

Office Procedure Manual of Tea Board

CONTENTS

Chapter

- Chapter – I Definition
- Chapter – II Dak-receipt, Registration and Distribution
- Chapter – III Receipts-Submission and Diarisation
- Chapter – IV Action on Receipts
- Chapter – V Forms and Procedure of Communication
- Chapter – VI Drafting of Communications
- Chapter – VII Issue of Drafts
- Chapter – VIII File Numbering System
- Chapter – IX Records Management
- Chapter – X Security of Official Information And Documents
- Chapter – XI Checks on Delays
- Chapter – XII Inspections
- Chapter – XIII Office Automation
- Chapter – XIV Electronically Supported Office Procedures System
- Chapter – XV Conduct and Discipline
- Chapter – XVI General Guidelines
- Chapter – XVII Stores
- Chapter – XVIII Housekeeping
- Chapter – XIX Miscellaneous

CHAPTER I

DEFINITIONS

1. *Special meanings* - Special meanings to be attached to some of the terms used in this manual are given below:-

- (1) 'Appendix to correspondence' in relation to a file means lengthy enclosures to a communication (whether receipt or issue) on the file, inclusion of which in the correspondence portion is likely to obstruct smooth reading of the correspondence or make the correspondence portion unwieldy.
- (2) 'Appendix to notes' in relation to a file 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.
- (3) 'Board' means Tea Board of India.
- (4) 'Case' means a current file or a receipt together with other related papers, if any.
- (5) Citizen's Charter is a document which represents a systematic effort to focus on the commitment of the Organization towards its Citizens in respect of Standard of Services, Information, Choice and Consultation, Non-discrimination and Accessibility, Grievances Redress, Courtesy and Value for Money. This also includes expectations of the Organization from the Citizen for fulfilling the commitment of the Organization.
- (6) 'Chairman' means the Chairman of the Tea Board as appointed by the Central Government from time to time.
- (7) '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.
- (8) '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.
- (9) 'Competent Authority'- The Chairman of the Board.
- (10) '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.
- (11) 'Current file' means a file action on which has not been completed.
- (12) '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.
- (13) 'Dealing hand' means any functionary such as lower division clerk, an upper division clerk, an assistant, and entrusted with initial examination and noting upon cases.
- (14) 'Department' means any of the departments and regional / field offices of the Board.
- (15) '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.
- (16) 'Departmental instructions' means instructions issued by a department to supplement or vary the provisions of the Manual of Office Procedure.
- (17) 'Diarist' means a clerk within a section charged with the responsibility *inter alia* of maintaining the section diary.
- (18) 'Diarising' means registration of receipts in the section diary as well as in the diary register with the Personal Staff of Officers.
- (19) 'Diary number' means the serial number assigned to a receipt in the section diary / Personal Staff of Officers followed by code letters identifying the section diary ('H' for section diary for Hindi receipt and 'O' for section diary for other receipts) / Officer's designation, the

year and the abbreviated symbol of the section, e.g., 205-H/2001-O&M or 123/DS(O&M)/2001.

- (20) '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.
- (21) 'Deputy Chairman' means such person(s) appointed by the Central Government from time to time as the Deputy Chairman of the Board.
- (22) 'File' means a collection of papers on a specific subject matter assigned a file number and consisting of one or more of the following parts:
 - (a) Correspondence
 - (b) Notes
 - (c) Appendix to correspondence
 - (d) Appendix to notes.
- (23) '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.
- (24) 'Fresh receipt (FR)' means any subsequent receipt on a case which brings in additional information to aid the disposal of a paper under consideration.
- (25) 'Issue' means a communication issued in a case.
- (26) '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 despatch registers and messenger books, affixing stamps, where necessary.
- (27) 'Messenger Book' means a record, maintained in standard form or any other form, of particulars of despatch of non-postal communications and their receipt by the addressees.
- (28) 'Minute' means a recorded note of any proceeding meeting including that of the Board.
- (29) 'Movement Slip' means the slip as per **APPENDIX 5**
- (30) '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.
- (31) 'Notes portion' in relation to a file means the portion containing notes or minutes recorded on a case.
- (32) 'Nodal Ministry/Department' of the Board is the Department of Commerce, Ministry of Commerce & Industry, Government of India.
- (33) 'Ordinary postal dak' means postal dak for which no specific acknowledgement is obtained by the Posts offices.
- (34) 'Parliamentary matters' includes Parliament Questions, Assurances, etc.
- (35) 'Paper under consideration (PUC)' means a receipt on a case, the consideration of which is the subject matter of the case.
- (36) 'Personal staff' includes private secretary, personal assistant, stenographer, assistant, clerk or any other clerical staff appointed to assist the Chairman, Deputy Chairman, Executive Director(s) and Secretary of the Board.
- (37) 'Postal communication' means a communication dispatched by post and / or courier.
- (38) 'Postal dak' means all dak received through Posts offices and / or Courier.
- (39) 'Receipt' means dak after it has been received by the concerned section / officer.
- (40) 'Recording' means the process of closing a file after action on all the issues considered thereon 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.
- (41) 'Section' 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.
- (42) 'Sectional note' means a note recorded on only one of the many issues raised in the PUC.
- (43) 'Secretary' means the secretary of the Board so appointed by the Central Government.

- (44) 'Section officer' means an officer supervising a section and includes functionaries like superintendent and assistant-in-charge.
- (45) 'Standing guard file' on a subject means a compilation consisting of the following three parts:
- (a) a running summary of the principles and policy relating to the subject with number and date of relevant decisions or orders quoted in margin against each;
 - (b) copies of the decisions or orders referred to, arranged in chronological order; and
 - (c) model forms of communications to be used at different stages.
- (46) '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:
- (a) a complete background material for review of the existing policy or procedure;
 - (b) a brief for preparing replies to Parliament questions or notes for supplementaries thereto; and
 - (c) induction or training material.
- (47) '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.
- 1.1 Interpretation: Words and expressions not defined in Paragraph 1 but have been used herein after shall have the same meaning as is understood in ordinary grammatical sense.

CHAPTER II

DAK-RECEIPT, REGISTRATION AND DISTRIBUTION

2. Receipt of Dak.-

- (1) (a) During office hours, the entire dak of the departments /sections including that addressed to Officers by name, will be received in the central registry. Where, however, immediate/important dak addressed to Officers by name is sent through special messenger directly to the addressees themselves, it will be received by, them or their personal staff.
- (b) In case an officer is on long leave, has retired or left the office after completion of his/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 be undelivered or returned.
- (2) 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.
- (3) Communication received through e-mails in the Department will be downloaded centrally in the Computer Centre of the Department by a designated person, who will forward the same to the Central Registry. Such communications addressed to officers will be, downloaded by them or their personal staff.
- (4) Communications received through fax should be immediately photocopied as the text of the fax message fades with the passage of time.

3. 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.

4. Registration of dak.-

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

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

TeaBoard

Received on.....

C. R.. No.....

Sec. Dy. No.....

(5) The entire dak will then be sorted out section-wise (and officer-wise if addressed by name).

(6) The following categories of dak will be registered by the central registry in the **dak register (Appendix I)**:

(a) telegrams, wireless messages, Fax Messages, telex messages and e-mail messages received from the Computer Centre;

(b) registered postal dak;

(d) court summons and receipts enclosing valuable documents, e.g. service books, agreement, etc;

(e) parliament questions, resolutions;

(f) unopened inner covers containing classified dak;

(g) letters from Members of Parliament;

(h) any other category covered by departmental instructions, and

(i) Envelopes received without contents or with material not marked to any officer will be registered with necessary comments in the remarks column of Dak Register.

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

(8) The 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.

(9) 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.

5. *Distribution of dak* .-

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

(2) Alternatively, dak may be distributed and acknowledgement obtained in messenger books or dak register maintained section-wise.

(3) The above procedure will also apply to the dak meant for officers, which will be acknowledged by their personal staff.

(4) Urgent dak will be distributed as and when received. Other dak may be distributed at suitable intervals (i. e., 11 a.m; 2 p.m. and 4 p.m.). Such part of the ordinary dak as is received too late to be included in the last daily round, will be kept ready for distribution early next day. The official in charge of the central registry will ensure:

(a) that, as far as possible, sorting, registration and invoicing of dak is completed on the day of its receipt;

(b) that, to the extent 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

(c) that the total number of receipts pending at the end of the day for sorting, registration and invoicing are noted in a register and the signatures of the night duty staff are obtained on it in token of their having taken custody of these.

- (5) Urgent dak received outside office hours will be sent to the sections concerned if there is staff on duty. In other cases, such dak will be dealt with in accordance with the instructions issued by the department concerned.

CHAPTER III

RECEIPTS- SUBMISSION AND DIARISATION

6. Perusal and marking of receipts.-

The diarist will submit all receipts to the section officer / sectional head who will:

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

7. Diarising of receipts in sections.-

- (1) Each section will maintain a **section diary (Appendix 3)**.
- (2) The diarist will diarise in the section diary (**Appendix 3**) all receipts except the following before they are submitted to the officers concerned or distributed among the dealing hands:
 - (a) receipts which, as a class, are adequately taken care of by a register specially devised for the purpose (e.g. telephone bills which are entered in telephone bill register);
 - (b) receipts which have already been diarised in computer;
 - (c) communications received from Members of Parliament for which a separate register is maintained for watching their disposal.
 - (d) unsigned communications (except e-mail) on which no instructions have been recorded by officers and on which no action is to be taken;
 - (e) identical copies of representations, save the one received first;
 - (f) post copies of telegrams unless the endorsement contains a message in addition to that contained in the telegrams;
 - (g) petty contingent vouchers such as those relating to night duty or overtime claims of the staff, claims for coolie hire or conveyance hire, chits asking for articles of furniture, stationery etc.
 - (h) routine acknowledgements;
 - (i) casual leave applications;
 - (j) copies of miscellaneous circulars, office memoranda, extracts, etc; circulated by any section for general information, e.g., orders of general application, telephone lists, notices of holidays, tour programmes, etc; and
 - (k) any other types of receipts which under departmental instructions are not required to be diarised.
- (3) Inter-departmental notes, telegrams, or any other category of receipts sought to be distinguished from the rest, may be entered in the section diary in red ink.

- (4) Receipts redirected to other sections will also be diarised.
- (5) Papers referred to another department/organisation 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.
- (6) 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.
- (7) The diary number of a receipt will be indicated in the space provided for the purpose in the stamp affixed by the central registry.
- (8) The section officers will scrutinise the section diaries once a week to see that these are being properly maintained and append his dated initials in token of scrutiny.
- (9) Under the 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 with 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.

8. Diarising of receipts addressed to officers -

- (1) The personal staff of officers of the rank of Deputy Director and above will diarise receipts addressed to their officers in respective **personal section diary (Appendix 4)**. Envelopes received without contents or with material not marked to any officer should also be diarised with necessary comments.
- (2) No receipt will be diarised more than twice. A communication once diarised above the section level will not be diarised a second time till it reaches the section, where it will be diarised in the section diary.
- (3) 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.

9. Movement of receipts -

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

10. Action by higher officers -

Officers to whom receipts are submitted will:

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

11. Allocation of disputed receipts.-

If a section 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 IV ACTION ON RECEIPTS

12. General Principles.-

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

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

13. Action by dealing hand.-

The dealing hand will:

- (1) go through the receipts and separate urgent receipts from the rest;
- (2) enter the receipts in the **Assistant's diary (Appendix 6)**; *It is not necessary to maintain separately in a computerised environment as the system can generate information through query.*
- (3) deal with the urgent receipts first; *Code indicating the priority may be given in a computerised environment.*
- (4) check enclosures and if any found missing, initiate action to obtain it;
- (5) see whether any other section is concerned with any part or aspect of a receipt and if so, send copies or relevant extracts to that section for necessary action;
- (6) bring the receipt on to a current file if one already exists or open a new file as per paras **61 and 62** 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 when he accesses both. 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.
- (7) file papers in accordance with **para 29**;
- (8) assign the receipt page number (s) and a serial number in terms of **paras 31 (1) and 31 (2)**;
- (9) docket the receipt and reproduce on the notes portion of the file remarks, if any made by an officer on the receipt;
- (10) with the help of file registers indexes, precedent book), standing guard files (para 25), reference folders (**para 25** etc. locate and collect other files or papers, if any, referred to in the receipt, or having a bearing on the issues raised therein;
- (11) identify and examine the issues involved in the case and record a note vide instructions in **paras 24,22 and 15**;
- (12) arrange papers and reference them in the case properly
- (13) Where necessary, attach a label indicating the urgency grading appropriate to the case;
- (14) put up the case to the appropriate higher officer; and
- (15) indicate the date of submission in column 5 of the assistant's diary. *In the computerized diary system indicate the details of submission at the appropriate column.*

14. Action by section officer .-

- (1) The Section Officer will:-
 - (a) scrutinise the note of the dealing hand;
 - (b) finally dispose of routine cases;

- (c) take intermediate routine action;
- (d) record, where necessary, a note setting out his own comments or suggestions; and
- (e) submit the case to the appropriate higher officer.
- (f) *in computerised environment also make a suitable entry in the electronic diary register*

(2) What constitutes 'routine cases' or 'intermediate routine action' in terms of (b) and (c) above will be specified by each department in its departmental instructions.

15. *Examination by section.* -

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

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

16. *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 used. No notes will be recorded in such cases. *Standard process sheets will also be maintained in electronic form in a computerised environment.*

17. *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 computerised 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 Secretary or a Deputy Chairman instead of both seeing it.
- (4) In case of delegation of power by the Chairman in favour of any officer, such delegation should be clear so that in most matters he can function independently subject to final concurrence.
- (5) Wherever level jumping is done in respect of any category of cases, each such case on its return, will pass through all the levels jumped over who in suitable cases could resubmit the cases for reconsideration.
- (6) *In a computerised environment the system will provide scope for level jumping.*

18. *Direct submission of cases by senior assistants.* -

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

19. *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.

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

21. *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 labelled 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 computerised environment.*

22. *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 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 India and above may use green or red ink in rare cases.**

(10) The dealing hand will append his full signature with date on the left below his note. An officer will append his full signature on the right hand side of the note with name, designation and date.

(11) A note will be divided into serially numbered paragraphs of easy size, say ten lines each. Paragraphs may preferably have brief titles. The first 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 Expenditure.

23. Modification of notes or orders.-

(1) Senior officers should not require any modification in, or replacement of, the notes recorded by their juniors once they have been submitted to them. Instead, the higher officers should record their own notes giving their views on the subject, where necessary correcting or modifying the facts given in earlier notes. In any case, the replacement or modification of the notes which have already been recorded on a file, when the file has been further noted upon by others, should not be permitted.

(2) **Pasting over a note or a portion of it to conceal what has been recorded is not desirable.** Where a note recorded in the first instance requires any modification on account of additional facts or any error having come to notice, a subsequent note may be recorded, keeping the earlier note intact.

(3) Where a final decision already communicated to a party is found later on to have been given on a mistaken ground or wrong facts or wrong interpretation of rules due to misunderstanding, such withdrawal may have also legal implications. In all such cases, in addition to consulting the Ministry of Commerce, 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.

24. 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 computerised 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.

25. 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:

- (a) standing guard files;
- (b) standing notes;

- (c) precedent book;
- (d) standard process sheets (of repetitive items of work only); and
- (e) reference folders containing copies of circulars, etc.

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

(3) The documentation-cum-reference system (manual as well as electronic form) will include reference material peculiar to the need of the functional sections and a consciously developed information system to act as an aid to policy formulation, review and operational decisions.

26. 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 authorising 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 level differ on significant issues or the decision itself, though agreed up to by all concerned, is an important one.

27. Oral instructions by higher officers –

(1) Where an officer is giving direction (including telephonic direction) for taking action in any case in respect of matters on which he or his subordinate has powers to decide, he shall ordinarily do so in writing. If, however, the circumstances of the case are such that there is no time for giving the instructions in writing, he should follow it up by a written confirmation at his 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 judgement except when he is acting under instructions of an official 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 thereafter as possible. If the Officer giving the instructions is not his immediate superior but one higher to the latter in the hierarchy, he shall bring such instructions to the notice of his immediate superior at the earliest.

28. 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.

29. 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) (a) If the file is not bulky, appendix to notes and appendix to correspondence may be kept alongwith the respective note portion or the correspondence portion of the main file if these are considered as integral and important part.

- (b) If the file is bulky, separate file covers may be maintained for keeping appendix to notes and appendix to correspondence.
- (5) 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 when they have served their purpose.
- (6) When the 'notes' plus the 'correspondence' portion of a file become bulky (say exceed 150 pages), it will be stitched and marked '**Volume 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.
- (7) In Volume II and subsequent volumes of the same file, page numbering in notes portion and correspondence portion will be made in continuity of the last page number in note portion / correspondence portion of the earlier volume.

30. *Arrangement of papers in a case. -*

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

- (1) reference books;
- (2) notes portion of the current file ending with the note for consideration;
- (3) running summary of facts;
- (4) draft for approval, if any;
- (5) correspondence portion of the current file ending with the latest receipt or issue, as the case may be;
- (6) appendix to notes and correspondence;
- (7) Standing guard file, standing note or reference folder, if any;
- (8) other papers, if any, referred to, e.g., extracts of notes or correspondence from other files, copies of orders, resolutions, gazettes, arranged in chronological order, the latest being placed on the top;
- (9) recorded files, if any, arranged in chronological order, the latest being placed on the top; and
- (10) routine notes and papers arranged in chronological order and placed in a separate cover.

31. *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' / 23.n, 'A' / 17.c, and so on.
- (6) To facilitate the identification of references to papers contained in other files after the removal of slips, the number of the file referred to will be quoted invariably in the body of the note and the relevant page numbers, together with the alphabetical slip attached thereto, will be indicated in the margin. Similarly, the number and date of orders, notifications and the resolutions, and, in the case of acts, rules and regulations, their brief title together with the number of the relevant section, rule, paragraph or clause, referred to will be quoted in the body of the notes, while the alphabetical slips used, will be indicated 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.

32. 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. Such linking may also be resorted to if a paper on one current file is required for reference in dealing with another current file unless a copy of the paper can be conveniently placed on the first file.

(2) When files are to be linked, strings of the file board of the lower file (but not its flaps) will be tied around the upper file and those of the file board or flap of the upper file tied underneath it in a bow out of the way so that each file is intact with all its connected papers properly arranged on its file board or flap.

(3) On receipt 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.

(4) *In a computer environment the file tracking system has the facility for easy linkage of files and its subsequent movement.*

33. Use of urgency grading.-

(1) The two urgency gradings 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 Lok Sabha/Rajya Sabha labels for questions 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 department.

CHAPTER V

FORMS AND PROCEDURE OF COMMUNICATION

33. 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.

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

(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 who is ordinarily not more than one or two levels below the officer to whom such communication is addressed.

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

- (3) Office Memorandum - This form is generally used for corresponding with other departments or in calling for information from or conveying information to its employees. It may also be used in corresponding with attached and subordinate offices. It is written in the third person and bears no salutation or supersession except the name and designation of the officer signing it.
- (4) Inter-departmental note –
- (a) This form is generally employed for obtaining the advice, views, concurrence or comments of other departments on a proposal or in seeking clarification of the existing rules, instructions etc. It may also be used by a department when consulting its attached and subordinate offices and *vice versa*.
- (b) The inter-departmental note may either be recorded on a file referred to another department or may take the form of an independent self-contained note. The subject need not be mentioned when recorded on the file.
- (5) 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.
- (6) 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.
- (7) Speed Post/ Courier – 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.
- (8) 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.
- (9) 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.
- (10) Notification - This form is mostly used in notifying the promulgation of statutory rules and orders, appointments and promotions of gazetted officers, etc. through publications in the Gazette of India.
- (11) Resolution - This form of communication is used for making public announcement of decisions of government in important matters of policy, e.g., the policy of industrial licensing, appointment of committees or commissions of enquiry. Resolutions are also published in the Gazette of India.
- (12) Press communique/ note - This form is used when it is proposed to give wide publicity to a decision of government. A press communique is more formal in character than a press note and is expected to be reproduced intact by the press. A press note, on the other hand, is intended to serve as a hand-out to the press which may edit, compress or enlarge it, as deemed fit.
- (13) 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.
- (14) 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.
- (15) 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.

(16) *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.*

34. *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) Telephonic communications, wherever necessary, may be followed by written communications by way of confirmation.

(4) Resort to ISD / STD and trunk calls will be regulated by departmental instructions.

35. *Correspondence with Ministry and Other Offices -*

(1) No officer other than the Secretary of the Board shall correspond directly with the Ministry or any other Offices.

36. *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.

37. *Correspondence with State Governments –*

(1) Communications on the subjects which clearly relate to the business of a particular department will normally be addressed to the Secretary of that department. Other communications including those of special nature or importance warranting attention at higher levels, may be addressed to the Chief Secretary. Demi-official letters can also be sent to officers of State Governments. In case of demi-official communications to the Chief Secretary of a State, this level will not be below the level of Joint Secretary.

(2) Communications other than those of a purely routine nature, e.g., acknowledgements, will not ordinarily be addressed to State Governments except with the prior approval and over the signature of the branch officer. Purely routine communications can, however, be signed by a section officer.

38. *Correspondence with the Lok Sabha and the Rajya Sabha Secretariats -* Communications meant for the Lok Sabha Secretariat or the Rajya Sabha Secretariat and requiring urgent or high level attention may be addressed to the Secretaries concerned and not to the Speaker or the Chairman direct.

39. *Correspondence with Members of Parliament -*

(1) Communications received from Members of Parliament should be attended to promptly.

(2) As far as possible, in corresponding with Members of Parliament, pre-printed or cyclostyled replies should be avoided

(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 Ministry/Department/Organisation, it should be replied under the signature of Secretary

(4) Normally information sought by a Member should be supplied unless it is of such a nature that it would have been denied to him even if asked for on the floor of the Houses of Parliament.

(5) In other cases, a reply should normally be issued over the signature of Secretary only.

(6) In case a reference from an ex-Member of Parliament is addressed to a Minister or Secretary, reply to such reference may be sent by the concerned Divisional Head after obtaining approval of the Chairman. 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.

40. 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.
41. Correspondence with Foreign Governments and International Organisations - Correspondence with Foreign Governments and their Missions in India, Heads of Indian Diplomatic Missions and posts abroad and United Nations and its specialised agencies will normally be channelised through the Ministry of External Affairs.
42. *Prompt response to letters received -*
- (1) Each communication received from the Member of Parliament, a member of the public, a recognised association or a public body will be acknowledged within **15 days**, followed by a reply within the next 15 days of acknowledgement sent.
 - (2) Where (i) delay is anticipated in sending a final reply, or (ii) information has to be obtained from another Ministry or another office, an interim reply will be sent within a **month** (from the date of receipt) indicating the possible date by which a final reply can be given.
 - (3) If any such communication is wrongly addressed to a department, it will be transferred promptly (within a week) to the appropriate department under intimation to the party concerned.
 - (4) Where the request of a member of the public cannot be acceded to for any reason, reasons for not acceding to such a request should be given.
 - (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.
43. *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 VI DRAFTING OF COMMUNICATIONS

44. *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 authorise 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.
45. *General instructions for drafting -*

- (1) A draft should carry the message sought to be conveyed in a language that is clear, concise and incapable of misconstruction.
- (2) Lengthy sentences, abruptness, redundancy, circumlocution, superlatives and repetition, whether of words, observations or ideas, should be avoided.
- (3) Official communications emanating from a department and purporting to convey the views or orders of the Government of India must specifically be expressed to have been written under the directions of Government. This requirement does not, however, imply that each communication should start with the phrase 'I am directed to say' or 'The undersigned is directed to convey', which has the effect of distancing the communicator from the reader at the very outset. A more direct and to-the-point format is to be preferred if some degree of rapport is to be established with the receiver of the communication. The obligatory requirement can be met in a variety of imaginative ways. For instance, variations of the phrase can be added to the operative part of the letter towards the end as under:
.....I have the pleasure to inform you that the government, on reconsideration of the matter, has decided to sanction an additional grant of..... orIn 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., A-11011/5(I)/2001-Est., A-11011/5(II)/2001-Est.
- (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 despatcher. 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 despatched by post is important (e.g., a notice cancelling a licence 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) 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.
- (12) 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.
- (13) 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.
- (14) 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.
- (15) Instructions contained in **Appendix 7** will be observed while drafting.

(1) 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.

47. *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.

48. *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. A d.o. letter from a Minister will exhibit the National Emblem in blue colour and that from an officer will exhibit the National Emblem in red colour.

CHAPTER VII ISSUE OF DRAFTS

49. *Marking of drafts for issue* -

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

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

50. *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 centralised typing pool exists.

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

51. *Procedure to be followed in sections :-*

(1) Section officer, while marking the draft for typing and before passing on the file to the diarist, will ensure that clear indication has been given where copies of any papers contained in any file are to be typed or photocopied or a computer printout taken as enclosure(s).

(2) The diarist will:

- (a) enter the number of the file marked for recording [**as per para 49(6)**] in column 2 of the '**register for watching the progress of recording**' (**Appendix 13**); and
- (b) pass on the file to the typist.

(3) The approved draft will be fair typed, compared and got signed. General instructions regarding typing given in **para 53** will be observed.

(4) On return of signature pads, the section officer will see that fair copies have been duly signed by the officer and make sure that corrections, if any, made while signing are carried out in all copies.

(5) The signed fair copies, together with office copies, drafts and relevant file/files will then be passed on to the diarist.

(6) The diarist will:

(a) enter the number of the fair communications and office copies in messenger book; and

(b) send the fair communications and office copies, along with messenger book, to the despatcher of the central issue section at appropriate intervals during the day.

(7) The despatcher will:

(a) remove the fair communications and office copies; and

(b) acknowledge receipt in the messenger book.

(8) In case of urgent communications, dak may be issued directly from the section concerned at the discretion of the section officer.

52. Procedure to be followed in desk -

(1) After a draft has been approved or a letter has been dictated by the desk functionary for fair typing, the stenographer attached to the desk functionary will type the letter, get it compared and signed. General instructions regarding typing given in **para 53** will be observed by the stenographer.

(2) The stenographer will add all relevant enclosures to the signed communication and send it to the Central Issue Section for despatch through messenger book after making necessary entries in it.

(3) A desk functionary may draw on the services of the wing Registry, wherever setup, for attending to extra typing work.

53. 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) The typist will type his initials with date in the left hand bottom corner of the fair copy e.g., RCK / 20-05-2001.

(6) *In a computer environment username alongwith path will be indicated on the fair copy by the typist (except classified documents).*

54. Procedure where centralised typing pool exists - Steps from the marking of drafts for issue upto the stage of signing of fair communications under a centralised typing.

55. Marking of drafts :-

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

(a) indicate whether fair copies are to be signed by the officer approving the draft or are to be authenticated for issue by the section officer of the central issue section.

(b) write the words 'with file' on the draft where the file also is to be sent to the central issue section, e.g., where copies of any paper contained therein are to be typed as enclosures.

(2) The diarist will:

- (a) enter the file number of the file 'marked for record' [as per para 49 in column 2 is the **'register for watching the progress of recording' (Appendix 13)**];
 - (b) remove the draft, unless the file itself is to be sent to the central issue section, place it in the pad prominently marked 'drafts for issue' and make suitable entry (e.g., sent for issue on 20-3-2001) in the margin of the notes portion of the file;
 - (c) mark the movement of the file in the file movement register [**para 67 and Appendix 12**], where the file is to be sent with the draft;
 - (d) enter the number of drafts of communications and of the files (if the files are to be sent along with the drafts of communications) in the messenger book;
 - (e) send these to the central issue section at appropriate intervals during the day; and
 - (f) report to the section officer, at the end of each day, the number of drafts not received back within two days from the date those were sent to the central issue section.
- (3) The receipt of the drafts of communications in central issue section will be acknowledged in the messenger book and the messenger book returned to the section concerned.

56. *Despatch of postal communications*

- (1) The despatcher will hand over communications to be sent by post to the peon / daftry, who will:
- (a) separate those to be sent by foreign post from the rest;
 - (b) paste the telegrams, if typed on plain paper, over the printed form of telegram supplied by the Department of Posts and affix service postage stamps of the appropriate value thereon;
 - (c) if a credit deposit account is maintained for issuing telegrams, affix rubber-stamp indicating the credit deposit account number assigned to the department in the space provided for affixing postage stamps;
 - (d) affix postage stamps of the appropriate value on covers, packets, etc. where necessary after weighing them, using ordinary postage stamps for foreign post and service postage stamps for inland post;
 - (e) where postal franking machines are in use, frank the covers, etc. instead of affixing postage stamps;
 - (f) stamp the covers with a rubber-stamp bearing the name of the department; and
 - (g) return the communications to the despatcher.
- (2) The despatcher will enter the particulars of the communications and the value of stamps affixed thereon in the despatch register (**Appendix 9**). *This can be generated automatically in a computer environment.*
- (3) In the case of telegrams, the serial number assigned to them in the despatch register will be noted at a convenient place on the top receipt portion of the printed telegram form to facilitate the linking of the telegram receipts to the relevant entries in the despatch register.
- (4) Departments despatching registered post exceeding a daily average of 10 will use postal registration books so that the outgoing registered communications could straightway be entered in that book instead of in the despatch register. Each entry in such a book will then be got stamped by the post office.
- (5) If a communication is to be sent by registered post (acknowledgement due), the number of the communication will be written on the 'acknowledgement card' also so that, when received back, it can be sent to the section concerned.
- (6) Receipts for telegrams, speed post, registered and insured post, etc. will be checked carefully by the despatcher. These will be filed properly for reference in the event of need.

57. *Despatch of non-postal communications*

- (1) Non-postal communications will be sorted out according to the location of the addressees, entered in messenger books and handed over to 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 despatched promptly. The time of despatch 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 despatched at least twice a day at suitable intervals.

(4) Only urgent communications will be despatched outside office hours. No communication will be sent to an officer at his residence unless:

(a) it is of such a nature that action thereon cannot wait till the commencement of the next working day;

(b) it is marked 'immediate' and addressed to the officer by name; and

(c) its delivery to the officer's residence has been authorised by the branch officer concerned at the despatching end.

(5) After the communications have been delivered, the despatcher will examine the messenger books to see that all the communications entered therein, have been duly acknowledged by the recipients under 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.

a. *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.*

b. *E- mail will be used in offices having computers supported by internet or intranet connectivity. Messages received through e-mail will ordinarily be replied to in the same form by the officer receiving the message or his subordinate. E-mail correspondence may also be initiated to cut down the time taken in communications on issues not having financial or legal implications. All points emerging during e-mail correspondence will be recorded through a note on the file concerned.*

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

58. *Action after issue*

(1) On receipt of papers after issue, the diarist will:

(a) check that the office copies bear the stamp issued;

(b) make sure that files and other papers sent with the drafts to the central issue section have been received back;

(c) make entries about the return of files in the file movement register;

(d) make entries in **section despatch register**.

(e) place office copies, with drafts, if any, on the relevant files; and

(f) pass on the files to the dealing hands concerned.

(2) The dealing hand will:

(a) docket the communication(s) issued along with the original of the approved draft(s) where so required.

(b) examine whether the case is fit for inclusion in any of the following reports and obtain orders of the appropriate officer:

(c) initiate action to record the file where it has been marked for record by the section officer..

(d) if a reply to the communication issued is to be awaited or further action on the file is to be resumed at a later date-

(i) mark the file for being brought forward on that date. *In computer environment an entry will automatically generate a reminder on that date;*

(ii) make a note of it in the engagement calendar and diary or the relevant date; and

(iii) pass on the file to the diarist for recording its movement in the file movement register vide para 67.

(3) The section officer will scrutinise the section despatch register once a week to see that it is being properly maintained and append his dated initials in token of scrutiny. *In computer environment he will generate weekly report through the computer.*

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

59. Reference lists

(1) To facilitate quick despatch of papers the central issue section will maintain the following lists and directories:

- (a) residential addresses and telephone numbers of officers and staff of the department;
- (b) departments which have arrangements within the central registry for receipt of dak outside office hours (with name and telephone number of the official incharge);
- (c) residential addresses and telephone numbers of officers of other departments designated to receive urgent dak outside office hours [vide para 20]
- (d) residential addresses and telephone numbers of officers of other departments designated to receive parliamentary papers;
- (e) postal addresses of all offices under the department, attached offices, subordinate offices, autonomous bodies, etc; which deal directly with it;
- (f) telegraphic and e-mail addresses, and telephone and fax numbers of State Governments and other outstation offices frequently addressed;
- (g) Members of Rajya Sabha and Lok Sabha (including Council of Ministers);
- (k) Diplomatic List issued by the Ministry of External Affairs; and
- (l) Schedule of postal rates.
- (m) Postal PIN code directory

(2) These lists will be kept up to date and displayed prominently for easy consultation by the despatcher, the resident clerk and other officials on duty.

CHAPTER VIII

FILE NUMBERING SYSTEM

60. *File numbering system* - 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.

61. *Functional file numbering system* -

(1) In this system the range and dimensions of the subjects falling under the scope of business allocated to a department are analysed in the following sequence:

- (a) the main functions of the department;
- (b) the activities in each of these functions;
- (c) the aspects or operations involved in each of these activities; and
- (d) 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 analysed under four hierarchical divisions, and accordingly the following four standard lists of headings are prepared:

- (a) functional heads which may be called 'basic heads';
- (b) activity heads which may be called 'primary heads' as related to each functional head;
- (c) aspect or operation heads which may be called 'secondary heads' as related to activity heads; and
- (d) factor heads which may be called 'tertiary heads' as related to aspects or operation heads.

(3) Based 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.

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

62. File numbering system based on subject classification -

(1) Each section will maintain approved lists of:

(a) standard heads, i.e. main subject headings concerning it; and

(b) standard sub-heads, i.e. aspects of the main subject headings.

(2) The standard heads will bear consecutive serial numbers. No such numbers, however, will be allotted to standard sub-heads.

(3) The lists of standard heads and sub-heads will be reviewed at the beginning of each year and revised, if necessary, with the approval of the branch officer concerned. The serial numbers once allotted to the standard heads should not ordinarily be changed.

(4) Before opening a new file, the dealing hand will ascertain the standard head to which the paper under consideration relates. He will then propose a suitable title of the file for the approval of the section officer. The title will consist of:

(a) standard head;

(b) sub-head which will be more indicative of the precise subject than the 'head', (where it is necessary to have more than one sub-head in a title the general should usually precede the specific); and

(c) a brief content indicating the question or issue under consideration in relation to the standard head and sub-head and where necessary, the specific institution, person, place or thing involved.

(5) The title should be as brief as possible 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:

(a) the serial number allotted to the standard head;

(b) the serial number of the file opened during the year under the standard head;

(c) the year of opening the file (all four digits i.e., 2000, 2001, etc.); and

(d) an abbreviated symbol identifying the section.

(5) The first three elements in the file number will be separated from one another by a slant stroke and the last two by a dash. Thus, files opened in, say, Scientific Research Section during 2000 under the standard head bearing serial number '3', will be numbered consecutively as 3/1/2000-SR, 3/2/2000-SR and so on, where 'SR' represents the section.

Note: In a computer environment file numbering will be done electronically in either of the systems mentioned in Paras 61 and 62. A unique file number will be automatically generated whenever a fresh file is opened.

63. *Instances where files need not be opened* - Normally, no new files will be opened for dealing with receipts of a purely routine nature (e.g. requests for supply of unclassified factual information, notices of holidays, miscellaneous circulars) which:
- (1) can be disposed of straightaway by noting the reply on the source receipts and returning them to the originators; or
 - (2) are unlikely to generate further correspondence and therefore can be placed in a miscellaneous file to be destroyed at the end of the year, or placed in the folder of circulars, etc.; if on the subject.
64. *File register* - A record of files opened during a calendar year will be kept in a file register 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.*
65. *Part file* -
- (1) If the main file on a subject is not likely to be available for some time and it is necessary to process a fresh receipt or a note without waiting for its return, a part file may be opened to deal with it. This device may also be resorted to where it is desired to consult simultaneously two or more sections or officers and it is necessary for each of them to see the receipt noted upon.
 - (2) A part file will normally consist of:
 - (a) receipt or note dealt with; and
 - (b) notes relating thereto.
 - (3) Where two or more part files are opened, each will be identified by a distinct number, e.g., part file I, part file II and so on.
 - (4) A part file will be merged with the main file as soon as possible, duplicate papers, if any, being removed.
 - (5) *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 on to the main file on its return.*
66. *Transfer, reconstruction and renumbering of files* - Whenever work is transferred from one department/section to another, the former will promptly transfer all the related records including files, both current and closed, to the latter. The department/section taking over the records will not divide, reclassify or renumber the closed files transferred to it. In the case of current files, the endeavour should be to close them at the earliest possible stage and to open new files according to the department's/section's own scheme of classification for dealing with the matter further. A file will be reconstructed if it is misplaced. The file number and the subject will be obtained from the file register and the copies of correspondence will be sought from the corresponding 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.
67. *Movement of files and other papers* -
- (1) Movement of files will be entered in the **file movement register (Appendix 10)**.
 - (2) When current files are linked as per para 32, 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 10**.
 - (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 10**. It will also be ensured that the procedure regarding requisitioning of recorded files as laid down in para 81 is observed.

- (4) Movement of files received from other departments/sections and other receipts which have not been brought on to a file in the receiving section, will be noted in the 'remarks' column of the section diary.
 - (5) No current file will be issued to other sections except against written requisition and after marking its movement in the file movement register.
 - (6) Files and other papers marked by the Secretary to other officers, sections or departments will be routed through the section for noting their movement.
 - (7) When the files are handed over personally by the 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 Secretary and above will maintain the movement of papers received by their officers in the respective **personal section diary (Appendix 4)**. Movement of any file handed over personally to a higher officer or 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 section concerned, for noting their movement in the file movement register or section diary as appropriate.
 - (9) *In a computer environment the movement of files will be recorded electronically at every stage.*
68. *Filing system under desk pattern* - The provisions of paragraphs 61 to 68 will also be applicable the desk pattern of functioning. Assistant/stenographer attached to a desk functionary till assist him in maintaining a proper filing system and movement of files.

CHAPTER IX RECORDS MANAGEMENT

69. *Activities involved in records management* –

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

70. *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.

71. *Procedure for recording* -

(1) Action for Recording:

After action on the issue(s) considered on the file has been completed, the dealing hand/initiating officer, in consultation with his supervisory officer, should close and record the file in the manner prescribed below:

- (a) indicate the appropriate category of record and in the case of category 'C', also specify the retention period and the year of destruction on the file cover;
- (b) where necessary, revise the title of the file so that it describes adequately the contents at that stage;
- (c) get the file indexed unless it is to be retained for less than 10 years from the date of closing;
- (d) extract from the file, copies of important decisions, documents, etc. as are considered useful for future reference and add them to the standing guard file/precedent book;
- (e) remove from the file all superfluous papers such as reminders, acknowledgements, routine slips, working-sheets, rough drafts, surplus copies, etc. and destroy them;

- (f) complete all references and, in particular, mark previous and later references on the subject on the file cover;
- (g) pass on the file to the record clerk;

(2) Action on Recorded Files

The record clerk will thereafter:

- (a) complete columns 4 and 5 of the file register and correct the entry in column 2 where necessary;
- (b) enter the file number in column 2 of the **register for watching progress of recording (Appendix 11)**
- (c) write the word 'recorded' prominently in red ink (*make suitable entries in computer environment*), across the entries in the file movement register;
- (d) indicate page numbers and other references (except references to alphabetical slips) in ink which were earlier made in pencil;
- (e) indicate the year of review on the file cover in respect of category 'C' files;
- (f) prepare fresh covers, where necessary, with all the entries already made thereon; and
- (g) hand over the file to the daftry / peon.

(3) The daftry / peon will repair the damaged papers, if any, stitch the file and, show it to the record clerk for making entries in the register for watching progress of recording (**Appendix 11**) before keeping it in the bundle of recorded files.

72. *Categorisation of records* - Files may be recorded under any one of the following categories:

- (1) *Category 'A' meaning 'keep and microfilm'* - This categorization will be adopted for:
 - (a) files which qualify for **permanent preservation for administrative purposes** (vide part 'A' of **Appendix 12**) and which have to be microfilmed because they contain:
 - (i) a document so precious that its original must be preserved intact and access to it in the original form must be restricted to the barest minimum; or
 - (ii) material likely to be required for frequent reference by different parties.
 - (b) files of historical importance such as those listed in Part 'B' of **Appendix 12**.
- (2) *Category 'B' meaning 'keep but do not microfilm'* - This category will cover files required for permanent preservation for administrative purposes, such as those listed in part 'A'. It will, however, exclude the nature of material falling under the category described in (i) or (ii) of sub-para (1) (a) above and therefore need not be microfilmed.
- (3) *Category 'C' meaning 'keep for specified period only'* - This category will include files of secondary importance 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.

73. *Stage of indexing* - Files will be indexed at the time of their recording. Only those files which are categorised as 'A' and 'B' (vide para 74) will be indexed.

74. *Manner of indexing* -

- (1) While preparing a file for record (vide para 71) the dealing hand or the desk assistant will underline:
 - (a) the 'index head', i.e., the standard head or the most important catch-word in the standard head which will naturally occur to any official searching for the file and which will determine the position of the relevant index slip in the consolidated index; and
 - (b) the 'index sub-head', i.e. the catch word or catch-words in the standard sub-heads and / or the 'content' of the title which will give a further and more specific clue to the file under search.
- (2) Where the functional filing system is followed, files need not be indexed under the basic, primary, secondary and tertiary heads for which the classification scheme itself will provide the master index. However, such files will have to be indexed under the catch-words used in the content part of the title which falls outside the standardised headings.
- (3) After index heads and sub-heads in the title have been approved by the section officer / desk functionary, the record clerk / desk assistant will:

- (a) type out, in duplicate, as many index slips as there are index heads and sub-heads underlined in the title;
 - (b) distinguish the index heads from the sub-heads by typing the former in capital letters;
 - (c) indicate at the top of the index slips all the heads and sub-heads mentioned in the title, one below the other, followed by the complete **title of the file and the file number**, as per specimens in **Appendix 13**;
 - (d) allot a pair of slips to each index head and sub-head by scoring out entries relating to the others as per specimens in **Appendix 13**;
 - (e) arrange the index slips in two sets, one in alphabetical order of the heads/sub-head for use in the section, and the other in the sequence of file numbers for the use of the compiler of the departmental index;
 - (f) keep each set of a paper index slips in separate spring clip folders for each year; and
 - (g) indicate the date of indexing on the file cover and initial it in the space provided for the purpose.
- (4) Index slips will normally be typed on good quality paper. In the case of important files requiring frequent and urgent reference, however, card 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. parliament questions, cut-motion, resolutions etc.

75. Custody of index slips -

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

76. Compilation of departmental index -

- (1) The index slips pertaining to files relating to a year will be sent to the compiler of the departmental index one year after the close of the year to which they relate. If some files of that year still remain current even at the time of sending the index slips as envisaged above, the dealing hand with the approval of the section officer will prepare index slips in respect of such files as are likely to be retained for 10 years or more from the date of recording. These will also be added to the set of slips being sent to the compiler of the departmental index.
- (2) The compiler of the departmental index will:
 - (a) edit the index slips by:
 - (i) allowing the full title to appear only on the main index slips, i.e. those indexed under the index heads; and
 - (ii) scoring out the title on the subsidiary index slips, i.e. those indexed under the index sub-heads and giving a cross reference to the relevant index head, as per specimen in **Appendix 13**;
 - (b) arrange the index slips received from different sections, in alphabetical order in a single series for the department as a whole; and
 - (c) arrange for the printing or cyclostyling of the consolidated departmental index for each year.

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

77. Precedent Book - Every section will maintain a **precedent book** in the prescribed form (**Appendix 14** 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.

78. Record Retention Schedule -

(1) To ensure that files are neither prematurely destroyed, nor kept for periods longer than necessary, every department will:

(a) in respect of records connected with accounts, observe the instructions contained in **Appendix 13** to the General Financial Rules;

(b) in respect of records, relating to establishment, personnel and housekeeping matters common to all departments, follow the 'schedule of periods of retention for records common to all departments' issued by the Department of Administrative Reforms and Public Grievances;

(c) in respect of records prescribed in this Manual, observe the retention periods and

(d) in respect of records connected with its substantive functions, issue a departmental retention schedule prescribing the periods for which files dealing with specified subjects should be preserved in consultation with the National Archives of India.

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

79. Custody of records -

(1) Recorded files will be kept serially arranged in the sections/desks concerned for not more than one year, after which they will be transferred to the departmental record room. For files due for such **transfer the register at Appendix 15** will be consulted.

(2) In the event of transfer of work from one section to another, the relevant files also will be transferred, after being listed in duplicate in the form at **Appendix 15**. One copy of this list will be retained by the section taking over the files for its record and the other acknowledged and returned to the section transferring them.

(3) Files transferred by a section to the departmental record room will be accompanied by a list of files (**Appendix 15**) in duplicate. The departmental record room will verify that all the files mentioned in the list have been received, retain one copy of the list and return the other, duly signed, to the section concerned. In the record room, these lists will be kept section-wise in separate file covers.

(4) The departmental record room will maintain a record review register 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 [vide **para 79**] will be stamped prominently as 'transferred to NAI' and retired to the National Archives. Files transferred to the National Archives will be accompanied by a list (in triplicate), one copy of which will be returned by the National Archives, duly signed, to the departmental record room.

(6) Record rooms will be properly ventilated, with adequate lighting and fire-safety equipment and avoid exposure to moisture. The records will be arranged serially section-wise and will be regularly dusted. For proper preservation the records will be periodically fumigated and 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.*

80. Review and weeding of records -

(1) A category 'C' file will be reviewed on the expiry of the specified retention period and weeded out unless there are sufficient grounds warranting its further retention. Justification for retaining a file after review will be recorded on the file with the approval of branch officer/divisional head concerned. Retention after a review will be for a period not exceeding ten years, including the period already retained. If a file was originally retained for a period of 10 years, any further retention will require up-gradation of the category.

- (2) Category 'A' and category 'B' files will be reviewed on attaining the 25th year of their life in consultation with the National Archives of India. In these reviews, the need for revising the original categorization of category 'B' files may also be considered.
- (3) The year of review of category 'C' files be reckoned with reference to the year of their closing and that for category 'A' and category 'B' files with reference to the year of their opening.
- (4) Beginning in January each year, the departmental record room will send to the sections/desks concerned the **files due for review** in that year, together with a list of files in the form at **Appendix 16**, in four lots-in January, April, July and September.
- (5) (i) Files received for review will be examined by, or under the direction of, the Section Officer or the desk functionary concerned and those files which are no longer required will be marked for destruction. Other files may be marked for further retention vide sub-para (2) & (3). It may, however, be ensured that in case an inquiry has been initiated departmentally or by a Commission of Inquiry or as a result of Court proceedings having a bearing on the subject matter contained in the files/documents concerned or the files/documents which are required in connection with the implementation of order/judgement of any court of law, such files/documents will not be destroyed, even if, such files/documents have completed their prescribed life as per the Record Retention Schedule.
- (ii) Files/documents referred to above may be, destroyed only after submission of the Report by the Commission or completion of inquiry or implementation of the judgement/order of the court(s), with the approval of the concerned Joint Secretary/Head of the Department. 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.
- (6) After review the record clerk/desk assistant will make entries of revised categorization/retention period in the file registers and return them to the departmental record room along with the list (**Appendix 16**) after completing column 3 thereof.
- (7) The departmental record room will:
- (a) transfer category 'A' and category 'B' files surviving the review undertaken at the 25th year of their life vide sub-para (3) above, to the National Archives;
 - (b) in the case of other files:
 - (i) destroy those marked for destruction, after completing column 4 of the list of files and
 - (ii) restore the rest i.e. those marked for further retention, to the departmental record stacks after making the required entries in the record review register in the case of category 'C' files;
- (8) Records not falling within the definition of file, e.g., **publications, spare copies of circulars, orders, etc.**, will also be subjected to periodic reviews at suitable intervals and those no longer needed should be weeded out. To facilitate such reviews each section will maintain a register in the form at **Appendix 17**.
- (9) 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 Ministries/Departments:-
- (a) A special drive may be launched every 6 months to record/review all old files and to weed out those no longer needed.
 - (b) 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;

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

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

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

81. *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.

CHAPTER X

SECURITY OF OFFICIAL INFORMATION AND DOCUMENTS

82. *Unauthorised communication of official information* - Unless authorised 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.

83. *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 authorised official only.*

(2) Where the general consent has been obtained under sub-para (1) above, such consent will, however, exclude classified files or to files in which the officer to whom the file is supposed to be referred or shown, is personally affected, or in which his official conduct is under consideration.

(3) For the purpose of attending meetings / discussions outside office an officer not below the level of Section Officer / Desk Officer may carry Confidential papers / files. The authorisation will be produced by the officer on demand.

84. *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 Chairman, Secretary and other officers specially authorised in this behalf may give information or be accessible to the representatives of the press.

85. *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.

CHAPTER XI

CHECKS ON DELAYS

86. *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 case 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.

87. *Handling of Public/Staff Grievances* -

(1) All officers of the level of Deputy Director and above will redress public grievances pertaining to the divisions under their charge. They will view public grievances with sympathy and make special efforts to decide on such cases expeditiously.

(2) A senior officer of the level number, telephone number, etc., of the Director of Grievances should be displayed prominently at the Reception and some other convenient place in the office building of the Board.

(3) Every Wednesday of the week should be observed strictly as a meetingless day. The Director of each Department should remain in their offices during specified hours (1000 hours to 1300 hours) on every Wednesday to receive and hear grievances of the members of the public.

(4) 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.

(5) 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.

(6)(a) 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 Board must be sent to the petitioner. (b) Time limits will be fixed for disposal of various types of public/Staff grievances which are handled in the department with due regard to the minimum time needed for each type, through departmental instructions. (c) 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.

(7) Board 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 Administrative Reforms and Public Grievances may be obtained to study these areas for improvement.

(8) Publicity will be given about the grievance redress machinery of the Board.

(9) The feedback mechanism and the monitoring system for grievance redress will be strengthened.

(10) 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 Board.

(11)(a) All public grievances received directly or through MPs/VIPs/Directorate of Public Grievances (Cabinet Secretariat)/Department of AR&PG/e-mail etc. will be registered and processed in the computerised Public Grievance Redress And Monitoring System (PGRAMS). Action to acknowledge and dispose of the grievances according to time norms fixed will be taken. Acknowledgement will contain registration number of the grievance. (b) The progress and final disposal of the grievance will be indicated in PGRAMS so that the petitioner can access the information through Internet. (15) The record of grievances will be retained in the computer for one year after the date of final disposal of the grievances.

88. *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 18**.

(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 18** and submit the consolidated statement to the section officer on the same day. *In a computerized environment the Section Officer will generate a pendency statement from the computer on the first working day of every week.*

(4) The section officer will :

(a) check the consolidated arrear statement for accuracy;

- (b) scrutinise the statement of receipts / cases which is more than one week old;
- (c) give his remarks or instructions, where necessary; and
- (d) submit the statements to the branch officer.

(5) On receipt back in the section action will be taken as per directions.

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

- (1) Every section will prepare, each month, a statement indicating briefly the position of each case pending disposal for over a month.
- (2) On the last working day of each month, the diarist will:
 - (a) go through the **case sheets (Appendix 19)** of pending cases for the preceding month and indicate the latest position of each case included in column 2 of the statement;
 - (b) prepare fresh case sheets for cases opened during the preceding month but not yet finally disposed of, by completing columns 1 and 2 of the form and top fixed entries; and
 - (c) hand over the case sheets to the dealing hands concerned.
- (3) The dealing hand will:
 - (a) scrutinise entries in the first two columns of the case sheets;
 - (b) draw a red line across case sheets of cases that have been finally disposed of or transferred to call book (para 90 and **Appendix 20**)
 - (c) complete column 3 of other case sheets; and
 - (d) return the case sheets to the diarist by the 2nd of the month following that to which the statement relates.
- (4) The diarist will:
 - (a) remove the case sheets of files that have been finally disposed of or transferred to call book vide para 90 for being kept in a separate folder;
 - (b) arrange the remaining case sheets in chronological order of the dates of the commencement of cases, the latest being on top;
 - (c) place the case sheets in a file cover marked 'Monthly statement of cases pending disposal for over a month';
 - (d) prepare in duplicate a **numerical abstract** in the form at **Appendix 23**; and
 - (e) submit the monthly statement and the two copies of the numerical abstract to the section officer by the 3rd of the month.
- (5) The section officer will:
 - (a) scrutinize the case sheets and, where necessary, add his remarks;
 - (b) check the numerical abstract for accuracy;
 - (c) submit the monthly statement and one copy of the numerical abstract, with a brief forwarding note, to the branch officer by the 5th of the month; and
 - (d) send the second copy of the numerical abstract to the 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 Secretary.
- (7) The Secretary may bring any case included in the monthly statement to the specific notice of higher officers or otherwise, as deemed fit.
- (8) The internal work study unit will:
 - (a) post the figures in the **numerical abstract**, in the form at **Appendix 23** and return the abstract to the section concerned;
 - (b) prepare the consolidated statement for the department as a whole by totalling the columns vertically in the form at **Appendix-23**;
 - (c) analyse the trend of disposal of cases; and
 - (d) bring to the notice of the O&M officer and the Secretary, any significant trend.

90. *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 22)** with the approval of an officer not below the level of Deputy Director.

- (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 89 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 / Divisional Head 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.

91. *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 23 and 24** and submit them, together with the following records, to the section officer:
 - (a) register for watching the progress of recording (**Appendix 13**) and
 - (b) lists of files received for review.
- (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:
 - (a) post the figures in the forms at **Appendices 25 and 26** and return the reports to the section concerned;
 - (b) prepare the consolidated statement for the department as a whole by vertically totaling the columns in the form at **Appendices 25 and 26**;
 - (c) watch the progress of recording and review work generally; and
 - (d) bring to the notice of the designated O & M officer and the Secretary, any significant trends in the matter.

92. *Watch on disposal of communications received from Members of Parliament -*

- (1) The personal section of Secretary/Director will maintain a separate **register of communications received from Members of Parliament** in the form given in **Appendix 27**. The serial number at which a letter is entered in this register will be prominently marked on that letter together with its date of registration e.g., '125/JS/(P)MP'__ 20.3.2001.
- (2) To keep a special watch on speedy disposal of communications received from Members of Parliament, each section will:
 - (a) maintain a register as in form at **Appendix 28**; and
 - (b) 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 letter is received by a section without being registered in the personal section of the Secretary/Director, immediate steps will be taken to get it registered there.
- (4) On the first working day of each month, each section will submit the register along with the report in the form at **Appendix 29** to the Secretary. The report, with the remarks of Secretary, will be submitted to the Chairman.
- (5) The personal section of the Secretary/Director will check whether all the communications entered in its register figure in the reports sent by the sections. If any discrepancy is found, it

should be reconciled. Thereafter, the report will be submitted to the Secretary/Director for scrutiny and for such other action as he may consider appropriate.

93. *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 92.

94. *Monitoring of Court cases and implementation of Court Orders:-*

(1) The Personal section of each - Secretary/Director will maintain a separate register of Court/CAT Cases from the date of filing the petition/application in **Court** in the form given in **Appendix 30 and Appendix 32**. 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. The Implementation of the Court Case shall be recorded in the register as per **Appendix 31**.

12/JS/Court/CAT Case

18.9.2001

95. *Register of Parliamentary Assurances -*

(1) Each section in a department will keep a record in the form at **Appendix 33** of Assurances given by a Minister to either House of Parliament, whether in replies to questions or in the course of discussions on bills, resolutions and other motions. A separate register will be maintained for each House and entries therein will be made session-wise.

(2) The Section Officer will:

- (a) scrutinize the registers once a week;
- (b) ensure that necessary follow-up action is in fact being taken; and
- (c) submit the registers to the branch officer every fortnight if the House concerned is in session and once a month otherwise, drawing his special attention to the Assurances which are not likely to be implemented within a period of three months.

96. *Check-list of periodical reports –*

(1) To ensure timely receipt, preparation and despatch of periodical reports, each section will maintain two check-lists, one for incoming reports and the other for outgoing reports, in the forms at **Appendices 34 and 35**. 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 despatched the relevant entry in the date column of the appropriate check-list will be rounded off in red ink.

97. *Review of periodical reports/returns -*

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

- to eliminate those that are unnecessary;
- to redesign those that do not provide information / data in usable form;
- to rationalise/simplify the essential ones by combining two or more of them when possible; and
- to revise the frequency in relation to the need with due regard to constraint of time required for collection of information / data from field levels.

(2) The results of the review during each year will be reported by the section to the 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 Ministry as a whole, to the Department of Administrative Reforms and Public Grievances by the 30th of April.

98. *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 section diary and the assistant's diaries, and take such other action as may be necessary to ensure;

(a) that no paper or file has been over looked; and

(b) 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.

99. Checks on delays under desk officer system - The provisions of paragraphs 86 to 99 will also govern the desk pattern of functioning.

CHAPTER XII INSPECTIONS

100. *Purpose and periodicity -*

(1) Each 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.

(2) The Record Room in the Department will be inspected once a year.

101. *Inspecting authorities -* As far as possible, the inspection will be conducted by Secretary.

102. *Inspection programme -*

(1) The Internal Work Study Unit will draw up in advance every year, for the approval of the Chairman, a monthly programme of inspection of Sections / Desks to be undertaken during the following year, indicating the names of the inspecting officers and the months in which the inspections would be carried out.

(2) 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.

102. *Inspection report -*

(1) The inspecting officer will present his report to the Chairman with the following information:

(a) number of sections / desks / units inspected during the preceding financial year;

(b) name of the unit inspected;

(c) deficiencies noticed in the existing procedures;

(d) suggestions received for improvement of procedures common to all departments, together with his comments thereon; and

(e) any other points of general application emerging from the inspections.

CHAPTER XIII OFFICE AUTOMATION

103. *Purpose of office automation -* Use of modern office equipment in of business in the disposal the Board 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.

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

(a) storage and retrieval of information;

(b) processing and delivery of information;

- (c) document creation and duplication; and
 - (d) faster communication.
105. *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 Ministry of Information Technology.
106. *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 with personal computer.
107. *Photocopier* -
- (1) A photocopier produces copies of any document on plain paper faster than cyclostyling.
 - (2) 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 / Divisional Head under whose charge the machine is placed.
108. *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.
109. *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.
- 110.(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.
- (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.
111. *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
112. *Document shredder* – This is a machine to dispose off unwanted records by shredding.
113. *Risograph* – This may be used when duplication of material is to be done in large numbers and the output quality is higher than cyclostyling.
114. *Overhead projector, Slide projector, LCD projector, Video projection system* – These machines are used for making presentations to large gatherings.
115. *Video Conferencing Equipment* – This machine is used to hold conferences with the participants being at different geographical places through an ISDN line.

CHAPTER XIV

ELECTRONICALLY SUPPORTED OFFICE PROCEDURES SYSTEM

116. *Need for electronic support system-* With a gradual shift to automated environment in Tea Board offices, there exists a case for adopting a completely electronic support system

incorporating the basic procedures enshrined in the Manual. The system will also ensure easy storage, processing and quick retrieval of information at any point of time and by all relevant functionaries, thereby ensuring increase in overall efficiency and productivity of the Board.

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 progress of working on the system.

117. *Procedures 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 section 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 files need 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 supervisor 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) Despatching the letters/files through Central Registry or directly- Before despatch, 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 despatch 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 creation processing and recording of files in totally computer environment.

CHAPTER-XV

CONDUCT AND DISCIPLINE

118. The Board shall follow the CCS (CONDUCT) RULES, 1964 and CLASSIFICATION, CONTROL & APPEAL) RULES, 1965.

CHAPTER XVI

GENERAL GUIDELINES

119. Working Hours

- Working hours of the office will be from 9-30 a.m. to 6.15p.m. with half an hour lunch break from 1-00 to 1-30 p.m. or 1-30 to 2-00 p.m. as designated for different categories
- The prescribed working hours, including the lunch break, should be strictly adhered to by everybody.
- Every employee shall record his/her attendance in office by putting initials along with the time of arrival/departure in ink or through any electronic mode as placed by the Board for this purpose.
- Irregularity in attending office is highly objectionable. It amounts to lack of devotion to duty and shall be viewed with disfavor.
- Late attendance of an employee may be condoned if caused by reasons beyond his control but not more than twice a month. Half-a-day's casual leave will be debited to the casual leave account of the employee for each occasion of late attendance.
- Habitual late-coming will invite disciplinary action.

120. Use of Telephone and Computers

- Telephones should be used whenever necessary to speed up communication and decision making. STD/Trunk facilities may, however, be used keeping in view the importance / urgency.
- Use of private e-mail is discouraged and use of Internet chatting is prohibited. All employees shall use the official Email-ID as provided by the Board.
- Official telephones must not be used for private calls.

121. **Visitors**

Personal visitors are not encouraged during office hours. If for urgent or unavoidable reasons, visitors do come to office premises, they will be requested to give their full particulars in the Visitors'Book at the Reception and wait at the Reception. The Receptionist will inform the officer supervising the work of the person whom the visitor wants to meet and, on his approving it, the person may meet the visitor in the Reception premises. Personal visitors cannot visit the working area of Board or the Canteen under any circumstances.

123. **Conduct & discipline.**

- All persons working in the Board shall maintain proper decorum in office at all times.
- All employees are expected to be formal while they are on duty. The service personnel will be in their respective uniforms wherever provided.
- Service conditions of the persons deputed by the Service Provider shall be regulated in terms of the agreement entered into between BOARD and the Service Provider.
- Any person provided by the Service Provider not performing his duties as per expected standards, or behaving in an improper manner shall be reported immediately to the Administration Division who will ask him to report back to the Service Provider.
- Before leaving the Board every employee whether on deputation or on contract, shall hand over all papers, property, equipment etc. belonging to BOARD and acquired by him in connection with his employment or service in the Board, and obtain a 'No dues' certificate.
- Smoking within the No Smoking Zones of the Board is strictly prohibited.
- Talking very loudly so as to cause disturbance for others should be avoided.

124. **Use of Cell Phones**

Personal cell phones shall be kept in 'silent' mode during office hours.

125. **Economy**

BOARD functions from a grant made out of public funds. Due economy consistent with quality must, therefore, be observed, particularly in:

- Use of electricity and electrical appliances.
- Paper and other consumables.
- Telephone, Fax.
- Printing / photocopying.
- Purchase of Stores etc.

Heads of all Department will oversee observance of economy instructions.

CHAPTER XVII STORES

126. **DEFINITIONS:**

- '**Competent Authority**' means the Chairman of the BOARD or any other officer to whom he delegates his powers under these Rules.
- '**Limited Tender**' means invitation to a limited number of firms, which are borne on the list of approved contractors or suppliers.
- '**Open Tender**' means an invitation to Tender by public advertisement.
- '**Single Tender**' means an invitation to tender sent to a single party.

- **‘Stores’** shall include:

1. All items and materials (including software) purchased or otherwise acquired by the Board for its use. (Such items shall be called ‘Durable Stores’.)
2. All expendable and consumable items or materials. (Such items shall be called ‘Consumable Stores’).
3. Articles of ‘deadstock’ in the nature of plant, machinery, furniture, fixtures etc. This term shall not, however, cover any books, publications, periodicals etc. for which specific procedures are separately prescribed.

- **‘Store-keeper’** shall mean any official entrusted with the management of Stores. (Management shall include indenting, purchase, custody, issue of stores and all other related functions.)

129. **PURCHASE AND ACQUISITION OF STORES:**

- The Chairman of the Board exercises full powers to sanction purchase or hiring of Stores required for official use in the Board.

- The Chairman of the Board may delegate his powers to any subordinate authority through formal orders with or without prescribing any upper limits on the expenditure to be incurred for the purpose.

- All purchases of Stores shall be made in the most techno-economic manner as per requirements of the Board.

- A separate file will be opened for each transaction or for each set of related items as convenient, but unrelated items/ transactions shall not be processed in the same file.

- Durable Stores/ Deadstock shall be purchased as per the following procedure:

1. Specifications and quantities shall be determined and approved in advance along with procurement procedure and warranty / guarantee / maintenance conditions.
2. Purchases costing up to Rs. 1,000/- on each occasion may be made without inviting tenders or quotations.
3. Purchases costing between Rs.1001 to Rs.10,000 may be authorized by the competent authority without calling for tenders. But quotations from at least 5 parties shall be invited in all such cases.
4. For stores needed urgently purchases may be made from the open market so long as the price does not exceed the price stipulated in the rate contract, if there is any, and the amount of purchase does not exceed Rs. 10,000/- at a time and Rs. 1,00,000/- in a financial year.
5. In case the total cost is less than Rs. 5 lakhs (or such amount as may be specified by DG from time to time) by calling limited tenders from at least 5 manufacturers / authorized dealers / agents (See Appendix ---)
6. Where cost exceeds Rs. 5 lakhs (or such amount as may be specified by Board from time to time) unless for reasons to be recorded in writing it is expedient to follow limited tender procedure, offers will be invited by open tender from manufacturers / authorized dealers / agents. (See Appendix --)
7. In case of articles, which are of a proprietary nature or when the competent authority is satisfied that only a particular firm manufactures the stores required the said firm may be issued a ‘Single Tender Enquiry’.

8. All offers will be assessed on basis of technical considerations and qualifying tenderers will be considered on basis of lowest rates. Wherever necessary separate Technical and Financial Bids will be invited to facilitate this.

9.
 - Consumable stores shall be purchased from reliable manufacturers/agents/sources under rate contracts based on limited tenders invited from at least 5 sources through periodical indents as per limits re-ordering to be specified.

- The prescribed scales or limits, if any, shall not also be exceeded unless justified in a particular case for reasons to be recorded. The authority making purchases shall keep in mind the standards of financial propriety listed in **Appendix 16**.

- If necessary the Board may also constitute a committee of officers to assess the offers received.

- The committee so appointed shall, *inter alia*, inspect the material supplied and verify its specifications and quality with reference to the samples submitted earlier.

130. **CUSTODY & ACCOUNTS OF STORES:**

- On receipt of the Stores the Storekeeper shall examine, count, measure, weigh or compare with approved sample the articles as the case may be and shall then certify (on the back of the bill or *challan*) that he has actually received the materials as per the indented quality, specifications and quantities.
- The Storekeeper shall then enter the items so received in the **Stock Register (Appendix 44)** showing number/ quantity of items received and the total balance at hand. He shall further certify such entries. Separate Registers shall be maintained for Consumable Stores and for Durable Stores and Deadstock. Record will be kept of Stock requiring maintenance contracts.
- In case of Durable Stores and Deadstock, an identification number unique to that particular article / item of stock shall be assigned and entered in Col. 8 of the Stock Register. This mark shall comprise of the following elements:

1. Abbreviated name of the Board [BOARD]
2. Abbreviated, descriptive name of the Article
3. Serial number of the entry in the Register; and
4. Year of its acquisition.

For example, an office chair purchased in the year 2003, being the 19th piece of its kind, shall be numbered as: 'BOARD / Off.Ch. – 19/2003.'

- The identification mark shall be painted, or written permanently, on each item of the Stores in abbreviated fashion, e.g., BOARD / Off.Ch.- 19/03
- The Storekeeper shall take care for safe custody of the Stores in his charge by providing suitable storage accommodation, particularly for valuable and combustible Stores, to keep them in good working condition and protecting them from loss, damage or deterioration.

131. **MAINTENANCE CONTRACTS:**

- The Storekeeper shall keep in custody all warranty/ guarantee/ maintenance contracts. He shall ensure that all items under warranty/ guarantee are in good condition as per terms and conditions of the warranty /guarantee. He shall also obtain appropriate orders and ensure that wherever necessary, Annual / Periodical Maintenance Contracts are entered into / renewed.
- A record of the Annual Maintenance Contracts shall be maintained as per specimen formats in **Appendix - 45**.
- A register containing details of all the Annual Maintenance Contracts in force at any given time shall also be maintained in the format prescribed for the purpose (**Appendix 45**) to ensure timely entering into / renewal of all such contracts.
- This register will be submitted for inspection of F.A.&C.A.O/Secretary in the last week of June and December every year.

132. **ISSUE OF STORES:**

The Stores shall be issued from the stock only against written requisitions made under signatures of the person competent to indent them.

133. **TRANSFER OF CHARGE OF STORES:**

- A reliable and up-to-date account of all Stores in the custody of the Storekeeper shall always be maintained in the form prescribed [**Appendix- 46**] to facilitate **verification of Stores** and check of accounts at any time. All transactions shall be recorded in it as soon as they take place.
- In case of his transfer elsewhere the Storekeeper shall make over the Stores in his custody to his successor after a physical verification of both Stores held and Stores issued.
- While taking charge of the Stores, the new Storekeeper shall examine the accounts and describe the state of the account records. He may also count, weigh and measure certain articles, selected at random, to test the accuracy of records maintained.
- The relieving Storekeeper, while reporting completion of the transfer, shall bring out any deficiency /irregularity he might have noticed in keeping of Stores and their accounts.

134. **PHYSICAL VERIFICATION**

- Articles in stock shall be verified every year in the month of March. Such verification shall be done by a person who is -

1. _____ other than the Storekeeper or the accountant of the Stores to be verified;
2. _____ conversant with the description, classification, nomenclature etc., of the Stores to be verified; and
3. _____ independent of the Storekeeper.

- Verification shall always be made in the presence of the Storekeeper or a responsible person deputed by him.

- All discrepancies noticed shall be properly investigated and brought to account immediately so that the inventory may represent the true account.

- Shortages and damages, as well as any Stores found to be unserviceable, shall be reported immediately to the authority competent to write off the loss.

- A certificate of verification of Stores and its result shall be recorded on the list, inventory, or account, as the case may be, whenever such verification is carried out. A record of such verifications carried out shall also be maintained in a Register as per the format at **Appendix - 46**. The register will be put up to F.A.&C.A.O/Secretary in the month of March every year.

- Balance of Stores held at any time shall not exceed the maximum limit, where prescribed, or the requirements for a reasonable period.

135. **WRITING OFF LOSSES etc.:**

- The Chairman exercises full powers to write off all losses, deficiencies or depreciation in the value of Stores held in the Board.

- The Chairman may delegate these powers to a subordinate authority in the Board with or without imposing any monetary ceilings.

- Before deciding to write off a loss the authority competent to do so shall make a thorough and searching investigation to ascertain whether:

- _____ The loss discloses any defect in rules or procedures and, if so, what action for their amendment can be initiated; and
- _____ Has there been any serious negligence on the part of an employee that may call for disciplinary action by Competent Authority.

- If any defect in the rules/ procedures is found to have caused the loss, the possibility of rectifying the defect by amending/ revising the concerned rules/ procedures shall be considered.

- Where the competent Authority is satisfied that the loss was caused by an honest error of judgment and that the person responsible had acted in good faith to the limits of his ability and experience, it may condone the lapse and write off the loss.

- Personal liability shall, however, be fixed and strictly enforced against all those who are found to have been dishonest, careless or negligent in performing their duties.

- All such cases shall be investigated thoroughly and expeditiously. Efforts will also be made to vplug any loopholes in the existing procedures to prevent recurrence of such losses and also to recover, from the person responsible, at least the depreciated value of the property so lost.

- When Losses are found to have been caused through fraud the whole amount of loss may be recovered from those found responsible.

- Wherever loss of property, for whatever reasons, is found to have been facilitated by laxity of supervision the supervisor shall also be called to account and penalized, if necessary.

136. **OBSOLETE / UNSERVICEABLE / SURPLUS STORES:**

- At the time of purchase of a category of stores, the 'life period' of as many items of Stores shall be determined, as possible, in consultation with the manufacturers, if necessary.

- A periodical inspection of Stores, preferably every six months, shall be made by a responsible officer to identify Stores rendered surplus/obsolete in terms of the determined 'life period'.

- An item of Stores may be considered to have become obsolete/ unserviceable /surplus and declared as such when it:

1. _____ Has outlived its 'life period' and it is not practicable to repair or renovate it economically; or

2. Has been rendered unusable by normal wear and tear, accident, fire, flood etc.; or
3. Is damaged by insects, rats etc.; or
4. Is no longer needed in the Board.

- Before, however, making any such declaration the Stores in question shall be examined by a committee of three persons constituted at the appropriate level under orders of Chairman.
- The Committee shall examine the Stores under review with reference to their 'life period', where prescribed; their physical condition and requirements of the Board before declaring them as obsolete, unserviceable or surplus.
- Each order declaring the Stores as obsolete, surplus or unserviceable shall specify full reasons for not declaring them as such. Proper records of all such Stores shall be maintained in the format at **(Appendix –47)** to watch their disposal.
- The authority competent to sanction purchase of a Store shall also be the one competent to declare that Store as obsolete / surplus / unserviceable and to sanction its disposal.
- All Stores declared as obsolete, surplus or unserviceable shall be disposed of by sale or otherwise under orders of the competent authority.
- The time lag between the Stores being declared surplus/obsolete etc. and their disposal should be kept to the minimum. The Stores in question should be kept safe and properly protected from damage / pilferage till they are disposed
- Any loss found to have been caused by negligence, fraud or mischief on the part of any employee, before or after the Stores being written off, shall be made good by that employee.

137. **LOCAL PURCHASE OF STATIONERY AND RELATED CONSUMABLES:**

- The Chairman of the BOARD exercises full powers to authorize purchase of stationery for use in the office of Tea Board.
- These powers may be delegated by him to any other authority in the Board with or without prescribing any financial limits or ceilings on their exercise.
- Purchases shall be made as follows:
 1. Items shall be identified in terms of category, specifications and quantities.
 2. Unless an item is required occasionally or in small quantities, annual rate contracts shall be entered into with manufacturer / authorized agents.
 3. In case annual value does not exceed Rs. 5 lakhs in a particular case, limited tendering procedure may be followed.
 4. In all cases 'dual bid system' or two envelope system shall be used; one containing the technical bid and sample; the other the financial bid.
 5. A tender opening and evaluation committee shall be formed to process cases and recommend acceptable offer based on techno-economic considerations.
- A register in the format prescribed **(Appendix 48)** shall be maintained to keep records of acquisition and issue of various items of stationery.
- Articles of stationery shall be issued only on receipt of a formal requisition from the users. These requisition slips shall be numbered consecutively, preserved in a folder and referred to at the time of audit and/or verification of stocks etc.
- All cases of unusually high indents/ consumption shall be brought to the notice of F.A.&C.A.O/Secretary
- Suitable additional stock of each item of stationery should also be maintained to take care of any exigency and emergencies. Limits below which reordering will be resorted to will be got fixed by the storekeeper.
- Stocks rendered obsolete or otherwise unwanted stocks may be written off/ disposed of by sale with previous sanction of the Chairman.

CHAPTER XVIII HOUSEKEEPING

138 SANITATION:

Cleaning and dusting of entire office including the three lifts, lobbies, reception area, all rooms, cubicles and hall will be done on all working days and other days when staff is present in the office. Intensive cleaning/ vacuuming of the entire office premises will be undertaken on Saturdays and Sundays for which at least three persons will be deployed.

Daily cleaning of computer server rooms with vacuum cleaner. Removing of litter and waste material from wastebaskets etc. Cleaning of toilets, washbasins, mirrors and other surfaces and maintaining them in clean and sparkling state throughout with adequate disinfectants and fragrance. Liquid soap will be filled in dispensers, naphthalene balls placed in urinals and air purifiers provided and maintained. Tissue rolls will also be replenished. Removal of beehives and cobwebs/honey webs from the office building and its premises. Provision, replacement and cleaning of towels in the officers' rooms and on washbasins etc. Cleaning and dusting of entire furniture, fittings and equipment and other vertical surfaces. Cleaning the Canteen premises, furniture, fittings and the equipment installed therein. Proper disposal of all trash in trash bags at least twice a day or as may be required. Trapping and disposal of any rats, mice etc. or other such animals found dead within premises.

139. HOUSEKEEPING:

Placing drinking water in clean flasks and glasses in rooms / workstations. Switching on and putting off the Air Conditioners at appropriate times and maintenance of proper temperature. Replacement of bulbs. Regular watering and maintenance of potted plants, both indoor and outdoor, including planters.

CHAPTER XIX MISCELLANEOUS

140 . *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.

141. *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 Organization towards its Citizens/Clients in respect of Standard of Services, Information, Choice and Consultation, Non-discrimination and Accessibility, Grievances Redress, Courtesy and Value for Money. This also includes expectations of the Organisation from the Citizen/Client for fulfilling 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 Redress Mechanism and how to access the same; and
 - (vi) Expectation from the citizen / client.

Activities relating to the Charters as detailed below will be included in the Annual Report of the Ministry / Department.

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

145. *Official language for purposes of Government work :-*

(1) In accordance with the provisions of Article 343 of the Constitution, Hindi became the official language of the Union with effect from the 26th January, 1965. However, the Official Languages Act, 1963 permits the continued use of English for specified purposes of Government work subject to certain conditions. The Official Languages Rules, 1976 have been framed under the Official Languages Act, 1963. Instructions are issued from time to time by the Department of Official Languages to ensure compliance with them. Each year an annual programme of action is also issued.

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

- (a) Communications to the offices of State Governments and the Administration of the Union Territories or persons residing in Region (A) i.e. Bihar, Chattisgarh, Haryana, Himachal Pradesh, Jharkhand, Madhya Pradesh, Rajasthan, Uttaranchal and Uttar Pradesh, as well as the Union Territories of Delhi and Andaman & Nicobar Islands, and in Region (B) i.e. Gujarat, Maharashtra and Punjab as well as the Union Territory of Chandigarh as defined in sub-rules (2)(f) and (g) of the Official Languages Rules 1976, shall be made in Hindi. In case a person responsible for drafting a letter does not have sufficient knowledge of Hindi the draft prepared by him in English will be translated into Hindi and the letter will be issued in Hindi.
- (b) Communications to the offices of the remaining States and Union Territories as well as persons residing therein may be made in English.
- (c) Correspondence with Central Government offices located in all regions shall be made in Hindi in the proportions as fixed in the Annual Programme issued by the Department of Official Languages.
- (d) All communications received in Hindi, irrespective of their source, shall be replied to in Hindi.
- (e) For noting as well as drafting purposes other than those specified herein before an official is permitted to use Hindi or English, according to his convenience.
- (f) An official who does not possess working knowledge of the language used in a case, is provided with a translation or a precis thereof in the language he knows and employs for the purpose of Government work.
- (g) Both Hindi and English are used for:-

- (i) Resolutions, general orders, rules, administrative and other representations, notifications and press communiques;
- (ii) Administrative and other reports and officials papers laid before a House of Parliament; and
- (iii) Contracts and agreements executed as well as licences, permits, notices and form of tenders.

146. *Departmental instructions -*

- (1) This manual lays down the essential procedures for efficient paperwork management, i.e. processing, handling and control of official papers, in the Central Secretariat. To provide for sufficient flexibility, the manual suggests the issue of departmental instructions which could supplement or vary, within broad limits, the prescribed procedures to suit special conditions and requirements.
- (2) Each section may devise suitable arrangements, including inspections to ensure compliance with departmental instructions issued by it.

147. *Compilation/consolidation of orders/instructions:-*

- (1) In April every year, each section will prepare a list of subjects in respect of which orders issued by it require compilation / consolidation.
- (2) The list will be submitted to the Joint Secretary who, after approval of list, will fix a time-bound programme for completion of compilation/consolidation work.
- (3) A copy of this programme will be sent to the Internal Work Study Unit.
- (4) Internal Work Study Unit will send the report on the progress made to the Department of Administrative Reforms and Public Grievances by 30th of April every year through the Ministry of Commerce.

148. *Review of rules, regulations and manuals:-*

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

APPENDIX 1
Dak Register
[Vide para 2(6)]

Date:

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

APPENDIX 2

Invoice

[Vide para 5(1)]

Department

Section / Desk

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

APPENDIX 3

Section/Desk Diary for Receipts

[Vide para 7(1) and (2)]

[illegible]

APPENDIX 4
Personal Section Diary
(Vide para 8 (1))

Date.....

Sl. No.	Diary Number	Number and Date of receipt		From whom received	Brief Subject	To Whom marked	Remarks
		Number	Date				

Instruction

APPENDIX 5
Movement Slip
[Vide Para 10(3)]

Diary nos. of receipts removed for	
Processing	Submission to higher Officers (to be specified)

APPENDIX 6
Assistant's Diary
[Vide Para 13(2)]

Sl. No.	Diary No or File No.	Subject	File No.	Date of Submission
1	2	3	4	5

N.B: To be submitted before the Controlling Officer on first working day of each month.

APPENDIX 7
[Vide paragraph 22(12)]
STYLE IN NOTES AND DRAFTS1

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,.
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 phrase. It is often aggravated by making the subject of the main sentence different from the implied subject of "returning" or by changing to the passive construction. You can say "In returning...I am directed to point out". You must not say "In returning herewith the statement received with his letter....the Deputy Commissioner is informed". But this is quite common. On the other hand, such phrases as "Turning to paragraph....it may be observed" and so on ("Regarding", "Concerning", "Considering", etc.), are unobjectionable though "Turning to paragraph 1" is no doubt more strictly correct.
- (27) A needless anxiety to avoid repetition gives rise to various faults. Sometimes, instead of repeating a man's name, an assistant will say "the individual" which is not good English. The use of "former and latter", "respectively" and "the same" have been mentioned already and also come under this head.

- (28) The words "Comprise", "compose" and "consists" are confused with each other. It is written "the land comprises of 3 plots" or "is comprised of". The correct forms are "the land comprises consists 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 8
Issue Diary
(Vide Para 57)

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

APPENDIX 9

Despatch register for postal communications only

[Vide para 56(2)]

Number

Date

S. No.	Number of Communications	Addressee	Value of Stamps affixed
1	2	3	4

APPENDIX 10
File Movement Register
[Vide para 67)]

File No.

SUBJECT _____

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

Space for recording movements of part files

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

DS(N)
01.01.2001

MHA
24.01.2001

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

File NO

Linked files :-

DS(N)

19.02.2001

1. F. No.

2. F.No.

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

File NO

DS(N)

Linked with files No.

19.02.2001

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

File NO

With recorded files :-

DS(N)

19.02.2001

1. F. No.

2. F.No.

APPENDIX 11

Register for watching the progress of recording
[Vide para 71(2) (b) and (3)]

Section

Month and year

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

APPENDIX 12

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

[Vide para 72 (1)(a), (b) and (2)]

A – Records of value for administrative purposes

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

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

APPENDIX 12 – *contd.*

- (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 13

Example of titles of files and index slips

[Vide paras 74(3)(c),(d), and 76(2)(a)(ii)]

A-Title with index heads and sub-heads distinguished

Sl. No.	Title of file	Typed index slips
1.	2.	3.
1.	STRIKES- coalmines-Singhbhum Collieries, dhanbad-report regarding	STRIKES Coalmines Singhbhum collieries Dhanbad Strikes-Coalmines-Singhbhum Collieries, dhanbad Report Regarding F.3/2/96 – LRI
2.	IMPORT LICENSING-Capital Goods-Public Sector Undertakings –Application from Heavy Electricals, Bhopal	IMPORT LICENSING Capital goods Public Sector Undertakings Heavy Electricals Import licensing-capital goods Public Sector Undertakings-Application from Heavy Electricals, Bhopal. F.4/17/96-IMP
	FAMILY PLANNING- Vasectomy operations- Financial And other incentives for popularizing	FAMILY PLANNING VASECTOMY Incentives Family planning-Vasectomy operations-Financial and other incentives for popularizing. F.7/3/96-FPI

APPENDIX 13 –contd

1.	2.	3
----	----	---

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

EXAMPLE 1

First slip * STRIKES
 * Coalmines
 * Singhbhum
 * Dhanbad

Second* slip STRIKES
 * Coalmines
 * Singhbhum
 * Dhanbad

Third slip * STRIKES
 * Coalmines
 * Singhbhum
 * Dhanbad

Four slip * STRIKES
 * Coalmines
 * Singhbhum
 * Dhanbad

EXAMPLE 2 Family welfare

First slip * Vasectomy
 * Incentives
 Family Welfare –vasectomy operations-financial and other incentives for popularizing.

1.	2.	3.
----	----	----

C-Index slip as they appear in the departmental Index

Main index slip	Subsidiary index
-----------------	------------------

APPENDIX 14
PRECEDENT BOOK

[Vide para 77]

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 15

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

[Vide para 79(2) and (3)]

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

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

APPENDIX 16

List of files due for review
[Vide para 80(4) and (6)]

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

INSTRUCTIONS

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

APPENDIX 17

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

[Vide para 80(8)]

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

INSTRUCTIONS

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

APPENDIX 18

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

[Vide para 88(1)]

Name of Section / Desk.....

Week ending.....

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

APPENDIX 19

Case Sheet

[Vide para89(2)(a)]

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

INSTRUCTIONS

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

Numerical abstract of cases pending disposal for over a month
[Vide para 89(3)(b)]

Year.....

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

APPENDIX 21

Consolidated numerical abstract of cases pending disposal for over a month

Ministry/Department of.....

Month ending.....

[illegible]

APPENDIX 22
Call Book
[Vide para 90(1)]

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

APPENDIX 23

Monthly progress report on recording of files

[Vide para 91(1)]

Section/desk.....

Month ending	Number of files				Initials	
	B.F. from previous month	marked for record during the month	recorded during the month	remaining to be recorded at the end of the month (col. 2+3-4)	record clerk / assistant	section Officer / desk functionary
1	2	3	4	5	6	7

INSTRUCTIONS

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

APPENDIX 24*Monthly progress report on review of files**[Vide para 91(1)]*

Section / desk.....

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

INSTRUCTIONS

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

APPENDIX 25
Consolidated monthly progress report on recording of files

[Vide para 91(3)(a) and (b)]

Ministry / Department.....

Month ending.....

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

APPENDIX 26
Consolidated monthly progress report on review of recorded files
[Vide para 91(3)(a) and (b)]

Ministry / Department.....

Month ending.....

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

APPENDIX 27

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

[Vide para 92(1)]

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

APPENDIX 28

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

(To be maintained by sections/ Desks)

[Vide para 92(2) (a)]

[illegible]

APPENDIX 29

Particulars of M.Ps. letters pending for over a fortnight
[Vide para 92(4)]

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

APPENDIX 30
Details of Pending Court /CAT Cases
[Vide para 94(1)]

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

APPENDIX 31

Status of Implementation of Court/CAT Judgements

[Vide para 94(1)]

[illegible]

APPENDIX 32

Number of Court Cases pending for
[Vide para 94(1)]

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

[Vide para 95(1)]

Rajya Sabha

Sl. No.	Date	Reference	Subject	Assurance given	How fulfilled	Date on which	
						Sent to Department of Parliamentary Affairs	Laid on the table of the House
1	2	3	4	5	6	7	8

INSTRUCTIONS

1. Column 2 will show the date on which the assurance was given.
2. Column 3 will indicate the No. of the question, name of bill, resolution, motion, etc. in connection with which the assurance was given and also reference to the communication from the Department of Parliamentary Affairs with which it was received.

APPENDIX 34

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

[Vide para 96(1)]

Ministry / Department of

Section / desk

Sl. No.	Title of the Report & File No.	Periodicity	Due date of Receipt											
			Jan	Feb	Mar	Apr	May	June	July	Aug	Sept	Oct	Nov	Dec
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15

INSTRUCTIONS

1. If the periodicity of a report is more than a month, the prescribed date(s) will be shown under the appropriate months only. For example, if a quarterly report is due on 15th January, April, July and October, only cols. 4, 7, 10 and 13 will be filled by indicating the figure 15 under each.
2. If a report is to be received more than once in a month, two or more entries depending on the frequency of the report will be made in columns 4 to 15. Thus, for instance, fortnight report will require two entries to be made under each month.

APPENDIX 35

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

[Vide para96(1)]

Ministry / Department of.....

Section / desk.....

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

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 36
Section Despatch Register

Date

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

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

APPENDIX 37

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

1. *Basic heads* - Identify and list basic functions of the department, these may be called 'basic (or group) heads' e.g. 'labour relations', 'foreigners', 'fertilizers'.
2. *Primary heads* – List under each function (i.e. basic / group heads) its main activities identifying them by appropriate subject headings called 'primary heads'.
3. *Secondary heads* – Divide each primary head into sub-subjects or aspects called 'secondary heads'.
4. *Tertiary heads* - Where necessary, break down each secondary head into its various known factors called 'tertiary heads'.
5. *Further sub-divisions* – In this way the process of breaking down the function could be extended to several descending, consecutive echelons according to needs.
6. *Examples* – Examples of basic, primary, secondary and tertiary heads are given in the annexure.
7. *Rational sequence* – In drawing up lists of basic, primary, secondary and tertiary heads and their further sub-divisions, where necessary, some rational sequence in arranging the heads in the same list may be followed. Such an arrangement may reflect organic or procedural relationship among the different heads or to adopt any of the following orders or a combination thereof as convenient :
 - a step-wise process
 - an alphabetical order (particularly when representing regions, produces, commodities, clients, 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 37 – 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 37 – 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', '0' 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.

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

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

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

16. *Indexing.* – In indexing files opened under the functional filing system, index slips need not be prepared in respect of the standardised (i.e., basic, primary, secondary, tertiary, etc.) heads as the identification

codes assigned to them can easily be ascertained by reference to the standardised index as developed. However, the 'content' of the file title (*i.e.* outside the standardised headings) may be indexed if it contains a catch word which is likely to help in recalling the case.

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

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

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

Arora Collieries	(7)
Banning of – Procedure	(3)
Duggal Collieries	(9)
Notice – Minimum period	(2)
Singhbhum Collieries, Dhanbad	(1)

ANNEXURE TO APPENDIX 37 Examples of basic, primary, secondary and tertiary heads

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

APPENDIX 38
Report on O&M Activities

Ministry/Department

March

Year Ending

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
--------------	----------	---	------------	------------------

7. POSITION OF PENDING CASES OVER ONE YEAR

Period	MP References	Court cases	Others	Total
--------	---------------	-------------	--------	-------

1-2 Years old

2-5 Years old

More than 5 Years

8. Annual Inspection of Sections

Total Number of Sections

No. of Sections inspected during the year

9. Inspection of Departmental Record Room (DRR)

Date of Inspection

Whether DRR was inspected jointly with NAI

Total no of files Held in DRR

at the start of the year

at the end of the year

Out of the above, no. of files over 25 years old

at the start of the year

at the end of the year

No. of files reviewed jointly with NAI No. of the 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

APPENDIX 39
File Register

STANDARD HEAD NO

STANDARD HEADING

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

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 40
Record Review Register

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

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

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

APPENDIX 41

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

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

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

APPENDIX-42

List of files due for review

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

INSTRUCTIONS

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

Appendix - 44

Stock Register

Name / Description of Article

Date	Qty. Brought Forward	Receipts			Total in Hand	Issued				Bal. in Hand	Signatu res of the Receiv er	Remar ks
		Bill No. & date	Qty Receive d	Price paid		No. issue d	I.D. No.	Issued to	Price Receiv ed, If sold			
1	2	3	4	5	6	7	8	9	10	11	12	13

Note: - The two facing pages of the register may be used for 'Receipts' and 'Issues' respectively.

Appendix - 45

Appendix - 50

Register of Annual Maintenance Contracts

Brief Description of the Contract	Party with whom made	Periodicity of Renewal Viz. Yearly / Half-yearly/ Monthly etc.	Date when entered into / last renewed	Next Renewal Due	Renewed on	Remarks
1	2	3	4	5	6	7

Appendix -46

Register of Stock Verification

Date of Verification	Description of Stores found short	Extent of Shortage		Reasons for shortage & corrective action taken	Remarks
		Quality	Value		
1	2	3	4	5	6

Appendix – 47

Item No.	Particular s of Stores	Quality/weigh t	Book value/Original purchase price	Conditio n and year of purchase	Mode of disposal (sale, auction or otherwise)	Reasons of obsolesc e etc.	Amount t realized on sale etc.	Remarks
1	2	3	4	5	6	7	8	9

Note: A 'Nil' report will also be put up, when necessary

Appendix – 48

Stock Register for Stationery

Name & Description of the Article

Date	Quantity Brought Forward	Receipts			Issues		
		Quantity Received	Inv/Bill No and Date	Total Qty. in Hand	Qty. Issued	Requisition No & Date	Balance in Hand

APPENDIX 2

Invoice

[Vide para 5(1)]

Department

Section/Desk

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

APPENDIX 3
Section/Desk Diary for Receipts
[Vide para 7(1) and (2)]

[Vide para 7(1) and (2)]

[illegible]

APPENDIX 4 Personal Section Diary (Vide para 8 (1))							
Date.....							
Sl. No.	Diary Number	Number and Date of receipt		From whom received	Brief Subject	To Whom marked	Remarks
		Number	Date				
Instruction							

APPENDIX 5
Movement Slip
[Vide Para 10(3)]

Diary nos. of receipts removed for	
Processing	Submission to higher Officers (to be specified)

APPENDIX 6
Assistant's Diary
[Vide Para 13(2)]

[illegible]

N.B: To be submitted before the Controlling Officer on first working day of each month.

APPENDIX 7

[Vide paragraph 22(12)]

STYLE IN NOTES AND DRAFTS1

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 somewhere 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" 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,. Tenses and moods are misused in almost every note or draft. The misuse of "had" is one of the commonest errors. The pluperfect "had" is rightly used to emphasize the priority of one event in the past to another. It is correct to say "I had gone to bed when the house caught fire" but senseless to say "I had gone to bed at 10 O'clock last night" ("I went" is correct)-unless the meaning is that you had gone to bed before 10 O'clock. The present tense is wrongly used for the incomplete perfect, as in "I am record-keeper from 1906. "I have been record-keeper since 1906" is correct. "Government press for a reply" should be "Government are pressing for a reply". "The following men now act" is wrong. It should be "are now acting". "Act" means "usually act" or, "habitually act"; "are acting" emphasizes the fact that they are doing so now.

(18) "Must have" is sometimes misused for "should have" or "ought to have". "Must have done it" means that he certainly has done it. It is not to be used to mean that he has not done it but should have. "Till" is commonly misused in a way that it is positively misleading. "No reply was received till January last" implies that a reply was received on January 1st but it is erroneously used to mean that even on January 1st no reply had been received. To convey this latter meaning "up to" with the pluperfect is the correct English-"Up to January 1st, I had received no reply".

(19) Distinguish "all the stamps have not been punched" which is ambiguous from "Not all the stamps have been punched" or "the stamps have not all been punched", which mean that some have been punched and some not. These phrases are commonly confused. "He has yet to collect Rs. 1,000", is not ordinarily modern English. "Still has" is correct. "Yet" may be used with a negative, e.g., "has not yet applied" and is only used with a positive a verb in special phrases such as "I have yet to learn".

(20) "So" is not equivalent to "very". It is sometimes written "the peon is so impertinent" "I warned him so many time" meaning "very impertinent", "very often". "Not so bad" means "rather goods", but this is a colloquial phrase. Similarly, "too" has generally a relative sense, that is, it implies exacts relatively to a certain standard or object not absolute intensity so to speak (except in a few colloquial phrases such as "it is too bad"); but it is commonly written "it is too hot" meaning "it is very hot".

(21) The verb "to hope" implies pleasurable anticipation. It is used sometimes instead of a natural word such as "think", and thereby producing comically inappropriate phrases such as "I hope your honour is ill". Omission of articles (a, an, the) is a common fault. It is permissible in a telegram for reasons of economy-not elsewhere. But articles must be used correctly. The statement "appellant is the inhabitant of Jaipur," implies that there is only one inhabitant. "An inhabitant of Jaipur" is correct "This is serious omission" should be "This is a serious omission".

(22) "As to" is common redundant form e.g. "The Deputy Commissioner is directed to report as to whether", "whether" alone is sufficient. So also "as against" or "as compared with" are commonly used in comparing figures, where "against" or "compared with" are sufficient and correct. It is correct to say "as compared with last harvest, the yield was poor", but not the "yield was 4 rupees as compared with 8 rupees last year". "As" mean, nothing in the latter phrase.

(23) Pseudo-accuracy account for much unnecessary verbiage. "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 phrase. It is often aggravated by making the subject of the main sentence different from the implied subject of "returning" or by changing to the passive construction. You can say "In returning...I am directed to point out". You must not say "In returning herewith the statement received with his letter....the Deputy Commissioner is informed". But this is quite common. On the other hand, such phrases as "Turning to paragraph....it may be observed" and so on ("Regarding", "Concerning", "Considering", etc.), are unobjectionable though "Turning to paragraph 1" is no doubt more strictly correct.

(27) A needless anxiety to avoid repetition gives rise to various faults. Sometimes, instead of repeating a man's name, an assistant will say "the individual" which is not good English. The use of "former and latter", "respectively" and "the same" have been mentioned already and also come under this head.

(28) The words "Comprise", "compose" and "consists" are confused with each other. It is written "the land comprises of 3 plots" or "is comprised of". The correct forms are "the land comprises consists 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 8
Issue Diary
(Vide Para 57)

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

APPENDIX 9
Despatch register for postal communications only
[Vide para 56(2)]

[Vide para 56(2)]

Date

[illegible]

APPENDIX 10
File Movement Register
[Vide para 67)]

File No.

SUBJECT

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

Space for recording movements of part files

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

DS(N)

01.01.2001

MHA

24.01.2001

Movement of the linked files will be marked in the space allotted in file movement register for the file with which these are linked illustrated below –

File NO	
	Linked files :-
DS(N)	
19.02.2001	
	1. F. No.
	2. F.No.

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

File NO	
DS(N)	Linked with files No.

19.02.2001	

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

File NO	
	With recorded files :-
DS(N)	
19.02.2001	
	1. F. No.
	2. F.No.

APPENDIX 11

Register for watching the progress of recording

[Vide para71(2) (b) and (3)]

Section

Month and year

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

APPENDIX 12

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

[Vide para72 (1)(a), (b) and (2)]

A – Records of value for administrative purposes

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

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

APPENDIX 12 – contd.

- (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 13

Example of titles of files and index slips

[Vide paras 74(3)(c),(d), and 76(2)(a)(ii)]

A-Title with index heads and sub-heads distinguished

Sl. No.	Title of file	Typed index slips
1.	2.	3.
1.	STRIKES- coalmines-Singhbhum Collieries, dhanbad-report regarding	STRIKES Coalmines Singhbhum collieries Dhanbad Strikes-Coalmines-Singhbhum Collieries, dhanbad Report Regarding F.3/2/96 – LRI
2.	IMPORT LICENSING-Capital Goods-Public Sector Undertakings –Application from Heavy Electricals, Bhopal	IMPORT LICENSING Capital goods Public Sector Undertakings Heavy Electricals Import licensing-capital goods Public Sector Undertakings-Application from Heavy Electricals, Bhopal. F.4/17/96-IMP
	FAMILY PLANNING- Vasectomy operations- Financial And other incentives for popularizing	
	FAMILY PLANNING VASECTOMY Incentives	
	Family planning-Vasectomy operations-Financial and other incentives for popularizing.	
	F.7/3/96-FPI	

APPENDIX 13 –contd

1.	2.	3
B-Index slip as they will appear before they are included in folders		
EXAMPLE 1		
First	* STRIKES	
slip	* Coalmines	
	* Singhbhum	
	* Dhanbad	
Second* STRIKES		
slip	* Coalmines	
	* Singhbhum	
	* Dhanbad	
Third * STRIKES		
slip	* Coalmines	
	* Singhbhum	
	* Dhanbad	
Four * STRIKES		
slip	* Coalmines	
	* Singhbhum	
	* Dhanbad	
EXAMPLE 2		
Family welfare		
First	* Vasectomy	
slip	* Incentives	
Family Welfare –vasectomy operations-financial and other incentives for popularizing.		
1.	2.	3.

C-Index slip as they appear in the departmental Index

Main index slip	Subsidiary index
-----------------	------------------

APPENDIX 14
PRECEDENT BOOK
[Vide para 77]
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 15
List of files transferred to National Archives of India/departmental record rooms/sections/desks
[Vide para 79(2) and (3)]
Ministry/Department of..... Section.....

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

APPENDIX 16

List of files due for review

[Vide para 80(4) and (6)]

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

INSTRUCTIONS

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

APPENDIX 17

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

[Vide para 80(8)]

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

INSTRUCTIONS

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

APPENDIX 18

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

[Vide para 88(1)]

Name of Section/Desk.....

Week ending.....

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

APPENDIX 19

Case Sheet

[Vide para89(2)(a)]

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

INSTRUCTIONS

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

APPENDIX 20

Numerical abstract of cases pending disposal for over a month

[Vide para 89(3)(b)]

Section/desk.....

Year.....

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

Ministry/Department of.....

Month ending.....

[illegible]

APPENDIX 22
Call Book
[Vide para 90(1)]

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

APPENDIX 23

Monthly progress report on recording of files

[Vide para 91(1)]

Section/desk.....

Month ending	Number of files				Initials	
	B.F. from previous month	marked for record during the month	recorded during the month	remaining to be recorded at the end of the month (col. 2+3-4)	record clerk/ assistant	section Officer/ desk functionary
1	2	3	4	5	6	7

INSTRUCTIONS

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

APPENDIX 24

Monthly progress report on review of files

[Vide para 91(1)]

Section/desk.....

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

INSTRUCTIONS

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

APPENDIX 25

Consolidated monthly progress report on recording of files

[Vide para 91(3)(a) and (b)]

Ministry/Department.....

Month ending.....

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

APPENDIX 26
Consolidated monthly progress report on review of recorded files
[Vide para 91(3)(a) and (b)]
Ministry/Department..... Month ending.....

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

APPENDIX 27

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

(To be maintained by personal sections of Joint Secretaries/Directors)

[Vide para 92(1)]

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

APPENDIX 28

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

(To be maintained by sections/Desks)

[Vide para 92(2) (a)]

[illegible]

APPENDIX 29

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

[Vide para 92(4)]

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

APPENDIX 30

Details of Pending Court /CAT Cases

[Vide para 94(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)

Status of Implementation of Court/CAT Judgements [Vide para 94(1)]

[illegible]

APPENDIX 32
Number of Court Cases pending for
[Vide para 94(1)]

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

APPENDIX 33

Register of Parliamentary Assurances

[Vide para 95(1)]

Section/desk.....

Lok Sabha

Rajya Sabha

Sl. No.	Date	Reference	Subject	Assurance given	How fulfilled	Date on which	
						Sent to Department of Parliamentary Affairs	Laid on the table of the House
1	2	3	4	5	6	7	8

INSTRUCTIONS

1. Column 2 will show the date on which the assurance was given.
2. Column 3 will indicate the No. of the question, name of bill, resolution, motion, etc. in connection with which the assurance was given and also reference to the communication from the Department of Parliamentary Affairs with which it was received.

APPENDIX 34

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

[Vide para 96(1)]

Ministry/Department of.....

Section/desk.....

Sl. No.	Title of the Report & File No.	Periodicity	Due date of Receipt											
			Jan	Feb	Mar	Apr	May	June	July	Aug	Sept	Oct	Nov	Dec
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15

INSTRUCTIONS

1. If the periodicity of a report is more than a month, the prescribed date(s) will be shown under the appropriate months only. For example, if a quarterly report is due on 15th January, April, July and October, only cols. 4, 7, 10 and 13 will be filled by indicating the figure 15 under each.

2. If a report is to be received more than once in a month, two or more entries depending on the frequency of the report will be made in columns 4 to 15. Thus, for instance, fortnight report will require two entries to be made under each month.

APPENDIX 35

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

[Vide para96(1)]

Ministry/Department of.....

Section/desk.....

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

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.

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 36
Section Despatch Register

Date

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

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

APPENDIX 37

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

1. Basic heads - Identify and list basic functions of the department, these may be called 'basic (or group) heads' e.g. 'labour relations', 'foreigners', 'fertilizers'.
2. Primary heads – List under each function (i.e. basic/group heads) its main activities identifying them by appropriate subject headings called 'primary heads'.
3. Secondary heads – Divide each primary head into sub-subjects or aspects called 'secondary heads'.
4. Tertiary heads - Where necessary, break down each secondary head into its various known factors called 'tertiary heads'.
5. Further sub-divisions – In this way the process of breaking down the function could be extended to several descending, consecutive echelons according to needs.
6. Examples – Examples of basic, primary, secondary and tertiary heads are given in the annexure.
7. Rational sequence – In drawing up lists of basic, primary, secondary and tertiary heads and their further sub-divisions, where necessary, some rational sequence in arranging the heads in the same list may be followed. Such an arrangement may reflect organic or procedural relationship among the different heads or to adopt any of the following orders or a combination thereof as convenient :
 - a step-wise process
 - an alphabetical order (particularly when representing regions, produces, commodities, clients, 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 37 – 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 37 – 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.

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

- (a) the total number of such heads is small and from their identifying Roman numerals, they can easily be known; or
- (b) the basic head is identified by a letter or a group of letters phonetically selected.

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

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

In the departmental index, these index slips could be very easily and briefly consolidated as follows by indicating only their sub-number and not the full file No. 'LABOUR RELATIONS – STRIKES – Coalmines. (IV-13024)'

Arora Collieries	(7)
Banning of – Procedure	(3)
Duggal Collieries	(9)
Notice – Minimum period	(2)
Singhbhum Collieries, Dhanbad	(1)

ANNEXURE TO APPENDIX 37

Examples of basic, primary, secondary and tertiary heads

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

APPENDIX 38

Report on O&M Activities Ministry/Department March Year Ending

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
--------------	----------	---	------------	------------------

7. POSITION OF PENDING CASES OVER ONE YEAR

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

8. Annual Inspection of Sections

Total Number of Sections

No. of Sections inspected during the year

9. Inspection of Departmental Record Room (DRR)

Date of Inspection

Whether DRR was inspected jointly with NAI

Total no of files Held in DRR

at the start of the year

at the end of the year

Out of the above, no. of files over 25 years old

at the start of the year

at the end of the year

No. of files reviewed jointly with NAI No. of the 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

APPENDIX 39

File Register

STANDARD HEAD NO

STANDARD HEADING

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

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 40
Record Review Register
[Ministry/Department of..... Year of review.....

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

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

APPENDIX 41

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

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

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

APPENDIX42

List of files due for review

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

INSTRUCTIONS

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

APPENDIX43

Weekly Arrear Statement

Consolidated form for the section as a whole

Name of section.....

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	B.F. from previous week	
					Total Over 7 days		
1	2	3	4	5	6	7	8

Appendix - 44

Stock Register

Name / Description of Article

Date	Qty. Brought Forward	Receipts			Total in Hand	Issued				Bal. in Hand	Signatures of the Receiver	Remarks
		Bill No. & date	Qty Received	Price paid		No. issued	I.D. No.	Issued to	Price Received, If sold			
1	2	3	4	5	6	7	8	9	10	11	12	13

Note: - The two facing pages of the register may be used for 'Receipts' and 'Issues' respectively.

Appendix - 45

Appendix - 50

Register of Annual Maintenance Contracts

Brief Description of the Contract	Party with whom made	Periodicity of Renewal Viz. Yearly / Half-yearly/ Monthly etc.	Date when entered into / last renewed	Next Renewal Due	Renewed on	Remarks
1	2	3	4	5	6	7

Appendix -46

Register of Stock Verification

Date of Verification	Description of Stores found short	Extent of Shortage		Reasons for shortage & corrective action taken	Remarks
		Quality	Value		
1	2	3	4	5	6

Appendix – 47

Item No.	Particulars of Stores	Quality/weight	Book value/Original purchase price	Condition and year of purchase	Mode of disposal (sale, auction or otherwise)	Reasons of obsolescence etc.	Amount realized on sale etc.	Remarks
1	2	3	4	5	6	7	8	9

Note: A 'Nil' report will also be put up, when necessary

Appendix – 48

Stock Register for Stationery

Name & Description of the Article

Date	Quantity Brought Forward	Receipts			Issues		
		Quantity Received	Inv/Bill No and Date	Total Qty. in Hand	Qty. Issued	Requisition No & Date	Balance in Hand
1	2	3	4	5	6	7	8
