8.	References to constitutional/statutory authorities	-	-	-	-	-	-
9.	References to the Accountant General of Nagaland	-	-	-	-	-	-
10.	References to the Nagaland Public Service Commission	-	-	-	-	-	-
11.	Correspondence with State Governments	-	-	-	-	-	-
12.	Correspondence with the Assembly Secretariat	-	-	-	-	-	-
13.	Correspondence with Members of Parliament	-	-	-	-	-	-
14.	Correspondence with Ministers of State Governments	-	-	-	-	-	-
15.	Correspondence with foreign governments and International organisations	-	-	-	-	-	-
16.	Prompt response to letters received	-	-	-	-	-	-
17.	Target date for replies	-	-	-	-	-	-

CHAPTER IX - Drafting of Communications

1.	Procedure for drafting	-	-	-	-	-	-
2.	General instructions for drafting	-	-	-	-	-	-
3.	Authentication of government orders	-	-	-	-	-	-
4.	Addressing communications to officers by name	-	-	-	-	-	-
5.	Drafting of demi-official letters	-	-	-	-	-	-

CHAPTER X - Issue of Drafts

1.	Marking of drafts for issue	-	-	-	-	-	-
2.	Fairing of approved drafts	-	-	-	-	-	-
3.	Procedure to be followed in Sections	-	-	-	-	-	-
4.	Procedures to be followed in Desks	-	-	-	-	-	-
5.	General instructions regarding typing	-	-	-	-	-	-
6.	Procedure where centralized typing pool exists	-	-	-	-	-	-
7.	Marking of drafts	-	-	-	-	-	-
8.	Stamping of drafts	-	-	-	-	-	-
9.	Distribution of work among typists	-	-	-	-	-	-

10.	Registration of drafts	-	-	-	-	-	-
11.	Comparison	-	-	-	-	-	-
12.	Signing of fair communications	-	-	-	-	-	-
13.	Issue of signed communications	-	-	-	-	-	-
14.	Despatch of postal communications	-	-	-	-	-	-
15.	Despatch of non-postal communications	-	-	-	-	-	-
16.	Return of papers	-	-	-	-	-	-
17.	Issue of inter-departmental notes	-	-	-	-	-	-
18.	Stamps Account Register	-	-	-	-	-	-
19.	Action after issue	-	-	-	-	-	-
20.	Reference lists	-	-	-	-	-	-

CHAPTER XI – File Numbering System

1.	File numbering system	-	-	-	-	-	-
2.	Functional file numbering system	-	-	-	-	-	-
3.	File numbering system based on subject classification	-	-	-	-	-	-
4.	Instances where files need not be opened	-	-	-	-	-	-
5.	File Register	-	-	-	-	-	-
6.	Part file	-	-	-	-	-	-
7.	Transfer, reconstruction and renumbering of files	-	-	-	-	-	-
8.	Movement of files and other papers	-	-	-	-	-	-
9.	Filing system under desk pattern	-	-	-	-	-	-

CHAPTER XII - Records Management

1.	Activities involved in records management	-	-	-	-	-	-
2.	Stage of recording	-	-	-	-	-	-
3.	Procedure for recording	-	-	-	-	-	-
4.	Categorisation of records	-	-	-	-	-	-
5.	Stage of Indexing	-	-	-	-	-	-
6.	Manner of Indexing	-	-	-	-	-	-
7.	Custody of index slips	-	-	-	-	-	-
8.	Compilation of departmental index	-	-	-	-	-	-
9.	Precedent Book	-	-	-	-	-	-
10.	Record Retention Schedule	-	-	-	-	-	-
11.	Custody of records	-	-	-	-	-	-
12.	Review and weeding of records	-	-	-	-	-	-
13.	Records maintained by officers and their personal staff	-	-	-	-	-	-
14.	Requisitioning of records	-	-	-	-	-	-

CHAPTER XIII - Security of Official Information and Documents

1.	Unauthorised communication of official information	-	-	-	-	-	-
2.	Treatment of classified papers	-	-	-	-	-	-
3.	Confidential character of notes/files	-	-	-	-	-	-
4.	Communication of information to the press	-	-	-	-	-	-
5.	Use of restrictive classification for printed reports, etc.	-	-	-	-	-	-

CHAPTER XIV - Checks on Delays

1.	Time limits	-	-	-	-	-	-
2.	Handling of public grievances	-	-	-	-	-	-
3.	Weekly arrear statement	-	-	-	-	-	-
4.	Monthly statement of cases pending disposal for over a month	-	-	-	-	-	-
5.	Call book	-	-	-	-	-	-
6.	Monthly progress reports of recording and review of files	-	-	-	-	-	-
7.	Watch on disposal of communications received from Members of Parliament	-	-	-	-	-	-

- | | | | | | | | |
|-----|--------------------------------------------------------|---|---|---|---|---|---|
| 8. | Watch on disposal of communications received from VIPs | - | - | - | - | - | - |
| 9. | Monitoring of Court / CAT cases | - | - | - | - | - | - |
| 10. | Register of Parliamentary assurances | - | - | - | - | - | - |
| 11. | Check-list of periodical reports | - | - | - | - | - | - |
| 12. | Review of periodical reports/returns | - | - | - | - | - | - |
| 13. | Responsibility of expeditious disposal of work | - | - | - | - | - | - |

CHAPTER XV - Inspections

- | | | | | | | | |
|----|---------------------------------------------|---|---|---|---|---|---|
| 1. | Purpose and periodicity | - | - | - | - | - | - |
| 2. | Inspecting authorities | - | - | - | - | - | - |
| 3. | Inspection programme | - | - | - | - | - | - |
| 4. | Inspection report | - | - | - | - | - | - |
| 5. | Supplementary Inspections | - | - | - | - | - | - |
| 6. | Periodic Inspection by Supervisory Officers | - | - | - | - | - | - |

CHAPTER XVI – Office Automation

- | | | | | | | | |
|-----|------------------------------|---|---|---|---|---|---|
| 1. | Purpose of office automation | - | - | - | - | - | - |
| 2. | Areas amenable to automation | - | - | - | - | - | - |
| 3. | Computer and peripherals | - | - | - | - | - | - |
| 4. | Electronic Typewriter | - | - | - | - | - | - |
| 5. | Photocopier | - | - | - | - | - | - |
| 6. | Dictaphone | - | - | - | - | - | - |
| 7. | Micro-filming of Records | - | - | - | - | - | - |
| 8. | Internal communication aids | - | - | - | - | - | - |
| 9. | External communication aids | - | - | - | - | - | - |
| 10. | Paper binding equipment | - | - | - | - | - | - |
| 11. | Document shredder | - | - | - | - | - | - |
| 12. | Risograph | - | - | - | - | - | - |
| 13. | Overhead projector | - | - | - | - | - | - |
| 14. | Video conferencing equipment | - | - | - | - | - | - |

CHAPTER XVII – Electronically Supported Office Procedures System

- | | | | | | | | |
|----|-----------------------------------------------------------------|---|---|---|---|---|---|
| 1. | Need for electronic support system | - | - | - | - | - | - |
| 2. | Procedures to be followed in an electronically supported System | - | - | - | - | - | - |

CHAPTER XVIII - Miscellaneous

- | | | | | | | | |
|-----|------------------------------------------------------------------------------------|---|---|---|---|---|---|
| 1. | Annual Action Plan | - | - | - | - | - | - |
| 2. | Citizen's/Client's Charter | - | - | - | - | - | - |
| 3. | Official Language for purposes of Government work | - | - | - | - | - | - |
| 4. | Departmental instructions | - | - | - | - | - | - |
| 5. | Compilation/consolidation of orders/instructions | - | - | - | - | - | - |
| 6. | Review of rules, regulations and manuals | - | - | - | - | - | - |
| 7. | Maintenance/transfer of records in the personal offices of Ministers- | - | - | - | - | - | - |
| 8. | Review of forms & Procedures | - | - | - | - | - | - |
| 9. | Modernisation of offices | - | - | - | - | - | - |
| 10. | Procedure for processing reports of Commissions/Committees and other expert bodies | - | - | - | - | - | - |
| 11. | Preparation of Induction material | - | - | - | - | - | - |
| 12. | Composition of functions of O&M/IWS Units in the Departments | - | - | - | - | - | - |

APPENDICES

Appendix

Page No.

1.	Dak Register	-	-	-	-	-	-
2.	Invoice	-	-	-	-	-	-
3.	Branch diary for receipts	-	-	-	-	-	-
4.	Personal Branch Diary	-	-	-	-	-	-
5.	Movement Slip	-	-	-	-	-	-
6.	Assistants' Diary	-	-	-	-	-	-
7.	Style in notes and drafts	-	-	-	-	-	-
7.1.	Procedural requirements to be met while preparing/ submitting Notes for the Cabinet/Cabinet Committees/ Group of Ministers	-	-	-	-	-	-
7.2.	Procedural regarding preparation and submission of papers for consideration of the Committee of Secretaries	-	-	-	-	-	-
7.3.	Instructions on Constitution/Reconstitution of High Level Commissions/Committees etc.-	-	-	-	-	-	-
8.	Acts, rules and instructions of a general nature to be maintained by each section	-	-	-	-	-	-
9.	Specimen forms of Communications (Orders)-	-	-	-	-	-	-
10.	Composition of the Gazette of India and instructions for sending material for publication therein	-	-	-	-	-	-
11.	Distribution Chart	-	-	-	-	-	-
12.	Typists' Diary	-	-	-	-	-	-
13.	Issue Diary	-	-	-	-	-	-
14.	Specimen form for authentication of communications for issue	-	-	-	-	-	-
15.	Despatch Register for postal communications only	-	-	-	-	-	-
16.	Revised procedure for maintenance of Service Postage Stamp Account	-	-	-	-	-	-
17.	Stamps Account Register	-	-	-	-	-	-
18.	Branch Despatch Register	-	-	-	-	-	-
19.	Statement of cases other than those of a routine nature disposed off without reference to the Minister-in-charge	-	-	-	-	-	-
20.	Essentials of a functional file index and an identifying file numbering system	-	-	-	-	-	-
21.	File Register	-	-	-	-	-	-
22.	File Movement Register	-	-	-	-	-	-
23.	Register for watching the progress of Recording	-	-	-	-	-	-
24.	Illustrative list of records fit for permanent preservation because of :	-	-	-	-	-	-
	(A) their value for administrative purposes; and						
	(B) their historical importance						
25.	Examples of titles of files and index slips	-	-	-	-	-	-
26.	Precedent Book	-	-	-	-	-	-
27.	Retention schedule for records prescribed in the Manual of Office Procedure	-	-	-	-	-	-
28.	List of files transferred to National Archives of India/ Departmental Record Room/Sections/Desks	-	-	-	-	-	-
29.	Record Review Register	-	-	-	-	-	-
30.	List of files due for review	-	-	-	-	-	-
31.	Register of spare copies of publications, circulars, orders etc.	-	-	-	-	-	-
32.	Results of special drives conducted on record management	-	-	-	-	-	-

33.	Record Requisition Card	-	-	-	-	-
34.	Statement showing particulars of receipts/cases in hand for more than 7 days	-	-	-	-	-
35.	Weekly arrear statement (individual)	-	-	-	-	-
36.	Case sheet	--	-	-	-	-
37.	Numerical abstract of cases pending disposal for over a month					
38.	Consolidated numerical abstract of cases pending disposal for over a month	-	-	-	-	-
39.	Call book	-	-	-	-	-
40.	Monthly progress report on recording of files				-	-
41.	Monthly progress report on review of files	-	-	-	-	-
42.	Consolidated monthly progress report on recording of files				-	-
43.	Consolidated monthly progress report on review of recorded files					
44.	Register for keeping a watch on the disposal of communications received from Members of Parliament (for personal sections)					
45.	Register for keeping a watch on the disposal of communications received from Members of Parliament (for Branches)				-	-
46.	Fortnightly report regarding disposal of communications received from Members of Parliament				-	-
47.	Details of pending Court/CAT cases	-	-	-	-	-
48.	Status of implementation of Court/CAT judgement	-	-	-	-	-
49.	Number of Court/CAT cases pending	-	-	-	-	-
50.	Register of Parliamentary Assurances	-	-	-	-	-
51.	Check-list for watching Receipt of incoming periodical reports for the year	-	-	-	-	-
52.	Check-list for watching Despatch of outgoing periodical reports for the year	-	-	-	-	-
53.	Inspection Questionnaire for Central Receipt and Issue Branch					
54.	Inspection Questionnaire on Organisation & Methods (O&M) For Branches (other than Central Receipt and Issue Section)-					
56.	Inspection Questionnaire for Departmental Record Room				-	-
57.	Management Information System (MIS)	-	-	-	-	-
58.	Executive summary for Secretary	-	-	-	-	-
59.	Matters in respect of which Departments may issue departmental instructions	-	-	-	-	-
60.	Despatch Register to be maintained by the Personal offices of Ministers	-	-	-	-	-
61.	File Movement Diary to be maintained by the Personal offices of Ministers	-	-	-	-	-
62.	Particulars of files given informally to the Minister	-	-	-	-	-
63.	Procedure to be followed for processing of Reports of Commissions/Committees and other expert bodies	-	-	-	-	-
64.	Illustrative list of functions to be performed by the Internal Work Study Units/O&M Units	-	-	-	-	-
65.	Reports on O&M Activities	-	-	-	-	-

CHAPTER - I: INTRODUCTION

1. **Scope of the Manual:** This Manual is intended for use in the Secretariat of the Government of Nagaland and mainly deals with the office procedure. The Organisation of the State Administrations with reference to the Secretariat has been indicated briefly to provide as the necessary background.

2. **Secretariat Organisation :**

(i) The Secretariat Organisation is divided into Department. A Department is further divided into Branches and Cells. A Department is responsible for disposal of work relating to specific subjects allotted to it.

(ii) The Secretariat should confine itself to general direction, legislation, Assembly business, inter-departmental matters and review assessments of execution of policy and schemes. The day to day execution and implementation of the schemes should be left to the Heads of Department. An illustrative list of subjects to be ordinarily dealt within the Secretariat is given in Appendix I Part-I.

(iii) A Department:- A Department is a part of the Secretariat specified as such in the Nagaland Rules of Executive Business, and is responsible for the formulation of the policy of Government with its sphere of responsibility and for review and assessment of execution of that policy.

(iv) A Branch:- A branch in the Secretariat normally consist of 6 (six) dealing hands. Generally two or three more Branches are put under the charge of an officer who is called the Branch Officer. The work of the Branch is supervised by a Section Officer. His role is very important and the general standard of efficiency in the branch and thus the department depends largely on his supervision and guidance. The actual dealing work is however, done by the Junior Section Officer and Secretariat Assistants.

(v) A Section:- A Section in an independent part of a Branch or a Department specified by Administration Department as such.

Application of methods and procedures in organizations dates back to early civilization. The efficiency of an organization, to a large extent, depends 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 receipts with speed, following the procedures prescribed for the purpose. The ultimate object of all Government business is to meet the citizens' needs and to further their welfare without undue delay. At the same time, those who are accountable for the conduct of that 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.

The procedures prescribed in this Manual, attempt to balance the conflicting considerations of speed 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 must meet these tests: Is it necessary? Is it sufficient? Is there any quicker way which would serve the purpose?

In order to create awareness about these processes and practices at the cutting-edge level and to sensitize the new entrants inducted at various levels in the State Secretariat, the Department of Personnel & Administrative Reforms, as a nodal agency has laid down various procedures for performance of secretariat work by the functionaries in various Departments

of the Government of Nagaland in the form of State Secretariat Manual of Office Procedure (SS-MOP). The procedures laid down in the SS-MOP, 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 with a view to increasing productivity and provide responsive administration. Efforts have always been made to maintain a close relationship among the organization, procedure of work, and the functionaries.

Since its first publication in March 1969, SS- MOP has been revised from time to time to take care of the changing scenario. Two editions have so far been published. This is the **Third Revised edition**.

The fact that there are written procedures is not an absolute indication of their effective operation. A written procedure is only a documentation of how the work has to be done. In order to make sure that procedures are actually being followed, spot checks of actual work need to be done. Newly inducted staff should be trained in the procedures outlined in the SS-MOP and refresher courses too should be organized.

A well designed procedure serves as a standing order, a means to coordinate effort, a tool of communication, and a basis for performance measurement and appraisal. SS-MOP will, therefore, continue to form the back-bone of process management in the State Secretariat. It has been augmented by incorporating procedures in the context of changes in technology without altering its basic structure. It would, thus, cater to the needs of a wide spectrum of Government offices functioning with different types of technology.

CHAPTER - II: DEFINITIONS

Special meanings to be attached to some of the terms used in the Manual are given below:-

- '**Appendix to Correspondence**' in relation to a file means lengthy enclosures to a communication (whether receipt or issue) in the file, inclusion of which in the correspondence portion is likely to obstruct smooth reading of the correspondence or make the correspondence portion unwieldy.
- '**Appendix to Notes**' in relation to a file means 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.
- '**Branch Officer**' in relation to a Branch means the Officer who is directly above the Branch in the line of control for execution of work.
- '**Case**' means a current file or a receipt together with other related papers, if any.
- '**Central Issue Section**' means the unit within a Department responsible for typing of drafts, comparing of fair copies, preparation of pads for signature and dispatch of communication to the addressees. In Departments where centralized typing pool does not exist in Central Issue Section, this section will be responsible only for dispatch of signed communications to the addressees.
- '**Central Receipt and Issue Section**' means a unit within a Department consisting of the Central Registry and the Central Issue Section.
- '**Central Registry**' means a unit within a Department charged with the responsibility of receiving, registering and distributing dak meant for that Department.
- '**Classified Dak**' means dak bearing a security grading.
- '**Citizen's Charter**' is a document which represents a systematic effort to focus on the commitment of the Organisation towards its Citizens in respect of Standards of Services, Information, Choice and Consultation, Non-discrimination and Accessibility, Grievances Redressal, Courtesy and Value for Money. This also

- includes expectations of the Organisation from the Citizens for fulfilling the commitment of the Organisation.
- 'Come-Back Case'** means a case received back for further action such as re-examination or preparing a draft or a summary of the case.
- 'Correspondence Portion'** in relation to a file means the portion containing `receipts' and office copies of `issue' pertaining to the file including self-contained inter-departmental notes but excluding those recorded on the notes portion of the file itself.
- 'C.R. No.'** means the serial number assigned by the Central Registry to dak in the dak register preceded by the code letter identifying the register.
- 'Current File'** means a file, action on which has not been completed.
- 'Dak'** includes 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.
- 'Dealing Hand'** means any functionary such as a Secretariat Assistant, Junior Section Officer, entrusted with initial examination and noting upon cases.
- 'Department'** means any of the, Departments, Secretariats and offices mentioned in the First Schedule to the Rules of Executive Business of Government of Nagaland.
- 'Departmental Index'** means a consolidated index of files opened by different sections of a Department during a 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.
- 'Departmental Instructions'** means instructions issued by a Department to supplement or vary the provisions of the Manual of Office Procedure.
- 'Branch'** is an officer-oriented work unit within a Department with a specific task assigned to it.
- 'Branch Functionary'** means an officer who is assigned a well-defined sub-function or activity in a Branch.
- 'Diarist'** means an Assistant within a Branch charged with the responsibility inter alia of maintaining the Branch diary.
- 'Diarising'** means registration of receipts in the section diary as well as in the diary register with the Personal Staff of Officers.
- 'Diary Number'** means the serial number assigned to a receipt in the Branch diary/diary of Personal Staff of Officers followed by code letters identifying the Branch diary Officer's designation, the year and the abbreviated symbol of the branch, e.g., 205-H/2001-O&M or 123/DS(O&M)/2001.
- 'Docketing'** means 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.
- 'File'** means a collection of papers on a specific subject matter which is assigned a file number and consisting of one or more of the following parts:
- Correspondence
 - Notes
 - Appendix to correspondence
 - Appendix to notes.
26. **'Final Disposal'** in relation to a case under consideration means 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.
27. **'Fresh Receipt (FR)'** means any subsequent receipt on a case which brings in additional information to aid the disposal of a paper under consideration.
28. **'Indexing'** in relation to a file means indicating its title under appropriate catchwords arranged in their alphabetical order with a view to facilitate its location in the event of need.
29. **'Index Slip'** means a card or a paper slip displaying the title of file under a catchword followed by a reference to its file number.
30. **'Issue'** means a communication issued in a case.

31. **'Issue Of Fair Communication'** includes all stages of action after the approval of a draft ending with dispatch of the signed communication to the addressee, e.g., fair typing, comparing, attaching enclosures, preparing pads for signature, preparing covers, making entries in the dispatch registers and messenger books, affixing stamps, where necessary.
32. **'Messenger Book'** means a record, maintained in standard form or any other form, of particulars of dispatch of non-postal communications and their receipt by the addressees.
33. **'Minute'** means a note recorded by the Governor, the Chief Minister, Minister, a Secretary or any Senior officer.
34. **'Note'** means the remarks recorded on a case to facilitate its disposal, and includes a summary of previous papers, a statement or an analysis of the questions requiring decision, suggestions regarding the course of action and final orders passed thereon.
35. **'Notes Portion'** in relation to a file means the portion containing notes or minutes recorded on a case.
36. **'Nodal Department'** is one which interacts with all other Departments to ensure uniformity in handling of specific matters.
37. **'Ordinary Postal Dak'** means postal dak for which no specific acknowledgement is obtained by the Posts offices.
38. **'Assembly Matters'** includes Assembly Questions, Assurances, etc. the dealing of which is laid down in detail in the Manual "Handling of Assembly Material."
39. **'Paper Under Consideration (PUC)'** means a receipt on a case, the consideration of which is the subject matter of the case.
40. **'Personal Staff'** includes Private Secretary, Personal Assistant, Stenographer, Dealing Assistant, or any other Clerical staff appointed to assist the functionary as well as the personal Branch of a Minister.
41. **'Postal Communication'** means a communication dispatched by post and includes telegram.
42. **'Postal Dak'** means all dak received through Post offices.
43. **'Receipt'** means dak after it has been received by the concerned Section Officer.
44. **'Record Assistant'** means an assistant in a branch responsible inter alia for typing and maintaining index slips and for looking after routine aspects of recording work.
45. **'Recording'** means the process of closing a file after action on all the issues has been completed, and 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 and stitching the file.
46. **'Reference Folder'** in relation to a particular subject means a folder containing copies of relevant rules, orders, instructions, etc, arranged in chronological order.
47. **'Routine Note'** means a note of a temporary value or ephemeral importance 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.
48. **'Running Summary of Facts'** in relation to a case means a summary of the facts of the case updated from time to time to incorporate significant development as and when they take place. This may be termed 'Self Contained Note' if it figures in the notes portion of the file.
49. **'Secretariat Offices'** are those, which are responsible for formulation of the policies of the Government and also for the execution and review of those policies.
50. **'Branch'** means 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 'Cells', 'Unit' and other like terms.
51. **'Sectional Note'** means a note recorded on only one of the many issues raised in the PUC.
52. **'Section Officer'** means an officer supervising a Branch and includes functionaries like Junior Section Officer and Dealing Assistant-in-charge.

53. '**Security Grading**' means security marking of classified documents such as 'Confidential', 'Secret', 'Top Secret' or 'Restricted'.
54. '**Standing Guard File**' on a subject means a compilation consisting of the following three parts:
- (i) A running summary of the principles and policy relating to the subject with number and date of relevant decisions or orders quoted in margin against each;
 - (ii) Copies of the decisions or orders referred to, arranged in chronological order; and,
 - (iii) Model forms of communications to be used at different stages.
55. '**Standing Note**' in relation to a subject means a continuing note explaining, among other things, the history and development of the policy and procedure, designed to serve as:
- (i) A complete background material for review of the existing policy or procedure;
 - (ii) A brief for preparing replies to Assembly questions or notes for supplementaries thereto; and
 - (iii) Induction or training material.
56. '**Standard Process Sheet**' means a standard skeleton note developed for a repetitive item of work, indicating predetermined points of check or aspects to be noted upon.
57. '**Urgent Dak**' means dak marked 'immediate' or 'priority', and includes telegrams, wireless messages, telex messages, fax, etc.
58. '**Division**' is a unit of the Department and may comprise a number of Branches.

CHAPTER - III: MACHINERY OF GOVERNMENT

1. The Governor.
2. The Council of Ministers
3. Transaction of Government Business.
4. Department
5. Chief Secretary
6. Secretary (or above Secretary)
7. Additional Secretary/Joint Secretary/Deputy Secretary/Under Secretary
8. Section Officer.
9. Junior Section Officer/Secretariat Assistant
10. Private Secretary/Personal Assistant/Stenographer
11. Information and Facilitation Counters.

1. **The Governor:**

The executive power of the State formally vests in the Governor and may be exercised by him either directly or through officers subordinates to him, in accordance with the Constitution.

2. **The Council of Ministers:**

In the exercise of his functions, the Governor is aided and advised by a Council of Ministers headed by the Chief Minister. In actual practice the executive power of the State resides in the Council of Ministers.

The Council of Ministers consists of Ministers, namely -Cabinet Ministers;

The Cabinet, which consists of Ministers, is responsible for shaping the overall policies of the Government in discharging its responsibilities. It sometimes functions through its Committees.

3. **Transaction of Government Business:**

The Rules of Executive Business of the Government of Nagaland are issued by the Governor under Article 166 of the Constitution for the convenient transaction of the Business of the Government.

The Rules of Executive Business allocate the business of the Government among its different Departments which are allotted to the Ministers by the Governor on the advice of the Chief Minister. In relation to the Business allotted to a Minister, these rules also permit the association of a Parliamentary Secretaries to perform such functions as may be specifically assigned to him.

The Rules of Executive Business seek 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:

(i) Cases or classes of cases to be submitted to the Governor, the Chief Minister, the Cabinet or its Committees for prior approval; and

(ii) 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.

4. **Department:**

(i) A Department is responsible for formulation of policies of the Government in relation to business allocated to it and also for the execution and review of those policies. For the efficient disposal of Business allotted to it, a Department is divided into Branches and Cells.

(ii) A Department is normally headed by a Secretary or above who acts as the Administrative Head of the Department and a Minister on all matters of policy and administration within the Department.

(ii) The work in a Department is normally with a Secretary or Additional Secretary in charge. Such a functionary is normally vested with the maximum measure of independent functioning and responsibility in respect of the business falling within his subject, with the overall responsibility of the Chief Secretary for the administration of the Department as a whole.

(iv) A Branch is generally the lowest organizational unit in a Department with a well-defined area of work. It normally consists of Section Officer and some Dealing Assistants. Initial handling of cases (including noting and drafting) is generally done by, Dealing Assistants who are also known as the dealing hands.

(v) While the above represents the commonly adopted pattern of organisation of a Department, there are certain variations, the most notable among them being the Branch officer system. In this system the work of a Department at the lowest level is organized into distinct functional Branches each manned by two Branch functionaries of appropriate ranks e.g. Under Secretary or Section Officers. Each Branch functionary handles the cases himself and is provided adequate Stenographic and Clerical assistance.

5. **Chief Secretary:**

The Chief Secretary is the Principal Officer of the Government responsible for overall control and efficient administration of the State Government. In addition to the regular charge he is entrusted with the following special functions;

He is the Secretary to the Cabinet and as such advises Cabinet on all its decisions.

He is responsible for inter-departmental cooperation and coordination.

He advises the Chief Minister on all important matters concerned with Government of India or with other States.

He may send for any file from any Department regarding a proposal which has already been examined in the Department and with his view may send the file to the Minister-in-charge or the Chief Minister through the Minister-in-charge.

Example:- In a proposal of Agriculture Department not agreed to by Finance Department, the Chief Secretary may see for the buff sheets of Finance Department and put them upto the Finance Minister for re-consideration. He will not put up the buff sheets of Finance Department to the Minister-in-charge, Agriculture Department as that would be contrary to the Rules of Executive business.

He is responsible for all other matters not specifically allotted to other Secretaries.

6. Secretary (or above Secretary)

A Secretary or above to the Government of Nagaland is the Administrative Head of the Department. He is the Principal Adviser of the Minister on all matters of policy and administration within his Department, and his responsibility is complete and undivided.

7. Additional Secretary/Joint Secretary/Deputy Secretary/Under Secretary:

When the volume of work in a Department exceeds the manageable charge of a Secretary one or more Branches may be established with Additional Secretary/Joint Secretary, in charge of each Branches. Such a functionary is entrusted with the maximum measure of independent functioning and responsibility in respect of all business falling within his subject, to the general responsibility of the Secretary for the administration of the division as a whole. The duties and responsibilities of the Additional Secretary/Joint Secretary/Deputy Secretary/Under Secretary are ordinarily the same and they put up papers directly to their respective Secretaries or Ministers.

8. 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 co-ordination of the work;
- (iv) Maintenance of order and discipline in the branch;
- (v) Maintenance of a list of residential addresses of the Staff.
- (vi) Responsibilities relating to Dak – to go through the receipts;
- (vii) to submit receipts which should be seen by the Branch Officer or higher officers at the dak stage;
- (viii) to keep a watch on any hold-up in the movement of dak; and
- (ix) to scrutinize the section diary once a week to know that it is being properly maintained.

B. *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 dispatch.

- C. *Responsibility of efficient and expeditious disposal of work and checks on delays:*
- (i) to keep a note of important receipts with a view to watching the progress of action;
 - (ii) to ensure timely submission of arrears and other returns;
 - a. to undertake inspection of Assistants' table to ensure that no paper of file has been overlooked;
 - (iii) to ensure that cases are not held up at any stage;
 - a. to go through the list of periodical returns every week and take suitable action on items requiring attention during next week.
- D. *Independent disposal of cases:*
He should take independent action of the following types:
- (i) issuing reminders;
 - (ii) obtaining or supplying factual information of a non-classified nature;
 - (iii) any other action which a Superintendent is authorized to take independently.
- E. Duties in respect of recording and indexing:
- (i) to approve the recording of files and their classification;
 - (ii) to review the recorded file before destruction;
 - (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, 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.

9. Junior Section Officer/Secretariat Assistant:

He works under the orders and supervision of the Section Officer and is responsible for the work entrusted to him. 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 the Guard file, if necessary, and supply other relevant facts and figures;
- (v) to bring out clearly the question under consideration and suggest a course of action wherever possible.
- (vi) registration of Dak, maintenance of Branch Diary, File Register, File Movement Register, Indexing and Recording, typing, comparing, dispatch, preparation of arrears and other statements, supervision of correction of reference books and submission of routine and simple drafts etc. He also assists in data entry and maintenance of records in computerised form.

10. 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 manner possible;
- (ii) fixing up of 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 files, seen by his officer and other officers, if necessary;
- (vii) destroying by burning the stenographic record of confidential and secret letters after they have been typed and issued;
- (viii) carrying out the corrections to the officer's reference books and making fair copies of draft demi-official letters to be signed by the officer;
- (ix) generally assisting him in such a manner as he may direct and at the same time, he must avoid the temptation of arrogating to himself the authority of his boss.

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. of 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 Grievance Redress Machinery of the organization; and
- (5) receiving, acknowledging and forwarding the grievances/application/request/form etc. (related to the services provided by the Organisation) to the concerned authority in the organization and providing information on their status/disposal.

CHAPTER-IV : DAK-RECEIPT, REGISTRATION AND DISTRIBUTION

1. Receipt of Dak.
2. Acknowledgement of Dak
3. Registration of Dak
4. Distribution of Dak

12. Receipt of Dak.

- (i) During office hours, the entire dak of the Department including those addressed to Ministers/Officers by name will be received in the Central Registry. 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.

(ii) In case an officer is on long leave or has retired or left the office after completion of his/her 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 remain unreceived.

(iii) Outside 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 intimated in advance over telephone about the dak being delivered at his residence. In all other cases, dak will be received, outside office hours by the officer designated by the Department concerned to receive such dak.

(iv) 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.

(v) Communications 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. The acknowledgements of e-mail received will, as far as possible, be sent electronically.

14. Registration of Dak:

(1) Urgent dak will be separated from other dak and dealt with first. All covers, except those addressed to Ministers/officers by name or those bearing a security grading, will be opened by the Central Registry. On opening dak, the Central Registry will check enclosures and make a note of any item found missing. All opened dak, as well as the covers of unopened classified dak, will be date-stamped (vide specimen as under).

Department of.....

Received on.....

C. R. No.....

Sec. Dy. No.....

(2) The entire dak will then be sorted out section-wise (and officer-wise if addressed by name). To facilitate this, the Central Registry will keep a list showing the allocation up to date of the subjects to various sections.

(3) The following categories of dak will be registered by the Central Registry in the Dak Register (Appendix I):

- (i) telegrams, wireless messages, fax messages, telex messages and e-mail messages received from the computer centre;
- (ii) registered postal dak;
- (iii) interdepartmental files;
- (iv) court summons and receipts enclosing valuable documents, e.g. service books, agreement, etc;
- (v) parliament questions/assembly questions, resolutions, cut motions and references seeking information relating to them;
- (vi) unopened inner covers containing classified dak;
- (vii) letters from Members of Parliament/MLA;

- (viii) any other category covered by departmental instructions, and
- (ix) 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.

(4) The Central Registry will maintain one or more dak registers as may be found convenient. In no case, however, will a single register be operated by, two or more Dealing Assistants. Where more than one dak register is maintained, each register will be identified with an alphabetical code letter 'A', 'B', 'C', and so on

(5) The C. R. No. 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.

(6) Dak received may, however, be registered through computer wherever such a facility is available in Central Registry. In that case, dak register and invoice register need not be maintained manually.

15. Distribution of dak:-

The Central Registry will prepare an invoice (Appendix 2) separately for each Branch to which the dak is to be distributed. The dak, along with invoice, will be sent to the Branch concerned and acknowledged by the diarist. The invoice, duly signed, will then be returned to the Central Registry, where it will be filed Branch-wise and date-wise. Alternatively, dak may be distributed and acknowledgement obtained in messenger books or dak register maintained Branch-wise. The above procedure will also apply to the dak meant for Ministers/officers, which will be acknowledged by their personal staff.

Urgent dak will be distributed as and when received. Other dak may be distributed at suitable intervals (i. e., 11.00 a.m and 1.00 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:

- (i) that, as far as possible, sorting, registration and invoicing of dak is completed on the day of its receipt;
- (ii) that, to the extent to 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
- (iii) 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 signatures of the night duty staff are obtained on it in token of their having taken custody of these.

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 DIARISATION

1. Perusal and marking of receipts.
2. Diarising of receipts in Sections
3. Diarising of receipts received by officers
4. Movement of receipts
5. Action by higher officers
6. Allocation of disputed receipts.

16. Perusal and marking of receipts:-

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

- (i) go through the receipts;
- (ii) forward misdirected receipts to the branch concerned;

- (iii) separate those which, either under the departmental instructions or in his discretion, should be seen by higher officers before they are processed and mark them to such officers;
- (iv) mark to himself such of the remaining receipts as are of a difficult nature or present any special features requiring his personal attention;
- (v) mark other receipts to the dealing hands concerned, and where necessary, indicate urgency grading and give directions regarding line of action;
- (vi) keep a note in his diary of important receipts requiring prompt action or disposal by a specified date; and
- (vii) submit the case to the officer who last noted on it, if it is one returned by another Department.

17. Diarising of receipts in branches.-

The Diarist will diarise in the Branch diary (Appendix 3) all receipts except the following before they are submitted to the officers concerned or distributed among the dealing hands:

- (i) 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 bill register);
- (ii) receipts which have already been diarised in computer;
- (iii) communications received from Members of Parliament/ MLAs for which a separate register is maintained for watching their disposal vide para 125.
- (iv) unsigned communications (except e-mail) on which no instructions have been recorded by officers and on which no action is to be taken;
- (v) identical copies of representations, save the one received first;
- (vi) post copies of telegrams unless the endorsement contains a message in addition to that contained in the telegrams;
- (viii) petty contingent vouchers such as those relating to overtime claims of the staff, claims for coolie hire or conveyance hire, chits asking for articles of furniture, stationery etc;
- (ix) routine acknowledgements;
- (x) casual leave applications;
- (xi) copies of miscellaneous circulars, office memoranda, extracts, etc; circulated by any branch for general information, e.g., orders of general application, telephone lists, notices of holidays, tour programmes, etc; and
- (xii) any other types of receipts which under departmental instructions are not required to be diarised.

Inter-departmental notes, telegrams, or any other category of receipts sought to be distinguished from the rest, may be entered in the branch diary in red ink.

Receipts redirected to other sections will also be diarised.

Papers referred to another Department will be diarised 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.

If a receipt is diarised after a lapse of more than 15 days from the date it bears, the entry regarding date in column 3 of the section diary will be circled in red ink.

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).

The Section Officer will scrutinise the Branch diaries once a week to see that these are being properly maintained and append his initials with date in token of scrutiny.

In a computerised environment, 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 diarised. 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 diarised after a 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 diarised and will be linked to previous diary numbers as they 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. Diarising of receipts addressed to officers:

The personal staff of officers of the rank of Under Secretary and above will diarise 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 diarised with necessary comments.

No receipt will be diarised more than twice. A communication once diarised (Appendix 4) above the section level will not be diarised a second time till it reaches the Branch, where it will be diarised in the Branch diary. For example, a communication received by the Minister and diarised by his personal staff need not be diarised at the level of Secretary, Additional Secretary/Joint Secretary/Deputy Secretary, etc.

In the computerised diary system no receipt will be diarised more than once. For receipts addressed to officers, diarising will be done by their personal staff.

19. Movement of receipts -

- (i) Receipts submitted to officers will move in pads conspicuously labeled as 'Receipts Pad'. Their movement and perusal will receive prompt attention.
- (ii) 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:

- (i) go through the receipts and initial them;
- (ii) remove receipts which they may like to dispose of without assistance from section or to submit to higher officers;
- (iii) enter the diary numbers of the receipts removed vide sub-para 2 above on the movement slip; (this will be prepared in the prescribed format in computerised system also) where necessary, give directions regarding line of action to be taken on other receipts; and
- (iv) return the receipts together with movement slip, if any, to the Section Officer for action

21. Allocation of disputed receipts:-

If a Branch feels that it is not concerned with a misdirected receipt forwarded to it, the same should be brought to the notice of the officer designated by the Department for deciding allocation of disputed receipts.

CHAPTER - VI: ACTION ON RECEIPTS

1. General Principles
2. Action by dealing hand
3. Action by Section Officer
4. Examination by Section
5. Standard Process Sheets
6. Level of disposal and channel of submission
7. Direct submission of cases by senior assistants
8. Examination by officer

9. Deviation from normal procedures or rules
10. Running summary of facts
11. Guidelines for noting
12. Modification of notes or orders
13. Noting on files received from other departments
14. Aids to processing
15. Oral discussions
16. Oral instructions by higher officers
17. Oral orders on behalf of or from Minister
18. Confirmation of oral instructions
19. Examination and progressing of cases in which two or more authorities are consulted
20. Filing of papers
21. Arrangement of papers in a case
22. Referencing
23. Linking of files
24. Use of urgency gradings

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 and ink 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:

- (i) An officer will himself initiate action on as many receipts as possible, keeping in view the priority requirements.
- (ii) Number of levels at which a case is examined will be reduced to the minimum.
- (iii) Paper work will be kept at an essential minimum.
- (iv) Least possible time will be taken for examination and disposal of cases.
- (v) While disposing of cases, an officer will aim at optimizing the quality as well as the quantity of work performed by him.

23. Action by Dealing hand.

The Dealing hand will:

- (i) go through the receipts and separate urgent receipts from the rest;
- (ii) enter the receipts in the assistant's diary; it is not necessary to maintain separately in a computerised environment as the system can generate information through query.
- (iii) deal with the urgent receipts first; code indicating the priority may be given in a computerised environment.
- (iv) check enclosures and if anything is found missing, initiate action to obtain it;
- (v) see whether any other Branch is concerned with any part or aspect of a receipt and if so, send copies or relevant extracts to that section for necessary action;
- (vi) bring the receipt on to the current file if it already exists or open a new file and 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 file by the Dealing Assistant. In a computerised environment the relevant file number, whether of existing file or a new file, will be indicated in the relevant column in the diary register itself.
- (vii) file papers in accordance with para 40;
- (viii) assign the receipt, page number (s) and a serial number;

- (ix) docket the receipt and reproduce on the notes portion of the file, remarks, if any made by an officer on the receipt;
- (x) with the help of file registers, indexes, precedent book, standing guard files etc. locate and collect other files or papers, if any, referred to in the receipt, or having a bearing on the issues raised therein;
- (xi) identify and examine the issues involved in the case and record a note;
- (xii) arrange papers and refer them in the case properly;
- (xiii) Where necessary, attach a label indicating the urgency grading appropriate to the case;
- (xiv) put up the case to the appropriate higher officer; and
- (xv) 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.

The Section Officer will: -

- (i) scrutinise the note of the Dealing hand;
- (ii) finally dispose of routine cases;
- (iii) take intermediate routine action;
- (iv) record, where necessary, a note setting out his own comments or suggestions; and
- (v) submit the case to the appropriate higher officer.
- (vi) in computerised environment also make a suitable entry in the electronic diary register
- (vii) 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 Branch. -

- (i) 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 will be put up without any elaborate note. In other cases, the Branch, while putting up a case, will:
- (ii) see whether all the statements, so far as they are open to check, are correct;
- (iii) point out mistakes, incorrect statements, missing data or information, if any
- (iv) draw attention, if necessary, to the statutory or customary procedure and point out the relevant law and rules;
- (v) furnish other relevant data or information available in the department, if any;
- (vi) state the questions for consideration and bring out clearly the points requiring decision;
- (vii) draw attention to precedents;
- (viii) evaluate relevant data and information; and
- (ix) suggest, where possible, alternative courses of action for consideration.

26. Standard Process Sheet -

For dealing with cases of repetitive nature e.g. sanctioning of leave, GPF advances, forwarding of applications etc. standard process sheets will be devised by the respective 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 computerised environment.

27. Level of disposal and channel of submission -

1. An officer above the level of Section Officer will take action on a case in accordance with the departmental instructions prescribing the level of final disposal and channel of

submission for each category of cases. Departmental instructions will also be maintained in electronic form in a computerized environment.

2. Each Department will review the instructions on level of disposal and channel of submission every three years keeping the number of levels at which a case is examined to the minimum by delegating powers to lower formations.

3. As far as possible it will be ensured that a case is seen either by an Under Secretary or a Deputy Secretary instead of both seeing it.

4. A Branch Officer will submit cases direct to Under Secretary who in turn would submit it to the Joint Secretary/Additional Secretary.

5. A case will normally pass through only one of the following levels before it is submitted to the Minister:

- (i) Secretary
- (ii) Additional Secretary

6. Additional Secretaries in large Department 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.

7. In Departments with a Principal Secretary/ 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.

8. 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 and in appropriate cases may be resubmitted for reconsideration.

9. In a computerized environment the system will provide scope for level jumping.

28. Examination by Officer -

1. An Officer will regularly discuss with 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 to the problem, issues arising out of its precedents, if any, analysis of all relevant facts, and recommendations.

29. Deviation from normal procedures or rules -

In every case where a major or minor deviation, other than trivial, from 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.

30. Running summary of facts –

To facilitate consideration and to obviate repeated recapitulation, 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.

31. Guidelines for noting: -

1. All notes will be concise and to the point. Lengthy notes are to be avoided.

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, 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 is/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 criticised, care should be taken to couch the observations 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.
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 categories of staff and officers. Only an officer of the level of Joint Secretary of Government of Nagaland 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 paragraph will give an indication of the evidence and the conclusions reached. The final paragraph should weigh the arguments and make recommendations for action.
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 Finance.
14. While preparing/submitting Notes for the Cabinet/Cabinet Committees/Groups of Ministers, the required procedure as detailed in Appendix-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-2 will be kept in view.
16. While constituting/reconstituting High-level Commissions/Committees, the required procedure as detailed in Appendix-7.1 will be kept in view.

32. 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, is not 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 Department 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.

33. 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 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.

34. Aids to processing –

1. To facilitate processing of a case, each section will develop and maintain the following records for important subjects dealt with by it:

- standing guard files;
- standing notes;
- precedent book;
- standard process sheets (of repetitive items of work only); and
- reference folders containing copies of circulars, etc.

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

3. 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, Orders 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, Orders and Instructions is contained in Appendix 4.

4. These Acts, Rules, Orders and Instructions will be accessed electronically if available on website of issuing Departments.

5. 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.

35. 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 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.

36. 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 officers 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 his superior. 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 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.

37. 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 organisation).

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 organisation) 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 can be conveyed by his Private Secretary. In such cases, confirmation will be obtained on file when the Minister returns to Headquarter/ rejoins his office.

38. Confirmation of oral instructions:-

1. If an officer seeks confirmation of oral instructions given by his superior, 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.

39. Examination and progress of cases in which two or more authorities are consulted. -

Where two or more State Governments, Central 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.

40. Filing of papers.-

1. Papers required to be filed will be punched on the left hand top corner and tagged onto the appropriate part of the file viz. notes, correspondence, 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 side of tag in the notes portion will be tagged onto the left side of the file cover and right side of the tag will remain as such i.e., untagged. In the case of correspondence portion, right side of tag will be tagged onto 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. 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.
5. If the file is bulky, separate file covers may be maintained for keeping appendix to notes and appendix to correspondence.
6. Routine receipts and issues (e.g., reminders, acknowledgments) and routine notes will not be allowed to clutter up the file. They will be placed below the file in a separate cover and destroyed after they have served their purpose.
7. When the 'notes' plus the 'correspondence' portion of a file becomes bulky (say exceed 150 pages), it will be stitched and marked 'Volume-I'. Further papers on the subject will be added to the new volume of the same file, which will be marked 'Volume-II', and so on.
8. In Volume-II and subsequent volumes of the same file, page numbering in notes portion and correspondence portion will be made in continuity of the last page number in note portion/correspondence portion of the earlier volume.
9. On top of the first page of the note portion in each volume of the file, file number, name of the Department, name of Branch/Section and subject of the file will be mentioned.

41. Arrangement of papers in a case. -

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

- reference books;
- notes portion of the current file ending with the note for consideration;
- running summary of facts;
- draft for approval, if any;
- correspondence portion of the current file ending with the latest receipt or issue, as the case may be;
- appendix to notes and correspondence;
- Standing guard file, standing note or reference folder, if any;

- 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;
- recorded files, if any, arranged in chronological order, the latest being placed on the top;
- and routine notes and papers arranged in chronological order and placed in a separate cover.

42. 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' they 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 in 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.'B; 'X' 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 in the margin. Similarly, the number and date of orders, notifications and the resolutions, and, in the case of Acts, Rules, Orders and Instructions, 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 in 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 in the margin of the notes in pencil.
8. The reference slips will be pinned neatly on the inside of the papers sought to be 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.

43. 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 (2) below.
2. 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.
3. 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.

4. On receipt back after completion of action, the linked files will be immediately delinked after taking relevant extracts and placing them on the linked files, where necessary.
5. In a computer environment the file tracking system has the facility for easy linkage of files and its subsequent movement.

44. Use of urgency gradings: -

1. The two urgency grading authorised 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 Assembly labels for questions, motions, bills 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 SECTION OFFICER SYSTEM

1. General
2. Receipt of Dak
3. Action by Branch functionary
4. Maintenance of reference materials

45. General -

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

46. Receipt of dak -

The Central Registry will send dak along with invoice (Appendix 2) direct to the desk functionary who will acknowledge its receipt on the invoice. Each Branch functionary will maintain a Branch diary (Appendix 6).

47. Action by Branch functionary: -

1. The Branch functionary will examine the receipt and will:
 - in simple situations draft and issue a reply; and
 - in other cases submit a draft to Under Secretary/Joint Secretary for approval/signature without any elaborate note.
2. In case of any doubt, he will take appropriate action after discussion with Under Secretary/Joint Secretary.
3. Occasionally a communication may give rise to a problem requiring to be solved. In such cases the technique of writing a self-contained note described in para 28(2) will be adopted.
4. The supporting staff and the Stenographer attached to a Branch functionary will inter alia assist him in:
 - dealing with simple cases including issue of acknowledgements, forwarding of papers etc.;
 - compilation of data in given forms;
 - maintaining codes, Manuals and other relevant research and reference material;
 - records management; and
 - typing work.

CHAPTER VIII - FORMS AND PROCEDURE OF COMMUNICATION

1. Forms of written communications and methods of delivery
2. Telephonic communications
3. Correspondence with attached and subordinate offices
4. Single File System (SFS)
5. Inter-departmental consultation
6. Nodal departments
7. References to the Advocate-General of Nagaland
8. References to constitutional/statutory authorities
9. References to the Accountant General of Nagaland
10. References to the Nagaland Public Service Commission
11. Correspondence with State Governments
12. Correspondence with the Assembly Secretariats
13. Correspondence with Members of Parliament/MLAs
14. Correspondence with Ministers of State Governments
15. Correspondence with Foreign Governments and International organizations
16. Prompt response to letters received
17. Target date for replies

49. Forms of written communications and methods of delivery -

The different forms of written communication and their 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 communications to ensure better preservations 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 7.

(1) **Letter** - This form is used for corresponding with Central Governments, State Governments, the Nagaland 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.

(2) **Demi-official letter** - This form is generally used in correspondence between Government officers for an inter-change 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 Department who is ordinarily not more than one or two levels below the officer to whom such communication is addressed.

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

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

(4) **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 supersession except the name and designation of the officer signing it.

(5) **Inter-departmental note** – (i) 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.

(ii) 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.

(6) **Telegram** –

1. This form is used for communicating with out-station parties in matters demanding prompt attention. The text of the telegram should be as brief as possible.

2. 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 Home Department in the case of internal telegrams, should be carefully observed.

3. There are four gradings of urgency authorised for use in State telegrams, viz `SVH', `Most Immediate', `Operation Immediate' and `Immediate'. The use of these gradings is regulated by the rules issued by the Department of Posts. Relevant extracts from these rules are contained in Appendix 10.

4. Telegrams, other than cypher and code telegrams, should normally be followed by post copies.

(7) **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 out-station offices.

(8) **Registered Post/ Registered AD** - This method of delivery is used in communicating with offices to ensure receipt of the communication and in the case of Registered AD an acknowledgement of the delivery is also received by the issuing office.

(9) **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.

(10) **Office order** - This form is normally used for issuing instructions meant for internal administration, e.g., grant of regular leave, distribution of work among officers and sections, appointments and transfers, etc.

(11) **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.

(12) **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 Nagaland Gazette. 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.

(13) **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 inquiry. Resolutions are also published in the Nagaland Gazette.

(14) **Press communique/note** - This form is used when it is proposed to give wide publicity to a decision of the 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.

(15) **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.

(16) **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.

(17) **Advertisement** - This form is used for communicating with the general public to create awareness and may take the form of audio-visual or written communication.

(18) **E-mail** - This is a paperless form of communication to be used by Department having computer facilities supported by internet or intranet connectivity and can be widely used for subjects where legal or financial implications are not involved.

50. 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 49(6) 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.

51. Correspondence with attached and subordinate offices -

1. Senior Officers/Head of a subordinate/ attached office under an Administrative Department will correspond in respect of matters involving intervention/approval of another Department in a note form with the Department concerned.
2. Head of an autonomous body under an Administrative Department will write in respect of matters involving intervention/approval of another Department to the Secretary of the Department concerned in a letter form.
3. In both the cases, the Department concerned, if required, will take up the matter with another Department.
4. Attached office/subordinate office may, however, seek factual information from another Department directly.
5. An officer of a subordinate office/attached office/autonomous body will not correspond directly with the Minister of another Department except the Head of a statutory body/ regulatory authority set up by an Act of Legislative.

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.

52. Single File System (SFS) -

1. This will apply to matters which have to be referred by the NSO to the Department for seeking a sanction/order, i.e. a decision not within its own delegated powers.
2. The file cover of a 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. Number or other formal method of sending, but will be sent as though it is from one officer to another in the same organisation.
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:
 - (i) every point for decision/order is clearly brought out
 - (ii) all relevant connected papers are placed on the file, properly arranged and referred to;
 - (iii) draft orders/sanctions are put up, where they are required to be approved by the Department for issue; and
 - (iv) 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 in a separate register which will also record, against the relevant receipt entry, the dispatch 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-save 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.

53. 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:
 - (i) 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.
 - (ii) 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.
3. Where possible, the drafts of the orders proposed to be issued may also be shown to the Departments sought to be consulted.
4. 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:

it involves copying of a large number of documents available on the file; or the need for consulting the second Department would arise only after the views of the first have become available.

5. When such a reference requires concurrence of one or more Department under the Government of Nagaland (Rules of Executive Business), the following further points should be observed:

- (i) The originating Department should invariably prescribe a time-limit when calling for comments or concurrence from other Department.
- (ii) In case any of the Department 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.

6. When such a reference does not require such concurrence under the Rules, the originating Department need not wait for the comments of other Department beyond the prescribed time limit, and it should feel free to go ahead with its scheme/proposal without waiting any longer.

7. The initiating Department should always feel free to recall its file from another Department, 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 Department.

8. 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:

- (i) the representatives attending the meeting are officers who can take decisions on behalf of their Departments;
- (ii) 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
- (iii) 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

9. On occasions it may be necessary to have oral discussions (including teleconferencing or video conferencing) with officers of other departments, e.g., when:

- (i) a preliminary discussion between the officers of the Departments concerned is likely to help in the disposal of the case;
- (ii) it is desirable to reach a preliminary agreement before proceeding further in the matter;
- (iii) inter-departmental noting reveals a difference of opinion between two or more Departments; or
- (iv) it is proposed to seek only information or advice of the Department to be consulted.

10. 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.

11. 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.

12. In case two or more Departments persist with their respective viewpoints 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 Chief Secretary or to the level of Ministers concerned, to arrive at a quick decision without continuing with protracted correspondence/discussions among the disputing Departments.

13. Nodal 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.

54. Nodal Departments -

In order that the numbers of interdepartmental references are minimized so as to facilitate reduced paper work and faster decision making, nodal Departments such as Law, Finance, Personnel & Administrative Reforms, Planning Department, 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.

55. References to the Advocate-General of Nagaland -

References to the Advocate-General will be made only by the Law & Justice Department.

56. 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 by Secretary. In no case office memorandum will be sent to such authorities by the Departments.

57. References to the Accountant General of Nagaland-

References to the Accountant General of Nagaland for his views or advice can be made only by or through the Department of Finance. In matters of day-to-day administration, Departments may, however, correspond direct with the Accountant General of Nagaland at their discretion.

58. References to the Nagaland Public Service Commission -

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

59. 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.

60. 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 an Under Secretary or equivalent Officer.

61. Correspondence with the Assembly Secretariats -

Communications meant for the Assembly Secretariat and requiring urgent or high level attention may be addressed to the Secretaries concerned and not to the Speaker direct.

62. Correspondence with MP/ Members of Legislative Assembly-

1. Communications received from MP/MLAs 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 nationalised banks) Division/Branch Incharge in a 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 consultation with higher authorities before sending a reply. It should, however, be ensured that minimum level at which such replies are sent to Members of Parliament/MLA is that of Under Secretary and that also in 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 Legislative Assembly.
5. As far as possible, in corresponding with MP/MLA, pre-printed or cyclostyled replies should be avoided.
6. In case a reference from an ex-MLA is addressed to a Minister or Secretary, reply to such reference may be sent by the Divisional Head concerned after obtaining approval of the Secretary of the 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 minimum level at which reply could be sent should be that of an Under Secretary and that too in letter form only.

63. Correspondence with Ministers of State Governments -

The procedure laid down in the above paragraph may also be followed in dealing with communications received from the Ministers of State Governments.

64. 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 specialized agencies will normally be channelised 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.

65. Prompt response to letters received -

1. Each communication received from a Member of Parliament/MLA, a member of the public, a 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 Department 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.

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.

66. 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 the 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

1. Procedure for drafting
2. General instructions for drafting
3. Authentication of government orders
4. Addressing communications to officers by name
5. Drafting of demi-official letters

67. 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 the date on the draft. It is also expected of him that he passes 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.

68. 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 Nagaland 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:

(a)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 light of the above developments, government conveys its inability to accede to.....

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 in 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., PAR/Estt-1/2009 (A), PAR/Estt-1/2009 (B).

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 in the margin for ready reference by the typist, the comparers and the dispatcher. The number of enclosures should also be indicated at the end of the draft on the bottom left of the page thus- 'Encl. 3'.

9. If copies of an enclosure referred to in the draft are available and are, therefore, not to be typed, 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 dispatched 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 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 will be arranged to be dispatched by Air Parcel through Indian Airlines. The addressee will also be advised through wireless to take delivery of the consignment. Instructions to this effect will be given by the Divisional Head/Branch Officer/Superintendent 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.

13. In writing or typing a draft, sufficient space should be left for the margin and between successive lines to admit additions or interpolation of words, if necessary.

14. A slip bearing the words 'Draft for approval' 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 Appendix 7 will be observed while drafting.

69. Authentication of Government Orders -

1 All orders and other instruments made and executed in the name of the Governor 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 other specifically authorized to authenticate such orders under the Authentication (Orders and Other Instruments) Rules, 1958.

2 Where the power to make orders, notifications, etc., is conferred by a statute on the Government of India, such orders and notifications will be expressed to be made in the name of the Government of India.

70. 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.

71. Drafting of demi-official letters -

1. As the objective of writing a demi-official (D.O.) letter is to call 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., '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.....'

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 healthy divided paragraphs in a manner that holds the interest of the addressee, the detailed arguments can be set out in appendices.

3. The colour code in D.O letter will be as follows. D.O. letters from a Minister or any such officer authorise to write D.O letters will exhibit the State Emblem in colour.

CHAPTER - X: ISSUE OF DRAFTS

1. Making of drafts for issue
2. Fairing of approved drafts
3. Procedure to be followed in Sections
4. Procedures to be followed in Branches
5. General instructions regarding typing
6. Procedure where centralized typing pool exists
7. Marking of drafts
8. Stamping of drafts
9. Distribution of work among typists
10. Registration of drafts
11. Comparison
12. Signing of fair communications
13. Issue of signed communications
14. Dispatch of postal communications
15. Dispatch of non-postal communications
16. Return of papers
17. Issue of inter-departmental notes
18. Stamps Account Register
19. Action after issue
20. Reference lists

72. Marking of drafts for issue -

1. After a draft has been approved, the Section Officer will:
 - (i) examine the draft to see that all corrections of spelling and grammar, etc., have been properly carried out and that there are no typographical errors;
 - (ii) photocopy of signed communication will be preferably kept as office copy;

- (iii) ensure that copies of enclosures are attached to the draft where these are available in the Branch;
- (iv) give clear indication on the draft, where a communication is to be dispatched by a special messenger/fax/speed post/registered post on account of its special nature, importance or urgency;
- (v) 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
- (vi) mark the file for recording it in a case where the issue of said communication constitutes final disposal of the case under consideration.

73. 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.

74. Procedure to be followed in sections: -

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).

1. The Diarist will:-
 - (i) enter the number of the file marked for recording [as per para 72(VI)] in column 2 of the 'register for watching the progress of recording' and
 - (ii) pass on the file to the typist.
 - (iii) The approved draft will be fair typed, compared and got signed. General instructions regarding typing given in para 73 will be observed.
 - (iv) 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.
 - (v) The signed fair copies, together with office copies, drafts and relevant file/files will then be passed on to the diarist.

2. The Diarist will:
 - (i) enter the number of the fair communications and office copies in messenger book; and,
 - (ii) send the fair communications and office copies, along with messenger book, to the dispatcher of the Central Issue Section at appropriate intervals during the day.

3. The Dispatcher will:
 - (i) remove the fair communications and office copies; and
 - (ii) acknowledge receipt in the messenger book.
 - (iii) In case of urgent communications, dak may be issued directly from the Branch concerned at the discretion of the Section Officer

75. Procedure to be followed in desk -

1. After a draft has been approved or a letter has been dictated by the Branch functionary for fair typing, the stenographer attached to the Branch functionary will type the letter, get it compared and signed. General instructions regarding typing given in para 73 will be followed by the stenographer.
2. The stenographer will add all relevant enclosures to the signed communication and send it to the Central Issue Section for dispatch through messenger book after making necessary entries in it.
3. A Branch functionary may draw on the services of the Typing wing in the Registry, wherever setup, for attending to extra typing work.

76. 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 drawn in the margin to indicate the number of enclosures to be sent along with the letter will be indicated at the appropriate places.
5. Stencils will be cut whenever more than 50 copies of a communication are required.
6. The Typist will type his initials with date in the left hand bottom corner of the fair copy e.g., RCK/01-12-2009.
7. In a computer environment username along with path will be indicated on the fair copy by the typist (except classified documents).

77. 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 82.

78. Marking of drafts: -

1. Section Officer, while marking the drafts for issue and before passing on the file to the diarist, will:
 - (i) indicate whether fair copies are to be signed by the officer approving the draft or are to be authenticated for issue by the superintendent of the Central Issue Section as per para 83; and
 - (ii) 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:
 - (i) enter the file number of the file 'marked for record' [as per para 72] in column 2 of the 'register for watching the progress of recording';
 - (ii) 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 20-3-2001) in the margin of the notes portion of the file;
 - (iii) mark the movement of the file in the file movement register [para 98(1) and Appendix 23], where the file is to be sent with the draft;
 - (iv) 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;
 - (v) send these to the central issue section at appropriate intervals during the day; and
 - (vi) 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 Branch concerned.

79. 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.

80. 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., TKM), in the space provided in the stamp for the purpose.
2. The Typist will enter in the Typist's diary (Appendix 12) the drafts received by him for typing.
3. The drafts will be typed in accordance with the instructions in para 76. 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:
 - (i) complete the distribution chart;
 - (ii) arrange for the typing of urgent untyped work outside office hours, where necessary; and
 - (iii) take the arrears into account in allocating fresh work on the next working day.

(The posts of Typists will be phased out once the incumbent retires or vacates the posts)

81. Registration of draft -

Before the drafts are handed over to the Typists, these will be entered in the issue diary (Appendix 13).

Drafts of telegrams and other communications marked 'immediate' will be entered in red ink to distinguish these from the rest.

At the end of the day, the Assistant maintaining the issue diary will submit his diary to the Section Officer for assessing arrears and for taking appropriate action.

82. 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:

- (i) compare the fair copies with the draft;
- (ii) initial (with date) in the space provided for the purpose in the stamp affixed on the draft;
- (iii) attach enclosures, if any, and write the word 'attached' below the oblique line on the office copy; and
- (iv) 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.

83. 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:

- (i) orders and instruments issued in the name of the Governor;
- (ii) financial sanctions; and
- (iii) communications to Members of Parliament/MLAs, State Governments, Public Bodies and Members of the public generally.
- (iv) Authentication by Section Officer of fair copies of communications for issue, where permitted, will be done in the manner indicated in Appendix 14.
- (v) Signing of fair communications and movement of 'signature pads' will receive prompt attention.

3. On return of signature pads, the Section Officer will see that the fair copies have been duly signed by the officer concerned and that correction, 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 dispatcher.

84. Issue of signed communication -

The dispatcher of the Central Issue Section will:

- (i) date the fair copy, office copy and spare copies, if any;
- (ii) affix the stamp 'Issued' (after adjusting date) as per specimen given above, on the office copy and initial it;
- (iii) where for any reason an enclosure has to be sent separately, make a note to that officer 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;
- (iv) separate the communications to be sent by post, through electronic form, as well as those to be delivered by hand, for further processing in accordance with paras 85 and 86;
- (v) enclose communications meant for dispatch 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;
- (vi) use economy slips for all covers except;
- (vii) those with bulky contents;
- (viii) those addressed to Foreign Governments;
- (ix) those intended for dispatch under registered or insured covers;
- (x) where window envelopes are in use, fold the fair communications in such a way that the address typed thereon is visible through the window;
- (xi) 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
- (xii) bring to the notice of the Section Officer;
- (xiii) urgent communications which could not be dispatched on the day of their receipt; and
- (xv) ordinary communications which could not be dispatched even on the day following the day of their receipt.

85. Dispatch of Postal Communications

1. The dispatcher will hand over communications to be sent by post to the Peon/Duftry, who will:

- (i) separate those to be sent by foreign post from the rest;
- (ii) 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;
- (iii) 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;
- (iv) 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;
- (v) where postal franking machines are in use, frank the covers, etc. instead of affixing postage stamps;
- (vi) stamp the covers with a rubber-stamp bearing the name of the Department; and
- (vii) return the communications to the dispatcher

2. The dispatcher will enter the particulars of the communications and the value of stamps affixed thereon in the dispatch register (Appendix 15). This can be generated automatically in a computer environment.

3. In the case of telegrams, the serial number assigned to them in the dispatch 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 dispatch register.
4. Departments dispatching 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 dispatch 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 Branch concerned.
6. Receipts for telegrams, speed post, registered and insured post, etc. will be checked carefully by the dispatcher. These will be filed properly for reference in the event of need.
7. In offices where dispatch work is heavy and where central dispatch registers are maintained in detail, the procedure for maintenance of service postage stamps account has been given in Appendix 16.

86. Dispatch 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 messenger for delivery to the addressees.
2. Messenger books will be numbered serially and an adequate number of such books allotted to each Department/office or several Departments/offices grouped conveniently according to their location.
3. Urgent communications will be dispatched promptly. The time of dispatch will invariably be noted in the messenger book. The receipts will similarly be required to indicate the time of their receipt. Ordinary communications will be dispatched at least twice a day at suitable intervals.
4. Only urgent communications will be dispatched outside office hours. No communication will be sent to an officer at his residence unless:
 - (i) it is of such a nature that action thereon cannot wait till the commencement of the next working day;
 - (ii) it is marked 'immediate' and addressed to the officer by name; and
 - (iii) its delivery to the officer's residence has been authorized by the Branch officer concerned at the dispatching end.
5. After the communications have been delivered, the dispatcher will examine the messenger books to see that all the communications entered therein, have been duly acknowledged by the recipients under dated signatures, written in ink. Instances where the communications have not been acknowledged will be immediately brought to the notice of the Section Officer of the Central Issue Section for investigation and further suitable action.
6. Urgent communications sent through fax will generate a confirmation slip of delivery on the fax machine, which will be recorded on the file along with the office copy. The original communication sent through fax will subsequently be sent in a routine manner also.
7. 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 issues not having financial or legal implications. All points emerging during e-mail correspondence will be recorded through a note on the file concerned.

87. Return of papers -

After issue of fair communications the dispatcher will make over office copies, together with drafts and relevant files, if any, to the assistant maintaining the issue diary. The latter will return the papers to the diarists of the branch concerned after making entries in column 3 of the issue diary.

88. 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/Branch concerned but dispatched through the Central Issue Section.
3. Before sending the files to the Central Issue Section for dispatch the Diarist will:
 - (i) mark the movement in the file movement register (where relevant, in electronic form) in the case of Branch's own file and in the branch diary in other cases (movement is to be updated against file or diary number);
 - (ii) in respect of Branch's own files, prepare a challan in duplicate and place one copy on the file and make over the other to the dealing hand concerned;
 - (iii) enter the file in the messenger book; and send it to the dispatcher of the Central Issue Section.
 - (iv) In the Branch system, the jobs corresponding to (a) to (d) will be performed by the Stenographer/Assistant attached to the Branch functionary.
4. The Dispatcher will: -
 - (i) remove the file for dispatch to the addressee;
 - (ii) acknowledge its receipt in the messenger book; and
 - (iii) return the messenger book to the branch concerned.

89. Stamps Account Register.

1. The dispatcher will maintain an account of the postage stamps in the form given in Appendix 17.
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 dispatch by post to make sure:
 - (i) that the value of stamps affixed thereon tallies with that shown in the dispatch register; and
 - (ii) that the required value has been secured by using the minimum number of stamps of appropriate higher denominations.
 - (iii) 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 environment this information will be generated once a month.

90. Action after issue.

1. On receipt of papers after issue, the Diarist will:
 - (i) check that the office copies bear the stamp 'issued'.
 - (ii) make sure that files and other papers sent with the drafts to the Central Issue Section have been received back;
 - (iii) make entries about the return of files in the file movement register;
 - (iv) make entries in Branch dispatch register (Appendix 18);
 - (v) place office copies, with drafts, if any, on the relevant files; and
 - (vi) pass on the files to the dealing hands concerned.
2. The Dealing hand will:
 - (i) docket the communications issued along with the original of the approved draft(s) where so required.
 - (i) examine whether the case is fit for inclusion in any of the following reports and obtain orders of the appropriate officer:
 - (iii) weekly statement of cases (automatically generated in computer environment), other than those of a routine nature, disposed of without reference to the

- Minister-in-charge (Appendix 19), to be submitted to the Minister in accordance with departmental instructions; and
- (iv) monthly summary of the principal activities of the Department to be furnished to the Cabinet Cell in accordance with the instructions issued by it.
 - (v) initiate action to record the file where it has been marked for record by the Section Officer.
 - (vi) 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-
 - (vii) mark the file for being brought forward on that date. In computer environment an entry will automatically generate a reminder on that date;
 - (viii) make a note of it in the engagement calendar and diary on the relevant date; and
 - (ix) pass on the file to the Diarist for recording its movement in the file movement register [Similar action will be taken also on duplicate copies of challan in respect of files referred to other Departments.

3. The Section Officer will scrutinise the Branch dispatch register (Appendix 18) once a week to see that it is being properly maintained and append his initials with date in token of scrutiny. In computer environment he will generate weekly report through the computer.

4. In the Branch system, all activities outlined in sub-paras (1) to (3) above will be performed by the Branch functionary with the assistance of the Stenographer/Assistant attached to him.

91. Reference lists.

To facilitate quick dispatch of papers the Central Issue Section will maintain the following lists and directories:

- (i) residential addresses and telephone numbers of officers and staff of the Department;
- (ii) departments which have arrangements within the Central Registry for receipt of dak outside office hours (with name and telephone number of the official incharge);
- (iii) residential addresses and telephone numbers of officers of other departments designated to receive urgent dak outside office hours;
- (iv) residential addresses and telephone numbers of officers of other Departments designated to receive assembly papers;
- (v) postal addresses of all offices under the Department, attached offices, subordinate offices, autonomous bodies, etc; which deal directly with it;
- (vi) telegraphic and e-mail addresses, and telephone and fax numbers of State Governments and other outstation offices frequently addressed;
- (vii) Members of Rajya Sabha and Lok Sabha, MLAs (including Council of Ministers);
- (viii) Official Directory issued by the Ministry of Home Affairs;
- (ix) List of India's Representatives Abroad issued by the Ministry of External Affairs;
- (x) Diplomatic List issued by the Ministry of External Affairs; and
- (xi) Schedule of postal rates.
- (xii) Postal PIN code directory

These lists will be kept up to date and displayed prominently for easy consultation by the dispatcher and other officials on duty.

CHAPTER XI - FILE NUMBERING SYSTEM

1. File numbering system
2. Functional file numbering system
3. File numbering system based on subject classification

4. Cases where files need not be opened
5. File Register
6. Part file
7. Transfer, reconstruction and renumbering of files
8. Movement of files and other papers
9. Filing system under desk pattern

92. File numbering system.

1. A proper file numbering system is essential for convenient identification, sorting, storage and retrieval of papers. The two systems now in use in the Secretariat are described below.

(a) Functional file numbering system -

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:

- (i) the main functions of the Department;
- (ii) the activities in each of these functions;
- (iii) the aspects or operations involved in each of these activities; and
- (iv) the 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:

- (i) functional heads which may be called 'basic heads';
- (ii) activity heads which may be called 'primary heads' as related to each functional head;
- (iii) aspect or operation heads which may be called 'secondary heads' as related to activity heads; and
- (iv) factor heads which may be called 'tertiary heads' as related to aspects or operation heads.
- (v) Based upon the above lists of heads, a functional file index for the various substantive subjects dealt with by a Department together with an identifying file numbering system is then developed in accordance with Appendix 20, which explains the essentials of such a system.

3. For opening files relating to establishment, finance, budget and accounts, office supplies and services, and other house-keeping jobs common to all departments, the standardized functional file index including its file-numbering system, issued by the Department of Personnel & Administrative Reforms will be followed.

93. File numbering system based on subject classification -

1. Each Section will maintain approved lists of:

- (i) standard heads, i.e. main subject headings concerning it; and
- (ii) 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:

- (i) standard head;

- (ii) 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
- (iii) 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 but should give at a glance sufficient indication of the contents of the file so as to serve as an aid to its identification. 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:

- (i) the serial number allotted to the standard head;
- (ii) the serial number of the file opened during the year under the standard head;
- (iii) the year of opening the file (all four digits i.e., 2008, 2000, etc.); and
- (iv) an abbreviated 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, P&AR Department during 2009 under the standard head bearing serial number '3', will be numbered consecutively as 3/1/2008-PAR, 3/2/2009-PAR and so on, where 'PAR' represents the Department.

Note: In a computer environment file numbering will be done electronically in either of the systems mentioned in Paras 92 and 93. A unique file number will be automatically generated whenever a fresh file is opened.

94. Cases 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:

- (i) can be disposed of straightaway by noting the reply on the source receipts and returning them to the originators; or
- (ii) are unlikely to generate further correspondence and therefore can be placed in a miscellaneous file to be destroyed at the end of the year, or placed in the folder of circulars, etc.; if on the subject.

95. File register.

A record of files opened during a calendar year will be kept in a file register (Appendix 21) 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 will also be maintained in a computer environment.

96. 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.

- (a) A part file will normally consist of:
 - (i) receipt or note dealt with; and
 - (ii) notes relating thereto.

2. 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.

3. A part file will be merged with the main file as soon as possible, duplicate papers, if any, being removed.

4. Appropriate electronic entry for opening of part file will be made in a computer environment, so that easy tracking is facilitated for the purpose of merging of the part file with the main file on its return.

97. Transfer, reconstruction and renumbering of files -

1. Whenever work is transferred from one Department to another, the former will promptly transfer all the related records including files, both current and closed, to the latter. The Department 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 to open new files according to the Department's own scheme of classification for dealing with the matter further.

2. 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 Department. 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.

98. Movement of files and other papers -

1. Movement of files will be entered in the file movement register (Appendix 22).

2. When current files are linked as per para 43, 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 22.

3. When recorded files are put up with a 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 22. It will also be ensured that the procedure regarding requisitioning of recorded files as laid down in para 115 is observed.

4. Movement of files received from other Departments/Branches and other receipts which have not been brought on to a file in the receiving Branch, will be noted in the 'remarks' column of the Branch diary.

5. No current file will be issued to other Branch 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, Branches or Departments will be routed through the Branch 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 Under Secretary and above will maintain the movement of papers received by their officers in the respective personal branch diary (Appendix 4). Movement of any file handed over personally to a higher officer or to the Minister will similarly be noted by the personal staff. Papers/Files marked by them to other Departments, however, will be routed through the Branch concerned, for noting their movements in the file movement register or branch diary as appropriate.

9. In a computer environment the movement of files will be recorded electronically at every stage.

99. Filing system under Branch pattern -

The provisions of paragraphs 92 to 98 will also be applicable to the Branch pattern of functioning. Assistant/Stenographer attached to a Branch functionary will assist him in maintaining a proper filing system and movement of files.

CHAPTER - XII: RECORDS MANAGEMENT

1. Activities involved in records management
2. Stage of recording
3. Procedure for recording
4. Categorization of records
5. Stage of Indexing
6. Manner of Indexing
7. Custody of index slips
8. Compilation of departmental index
9. Precedent Book
10. Record Retention Schedule
11. Custody of records
12. Review and weeding out of records
13. Records maintained by officers and their personal staff
14. Requisitioning of records

100. Activities involved in Records Management -

1. Records Management covers the activities concerning recording, retention, retrieval and weeding out.
2. Each record creating agency will nominate a Departmental Records Officer (DRO) who is not below the level of a Section Officer for overall Records Management.

101. 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 one year without being formally recorded.

102. Procedure for Recording -

1. Action for Recording:
 - (a) 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:
 - (i) indicate the appropriate category of record (vide para 103 below) and in the case of category 'C', also specify the retention period and the year of destruction on the file cover;
 - (ii) where necessary, revise the title of the file so that it describes adequately the contents at that stage;
 - (iii) get the file indexed (vide para 105 below) unless it is to be retained for less than 10 years from the date of closing;
 - (iv) extract from the file, copies of important decisions, documents, etc. as are considered useful for future reference and add them to the standing guard file/precedent book;

- (v) remove from the file all-superfluous papers such as reminders, acknowledgements, routine slips, working-sheets, rough drafts, surplus copies, etc. and destroy them;
- (vi) complete all references and, in particular, mark previous and later references on the subject on the file cover;
- (vii) pass on the file to the Record Assistant;

2. Action on Recorded Files

- (b) The Record Assistant will thereafter:
 - (i) complete columns 4 and 5 of the file register and correct the entry in column 2 where necessary;
 - (ii) enter the file number in column 2 of the register for watching progress of recording (Appendix 23);
 - (iii) write the word 'recorded' prominently in red ink (make suitable entries in computer environment), across the entries in the file movement register;
 - (iv) indicate page numbers and other references (except references to alphabetical slips) in ink which were earlier made in pencil;
 - (v) indicate the year of review on the file cover in respect of category 'C' files;
 - (vi) prepare fresh covers, where necessary, with all the entries already made thereon; and
 - (vii) hand over the file to the duftry/peon.

3. The duftry/peon will repair the damaged papers, if any, stitch the file and, show it to the record assistant for making entries in the register for watching progress of recording (Appendix 23) before keeping it in the bundle of recorded files.

103. Categorization of Records -

- 1. Files may be recorded under any one of the following categories:
 - (a) Category 'A' meaning 'keep and microfilm' - This categorization will be adopted for:
 - (i) files which qualify for permanent preservation for administrative purposes (vide part 'A' of Appendix 24) and which have to be microfilmed because they contain:
 - (ii) 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; or
 - (iii) material likely to be required for frequent reference by different parties.
 - (iv) files of historical importance such as those listed in Part 'B' of Appendix 24
 - (b) 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 24. 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.
 - (c) Category 'C' meaning 'keep for specified period only' - This category will include files of secondary importance and 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.

104. 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 103) will be indexed.

105. Manner of Indexing -

- 1. While preparing a file for record, the Dealing hand or the Branch Assistant will underline:
 - (i) 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

- (ii) 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 standardized headings.

3. After index heads and sub-heads in the title have been approved by the Section Officer/Branch functionary, the Record Assistant /Branch Assistant will:

- (i) type out, in duplicate, as many index slips as there are index heads and sub-heads underlined in the title;
 - (ii) distinguish the index heads from the sub-heads by typing the former in capital letters;
 - (iii) 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 25;
 - (iv) 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 25;
 - (v) arrange the index slips in two sets, one in alphabetical order of the heads/sub-head for use in the Branch, and the other in the sequence of file numbers for the use of the compiler of the departmental index;
 - (vi) keep each set of a paper index slips in separate spring clip folders for each year; and
- (vii) 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 indexes could also be prepared. Even here, the duplicate set meant for incorporation in the departmental index will be typed on good quality paper. Card indexes, 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 files in respect of which card indexes 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. assembly questions, cut-motion, resolutions etc.

106. Custody of index slips -

1. Index slips will remain in the custody of the Record Assistant.
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 Branch (viz, that arranged in alphabetical order) will be neatly stitched and the stitched compilation kept at a convenient place for reference by all concerned.

107. 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.

- (a) The Compiler of the departmental index will:
 - (i) edit the index slips by:
 - (ii) allowing the full title to appear only on the main index slips, i.e. those indexed under the index heads; and
 - (iii) 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 25;
 - (iv) arrange the index slips received from different Branch, in alphabetical order in a single series for the Department as a whole; and
 - (v) arrange for the printing or cyclostyling of the consolidated departmental index for each year.

NOTE : In a computerized environment, indexing will facilitate easy retrieval.

108. Precedent Book -

Every Branch will maintain a precedent book in the prescribed form (Appendix 26) for keeping note of 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.

109. Record Retention Schedule -

1. To ensure that files are neither prematurely destroyed, nor kept for periods longer than necessary, every Department will:
 - (i) in respect of records connected with accounts, observe the instructions contained in Appendix 13 to the General Financial Rules;
 - (ii) in respect of records, relating to establishment, personnel and housekeeping matters common to all Departments, follow the 'schedule of periods of retention for records common to all Departments' issued by the Department of Personnel & Administrative Reforms;
 - (iii) in respect of records prescribed in this Manual, observe the retention periods specified in Appendix 278; and
 - (iv) 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 Record Cell.

The above schedules should be reviewed at least once in 5 years.

110. Custody of Records -

1. Recorded files will be kept serially arranged in the Sections/Branches 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 at Appendix 23 will be consulted.
2. In the event of transfer of work from one Branch to another, the relevant files also will be transferred, after being listed in duplicate in the form at Appendix 28. One copy of this list will be retained by the Branch taking over the files for its record and the other acknowledged and returned to the Branch transferring them.
3. Files transferred by a Branch to the Departmental record room will be accompanied by a list of files (Appendix 28) 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 Branch 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 29) in which a few pages will be allotted for each future year. Class 'C' files marked for review in a particular year will be entered in the pages earmarked for that year in the register.

5. Files surviving the review undertaken on their attaining the 25th year of life will be stamped prominently as 'transferred to Record Cell ' and retired to the Record Cell. Files transferred to the Record Cell will be accompanied by a list (in triplicate), one copy of which will be returned by the Record Cell, 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 moth-balls will be used.
7. In a computerized environment, it would be useful to maintain list of records in electronic form, in the Departmental Record Room.

111. Review and weeding out 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. 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 Record Cell. 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 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/Branches concerned the files due for review in that year, together with a list of files in the form at Appendix 30, in four lots-in January, April, July and September.
5. Files received for review will be examined by, or under the direction of, the Section Officer or the Branch 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.
6. 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 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 concerned files/documents will not be weeded 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.
7. After review the Record Assistant/Branch 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 30) after completing column 3 thereof.
8. The Departmental record room, under the supervision of Departmental Record Officer (DRO), will:
 - (i) 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 Record Cell;
 - (ii) in the case of other files:
 - (iii) destroy those marked for destruction, after completing column 4 of the list of files (Appendix 28); and

- (iv) 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;
- 9. 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 31.
- 10. Considering the urgency to reduce the volume of records now being retained without any significant need for their retention, the following measures may be taken in the Departments: -
- 11. 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 sent to P & AR in the proforma shown in Appendix 33.
- 12. Each Joint Secretary may review every quarter the state of indexing/recording/review/weeding out of files in his wing and allot time bound tasks towards this and to the members of the staff.
- 13. 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.
- 14. The following manner of Weeding/Destruction of records will be adopted:
 - (i) Routine files/records will be manually torn into small pieces and disposed.
 - (ii) Classified files/records will be destroyed by use of shredder, and.
 - (iii) Secret files/records will also be incinerated after being shredded as per provision under 'Departmental Security Instructions' issued by the Home Department.

112. Records maintained by officers and their personal staff.

Each Department may issue Departmental instructions to regulate the review and weeding out of records maintained by officers and their personal staff.

113. Requisitioning of Records –

- 1. No recorded file will be issued from the Sectional, Departmental or Archival records except against a signed requisition in form prescribed under Public Records Act, 1993 in the case of Archival records and in the form at Appendix 33 in the case of other records.
- 2. Requisitions for files belonging to other Departments and in the custody of the Record Cell will be got endorsed by the Department concerned before they are sent to the Record Cell. If the requisitioned file happens to be a confidential one, the Record Cell 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 duffry or sent to the Departmental Record Room or the Record Cell, 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 Record Cell, 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 Branch/official concerned.
- 7. Files obtained by a Branch 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 Branch concerned. For this purpose, the record room will maintain a simple register for keeping a record of the files issued to the various Branches

each month. A similar register will be maintained by each Branch as a record of files borrowed from it by other Branches.

8. Files obtained by a Department from the Record Cell 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

1. Unauthorized communication of official information
2. Treatment of classified papers
3. Confidential character of notes/files
4. Communication of information to the press
5. Use of restrictive classification for printed reports, etc.

114. Unauthorized communication of official information -

Unless authorized by general or specific orders, no official will communicate to another official or a non-official, any information or document(s) (including electronic document(s)) which has come into his possession in the course of his official duties.

115. Treatment of classified papers -

1. The provisions contained in this manual apply primarily to unclassified papers. In handling classified papers, the official concerned will have to exercise, special care and follow the provision under 'Departmental Security Instructions' issued by the Home Department. 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 Branches not so designated:

- (i) a separate set of registers and other records (e.g., dak register, branch 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
- (ii) 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 Record Cell.

116. 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 the 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/Branch 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.

117. 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 specially authorized in this behalf may give information or be accessible to the representatives of the press. Any other official, if approached by a representative of the press, will direct him 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 Information and Public Relation, should be followed.

118. 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 which it would not be desirable in the public interest to disclose. 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. **(Information should be disclosed as per section ____ of RTI Act, 2005)**
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 doubtful cases.

CHAPTER - XIV: CHECKS ON DELAYS

1. Time limits
2. Handling of Public grievances
3. Weekly Arrear Statement
4. Monthly statement of cases pending disposal for over a month
5. Call Book
6. Monthly progress reports of recording and review of files
7. Watch on disposal of communications received from Members of Parliament/MLA
8. Watch on disposal of communications received from VIPs
9. Monitoring of Court / CAT cases
10. Register of Parliamentary Assurances
11. Check-list of periodical reports
12. Review of periodical reports/returns
13. Responsibility of expeditious disposal of work
14. Checks on delays

119. 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 with him/her for more than seven working days unless higher limits have been prescribed for specific types of cases through departmental instructions. In case of a paper/file remaining with an official for more than the stipulated time limit, an explanation for keeping it shall be recorded in the note portion by him/her. The system of exception reporting will be introduced to monitor the disposal of receipts.

120. Handling of Public/Staff Grievances -

1. All officers of the level of Under Secretary and above will redress public grievances pertaining to the Branches under their charge. They will view public grievances with sympathy and make special efforts to decide on such cases expeditiously.
2. Each Department of the Government will set up Internal Grievance Redressal Machinery for public as well as staff.
3. A senior officer of the level of Joint Secretary or above should be designated as Chairman of Public Grievances. An officer of the level of Under Secretary should be designated as the Public Grievances Officer.
4. The name, designation, room number, telephone number, etc., of the Public Grievances Officer should be displayed prominently at the Reception and some other convenient place in the office building of Department/ Public Sector Undertaking/ Autonomous Body so that the public are made fully aware of it.
5. Every Wednesday of the week should be observed strictly as a meetingless day. The Chairman of Public Grievances and other Public Grievances Officers of the level of Under Secretary and above should remain in their offices during specified hours (10.00 hours to 1300 hours) on every Wednesday to receive and hear grievances of the members of the public.
6. The receptionists, security personnel and peons will be given suitable instructions about the meetingless 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 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 Chairman of Public 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 Department.
9. Each grievance petition will be acknowledged within 15 days. Even if no action is warranted on a petition, a reply intimating the stand of the organisation must be sent to the petitioner.
10. Time limits will be fixed for disposal of various types of public grievances which are handled in the Department with due regard to the minimum time needed for each type, through departmental instructions.
11. While sending replies communicating final decision rejecting a grievance petition, the reason or the rule(s) under which it has been rejected will be communicated to the petitioner alongwith details of the appellate authority wherever applicable.
12. Departments will analyse 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 Personnel & Administrative Reforms may be obtained to study these areas for improvement.
13. Publicity will be given about the grievances redressal machinery in the Departments.
14. The feedback mechanism and the monitoring system for grievances redressal will be strengthened, in view of the time limits fixed as per sub para 9 above. Departments will also ensure timely submission of reports/ returns about the redressal of grievances to the Department of Personnel & Administrative Reforms.
15. 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 Department.

121. 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 34.
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 35 and submit the consolidated statement to the Section Officer on the same day. 4. 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:

- (i) check the consolidated arrear statement for accuracy;
- (ii) scrutinise the statement of receipts/cases which is more than one week old;
- (iii) give his remarks or instructions, where necessary; and
- (iv) submit the statements to the Branch officer.

5. The Branch officer will watch the progress of work in the Branch 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.

122. Monthly statement of cases pending disposal for over a month -

1. Every Branch 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:

- (i) go through the case sheets (Appendix 36) of pending cases for the preceding month and indicate the latest position of each case included in column 2 of the statement;
- (ii) 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 top fixed entries; and
- (iii) hand over the case sheets to the dealing hands concerned.

3. The Dealing hand will:

- (i) scrutinise entries in the first two columns of the case sheets;
- (ii) draw a red line across case sheets of cases that have been finally disposed of or transferred to call book (Appendix 39);
- (iii) complete column 3 of other case sheets; and
- (iv) return the case sheets to the diarist by the 2nd of the month following that to which the statement relates.

4. The Diarist will:

- (i) remove the case sheets of files that have been finally disposed of or transferred to call book for being kept in a separate folder;
- (ii) arrange the remaining case sheets in chronological order of the dates of the commencement of cases, the latest being on top;
- (iii) place the case sheets in a file cover marked 'Monthly statement of cases pending disposal for over a month (Appendix 38);
- (iv) prepare in duplicate a numerical abstract in the form at Appendix 37; and
- (v) 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:

- (i) scrutinize the case sheets and, where necessary, add his remarks;
- (ii) check the numerical abstract for accuracy;
- (iii) 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
- (iv) send the second copy of the numerical abstract to the internal work study unit.

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:

- (i) add such remarks as he would like to make about latest position of a case;
- (ii) 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 internal work study unit will:

- (i) post the figures in the numerical abstract, in the form at Appendix 37 and return the abstract to the branch concerned;
- (ii) prepare the consolidated statement for the Department as a whole by totalling the columns vertically in the form at Appendix 38;
- (iii) analyse the trend of disposal of cases; and
- (iv) bring to the notice of the O&M officer and the Secretary, any significant trend.

123. Call Book -

1. If a current case has reached a stage when no action can or need be taken to expedite its disposal for at least 6 months (e.g., cases held up in Law Courts), it may be transferred to the call book (Appendix 40) with the approval of an officer not below the level of Branch Officer.

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 123 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 scrutinise 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 once 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.

124. 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 40 and 41 and submit them, together with the following records, to the Section Officer:

- (i) register for watching the progress of recording (Appendix 23); and
- (ii) lists of files received for review (Appendix 30);

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 internal work study unit.

3. The internal work study unit will:

- (i) post the figures in the forms at Appendices 42 and 43 and return the reports to the Branch concerned;
- (ii) prepare the consolidated statement for the Department as a whole by vertically totalling the columns in the form at Appendices 42 and 43;
- (iii) watch the progress of recording and review work generally; and
- (iv) bring to the notice of the designated O & M officer and the Secretary, any significant trends in the matter.

125. Watch on disposal of communications received from Members of Parliament/MLAs -

1. The personal branch of each Joint Secretary will maintain a separate register of communications received from Members of Parliament in the form given in Appendix 44. 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., '25/JS/(P)MP/MLA' 01.12.2009.
2. To keep a special watch on speedy disposal of communications received from Members of Parliament/MLA, each Branch will:
 - (i) maintain a register as in form at Appendix 45; and
 - (ii) mark out prominently those communications finally disposed of by rounding off the serial numbers of the register in red ink.
3. If for any reason an M.P's/ MLA's letter is received by a Branch without being registered in the personal branch of the Joint Secretary, immediate steps will be taken to get it registered there.
4. On the first working day of each month, each Branch will submit the register along with the report in the form at Appendix 46 to the Under Secretary/Deputy Secretary. The report, with the remarks of Under Secretary/Deputy Secretary, will be submitted to the Joint-Secretary and register will be returned to the Branch.
5. The personal branch of the Joint Secretary will check whether all the communications entered in its register figure in the reports sent by the Branches. If any discrepancy is found, it should be reconciled. Thereafter, the report will be submitted to the Joint Secretary for scrutiny and for such other action as he may consider appropriate.
6. Departments may, through departmental instructions, include additional columns in the forms at Appendices 44, 45 and 46 to suit local needs.

126. Watch on disposal of communications received from VIPs-

A special watch on communications received from VIPs will be kept along the lines mentioned in para 125.

127. Monitoring of Court/CAT cases and implementation of Court/CAT Orders: -

1. The Personal branch of each Joint 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 47. 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

01.12.2009

2. To keep a watch on status of Implementation of Court/CAT judgments/orders, each Branch will:
 - (i) maintain a register as in form at Appendix 48; and
 - (ii) mark out prominently those Court/CAT cases finally implemented 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 branch without being registered in the personal section of the Joint Secretary, immediate steps will be taken to get it registered there.
4. On the 1st & 15th day of each month, each Branch will submit the register along with the reports in the form at Appendices 47 to 49 to the Under Secretary/Deputy Secretary. The report, with the remarks of Under Secretary/Deputy Secretary, will be submitted to the Joint-Secretary and register will be returned to the Branch.
5. The personal branch of the Joint Secretary will check whether all the Court/CAT cases entered in its register figure in the reports sent by the Branches. If any discrepancy is found, it should be reconciled. Thereafter, the report will be submitted to the Joint Secretary for scrutiny and for such other action as he may consider appropriate.

6. Departments may through departmental instructions include additional columns in the forms at Appendices 47, 48 and 49 to suit local needs.

128. Register of Assembly Assurances -

1. Each Branch in a Department will keep a record in the form at Appendix 50 of Assurances given by a Minister to the Legislative Assembly, whether in replies to questions or in the course of discussions on Bills, Resolutions and other Motions. A separate register will be maintained and entries therein will be made session-wise.

(a) The Section Officer will:

- (i) scrutinize the registers once a week;
- (ii) ensure that necessary follow-up action is in fact being taken; and
- (iii) 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.

2. The Branch officer will keep the higher officers and the Minister informed of the progress made in the implementation of promises and undertaking 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.

129. Check-list of periodical reports -

1. To ensure timely receipt, preparation and dispatch of periodical reports, each Branch will maintain two check-lists, one for incoming reports and the other for outgoing reports, in the forms at Appendices 51 and 52. 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 next week or so. After a periodical report has been received or dispatched, the relevant entry in the date column of the appropriate check-list will be rounded off in red ink.

130. Review of periodical reports/returns -

1. All periodical reports and returns relating to each Branch will be reviewed at the level of Joint Secretary or above every three years with the following objectives;

- (i) to eliminate those that are unnecessary;
- (ii) to redesign those that do not provide information/data in usable form;
- (iii) to rationalise/simplify the essential ones by combining two or more of them when possible; and
- (iv) 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 Branch to the Internal Works Study Unit by the 7th of April.

3. The Internal Works Study Unit will consolidate the reports received from the various sections and send a report covering the Department as a whole, to the Department of Personnel & Administrative Reforms by the 30th of April as Appendix 52.

131. 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 Branch diary and the Assistant's diaries, and take such other action as may be necessary to ensure;

- (i) that no paper or file has been overlooked; and

- (ii) that no receipt or case 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.

132. Checks on delays -

The provisions of paragraphs 119 to 131 will also govern the Branch pattern of functioning.

CHAPTER - XV: INSPECTIONS

1. Purpose and periodicity
2. Inspecting authorities
3. Inspection programme
4. Inspection report
5. Supplementary Inspections
6. Periodic Inspection by Supervisory Officer

133. Purpose and periodicity -

1. Each Section/Branch in the Department will be inspected once a year to ascertain to what extent the provisions of this manual and the instruction 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. Questionnaires at Appendices 53 and 54 will be used for this purpose.
2. The Record Room in the Department will be inspected in association with the Record Cell once a year. Questionnaire at Appendix 55 will be used for this purpose.
3. In addition to the information mentioned at sub-paras (1) and (2), the Administration/ Establishment section will also generate information in the form given at Appendix 56 which will be updated monthly and will be used by the Department as a Tool of Management Information System.
4. The information generated in the form at Appendices 53 and 54 for the entire Department will be consolidated by the Internal Work Study Unit. The information culled from the above will then be submitted to the Secretary of the Department in the form given at Appendix _____ (Executive Summary) every quarter to facilitate monitoring of key issues.
5. Department of Personnel & Administrative Reforms 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 redressal, Audit and O&M for mutual benefit.

134. Inspecting authorities -

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

135. Inspection programme -

1. The Internal Work Study Unit (IWSU) will draw up in advance every year, for the approval of the Secretary, a monthly programme of inspection of Sections/Branch 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/Branches to be inspected by the officer in charge of the Internal Work Study Unit.

3. The Internal Work Study Unit will also arrange for a joint inspection of record room by an officer of the Department and a representative of the Record Cell, besides the officer in charge of IWSU.
4. At the end of every quarter, the Internal Work Study Unit will submit to the Secretary, a report indicating whether the programme of inspections for the previous quarter was carried out.

136. 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/Branch functionary concerned. In the case of record room, a copy of the inspection report will also be endorsed to the Record Cell.
2. The Section Officer/Branch functionary will take necessary action to rectify the defects pointed out in the inspection report and submit a compliance report to his superior 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 to the notice of the Department of Personnel & Administrative Reforms by the 30th April each year:
 - (i) number of branches/units inspected during the preceding financial year;
 - (ii) name of the attached/ subordinate offices inspected;
 - (iii) deficiencies noticed in the existing procedures;
 - (iv) suggestions received for improvement of procedures common to all Departments, together with his comments thereon; and
 - (v) any other points of general application emerging from the inspections.

137. Supplementary inspection -

1. Apart from the annual general inspection, departmental instructions may prescribe supplementary inspections for all or any of the Sections/Branches, 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.

138. Periodic inspections by supervisory officers -

The inspections as provided in paras 133 to 137 should be supplemented by periodic inspections by the Branch Officer/Under Secretary/Deputy Secretary/Joint Secretary who is responsible for the effective functioning of the Sections/Branches in his charge.

CHAPTER - XVI: OFFICE AUTOMATION

1. Purpose of office automation
2. Areas amenable to automation
3. Computer and peripherals
4. Electronic Typewriter
5. Photocopier
6. Dictaphone
7. Micro-filming of Records
8. Internal communication aids
9. External communication aids

10. Paper binding equipment
11. Document shredder
12. Risograph
13. Overhead projector
14. Video conferencing equipment.

139. Purpose of office automation -

Use of modern office equipment in disposal of business in the Government Departments is intended to facilitate faster processing and delivery of information, accurate analysis of facts and figures, higher efficiency and productivity, and elimination of fatigue arising from performing repetitive jobs manually.

140. Areas amenable to automation -

The following areas of office work are suitable for automation:

- (i) storage and retrieval of information;
- (ii) processing and delivery of information;
- (iii) document creation and duplication; and
- (iv) faster communication.

141. Computer and peripherals such as Printer, Scanner, Server, CD writer, ISDN server, etc-

1. A computer may be used for storing, retrieving and processing of large quantities of information of all types in a fast and accurate manner. It facilitates quick updating and transmitting of information.
2. Computers can be broadly classified into two categories viz., mainframes, and personal computers. The most appropriate computing system for a Department will be decided in consultation with the National Informatics Centre (NIC) under the Department of Information Technology.

142. Electronic Typewriter -

An electronic typewriter can be used for storing, altering and rearranging in a desired manner, pages of text subject to display and memory limitations. This will be replaced increasingly by personal computers.

143. Photocopier -

A photocopier produces copies of any document on plain paper faster than cyclostyling.

As photocopying is relatively expensive, it is advisable to use the facility only when the number of copies needed does not exceed fifty. However, monitoring and supervision of the use of the photocopying machine should be the responsibility of Branch Officer under whose charge the machine is placed.

144. Dictaphone -

This is a compact machine which enables an officer to record dictation at his convenience without having to wait for his stenographer. The cassette containing the dictated message can be handed over later to the stenographer who will type the matter straightaway without taking it down in long or shorthand first.

145. Microfilming of records -

A microfilm is a largely reduced photographic image of a document which can be magnified to any desired degree in order to be read or printed. It is amenable to computer aided retrieval systems. Microfilming of records can bring about nearly 98 percent savings in the space occupied by original records, besides assuring their longevity. It may be used in offices where a large number of records are required to be maintained permanently.

146.(a) Internal Communication Aids -

Electronic Private Automatic Exchange (EPAX) provides fast and efficient internal communication facility and helps in reducing the frequent movement of persons and files within the office. In computerized offices Local Area Network (LAN) is another means of faster internal communication.

146. (b) External Communication Aids -

Electronic Mail (E-Mail) facility which works through internet and FAX facility which works through telephone lines, provide quick and reliable external communication and help in reducing paper work as well as delays involved in postal communication.

147. Paper Binding Equipment -

Paper collators, cutting and stitching machines, and binding machines are some of the devices which save time and labour involved in activities such as set-making, stitching of files and reports.

148. Document shredder -

This is a machine to dispose off unwanted records by shredding.

149. Risograph –

This may be used when duplication of material is to be done in large numbers and the output quality is higher than cyclostyling.

150. Overhead projector, Slide projector, LCD projector, Video projection system

These machines are used for making presentations to large gatherings.

151. Video Conferencing Equipment -

This machine is used to hold conferences with the participants being at different geographical places through an ISDN line.

CHAPTER-XVII: ELECTRONICALLY SUPPORTED OFFICE PROCEDURE SYSTEM

1. Need for electronic support system
2. Procedures to be followed in an electronically supported System

152. Need for electronic support system -

1. With a gradual shift to automated environment in Secretariat offices, there exists a case for adopting a completely electronic support system incorporating the basic procedures enshrined in the Manual by any Department, provided the purpose behind the procedures are fulfilled. The system will also ensure easy storage, processing and quick retrieval of information at any point of time by all relevant functionaries, thereby ensuring increase in overall efficiency and productivity of that Department.

2. The system will operate with the help of computer hardware installed with all sections and personal staff, in addition to the officers, and supported by matching software, the availability of Local Area Network (intranet) being a prerequisite. All personnel required to operate these computers will be trained to ensure hundred percent data entry, to keep daily backups, generating periodic reports, taking hard copies where necessary, and reviewing the progress of working.

153. Procedure to be followed in an electronically supported system -

The software for supporting office procedures will preferably be a simple menu driven system, having in-built checks, which gives administrative support to a wide range of

activities to address the requirement of a variety of users. These features of the software are discussed in the following paragraphs:-

1. **Diarising of Receipts**- Each fresh receipt will be diarised through the computer either by the Central Registry or by the personal staff of officers resulting in a unique diary number, wherever it is done in the office. It will then be recorded on the body of the receipt.
2. **Movement of Receipts**- Whenever a diarised receipt travels, the movement will need to be recorded electronically by the relevant official, whether the Central Registry, the section handling the receipt, or the personal staff of the officer, to facilitate its subsequent tracking.
3. **Updating Receipt status as and when it changes**- The status of the receipt will need to be constantly updated and electronically recorded by each official handling it at every stage.
4. **Linking the Receipt to a file**- When the receipt reaches the dealing hand in the Branch it will be ascertained whether a file on the subject already exists. If so, the receipt will be placed on the relevant file. If not, a fresh file will be opened and the receipt placed on it. In either case, the dealing hand will furnish the status to the diarist who will then reflect this action electronically by recording the file number at the place provided for it against each receipt.
5. **Opening of new files**- When the dealing hand indicates the need for a new file to be opened against any receipt, the diarist will electronically enter the data and the file name and generate a unique file number through the computer which will be also recorded on the body of the file.
6. **Recording Movement of Files**- Whenever a file travels, whether within the Department or to/from another Department, its movement will be electronically recorded to reflect its current status.
7. **Final Disposal of Files**- Once action on a file is complete; the file will be marked 'closed' on the computer. This system will ensure that all the linked receipts are closed automatically. If the file needs to be reviewed at a latter date, the month and year of review will be recorded on the computer, so that a reminder is available when it is due.
8. **Linking and Delinking of Files**- If some files need to be linked temporarily with main file, the system will provide a facility for the same. For all subsequent movements of the main file, the system will display all linked files and depending on the requirement the files will be kept linked or may be linked.
9. **Review and Monitoring the pending Files/ Receipts**- The system will incorporate a mechanism for review and monitoring by the officers concerned (or by his superior) of the status of disposal of a receipt or a file. This review and monitoring will be undertaken periodically by the supervisory officer, and necessary follow-up action on instructions recorded will be pursued to ensure speedy disposal.
10. **Timely Disposal of Files/Receipts**- As far as possible, the time limits laid down for disposal of cases will be ensured. Any case exceeding the time limits will be treated as priority and all efforts will be made for its early disposal. Time bound reminders can also be generated automatically.
11. **Dispatching the letters/files through Central Registry or directly**- Before dispatch, any letter or file will need to be diarised electronically whether at the Central Registry, the Section, or by the personal staff of the officer. The dispatch details will also be electronically recorded.
12. **Retrieval of information through self-query**- The electronic query system allows for the easy retrieval of information whenever required. The system should, therefore, incorporate a range of standard queries.
13. **Automatic generation of Reports**- The Pendency Reviews and Queried Information will lend itself readily to Report Form and will be automatically generated electronically. If necessary hard copies of these Reports will also be taken for records.
14. **Precedent book entry**- The software may incorporate the provision for a precedent book option. The files having precedence value and important policy issues, after getting closed will be entered in the precedent book. The decision taken will be fed in the system

along with the decision date. This would help in making policy decisions. Also the relevant file numbers and where the file may be accessed may be indicated.

15. Attaching catchwords with files- Files could be assigned some key words to make subsequent retrievals easy. Key words are for identifying a file on the basis of a few relevant words pertaining to the file. The key words can be used through the query system to access and retrieve file when required.

16. Overall Records Management- In the electronic system complete data will be available for further analysis and records management. Indexing procedure will be simple and a facility of free text search on all the textual fields (name, subject, letter reference number etc) will facilitate ease of operation. It will also be easily integrated with an electronic records storage, archival and retrieval system. The package can provide for creating, processing and recording of files in a total computer environment.

CHAPTER - XVIII: MISCELLANEOUS

1. Annual Action Plan
2. Citizen's/Client's Charter
3. Official Language for purposes of Government work
4. Departmental instructions
5. Compilation/consolidation of orders/instructions
6. Review of Rules, Regulations and Manuals
7. Maintenance/transfer of records in the personal offices of Ministers
8. Review of Forms & Procedures
9. Modernization of offices
10. Procedure for processing reports of Commissions/Committees and other expert bodies
11. Preparation of Induction material
12. Composition of functions of O&M/IWS Units in the Ministries/Departments

154. Annual Action Plan

1. **Formulation** -In order that the programmes and projects undertaken by a Department are implemented in a systematic manner, 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 performed during the ensuing financial year.

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 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.

155. Citizen's/Client's Charter

Citizen's/Client's Charter is a document which represents a systematic effort to focus on the commitment of the Organisation towards its Citizens/Clients in respect of Standard of Services, Information, Choice and Consultation, Non-discrimination and Accessibility, Grievances Redressal, Courtesy and Value for Money. This also includes expectations of the Organisation from the Citizen/Clients for fulfilling towards the commitment of the Organisation.

A Charter comprises of the following components -

- (i) Vision and Mission statement;
- (ii) Details of Business transacted by the Organisation;
- (iii) Details of Customers/Clients;

- (iv) Statement of services provided to each citizen/client group separately;
- (v) Details of Grievances Redressal Mechanism and how to access the same; and
- (vi) Expectations from the citizens/clients.
- (vii) Activities relating to the Charters as detailed below will be included in the Annual Report of the Department.
- (viii) Action taken to formulate the Charter for the Department and its subordinate formations;
- (ix) Action taken to implement the Charter;
- (x) Details of Training Programmes, Workshops, etc. held for proper implementation of Charter;
- (xi) Details of publicity efforts made and awareness campaigns organized on Charter for the citizens/Clients;
- (xii) Details of internal and external evaluation of implementation of Charter in the Organisation and assessment of the level of satisfaction among Citizens/Clients; and
- (xiii) Details of revisions made in Charter on the basis of internal and external review.

156. 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 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 various provisions of the Manual which visualize issue of departmental instructions are listed in Appendix 58.
2. Each Branch may devise suitable arrangements, including inspections to ensure compliance with departmental instructions issued by it.

157. Compilation/consolidation of orders/instructions: -

1. In April every year, each Branch 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 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 Internal Work Study Unit.
4. Internal Work Study Unit will send the report on the progress made to the Department of Personnel & Administrative Reforms by 30th of April every year.

158. Review of rules, regulations and manuals:-

1. Every Branch will maintain an up to date list of rules, regulations and manuals administered by it and take action for their review, every three years.
2. Internal Work Study Unit will report the progress made in review of rules, regulations and manuals to the Department of Personnel & Administrative Reforms by the 30th of April every year.

159. 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 by the personal offices of Ministers:
 - (i) A diary register in the form at Appendix 59 to enter particulars of reference received in the office and also to record their disposal;
 - (ii) A dispatch register in the form at Appendix 60 to show the letters/notes issued from the personal offices;
 - (iii) File Movement Diary in the form at Appendix 61; 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, 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 register, etc.

- (b) Procedure for transfer of records/papers when Ministers demit office: -
 - (i) The instructions laid down by the Cabinet Cell in the 'Rules of Procedure in regard to the Proceedings of the Cabinet' will be followed so far as transfers of records pertaining to Cabinet meetings are concerned. As regards other classified documents and papers, the procedure prescribed in Departmental Security Instructions issued by the Home Department 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 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.

- (c) 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 as and when they are no longer required, with the approval of Secretary, so as to ensure that unnecessary papers do not accumulate.
 - (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 Branch will, however, check that all the records are there in the almirah(s) as mentioned in the list.

Miscellaneous -

1. The personal section shall prepare at the end of every month a list of files pending with the Minister which will be submitted to PS who will suitably remind the Minister for their disposal.
2. 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 61. 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.

3. It shall be the specific responsibility of the Private Secretary or whosoever may be the senior most officer in the Personal Office of the Minister to ensure that the instructions are observed.

160. Review of forms and procedures -

It is necessary to set up a mechanism for review of measures already taken, at short periodic intervals with an eye to the possibility of further simplifying forms and procedures so as to make them more transparent to those who are involved in its use and ensure better enforcement of accountability. Unnecessary or avoidable obfuscation of issues and processes through which decisions are taken should be avoided.

161. Procedure for processing reports of Commissions/Committees and other expert Bodies -

1. 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 the Department of Personnel & Administrative Reforms, the procedure given in the Appendix 62 should be strictly followed.

2. The main feature of this procedure is the appointment of an "Empowered Committee" with a representative on it from each of the Department concerned which will: -

- (i) 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;
- (ii) take firm decisions;
- (iii) submit concrete proposals for the Minister's/Cabinet's approval where necessary; and
- (iv) ensure that the processing of the report is completed and firm decisions are taken within 3 months of its receipt as far as possible.

162. Preparation of Induction Material -

Every Department should prepare 'induction material' under the guidance of the Joint Secretary of administration for the use of not only their officers but for the convenience of other Departments also in making inter-departmental references. The 'induction material' should clearly spell out the functions and structure of the organisation, detailed work distribution among various divisions and sections with their names, room numbers, location, officers incharge, telephone numbers, etc. The 'induction material' should be revised at periodic intervals so as to keep it up-to-date.

163. Composition and functions of O&M/IWS Units in the Departments

1. While Central Organisation like Department of Personnel & Administrative Reforms can provide initiative, information, advice, and so on, the main task of evolving and implementing reform measures will have to continue to be the responsibility of O&M/IWS Unit within Departments. Therefore, if improvements in administration are to be effected, essential pre-requisite will be the strengthening of the O&M Units in the Departments, and also in the attached/subordinate offices and public sector undertakings/autonomous bodies.

2. For the larger Departments/Public Sector Undertakings/Autonomous Bodies (having 300 or more employees) ideally there should be full time staff of one Under Secretary or Senior Analyst, one Section Officer or Junior Analyst, one Research Assistant or Assistant and one Steno, headed by a part time Under Secretary giving at least 50% of his time to this work. For other Departments etc., the minimum size should be full time staff of one Section Officer or Junior Analyst, one Research Assistant or Assistant and one Steno headed by a part time Deputy Secretary/Under Secretary giving at least 50% of his time to O & M activities/work studies. In addition clerical assistance may be provided for secretarial work. Efforts should be made to strengthen the O & M Unit by reallocation of work in the different units with a view to sparing the required staff for O&M work.

3. An illustrative list of functions to be performed by IWS/O&M Units is given in Appendix 63. The Departments and Attached/Subordinate Offices/Public Sector Undertakings/ Autonomous Bodies should not assign such functions to these units with which they are not concerned. They should also try to computerize work relating to O & M functions for better monitoring and send a report about O&M activities annually to Department of Personnel & Administrative Reforms in the proforma given at Appendix 64. The Annual Report will pertain to the period from 1st April to 31st March of the year and it should be sent to Department of Personnel & Administrative Reforms by 30th of April of the following year.

4. For O&M studies Departments they will be guided by the Department of Personnel & Administrative Reforms. 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 Finance.

APPENDICES

APPENDIX 1

Dak Register (para 14)

Date

Sl.No	Particulars of dak received		From whom received	To whom sent	Remarks
	Number	Date			
<i>1</i>	<i>2</i>	<i>3</i>	<i>4</i>	<i>5</i>	<i>6</i>
1					
2					
3					
4					
5					

APPENDIX 2

Invoice vide (para 15)

Department

Branch

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		
<i>1</i>	<i>2</i>	<i>3</i>	<i>4</i>	<i>5</i>	<i>6</i>
1					
2					
3					
4					
5					

APPENDIX 3

Branch Diary for Receipts
[Vide para 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		
<i>1</i>	<i>2</i>	<i>3</i>	<i>4</i>	<i>5</i>	<i>6</i>	<i>7</i>	<i>8</i>	<i>9</i>	<i>10</i>	<i>11</i>	<i>12</i>
1											
2											
3											

INSTRUCTIONS

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

APPENDIX 4

Personal Branch Diary
[Vide para 18(1)]

Sl. No.	Diary Number	Number and date of receipt		From whom received	Brief subject	To whom marked	Remarks
		Number	Date				
<i>1</i>	<i>2</i>	<i>3</i>	<i>4</i>	<i>5</i>	<i>6</i>	<i>7</i>	<i>8</i>
1							
2							
3							

INSTRUCTIONS

- Column 1 a running S.No. will be given datewise.
- Columns 2 to 6 will be filled at the stage of diarising, *i.e.* before receipts are sent to officers.
- Column 7 will be filled after the receipts are seen and passed by the officers.
- Subsequent movement of papers, when received back from higher officers, will also be marked in column 7 after striking off the previous entry.
- Important instructions recorded by the officers will be briefly entered in column 8.

APPENDIX 5

Movement Slip

[Vide Para 20(3)]

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

APPENDIX 6

Assistant's Diary

[Vide Para 23(2)]

S.No	Diary No. or File No.	Subject	File No.	Date of submission
1				
2				
3				

INSTRUCTIONS

1. Column 2 should show `diary number' or `file number' according as the paper marked to a dealing hand is a receipt or a come-back case.
2. Column 4 need be filled only in respect of diary numbers.
3. The date on which receipts/files are received by the dealing hand should be entered in red ink across the page above the entries to be made for the day.

APPENDIX 7

STYLE IN NOTES AND DRAFTS

The style 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 other 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" it 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 in 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” is means “then”. “By the time that” means “when”. Always 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) i 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. "It 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 there 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". Avoid 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 favourite bit of hackneyed padding. It means nothing at all. "In returning herewith" a favourite but inappropriate type of opening phrases. 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 of 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 enquired/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

1. FORMAT AND PRESENTATION OF THE NOTE:

1. The copies of the Notes **should be made on A4 size paper;**
2. (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 of 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.
3. The Note should be ***security graded ‘Secret’ or ‘Top Secret’, as require.*** 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;
4. 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 Department should be indicated;
5. The words “***Note for the Cabinet***” or “***Note for Cabinet Committee/GOM on _____***”, as the case may be, should appear below the name of Department on the first page;
6. 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;
7. 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;

8. All the pages in the Note, including 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;
9. ***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.
10. 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 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 of target groups, etc.); and
 - (c) Time-frame and manner of implementation of the decision and its reporting to the Cabinet Secretariat.
11. It should be indicated at the end of the body of the note (last para) that the proposals made therein have the approval of the Minister-in-charge of the sponsoring Department;
(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).
12. The note as well as Statement of Implementation Schedule should ***be signed by an officer not below the rank of Joint Secretary*** in the Department sponsoring the note;
13. Note should be properly tagged or stapled. **Spiral/hard binding of the note should be avoided;**
14. 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;***
15. **The telephone of the officer forwarding the note should invariably be indicated in the forwarding memo.**

II. **CONTENTS:**

16. Special attention needs to be paid in regard to the drafting quality of the notes. ***The main notes should be self-contained, lucid, straight forward 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.

17. 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.
18. ***The approval para should be self-contained*** and it should indicate 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 paras should be avoided;***
19. ***The names as well as the observations of the 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.
20. 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:**

21. Number of copies of the notes required to be sent to Cabinet Secretariat are indicated below:-

Note for consideration of the <i>Cabinet</i>	25 copies plus additional copies equivalent to the number of Departments consulted in the matter.
Notes for <i>Cabinet Committees</i>	15 copies
<i>Groups of Ministers</i>	25 copies.

22. ***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 Committees/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 mention in the forwarding communication; and

(b) ***In the event there has been a lapse of 2 weeks between the date of preparation of the brief and the date on which the item is taken up in the Cabinet meeting, and updated brief inter alia indicating subsequent developments, if any, should be handed over the Cabinet Secretariat*** on the date of the meeting for taking further necessary action. In case of any significant development, and updated brief may be given even if the gap between the preparation of the brief and the date of the meeting is less than 2 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 Assembly 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:

V(A) Normal Procedure:

25. The sponsoring Department should consult all the 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 Departments are properly brought out in the note. The views of consulted 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 Departments, the Departments should categorically state that the same have the concurrence of their Minister-in-charge. The sponsoring Department, on their part, need to invariably indicate in the final notes that the views of the consulted Departments brought out therein have the concurrence of the Minister-in-charge.

26. *When the differing Department's remarks are reproduced in- extenso in the final Note, no second reference to the differing Departments concern is necessary.* However, this is subject to the proviso that if any addition is made to the Note by the sponsoring Department to rebut the arguments advanced against its proposal, it should be shown to the differing Departments. The obligation, would, however, be limited only to showing the paper and not to securing the consent the views expressed by the sponsoring Department in rebuttal. In such cases, the fact that the note, in its final form, has been shown to the differing 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 Departments concerned have not been received and they may be obtained in the meetings would normally be and unacceptable departure from the rules and instruction.* The 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;

V(b) Urgent and time bound proposals:

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

- (a) The Departments should furnish their comments/concurrence on Cabinet proposals to the administrative Department *within 15 (fifteen) days of receipt of the same;*
- (b) In order to ensure that communications seeking comments/concurrence of the Departments concerned on Cabinet proposals received due attention at the appropriate level, it has to be ensured by the administrative 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 Departments consulted should indicated this position immediately with reasons to the administrative Department and the Cabinet Secretariat;
- (d) In case the comments/concurrence are not communicated by the 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 d.o. 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 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 Departments 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 difference 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.

APPENDIX- 7.1(a)

SPECIMEN FORMAT OF THE MAIN NOTE

SECRET

No. _____

DEPARTMENT OF _____

Kohima, 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 Departments consulted on the proposal(s) should be indicated in a separate paragraph. Their views together with the comments of administrative 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 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_____

APPENDIX-7.1(b)
SPECIMEN FORMAT FOR THE STATEMENT OF
IMPLEMENTATION SCHEDULE

APPENDIX

SECRET

No. _____

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_____

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 preparations 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 by the Departments.
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 inform 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:-
 - (i) Cases pursuant to a specific direction of Chief Minister/Cabinet/Cabinet Committee/GOM.
 - (ii) Cases specifically referred to COS for discussion.
 - (iii) Cases where there is/are reconciled difference(s) opinion between the sponsoring Department and the Departments consulted at official level and where discussion in COS would be of help in resolving of narrowing down the differences.
 - (iv) Cases of very urgent nature requiring direction on policy or course of action within a prescribed time limit regarding which a consensus among the Departments concerned is considered necessary.

- (v) Cases where decisions taken in a particular Department could have repercussions on matters dealt with in other Departments concerned and a discussions in COS for evolving a coordinated approach is necessary;
- (vi) Cases in which a Secretary of a Department desires advice of COS on a subject assigned to his charge; and
- (vii) 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:-
- (i) Those cases which concern one or two Departments only and where the issues can be resolved bilaterally;
 - (ii) 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;
 - (iii) Cases of routine nature relating to creation of posts etc;
 - (iv) Cases involving large financial allocation in which Finance Department has not concurred.

Preparation of Notes for COS

6. The essential procedural requirements which should be compiled for the preparation and submission of Notes for COS are as under:-
- (i) The notes should bear the name of the 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 Department;
 - (ii) 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 page of the note;
 - (iii) A brief subject heading indicative of the proposals contained in the paper be given in all cases;
 - (iv) 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:-
- (i) 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 or;
 - (ii) The last para of the note must indicate that the note has the approval of the Secretary of the sponsoring Department;
 - (iii) The note must be signed by an officer of the rank of Under Secretary or above;

- (iv) 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 Department;
- (v) In all cases, the 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 Departments 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 opportunities to the Department concerned to list their objections, and reservations, if any. The 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;

- (vi) Paragraphs of the note must be numbered;
 - (vii) 25 copies of the note should be sent to the Cabinet Secretariat;
 - (viii) Notes should be sent well in advance so that there is sufficient time to convene the meetings; and
 - (ix) 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 handing and safe custody.
9. These instructions may be strictly following /adhered to by all concerned.

APPENDIX-7.3

[vide paragraph 31(16)]

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

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

1. 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 required 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 Chief 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 Legislative Assembly, the prior approval of Chief Minister to their inclusion must be obtained.

2. 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 Legislative Assembly in the proposed Commission/Committee, the prior approval of the Chief Minister is obtained.

(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 proposal 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 Electronic 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.

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

Office Order

**APPENDIX 9
(VIDE PARA 49(10))**

Specimen - I

No

GOVERNMENT OF INDIA
(Bharat Sarkar)

Department of

(..... Vibhag)

New Delhi, the 2000

OFFICE ORDER

Shri Y.X.Z., a permanent lower division clerk in this department, is granted earned leave for days from to With permission to prefix A public holiday, 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 Nagaland

Copy to :

1. Office order file
2. Cashier
3. Section concerned
4. Shri X.Y.Z. L.D.C.

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 authorised 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.

APPENDIX 10--contd.

*List of officials authorised 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 authorised for use by any particular officer may be exercised by that Officer's Immediate deputy (and no one else) when the authorised 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 bookings 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)].

APPENDIX 11

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

[Vide para 50(11)]

A. Composition

Sl.No	Part	Branch	Type of matter to be published

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.

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.

APPENDIX 12

Typists' Diary
[Vide para 80(2)]

Date	Issue diary No. of draft	Date on which typed
1	2	3
1		
2		
3		
4		
5		

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 dated initials.

APPENDIX 13

Issue Diary
(*Vide para 81*)

S.No.	Draft No.	Typist to whom marked	Date on which returned to the section
<i>1</i>	<i>2</i>	<i>3</i>	<i>4</i>
1			
2			
3			
4			
5			

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 1/3/96-O & M(F).

APPENDIX 14

Specimen form for authentication of communications for issue
(*Vide 83*)

No. 20/3/87-Letter 1

Government of Nagaland
Department of

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 Kohima on to absent themselves from offices between hours and hours. They should take positions round about the Secretariat Plaza 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 Home Department etc., in Nagaland Civil Secretariat may be informed accordingly.

Sd/- A.B.C.
Deputy Secretary to the Govt. of Nagaland

To
All Departments of the Government of Nagaland, etc.

APPENDIX 15

Despatch register for postal communications only

[Vide para 82(2)]

Number

Date

S.No.	Number of communication	Addressee	Value of stamps affixed
<i>1</i>	<i>2</i>	<i>3</i>	<i>4</i>
1			
2			
3			
4			
5			

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 16

Revised procedure for maintenance of service postage stamp account

[Vide para _____]

- (1) All communications intended to be sent by post will be placed in addressed envelopes, after observing the provisions of para 79(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 groups 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 80(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 84(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 in charge 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.
- (6) All communications intended to be sent by post will be placed in addressed envelopes, after observing the provisions of para 79(5).
- (7) After affixing postage stamps of the requisite value the envelopes would be sorted out into groups with the same value of stamps.
- (8) The total number of envelopes in each groups 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 80(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 84(1).

(9) 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 in charge would also make a monthly check of this register.

(10) 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 16

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
1	2.00	Dated the 30 th June, 2001		
2	3.00			
3	5.00	40	80.00	
4	*Registered letters	10	30.00	
5	*Insured letters	4	20.00	
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 17

Stamps Account Register

[Vide para 89]

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		Dispatcher	Section Officer
1	2	3	4	5	6	7
1						
2						
3						

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) Dispatch register for telegrams.
 - (b) Dispatch register for inland post, and
 - (c) Postal registration books [Vide para 80(4)].

APPENDIX 18
Branch Despatch Register
[Vide para 90]

Date

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

APPENDIX 19

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

[Vide para 90 (2) (III)]

Department of Week ending

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

APPENDIX 20

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

[Vide para 92(2) (V)]

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 of 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, organisations 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 standardised 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 as 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 'Fort', 'Sd', 'Ppn', etc., respectively.

APPENDIX 20 – contd.

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 heads or secondary head could then be identified as in 8 and 9 above.

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 2-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.

APPENDIX 20 – contd.

14. *Example.* – A file opened by Labour Relations I section during 1996 relating to a strike in colliery 'X' may have IV 13024/5/96/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, '96' 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 17012/2/96-FII where 'F' represents the group head 'Foreigners', '17' the primary head 'visa/endorsement', 'O' the separator, '12' the secondary head 'French' '2' the serial number of the file opened during the year under that head, '96' 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-19012/3/96-FIV here 'Frt' would denote the basic head 'fertilisers' and the other symbols would be as explained in the above two examples.

14. *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.

15. *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.

APPENDIX 21
File Register [Vide para 95]

Standard Head No
Standard Heading

File No.	Subject	Date of		Classification (and year of review)	Remarks
		Opening	Closing		
<i>1</i>	<i>2</i>	<i>3</i>	<i>4</i>	<i>5</i>	<i>6</i>
1					
2					
3					

Instructions

1. Entries in columns 1-3 will be made at the time of opening files and those in columns 4 and 5 at the time of recording and reviewing them.
2. Year of review in column 5 is required to be indicated only in the case of class 'C' files.
3. If as a result of the review, a file is marked for further retention, the year of the next review will be worked out and indicated in column 5.
4. When a file is transferred to the departmental record room or to another section department, the fact of such transfer and the relevant date, will be indicated in column 6 – e.g.

D.R.R. M.H.A

6-1-2001 16-2-2001

Similarly when the file is marked for destruction, an entry regarding the fact and the year of destruction will be made in this column.

APPENDIX 22
File Movement Register

[Vide para 98(i)

File No.

SUBJECT : _____

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

APPENDIX 23

*Register for watching the progress of recording
[Vide para 102]*

Section

Month and year

Files marked for record during the month		Files recorded during the month	
Sl.No.	File No.	Sl.No.	File No.
1	2	3	4
1			
2			
3			
4			
5			

APPENDIX 24

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

[Vide 103]

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 organisation 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 25

Example of titles of files and index slips

[Vide paras 105(3) (iii & iv)]

A-Title with index heads and sub-heads distinguished

Sl.No	Title of file	Typed index slips
<i>(1)</i>	<i>(2)</i>	<i>(3)</i>
1		
2		
3		

APPENDIX 26
Precedent Book [Vide para 108]

Heading : _____

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

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 27

Retention schedule for records prescribed in the Manual of office Procedure
[Vide para 109]

Sl. No.	Description of record	Reference to relevant para of the manual	Retention period (years)
1	2	3	4
1	Dak register	9(6)	1
2	Invoice	10(1)	1
3	Section dairy	12(1)	3
4	Movement slip of receipts	15(3)	To be destroyed after the relevant receipts have been received in the section concerned
5	Assistant's diary	18(2)	1
5	Standing guard files	30(1)(c)	Permanent. The earlier version of these records will normally be weeded out as soon as the revised version becomes available
7	Standing note	30(1)(b)	Permanent. The earlier version of these records will normally be weeded out as soon as the revised version becomes available
8	Despatch register	80(2)	5
9	File register	91	Permanent

APPENDIX 28

List of files transferred to National Archives of India/departmental Record Rooms and Branches

[Vide para 110(2 & 3)]

Department of..... Branch.....

S. No.	File No.	Subject	Classification and year of review	Date of actual destruction
<i>1</i>	<i>2</i>	<i>3</i>	<i>4</i>	<i>5</i>
1				
2				
3				

APPENDIX 29

Record Review Register

[Vide para 110 (4)]

Department of..... Year of review.....

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

APPENDIX 30

List of files due for review

[Vide para 111(4)]

Sl. No.	File No.	Instruction of reviewing authority
<i>1</i>	<i>2</i>	<i>3</i>
1		
2		
3		
4		
5		

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 31

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

[Vide para III(9)]

Sl.No.	Particulars of document	No. of spare copies available	Remarks
<i>1</i>	<i>2</i>	<i>3</i>	<i>4</i>
1			
2			
3			

APPENDIX 32

Result of Special Drive Conducted on Records Management

[vide Para 111(11)]

Period of Special Drive
From to

Department of

Number of files recorded	Number of files indexed	Number of files reviewed	Number of files weeded out	No of files 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									

APPENDIX 33

Record Réquisition Card [*Vide* para 113(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
<i>1</i>	<i>2</i>	<i>3</i>	<i>4</i>	<i>5</i>	<i>6</i>	<i>7</i>
1						
2						
3						
4						
5						

APPENDIX 34

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

[*Vide* para 121 (1)]

Name of Branch.....

Week ending.....

Diary No.	Date from which pending	Brief subject	Reasons for delay	Remarks of section officer/ higher officer	Action taken on remarks in Col. 5
<i>1</i>	<i>2</i>	<i>3</i>	<i>4</i>	<i>5</i>	<i>6</i>
1					
2					
3					
4					
5					

APPENDIX 35

Weekly Arrear Statement Consolidated form for the section as a whole [*Vide* para 121(3)]

Name of Branch.....

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

APPENDIX 36

Case Sheet [*Vide* para 122(2)(ii)]

File/Diary No..... Date of commencement.....

Subject.....

Month ending	With whom pending and since when	Reasons for delay	Remarks of U.S. and higher officers
1	2	3	4
1			
2			
3			

INSTRUCTIONS

1. A separate sheet will be maintained for each case.
2. The statement will cover not only originating Branch own files but also files received by it from other Branches/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 Branch own files and from the Branch 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 Branch diary.

APPENDIX 37

Numerical abstract of cases pending disposal for over a month

[Vide para 122(8)(ii)]

Branch.....

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 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		
January								
February								
March								
April								
May								
June								
July								
August								
September								
October								
November								
December								

APPENDIX 38

Consolidated numerical abstract of cases pending disposal for over a month

[Vide para 122 (4) (iii)]

Department of.....
ending.....

Month

Branch	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
1									
2									
3									

APPENDIX 39

Call Book [Vide para 122(3 (ii))]

Sl. No.	File Number	Date of commencement 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
1							
2							
3							
4							
5							

APPENDIX 40

Monthly progress report on recording of files

[Vide para 124]

Branch.....

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 Assistant	Section Officer
1	2	3	4	5	6	7
1						
2						
3						
4						
5						

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 41
Monthly progress report on review of files
 [Vide para 124]

Branch

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 Assistant	Section Officer
			Marked for further retention	Marked for destruction	Total			
<i>1</i>	<i>2</i>	<i>3</i>	<i>4</i>	<i>5</i>	<i>6</i>	<i>7</i>	<i>8</i>	<i>9</i>
1								
2								
3								
4								
5								

APPENDIX 42

Consolidated monthly progress report on recording of files
 [Vide para 124]

Department.....

Month ending.....

Branch	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)	
<i>1</i>	<i>2</i>	<i>3</i>	<i>4</i>	<i>5</i>	<i>6</i>
1					
2					
3					
4					
5					

APPENDIX 43

Consolidated monthly progress report on review of recorded files

[Vide para 124]

Department.....

Month ending.....

Branch	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 recorded at the end of the month (col. 2+3+4)	
1	2	3	4	5	6
1					
2					
3					
4					
5					

APPENDIX 44

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

(To be maintained by personal sections of Joint Secretaries & Above)

[Vide para 125]

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
1							
2							
3							
4							
5							

APPENDIX 45

*Register for keeping a watch on the disposal of communications received from
Members of Parliament
(To be maintained by Departments & Branches)
[Vide para 125(2)(i)]*

Name of Departments/Branch.....

Sl. No	Diary No. & Date	Joint Secretary 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
1											
2											
3											
4											
5											

APPENDIX 46

Particulars of M.Ps. letters pending for over a fortnight [Vide para 125(4)]

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

APPENDIX 47

*Details of Pending Court /CAT Cases
[Vide para 127(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)
1						
2						
3						

APPENDIX 49

Number of Court/CAT Cases pending for

[Vide para 127(2)(i)]

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

APPENDIX 50

Register of Parliamentary Assurances

[Vide para 128]

Department.....

Lok Sabha

Rajya Sabha

Nagaland Legislative Assembly

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
1							
2							
3							
4							
5							

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 51

Check list for Watching receipt of incoming periodical reports for the year.....

[Vide para 129]

Department of.....

Branch.....

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
1														
2														
3														

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 52

Check list for Watching despatch of outgoing periodical reports for the year.....

[Vide para 129]

Department of.....

Branch.....

Sl. No.	Title of the Report & 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
1														
2														
3														

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 53

Inspection questionnaire for central receipt and issue section *Vide* para _____
Department of
Date of present inspection
Date of last inspection

PART I – FACTUAL DATA TO BE FURNISHED BY SECTION OFFICER

A---Staff position

	Section Officer	Jr. Section Officer	Sectt Asstt.	Jr. Sectt Asst	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) making a 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 & distribution of dak
 - (ii) for issue work

B--State of work

3. (1) Total number of Branches in the Department
- (2) Number of Branches 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 54

Inspection Questionnaire on Organisation & Methods (O&M) Vide para 133

(To be filled-in by all Branches)

DEPARTMENT _____ FOR THE QUARTER ENDING

BRANCH _____

1. Subjects allotted to Branches, in brief :
2. (a) Number of Receipts received :
- (b) Number of New Files opened :
- (c) Registers & Folders
 - (i) Whether Branch 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)
1						
2						
3						

4. Rotation of Staff (Details of persons working in the same section/unit for more than five years)

Sl. No.	Name & Designation of employee	Name of Branch / 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)
1					
2					
3					

5. Training of Staff

Groups	Number of persons in Branch	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 (specify)	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 :

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 :
- (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 :

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)
1										
2										
3										

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)
1								
2								
3								

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)
1					
2					
3					

13.(a) Disposal of representations from the Staff

Number of Complaints			Number of representations disposed	Number of representation pending for disposal						
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	Reasons for pendency of cases over six months	Broad nature representations
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)	(10)	(11)
1										
2										
3										

13. (b) Disposal of Complaints of Women Employees regarding Harassment

Number of Complaints										
Brought forward	Received during the year	Total								
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)	(10)	(11)
1										
2										
3										

13.(c) Disposal of Complaints of Employees

Number of complaints		Total	Number of complaints disposed	Number of pending complaints	Details of each pending complaint			Whether any hearing has taken place if so, date thereof.	Present status
Brought forward	Received during the year				Number of employees	Date of receipt of complaint	Nature of complaint		
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)	(10)
1									
2									
3									

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 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 :

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	Total		Less than 3	Between 3 to 6	Between 6 to 12	Over One year	Total Pending		
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)	(10)	(11)
1										
2										
3										

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-à-vis Staff/workload
(1)	(2)	(3)	(4)	(5)
1				
2				
3				

(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

(ii) Whether any of the suggestions were accepted for implementation and, if so, details of awardees and their suggestions

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 therefore	Remarks
(1)	(2)	(3)	(4)	(5)	(6)	(7)
1						
2						
3						

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 /Analyst)

To
IWSU / O&M Unit

APPENDIX 55

Inspection Questionnaire for Departmental Record Room

[Vide para 133]

Department.....
Date of present Inspection.....
Date of last Inspection.....

PART I—GENERAL

PERSONAL DATA

Factual data to be furnished by Record Officer./
Asstt. / In-charge of record Room.

R.O. or equivalent Asstt. Duftry/Record Peon

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 55 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?
- (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.
- (vii) Number of record reviewed during the last year.
- (viii) Number of records lying unreviewed indifferent sections.
- (ix) Number of records marked for further retention by concerned sections and sent to departmental record room

- (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.
- (xiii) Whether the records marked for weeding out have been destroyed? If not, when it is proposed to destroy them.

Transfer:

- (xiv) Number of more than 25 years old files appraised by the National Archives of India during the last year.

- (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.

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 _____)
- (ii) Whether they have been stitched properly? [Para _____]
- (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 _____]
- (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.

2. *Register:*

Whether the following registers are being maintained properly and entries are up-to-date:

- (i) Record Issue Register
- (ii) Record Review Register
- (iii) Accession Register
- (iv) Record Transfer Register .

APPENDIX 55 contd.

PART IV – INDEXING

- (i) Has the departmental index been compiled in the consolidated form?
- (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 _____)].

APPENDIX 56

Management Information System(MIS)

[Vide para 133(3)]

(To be filled by Establishment / Administration)

DEPARTMENT _____

DATE OF LAST INSPECTION _____

OFFICE / BRANCH _____

DATE OF PRESENT INSPECTION _____

- 1. Position of Vacant Posts
- 2.

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)	Promotion	Transfer/ Deputation				
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)	(10)	(11)	(12)
1											
2											
3											

3. 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 re-structuring/ quinquennial cadre review of different posts/grades have been conducted, wherever applicable	If not, the date of last cadre review	Reasons for not doing re-structuring/ periodical cadre-review	REMARKS
		10-15 years	15-20 years	More than 20 years					
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)	(10)
1									
2									
3									

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)
1						
2						
3						

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)
1							
2							
3							

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 receipt of complaint/ cognizance of the office	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 NPSC/ VC was consulted	Present status of the case
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)
1								
2								
3								

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)
1				
2				
3				

8. Number of Vigilance Cases Pending : Group-A : _____; Group-B : _____; Group-C : _____; Group-D : _____.

10. 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		

8. 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					

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)
1								
2								
3								

(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, CGEIS, encashment of leave, Deposit Link Insurance	Specify the reasons for non-settlement of each item
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)
1							
2							
3							

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)
1				
2				
3				

(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)
1					
2					
3					

(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)
1									
2									
3									

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

(c) 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)
1							
2							
3							

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)
1						
2						
3						
4						
5						

(Signature)

Under Secretary (Admn./Estt.)

To
IWSU / O&M Unit

APPENDIX 57

Executive Summary for Secretary

[Vide para 133(4)]

(To be prepared by IWSU / O&M Units)

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				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	Total	Direct Recruit (DR)	Promotion	Transfer/ Deputation				
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)	(10)	(11)	(12)	(13)	(14)	(15)
1														
2														
3														

APPENDIX 58

Matters in respect of which Departments may issue departmental instructions

[Vide para 156]

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) .	
2.	Categories of receipts which should be entered in the dak register.	
3.	Processing of urgent dak received by the central registry outside office hours.	
4.	Types of receipts which should be seen by higher officers before they processed.	
5.	Types of receipts, other than those mentioned in para 12(1) which should not be diarised.	
6.	Designation of an officer to decide allocation of disputed receipts.	
7.	Categories of 'routine cases which the section officer can dispose of and types of 'intermediate action' which he can take on his own.	
8.	Categories of cases for which standard process sheets can be devised.	
9.	Levels at which different classes of cases may be finally disposed off	
10.	Booking of telephone trunk calls (or STD) calls from telephones provided in office and at residences of officers.	
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> .	
12.	Levels competent to make or authorise inter-departmental references.	
13.	Formulation of guidelines by nodal Departments.	
14.	Classes of cases in which fair communications may be authenticated for issue by the section officer of central issue section/section concerned .	
15.	Procedure for submission of weekly statement of cases other than those of routine nature disposed of without reference to the Minister-in-charge.	
16.	Classes of cases in respect of which card indices may be maintained.	
17.	Departmental record retention schedule prescribing retention periods for different categories of records connected with substantive functions.	
18.	Procedure for review and weeding out of records maintained by officers and their personal staff.	
19.	Time limits for disposal of cases.	
20.	Declaration of meeting less day in the week.	

21. Levels to which the monthly statement of cases pending disposal for over a month may be submitted .
22. Levels to which the inspection reports and the compliance reports should be submitted.
23. Supplementary inspections of sections with special reference to the nature of their work.
24. Categories of record to be treated as historical importance of Part 'B' of Appendix 24.

APPENDIX 59

Despatch Register to be maintained by the personal offices of Ministers Para 159(a) (i)(ii)

S. No.	Number and date of communication	<i>Subject</i>	<i>To whom sent</i>	<i>Enclosure</i>
(1)	(2)	(3)	(4)	(5)
1				
2				
3				

APPENDIX 60

File Movement Diary to be maintained by the personal offices of the Ministers
Para 159 1 (a)(iii)

S. No.	File Number	Subject	From whom received and date	To whom sent and date
(1)	(2)	(3)	(4)	(5)
1				
2				
3				

APPENDIX 61

Particulars of files given informally to Minister (Para 159(2))

File Number	Brief Subject	Destination of officer who handed over the file	Date	Initials of P.S. to Minister
(1)	(2)	(3)	(4)	(5)
1				
2				
3				

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 62

Procedure to be followed for processing of reports of Commissions/Committees and other expert bodies (vide para 161)

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 Department 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 Department 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 Department representative should be authorised to agree on behalf of his Department straightaway. Where very major issues are involved, he should be able to obtain instructions from his Department 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 63

*Illustrative list of functions to be performed by the Internal Work Study Units/O&M Units
para 163 (3)*

- | S. No. | Item of work |
|--------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| I. | Organisation and Method Studies |
| (1) | Rationalisation of structures and procedures suo moto 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 upto date information concerning the organisation and functions of the Department including an organisational chart). |
| (2) | Information system (review and rationlisation 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. <ol style="list-style-type: none"> (a) Developing appropriate systems of filing for various items or work or information; (b) Drawing up standardised file indexes broadly based on functional designs and periodic review thereof. |
| (9) | Records management i.e. <ol style="list-style-type: none"> (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.

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 Branch 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 Internal Work-Study Units only if the recommendations therein relate to the work allotted to the internal work-study units. 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 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 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, 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 Departments, it should be remitted to the P&AR Department for study.
 2. When such studies are undertaken by the P&AR Department, the 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 Departments.

APPENDIX 64

Report on O&M Activities [para 163(3)]

Department
March

Year Ending-

1. Have the instructions been issued regarding fixation of final levels of disposal of cases and channel of their submission.
 - 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.
3. Recording of Files.
 - 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.
 - Whether record retention schedule is being maintained
 - No. of special drives carried out during the year Files weeded out during the drives
5. Review of files 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

Total Number	Reviewed	Streamlined/Rationalised by Amalgamation/Reducing Frequency	Eliminated	Currently in Use
(1)	(2)	(3)	(4)	(5)
1				
2				
3				
4				
5				

7. POSITION OF PENDING CASES OVER ONE YEAR (Para 126 of MOP)

Period	MP References	Court cases	Others	Total
1-2 Years old				
2-5 Years old				
More than 5 Years				
Total				

8. Annual Inspection of Sections

- Total number of Sections
- No. of Sections inspected during the year

9. Inspection of Departmental Record Room (DRR)

- 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

- Total Number Due
- Compiled/Consolidated

11. Review of rules, regulations & Manuals

- Total Number
- reviewed during the year
- reviewed during last 5 years

12. Review/simplification of forms:

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

14. Whether Time limits have been fixed for disposal of various types of cases

15. Whether any suggestions scheme has been introduced :

16. Whether any O&M study was conducted the year :

17. Composition of O&M/TWS Unit

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			
Under Secretary.			
Senior Analyst/			
Under Secretary			
Junior Analyst/			
Section Officer			
Research Asst./			
Assistant			
Investigator/UDC			

Notes :-

1. This report duly filled-in-should be sent to O&M Officer by Apr. 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.