



# **CENTRAL SECRETARIAT MANUAL OF OFFICE PROCEDURE (CSMOP, 2022)**

*Enabling The March Towards A Digital Secretariat*

**SIXTEENTH EDITION**



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



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**MESSAGE**

It gives me immense pleasure to note that DARPG is bringing out the sixteenth edition of Central Secretariat Manual of Office Procedure (CSMOP). In this edition, several path breaking reforms, initiated by DARPG and implemented by Ministries and Departments during 2020 and 2021, have been incorporated.

2. This edition of Manual aims to increase efficiency in decision making and creates a foundation for building a robust knowledge management system in line with National Programme for Civil Services Capacity Building (NPCSCB), the Mission Karmayogi. In addition, the renewed emphasis on digitization of all dak will help usher in a paperless Central Secretariat and enhancing the ease of doing business.

3. I hope that this edition of CSMOP will also help the Ministries/Departments to consolidate their administrative instructions and present them as Master Circulars, thus facilitating a comprehensive understanding of administrative instructions on a given subject and help the policy makers, analysts and researchers to not only access the policy framework with ease & convenience but also appreciate the overall context in which policy reforms have been undertaken.

4. I am sure that CSMOP 2022 will help Ministries and Departments to dispose their pending matters well in time, closely monitor the workflows and strengthen digital governance across the country. I compliment the efforts of Shri V. Srinivas, Secretary, DARPG and his team, who has been instrumental in incorporating the new age reforms in this Manual

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## FOREWORD

The Department of Administrative Reforms and Public Grievances is the Nodal Department for prescribing procedures for Secretariat Works which are comprehensively embodied in Central Secretariat Manual of Office Procedure (CSMOP). It gives me immense pleasure to share the 16<sup>th</sup> Edition of CSMOP. The new Edition incorporates the Administrative Reforms ushered in the Central Secretariat under the 'Initiatives for Increasing Efficiency in Government' and under the "Special Campaign for Disposal of Pending Matters".

The 16<sup>th</sup> Edition has focused on the 4-pronged approach of Delaying, Delegation, Operationalization of Desk Officer System, Digitization of Central Registration Units and implementation of e-Office Version 7.0 as part of the silent transformation underway in the context of Increasing Efficiency in Decision Making in the Government. Government directions for weekly implementation of the Swachhta Campaign in all Ministries/Departments, and Monthly monitoring/review have been incorporated. The introduction of Nodal Appellate Authorities and revised timelines for grievance redressal also finds mention in the report.

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

(V. Srinivas)

Dated: July 13, 2022



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**1.1.** The prime objective of all public service is to meet the citizens' needs and to further enhance their welfare. At the same time, those who are accountable for the conduct of that business have to ensure that public resources are managed with utmost care and prudence, as per the laws and the laid down rules & procedures. It is, therefore, necessary in each case to keep appropriate record not only of what has been done but also of why was so done.

**1.2.** The efficiency of Government to a large extent depends on evolution of adequate processes and procedures and ability of its functionaries to follow them. Accordingly, the efficiency of persons handling information in a Department is judged by their ability to dispose of issues with speed and quality following the procedures prescribed for the purpose. To achieve the twin objectives of efficiency and speed for public good, various Departments of the Government of India over the last decade or so have taken a number of initiatives like introduction of eOffice system.

**1.3.** The procedures prescribed in this manual attempt to balance the conflicting consideration of speed, quality, transparency and propriety. In a dynamic context, this balance cannot be rigidly or permanently fixed.

**1.4.** In order to create awareness about these processes and practices especially at the cutting edge level and to sensitize new entrants inducted at various levels in the Central Secretariat, the Department of Administrative Reforms & Public Grievances, as a nodal agency in the field of 'Organisation & Methods', has laid down various procedures for performance of secretariat work by the functionaries in various Ministries/Departments of the Government of India in the form of Central Secretariat Manual of Office Procedure (CSMOP). The First Edition of the Central Secretariat Manual of e-Office Procedure (CSMeOP), brought out in the year 2012, was a step forward towards evolving a paperless environment of decision making process while concurrently achieving speed and accuracy.

**1.5.** The procedures laid in earlier manuals (relating to physical paper work) have been dovetailed with the new eOffice applications that aim at paperless office. The procedures laid down in this new edition of manual have been adopted for use after careful examination of methods and procedure followed in Ministries/Departments/Offices in Government of India. While doing so the organizational needs of operating functionaries at the initiating level have been the primary concern. The Departments are expected to proactively adapt and to ensure that their teams too switch over to the e-Office.

**1.6.** First published in March, 1955, CSMOP has been updated from time to time in accordance with the changing scenario. This is the sixteenth revised edition in the

series. Newly inducted officials must be trained on the procedures contained in the CSMOP and Refresher Courses should also be organized.

**1.7.** This Manual also lays down the essential procedures for efficient information and file management i.e. processing, handling and control of official information either on paper or in digital form in the Central Secretariat across Central Ministries and Departments. To provide sufficient flexibility, the Manual suggests the issue of Departmental Instructions which could supplement or vary, within broad limits, the prescribed procedures to suit special conditions and requirements. The various provisions of the Manual which visualize issue of Departmental Instructions are listed in Appendix 1.1. Each Department may devise suitable arrangements, including inspections to ensure compliance of provisions contained in this Manual and Departmental Instructions issued by it.

**APPENDIX 1.1**

(Para 1.6)

**Matters in respect of which Departments are to issue Departmental instructions)**

<b>Sl. No.</b>	<b>Subject</b>	<b>Reference to Para in the Manual</b>
(1)	(2)	(3)
1.	Designating Link Officers	31 (Glossary)
2.	Designating an officer to receive urgent dak outside office hours (for Departments having no resident clerk or night duty staff for the purpose)	5.1.(iii)
3.	Categories of receipts which should be entered in the dak register	5.3.(ii)
4.	Types of receipts which should be seen by higher officers before they are processed	5.6.(iii)
5.	Designating of an officer to decide allocation of disputed receipts	5.9
6.	Categories of 'routine cases which the section officer can dispose of and types of 'intermediate action' which he can take on his own	5.10.(c)
7.	(a) Levels at which different classes of cases may be finally disposed of and (b) channel of submission of each category of cases	7.6.(i)
8	Categories of cases for which standard process sheets are to be devised	7.14.(v)
9.	Levels competent to make or authorize inter-departmental references	8.1.2
10.	Approval of information to be uploaded on web-sites like PRAGATI, etc.	9.6.(i)
11.	Instructions on the need for and maintenance of Stamps Accounts Register	9.6(ii)
12.	Regulate review of records	10.3
13.	Categories of record to be treated as of historical importance	10.4(i)(b)
14.	Instructions for categories of files for which card indices are to be prepared	10.6
15.	Departmental record retention schedule prescribing retention periods for different categories of records connected with substantive functions	10.7(i)(d)
16.	Procedure for review and weeding out of records maintained by officers and their personal staff	10.12
17.	Time limits for disposal of cases	12.2
18.	Restriction of access of various categories of classified documents	13.2

19.	Level to which inspection report and compliance reports should be submitted	16.5(iii)
20.	Issue of VPN to the Officers of the rank of US	Box e 7.1

**2.1. President :**

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

**2. 2. The Council of Ministers:**

- (i) In the exercise of his/her functions, the President is aided and advised by a Council of Ministers headed by the Prime Minister. In actual practice, the executive power of the Union resides in the Council of Ministers.
- (ii) The Council of Ministers consists of three categories of Ministers, namely:
  - a. Cabinet Ministers;
  - b. Ministers of State; and
  - c. Deputy Ministers.
- (iii) The Cabinet, which consists of Cabinet Ministers, is responsible for shaping the overall policies of the Government in discharging its responsibilities. A Minister of State with Independent Charge also attends a Cabinet meeting when subject matter of his/her Department is considered. The Cabinet also functions through its Committees.

**2.3. Allocation/Transaction of Government Business:**

Among the Rules issued by the President for the convenient transaction of the business of the Government, under Article 77(3) of the Constitution, are:

- (i) The Government of India (Allocation of Business) Rules, 1961 (as amended from time to time); and
- (ii) The Government of India (Transaction of Business) Rules, 1961 (as amended from time to time).

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

- (i) The Government of India (Allocation of Business) Rules, 1961 allocates the business of the Government among its different departments which are assigned to the charge of the Ministers by the President on the advice of the Prime Minister. In relation to the business allotted to a Minister, these rules also permit the association of another Minister or Deputy Minister to perform such functions as may be specifically assigned to him/her.

- (ii) The Government of India (Transaction of Business) Rules, 1961 seeks to define the authority, responsibility and obligations of each department in the matter of disposal of business allotted to it. While providing that the business allotted to a department will be disposed of by, or under the direction of, the Minister-in-charge. These rules also specify :
  - a. cases or classes of cases to be submitted to the President, the Prime Minister, the Cabinet or its Committees for prior approval; and
  - b. the circumstances in which the department primarily concerned with the business under disposal will have to consult other departments concerned and secure their concurrence / comments before taking final decisions.

#### **2.4. Ministry/Department:**

- (i) A Ministry/Department is responsible for formulation of policies/schemes of the Government in relation to business allocated to it and also for their implementation, monitoring and review.
- (ii) For the efficient disposal of business allotted to it, a Department is divided into Wings, Divisions, Branches and Sections/Units/Cells.
- (iii) A Department is normally headed by a Secretary to the Government of India who acts as the administrative head of the Department and Principal Adviser of the Minister on all matters of policy and administration within the Department.
- (iv) The work in a Department is divided into wings with a Special Secretary/ Additional Secretary/Joint Secretary in charge of each Wing.
- (v) A Wing comprises of a number of Divisions each functioning under the charge of an officer of the level of Director/Joint Director/Deputy Secretary or equivalent officer, called Division Head. A Division may have branches, each under the charge of an Under Secretary or equivalent officer, as Branch Officer.
- (vi) A Section or a Desk is the lowest unit in a Department with a well-defined area of work. It consists of Assistant Section Officer/Senior Secretariat Assistants, as dealing officers and Junior Secretariat Assistants as clerical support. Sections are supervised by a Section Officer or an equivalent officer. There are Departments that have a Unit or Cell which is almost similar to a Section. Initial processing and submission of cases through noting and drafting is primarily done by Dealing Officers of the level of ASO/ SSA or JSA. However, there are instances where cases are to be initiated at higher level. Even in such cases, functionaries in the Section will provide the required assistance. Desk

functionaries deal with cases independently with stenographic assistance and submit them to his/her next higher officer in the hierarchy.

(vii) While the above represents the commonly adopted pattern of organization of a Department, there are certain variations, the most notable among them being the Desk Officer system. In this system, the work of a Department at the lowest level is organized into distinct functional desks each manned by two desk functionaries of appropriate ranks e.g. Under Secretary or Section Officer. Each desk functionary handles the cases himself/herself and is provided adequate support staff.

(viii) Designated Sections handling work of (O&M)/WS activities.

a. Based on the recommendations of SIU, Department of Expenditure, the O&M/IWSU setup has been abolished in the Ministries/Departments. While Department of Administrative Reforms & Public Grievances provide some initiatives, incentive, information, advice, etc. the main task of evolving and implementing reform measures will continue to be responsibility of all Ministries/Departments who may entrust the job to their appropriate formation like Administration, Coordination etc. Strengthening of these divisions for handling the O&M work for necessary improvements/simplification/streamlining in administration in the Ministries/Departments concerned will, therefore, be essential. Similar steps will also be taken in the Attached/Subordinate offices and Public Sector Undertakings/Autonomous Bodies.

b. For O&M studies, Ministries/Departments will be guided by the Department of Administrative Reforms and Public Grievances. As regards, the work relating to work measurement studies is concerned, the units will be guided by the Staff Inspection Unit of the Department of Expenditure.

c. An illustrative list of functions to be performed by designated IWSU/O&M Units is given in Appendix -2.1.

## **2.5. Integrated Headquarters of Ministry of Defence:**

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

## **2.6. Attached and Subordinate offices:**

- (i) Where the execution of the policies of the government requires decentralization of executive action and/or direction, a Department may have its executive agencies as 'Attached' and 'Subordinate' offices.
- (ii) Attached offices provide detailed executive directions required in the implementation of the policies, as laid down from time to time by the Ministry/Department to which they are attached. They also serve as a repository of technical information and also advise the department on various aspects of matter dealt by them.
- (iii) Subordinate offices generally function as field establishments or as agencies responsible for the detailed execution of the policies of the government. They function under the direction of an attached office, or where the volume of executive direction involved is not considerable, directly under a Department. In the latter case, they assist the Departments concerned in handling technical matters in their respective fields of specialization

**2.7. Constitutional Bodies:** Such bodies are constituted under the provisions of the Constitution of India, such as, Comptroller & Auditor General of India, Election Commission of India, Union Public Service Commission, etc.

**2.8. Statutory Bodies:** Such bodies are established under the statute or an Act of Parliament. They work within the scope, mandate and powers legally provided to them by an Act of the Parliament (e.g. Central Vigilance Commission, Central Information Commission, Central Board of Film Certification, National Commission for Backward Class etc.)

**2.9. Autonomous Bodies:** Such bodies are established by the Government to discharge the activities/functions relating to execution/implementation of policies of the government. They are given autonomy to discharge their functions in accordance with the Memorandum of Associations etc. However, the Government's overall control exists to the extent of its policy framework on the subject. Some of the programmes and activities are funded fully or partly by the Government of India, generally through grants-in-aid. They are registered under the Societies Registration Act, 1861. Example: Central Board of Secondary Education, Indian Institute of Public Administration, etc.

**2.10. Central Public Sector Enterprises:** "Central Public Sector Enterprise (CPSE) is the Company under the administrative control of Central Ministry/Department holding more than 50% of the equity by Central Govt. The subsidiaries of these companies, if registered in India wherein any CPSE has more than 50% equity are also categorised as CPSEs. It also covers certain statutory corporations like Airport Authority of India, Food Corporation of India and Central Warehousing



Corporation. The shares of CPSEs are held by the President of India or his nominees and managed by Board of Directors which include official and non-official Directors/other shareholders or by the Holding companies. The departmentally run public enterprise, banking institutions and insurance companies are not covered under the definitions of CPSE.”

### **2.11. Information and Facilitation Counters (IFCs):**

The Information and Facilitation Counter will provide the following services to the clients/customers of the organization:

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

**Illustrative list of functions to be performed by designated section handling work of Internal Work Study Units/O&M**

1. Organization and Method Studies

- (i) Rationalization of structures and procedures suo moto or on request, including those relating to activities where the public comes into contact with governmental administration with a view to facilitate better service delivery to the public. (For these studies they will compile and maintain upto date information concerning the organization and functions of the Ministry/Department including an organizational chart).
- (ii) Information system: Review and rationalization of reports and returns, devising procedures to facilitate easier collection, transmission, distribution, processing, storage and prompt retrieval of information.
- (iii) Form design and control: To merge or simplify forms.
- (iv) Standardization of forms of communication.
- (v) Manner of processing repetitive work by developing Standard Process Sheets.
- (vi) Review of need for continuance of advisory bodies (e.g. committees and councils).
- (vii) Periodic review of delegation of financial and administrative powers.
- (viii) Filing
  - a. Drawing up standardized file indices broadly based on functional designs and periodic review thereof.
  - b. Developing more effective and simpler systems of filing for various items or work or information both manual and the electronic; and facilitate move towards paperless e-Governance.
- (ix) Records management
  - a. Facilitate preparation or review of record retention schedules concerning substantive functions of the Ministry/Department by the concerned sections.

- b. Scrutiny of quarterly reports of arrears relating to recording, indexing, weeding, etc. of files and suggesting required remedial action.
- (x) Office layout.
- 2. Work measurement studies
  - (i) Undertaking work measurement studies, including scrutiny of proposals for creation of posts received from other sections/divisions, etc.
  - (ii) Assisting Staff Inspection Unit in work measurement studies.
  - (iii) Drawing up and reviewing output norms.
- 3. Controlling delays

Scrutiny of various kinds of statements to monitor delays and to bring to notice of appropriate officers for timely public delivery of services.
- 4. Inspections
  - (i) Drawing up a programme of inspections including surprise inspections of Sections and ensuring that they are carried out by the officers concerned.
  - (ii) Scrutiny of the inspection reports, to locate the more common of serious defects to suggesting appropriate remedial action and/or for reporting to the Department of Administrative Reforms and Public Grievances.
- 5. Manualization

Over-seeing prompt compilation and manualization of administration orders and instructions by the section concerned.
- 6. Reports of the Administrative Reforms Commission, Staff Inspection Unit and other external bodies and their processing and implementation.

These reports will be handled by Sections designated to handle the Internal Work-Study Units only if the recommendations therein relate to the work allotted to designated section. In all other cases, they will be transferred to the sections concerned with the substance of the reports.
- 7. Identification of problem areas in and under the Ministry/Department, including cases of delay, either while performing the functions under 1 to 6 above or otherwise (e.g. scrutiny of reports of Parliamentary Committees, other Committees or Commissions of enquiry or at the instance of higher officers in the Ministry/Department) and study of such problems/cases, with a view to :
  - (i) locating common types of defects and devising suitable remedies to prevent their recurrence, or
  - (ii) taking up the matter with the Department of Administrative Reforms & Public Grievances, making suggestions, for improvement, if necessary.

(The review of cases of delay will not extend to fixing responsibility).

- Notes:
1. Should a problem relating to any of the above items concern all the Ministries/Departments, it should be remitted to the Department of Administrative Reforms and Public Grievances (DARPG) for study.
  2. When such studies are undertaken by the DARPG, the designated section should participate as liaison agencies of the Department for assisting in collection and processing of data, conducting case studies or surveys, etc. in their own Ministries/Departments.

**3.1.** The broad functions and responsibilities of various functionaries in the Secretariat of a Ministry/Department are given in the succeeding paragraphs. To maximize governance, it is necessary to delegate powers to various functionaries.

- (i) **Secretary:** A Secretary to the Government of India is the administrative head of the Ministry/Department. He/she is the principal adviser of the Minister on all matters of policy and administration within his/her Ministry/Department, and his/her responsibility is complete and undivided. She/he is the Chief Accounting Authority of the Ministry/Department.
- (ii) **Special Secretary/Additional Secretary/Joint Secretary:** Such a functionary is normally vested with the maximum measure of independent functioning and responsibility in respect of the business falling within his/her wing, subject to the overall responsibility of the Secretary for the administration of the Department.
- (iii) **Director/Deputy Secretary:** Director/Deputy Secretary is an officer who acts on behalf of the Secretary, holds charge of a Secretariat Division and responsible for the disposal of Government business dealt with in the Division under his/her charge. He/she should ordinarily be able to dispose of the cases as per the powers delegated or as per the channel of submission of the Department.
- (iv) **Under Secretary:** An Under Secretary is in charge of a Branch in a Ministry /Department consisting of one or more Sections/ Units/ Cells and exercises control both in regard to the disposal of business and maintenance of discipline. As Branch Officer, he disposes off as many cases as possible at his own level but he/she takes the orders of Deputy Secretary or higher officers on important cases. He/she is inter-alia responsible for development and maintenance of aids to processing as tools of manual and electronic knowledge management.
- (v) **Desk Officer :** An Under Secretary or senior Section Officer functions as Desk functionary depending on nature of the responsibilities attached to the Desk. He/she examines and submits cases independently to the next higher officer, and has the power of decision making as that of an Under Secretary. The Desk Officer can also sign Orders, Financial Sanctions and affirm affidavits in courts.
- (vi) **Section Officer:** A Section Officer is in-charge of a Section, the primary unit of a Department in the Secretariat, comprising a team of Assistant Section Officers, Senior Secretariat Assistants as Dealing Officers and Junior Secretariat Assistants and MTS as supporting staff. A Section Officer

has overall responsibility for supervising the activities and performance of the Section with the help of dealing officers and clerical support besides;

- a) distribution of work among staff, training, helping, advising them in the matter of work, maintenance of discipline and team spirit in the Section;
- b) monitoring of efficient and expeditious disposal of cases;
- c) timely submission of reports and returns to higher officers and other concerned units and;
- d) managing effective person-independent information management and records management in the Section;

[Detailed responsibilities of Section Officer are at Appendix – 3.1]

(vii) **Personal Staff Members of Officers** : Principal Staff Officer/Senior Principal Private Secretary/ Principal Private Secretary

- a. Preparing executive summary on the important issues/important files facilitating decision making, and summary of previously asked/replied Starred questions and briefing the Officer accordingly;
- b. Management of Personal Section, providing leadership;
- c. International/National level liaison and networking, coordination with Parliament, Ministries/Departments, and other offices, handling visitors, facilitating meetings/conferences, etc;
- d. Keep himself/herself aware of the key performance areas, vision, mission of the Ministry/Department;
- e. Security of personal and official information of the officer with whom he is working with and facilitating grievance handling;
- f. Maintaining engagement diary;
- g. Managing tours including foreign and domestic tours/managing office while the Officer is away from office in meeting, on tour or on leave.

(viii) **Private Secretary, Personal Assistant and Stenographer Grade 'D'**:

- a. taking dictation/transcribing, handling telephone calls, receiving visitors, tour programme/travel arrangements, maintaining the papers required to be retained by the officer and maintaining engagement diary, etc.

- b. Handling confidential and secret letters/dak/files, handling parliamentary work, security of information, facilitating meetings/conferences.
- (ix) **Assistant Section Officer/ Senior Secretariat Assistant:** He/she works as Dealing Officer under the supervision of the Section Officer. Each Dealing Officer is allocated subjects out of the subject areas allocated to the Section and he/she is expected to deal with all matters allocated or any other work assigned to him/her from time to time.
- (x) **Junior Secretariat Assistant:** Provides miscellaneous support to the Section /Unit /Desk in carrying out day to day work like photocopying /record handling and maintenance, registration of Dak, marking / sending Receipts / files and other associated tasks or any other work assigned from time to time. He/she may be assigned case work of repetitive nature.
- (xi) **Multi-Tasking Staff (MTS):** Erstwhile Group 'D' posts of Peon, Daftary, Jamadar, Junior Gestetner Operator, Farash, Chowkidar, Safaiwala, Mali etc. are now designated as MTS. An illustrative (but not exhaustive) list of duties of MTS are:
- (i) Physical maintenance of records of Section.
  - (ii) General cleanliness & upkeep of the Section/Unit.
  - (iii) Carrying of files & other papers within the building.
  - (iv) Photocopying, sending of FAX etc.
  - (v) Other non-clerical work in the Sections/Unit.
  - (vi) Assisting in routine office work like diary, dispatch etc. including on computer.
  - (vii) Delivering of Dak (inside & outside the building)
  - (viii) Watch & ward duties.
  - (ix) Opening & closing of rooms.
  - (x) Cleaning of rooms.
  - (xi) Dusting of furniture etc.
  - (xii) Cleaning of building, fixture etc.
  - (xiii) Work related to his ITI qualification, if it exists.
  - (xiv) Driving of vehicles, if in possession of valid driving license.
  - (xv) Upkeep of parks, lawns, potted plants etc.
  - (xvi) Any other work assigned by superior authority.

**Note:** Duties of untrained Multi Tasking Staff (MTS) have been provided at Annexure-II of the Department of Personnel & Training's O.M. No.AB-14017/6/2009-Estt(RR) dated 30<sup>th</sup> April, 2010 at website ([www.persmin.nic.in](http://www.persmin.nic.in))

**Detailed responsibilities of Section Officer**

**A. General Duties –**

- (i) Ensure e-file system is implemented and sustained;
- (ii) Distribution of work among the staff as evenly as possible;
- (iii) Training, helping and advising the staff;
- (iv) Management and co-ordination of the work;
- (v) Maintenance of order and discipline in the section;
- (vi) Maintenance of a list of residential addresses of the Staff.

**B. Responsibilities relating to Dak –**

- (i) to go through the receipts;
- (ii) to submit receipts which should be seen by the Branch Officer or higher officers at the dak stage;
- (iii) to keep a watch on any hold-up in the movement of dak; and
- (iv) to scrutinize the section register once a week to know that it is being properly maintained.
- (v) Ensure digital registration of dak
- (vi) Review category of receipt and ensure correct labelling (VIP/MP, RTI, PG...)

**C. Responsibilities relating to issue of draft –**

- (i) to see that all corrections have been made in the draft before it is marked for issue;
- (ii) to indicate whether a clean copy of the draft is necessary;
- (iii) to indicate the number of spare copies required;
- (iv) to check whether all enclosures are attached;
- (v) to indicate priority marking;
- (vi) to indicate mode of dispatch.

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

- (i) to keep a note of important receipts with a view to watching the progress of action;
- (ii) to ensure timely submission of arrear and other returns;
- (iii) to undertake inspection of dealing officer table to ensure that no paper or file has been overlooked;
- (iv) to ensure that cases are not held up at any stage;
- (v) to go through the list of periodical returns every week and take suitable action on items requiring attention during next week.

**E. Independent disposal of cases –**



He/she should take independently action of the following types –

- (i) issuing reminders;
- (ii) obtaining or supplying factual information of a non-classified nature;
- (iii) any other action which a Section Officer is authorized to take independently as laid down in the departmental instructions.

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

- (i) to approve the recording of files and their categorisation ;
- (ii) to review the recorded file before destruction;
- (iii) to order and supervise periodic weeding of unwanted spare copies;
- (iv) ensuring proper maintenance of registers required to be maintained in the section;
- (v) Ensuring proper maintenance of reference books, Office Orders etc. and keep them up-to-date;
- (vi) Ensuring neatness and tidiness in the Section;
- (vii) Dealing with important and complicated cases himself;
- (viii) Ensuring strict compliance with Departmental Security Instructions.

- 4.1.** In a Parliamentary form of Government, the Council of Ministers shall collectively be responsible to the House of the People. The powers of the President of India are exercised by him on the advice of the Council of Ministers headed by the Prime Minister.
- 4.2.** The two key features of the Government of India (Transaction of Business) Rules, 1961 (para 2.3.ii) are that :
- (i) all business allotted to a Department under the Government of India (Allocation of Business) Rules, 1961 (para 2.3.i), is to be disposed of by, or under the general or special directions of, the Minister-in-Charge, except where such authority is required to be exercised by some other competent authority under these Rules; and
  - (ii) when the subject of a case concerns more than one Department, a decision can be taken or order issued only after such Departments have concurred in, or, failing such concurrence, a decision thereon has been taken by or under the authority of the Cabinet or the Cabinet Committee. Financial and administrative powers have been delegated to authorities under the Minister-in-charge through Acts, Rules, executive instructions and departmental instructions. Therefore, one must look into the relevant documents to determine
    - a. the procedure to be followed; and
    - b. who the competent authority is.
- 4.3.** Powers have generally been delegated to the Secretary of a Department or Head of Department or a Head of Office:
- (i) In cases of matters delegated to the Secretary of the Department, a Head of Department or a Head of Office, the case is processed by the office on a file to enable the competent authority to take a decision.
  - (ii) In case of decisions bearing financial implications that are beyond the powers delegated to a Department, Inter-Ministerial Consultations provided for the Standing Finance Committee (SFC), Expenditure Finance Committee (EFC), Public Investment Board (PIB), Public Private Partnership Approval Committee (PPPAC) and preparation of Memorandum for SFC, EFC, PIB and PPPAC instructions issued by Ministry of Finance are to be followed.

- (iii) For decisions requiring approval of Committee of Secretaries, Group of Ministers, Committee of the Cabinet or the Cabinet, guidelines issued by the Cabinet Secretariat are to be adopted.
- (iv) Illustrative examples of cases where such Inter-Ministerial Consultations are required are given in the Table – 4.1.

**Table – 4.1: Illustrative list of cases where inter-ministerial consultations are required**

Sl. No.	Matters pertaining to	Ministry / Department to be consulted
1.	Financial matters	Ministry of Finance
2.	Personnel matters	Ministry of Personnel, Public Grievances and Pensions
3.	Matters relating to proposals concerning legislation, the making of rules and orders and preparation of important contracts to be entered into by the Government etc.	Ministry of Law & Justice
4.	Matters affecting India's external relations including agreements and treaties with foreign countries	Ministry of External Affairs
5.	Proposals concerning North Eastern Region	Ministry of Development of North Eastern Region
6.	Economic matters	National Institution for Transforming India (NITI) Aayog

- (v) The illustrative list in Table – 4.2 gives some of the documents and the web-sites where these documents are accessible:

**Table – 4.2: Illustrative list of documents and web-sites**

Sl. No.	Documents	Web-site
1.	User manual of e-File	<a href="https://docs.eoffice.gov.in/eFileMU.pdf">https://docs.eoffice.gov.in/eFileMU.pdf</a>
2.	Rules of Procedure and Conduct of Business in Rajya Sabha	<a href="http://rajyasabha.nic.in/rsnew/rs_rule/rulescontent.asp">http://rajyasabha.nic.in/rsnew/rs_rule/rulescontent.asp</a>
3.	Directions by Chairman Rajya Sabha	<a href="http://rajyasabha.nic.in/rsnew/directions/mainchair.asp">http://rajyasabha.nic.in/rsnew/directions/mainchair.asp</a>
4.	Rules of Procedure and Conduct of Business in Lok Sabha	<a href="http://164.100.47.192/loksabha/rules.aspx">http://164.100.47.192/loksabha/rules.aspx</a>
5.	Directions of the Speaker under the Rules of Procedure and	<a href="http://164.100.47.192/loksabha/direction.aspx">http://164.100.47.192/loksabha/direction.aspx</a>

	Conduct of Business in Lok Sabha	
6.	Procedure to be followed by Ministries in connection with Parliamentary work	<a href="http://mpa.nic.in/mpa/manual_Contents.aspx">http://mpa.nic.in/mpa/manual_Contents.aspx</a> <a href="https://mpa.gov.in/">https://mpa.gov.in/</a>
7.	Hand Book on writing Cabinet Notes for preparing Note for the Cabinet / Cabinet Committees / Group of Ministers / Committee of Secretaries	<a href="https://cabsec.gov.in/page.php?page=54">https://cabsec.gov.in/page.php?page=54</a>
8.	Instructions on constitution / reconstitution of High-level Commissions / Committees, etc.	<a href="http://cabsec.nic.in/showpdf.php?type=circulars_highlevel_committee&amp;special">http://cabsec.nic.in/showpdf.php?type=circulars_highlevel_committee&amp;special</a>
9.	Authentication (Orders and other Instruments) Rules, 2002	<a href="http://www.mha.nic.in/sites/upload_files/mha/files/AuthenticationOrder2002.pdf">http://www.mha.nic.in/sites/upload_files/mha/files/AuthenticationOrder2002.pdf</a>
10.	General Financial Rules, 2017	<a href="https://doe.gov.in/sites/default/files/GFR2017_0.pdf">https://doe.gov.in/sites/default/files/GFR2017_0.pdf</a>
11.	Delegation of Financial Powers Rules, 1978	<a href="https://doe.gov.in/sites/default/files/Purchase%20I.pdf">https://doe.gov.in/sites/default/files/Purchase%20I.pdf</a>
12.	Matters relating to public procurement; Manual on policies and procedures for purchase of goods, 2017; Manual of Policies and Procedure of Employment of Consultants, 2017; and Manual on Policies And Procedure For Procurement of Works	<a href="https://doe.gov.in/sites/default/files/Manual%20for%20Procurement%20of%20Goods%202017_0_.pdf">https://doe.gov.in/sites/default/files/Manual%20for%20Procurement%20of%20Goods%202017_0_.pdf</a> <a href="https://doe.gov.in/sites/default/files/Manual%20for%20Procurement%20of%20Consultancy%20and%20Other%20Services%202017_0.pdf">https://doe.gov.in/sites/default/files/Manual%20for%20Procurement%20of%20Consultancy%20and%20Other%20Services%202017_0.pdf</a> <a href="http://www.du.ac.in/du/uploads/rti/StructureCPWG.pdf">www.du.ac.in/du/uploads/rti/StructureCPWG.pdf</a>
13.	Matters pertaining to Expenditure Finance Committee (EFC) / Public Investment Board (PIB)	<a href="https://doe.gov.in/sites/default/files/Guidelines_Appraisal_Approval_Schemes_Projects.pdf">https://doe.gov.in/sites/default/files/Guidelines_Appraisal_Approval_Schemes_Projects.pdf</a>
14.	Matters relating to Public Private Partnership Approval Committee (PPPAC) projects	<a href="http://www.pppinindia.com/guidelines-forms.php">http://www.pppinindia.com/guidelines-forms.php</a>
15.	Records Retention Schedule - 2012	<a href="http://darpn.nic.in/darpnwebsite/cms/Document/file/RRS_WC.pdf">http://darpn.nic.in/darpnwebsite/cms/Document/file/RRS_WC.pdf</a>
16.	Composition of the Gazette of India and instructions for publication therein	Appendix – 8.2 of this manual
17.	Guidelines for Indian Government websites(GIGW)	<a href="http://www.darpn.nic.in">www.darpn.nic.in</a> & <a href="https://meity.gov.in">https://meity.gov.in</a> (Website should be got audited by the

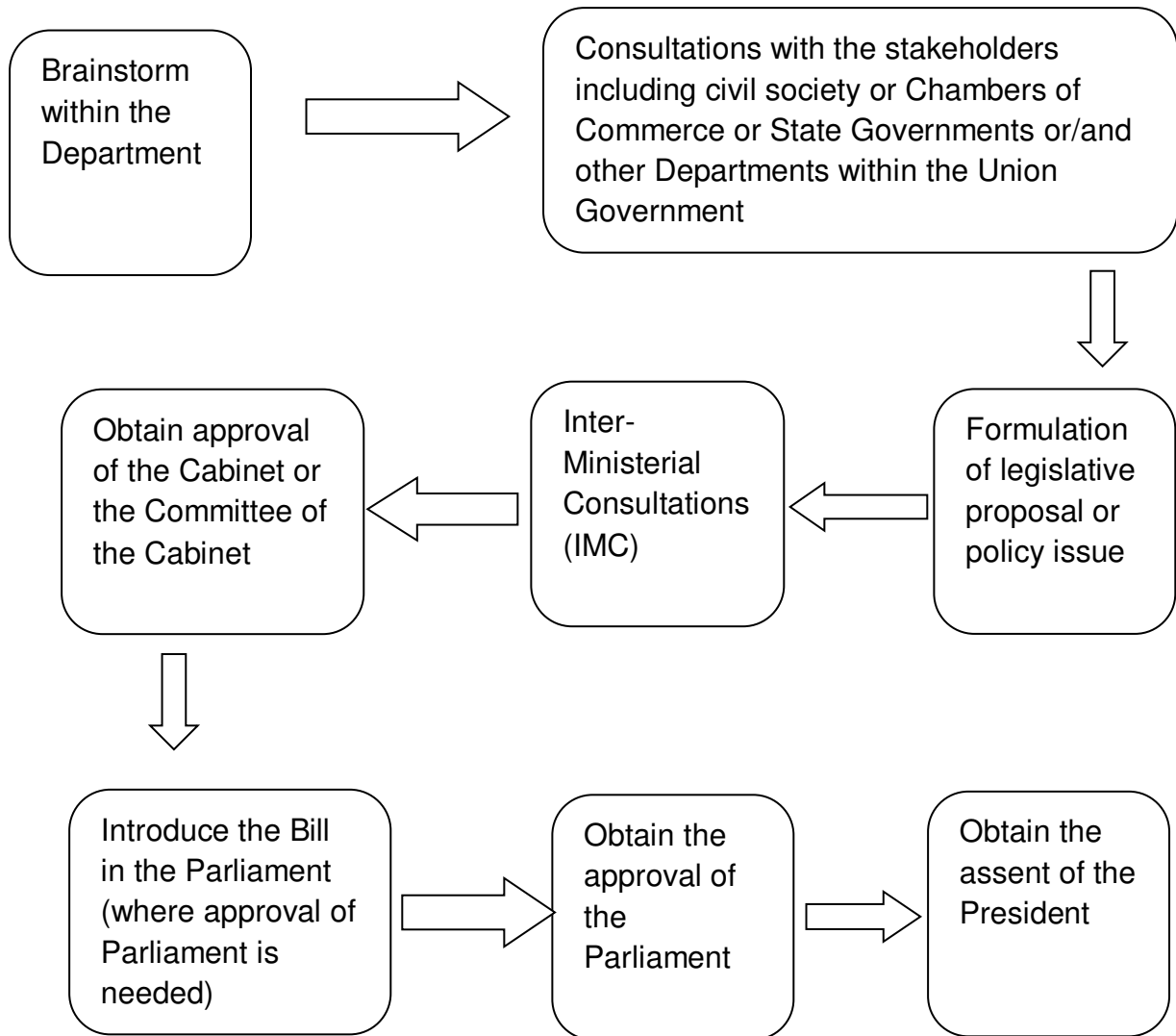
		Directorate of Standard Testing Quality & Certificate (STQC) ( <a href="http://www.stqc.gov.in">www.stqc.gov.in</a> ) and GIGW certificate obtained from them. The websites should be updated on regular basis.
18.	Guidelines for preparation of Departmental Manuals	<a href="http://www.darpg.nic.in">www.darpg.nic.in</a>
19.	Legal Information Management & Briefing System	<a href="http://www.limbs.gov.in">www.limbs.gov.in</a>
20.	Online Assurances Monitoring system	<a href="https://oams.nic.in">https://oams.nic.in</a>
21.	Audit Para monitoring system	<a href="https://apms.nic.in">https://apms.nic.in</a>
22.	Public Finance Management System	<a href="https://pfms.nic.in">https://pfms.nic.in</a>
23.	Single User Platform related to employees	<a href="https://supremo.nic.in">https://supremo.nic.in</a>

URL/Link change from time to time

- 4.4.** For matters delegated to an authority within a Ministry/Department, decisions are arrived at through noting (paras 7.2 and 7.3) from the initiating officer on a file which is submitted to the competent authority through the channel of submission.
- 4.5.** Sections/Desks are encouraged to develop and update tools of knowledge management described in Chapter 11 to develop and institutionalize a 'person-independent' information system for retention of knowledge and its transfer to the successors.
- 4.6.** The role of Government Directors on Boards of Public Enterprises shall be governed by the DPE O.M. No. 18 (24)/2003-GM-GL-49 dated 4<sup>th</sup> December, 2003) as amended from time to time and other relevant guidelines/orders in this regard.
- 4.7.** The process of decision making in Government depends on whether it needs approval of the Parliament or the Cabinet/Committee of the Cabinet or is within the powers of the Minister or Secretary. Thus, decisions made in Government may be categorized as under:
- a) Legislative proposals
  - b) Policy issues
  - c) Other than legislative proposals or policy issues under the delegated powers of the Ministry
- 4.8.** The process of decision making in case of legislative matters/proposals that need approval of the Parliament or the Cabinet or a Committee of the Cabinet is as

under. The process of decision making in case of “Other than legislative proposals or policy issues under the delegated powers of the Ministry” is given in Chapter – 7.

**Process of decision making in case of legislative matter/proposal that needs approval of the Parliament or the Cabinet or a Committee of the Cabinet**



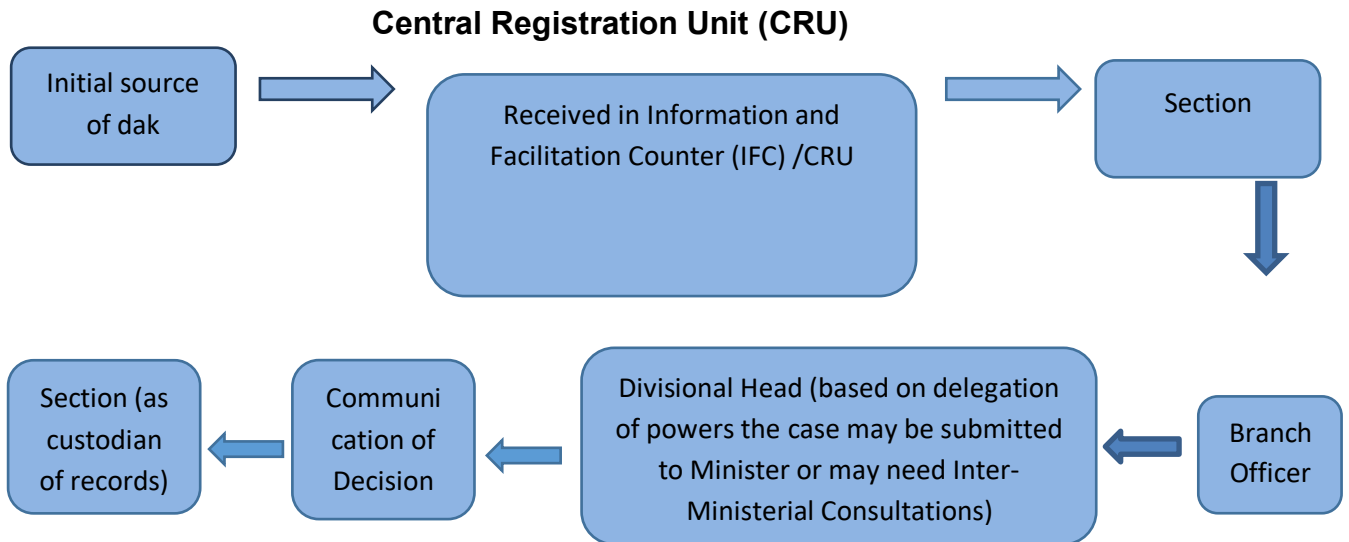
#### 4.9 Efficiency in Decision Making in the Government:

(i) Efficient decision making is fundamental to a responsive and accountable governance. Accelerating the pace and efficiency of decision making is crucial for economic growth and enhancing the ease of living of citizens. The CSMOP aims to bring simplicity, efficiency and transparency in Government processes and procedures. It has a guiding framework for effective functioning of the Central Secretariat Offices.

(ii) Compliance of the following provisions of CSMOP will enable enhancing efficiency in decision making:

- (a) Make available on the website of the Department, the Channel of submission of cases, other than the classified ones. Review, at least once in three years, the levels of disposal and channels of submission. Based on this, the Dealing Officer will take action on the cases. Secretary of the concerned Ministry/Department may consider forming inter-disciplinary teams for addressing cross cutting issues. (Para 7.6 of CSMOP, 2019)
- (b) Each Ministry/Department shall identify the work that could be handled in a more effective and efficient manner for optimal use of Desk Officer System. (para 3.1 of CSMOP, 2019)
- (c) E-Office platform should be optimally used by Ministries/Departments to bring more transparency, efficiency, and accountability in the Government transactions leading to increased promptness and productivity. For this, the reskilling/upskilling of the officers and the staff shall be suitably addressed. Ministries/Departments should take action to migrate to updated versions of e-office from time to time. (Chapter – 15 of CSMOP, 2019)
- (d) Every Ministry/Department as well as their attached and subordinate offices shall strengthen the Central Registry Unit (CRU) by meeting the human resources and infrastructure needs for the functioning of the digital secretariat. (Appendix 5.2 of CSMOP, 2019)

**Flow chart of disposal of a dak or receipt:**



**5.1. Receipt of Dak:**

- (i) During office hours, all dak including those addressed to Ministers/Officers by name will be received in the CRU/IFC. However, dak with urgency grading addressed to the Ministers/Officers by name is sent through special messenger directly to the addressee themselves; it will be received by them or their personal staff.
- (ii) In case an officer is on leave/training/tour/retired/transferred from the office (post)/the successor /the personal staff concerned /the link officer /the officer below such retired /transferred Officer concerned, dealing with the subject, will receive the dak with urgency grading except in case of confidential letters. In case none of these Officers are in position, CRU will receive such letters. In no case immediate and/or important letters should be undelivered or returned by the Department.
- (iii) Outside the office hours, dak will be received by the addressee himself at his residence if marked immediate and addressed by name. In such cases, the officer will normally be informed in advance over telephone about the dak being delivered at his residence. In all other cases, dak will be received outside office hours by:
  - a. the night duty clerk of the Department concerned; or
  - b. where no such arrangement exists, by the officer designated by the Ministry / Department concerned to receive such dak;



c. In other cases, such dak will be dealt with in accordance with the Departmental Instructions.

(iv) Communication received through emails in the Department will be downloaded centrally by the Department by a designated person, who will forward the same to the Central Registry. Such communications addressed to the Ministers/Officers will be downloaded by them or their personal staff.

**Box-e.5.1**

In eFile, all physical Dak irrespective of whether the Department is working in physical or electronic mode will be received through eOffice in the Receipt inbox of Receipt Section.

**5.2. Scrutiny of dak:**

- (i) Dak with urgency grading will be separated from other dak and dealt with first.
- (ii) All covers, except those addressed to Ministers/Officers by name or those bearing a security grading, will be opened by the CRU/IFC.
- (iii) On opening of dak, the CRU/IFC will check enclosures and indicate on the dak, if any, item found missing.
- (iv) All opened dak, as well as the covers of unopened classified dak, will be date-stamped as under:

**Box – 5.1: Specimen of rubber stamp**

Ministry/Department of _____
Received on _____
CRU / IFC Registration Number _____

The template is similar, in cases where personal staff of Minister/Officers are registering the dak. Instead of “Ministry / Department”, “Office of \_\_\_\_\_” or the designation of Divisional Head or Branch Officer will be mentioned.

- (v) The entire dak is sorted out section-wise and officer-wise ( if addressed by name). To facilitate this, the CRU shall keep an up to date list of allocation of the subjects to various sections / officers issued by the Ministry / Department.

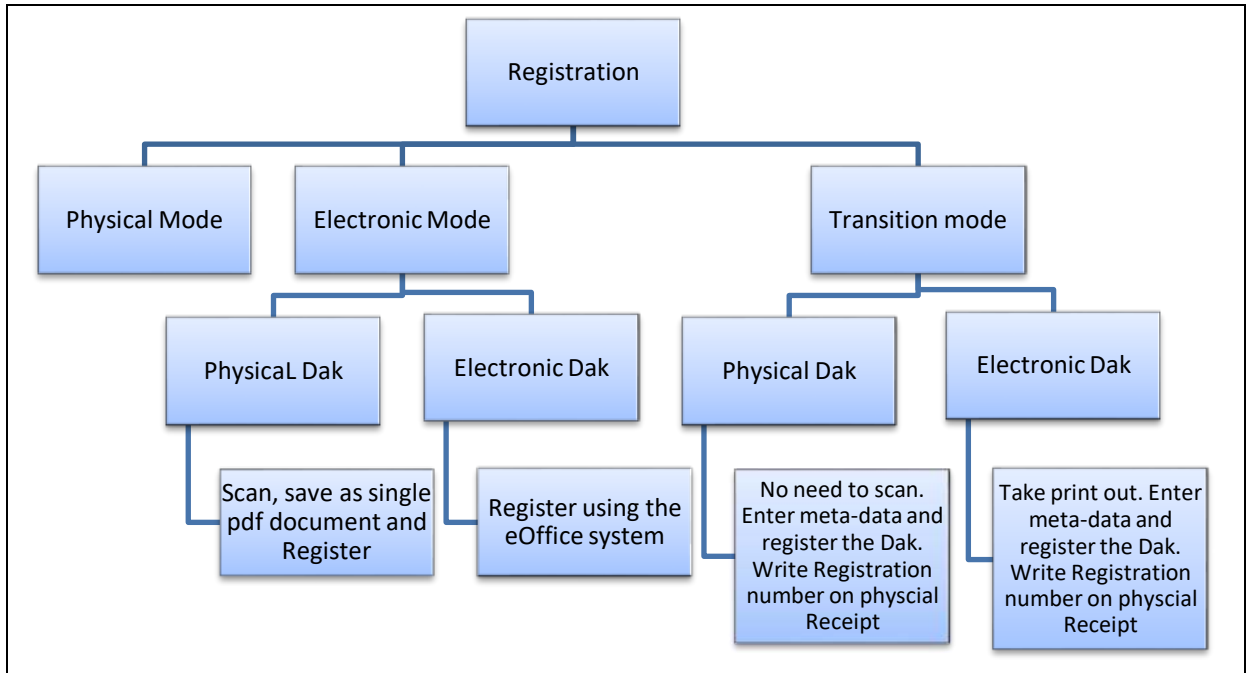
**Box-e.5.2**

The receipt number generated is unique and is non-editable. It also is appended with Section code for easy identification. Date and time stamp of receipt generation which is maintained in the system, is also available with the receipt in electronic mode.

**5.3. Registration of dak:**

- (i) Dak should be registered at the entry level so as to maintain accountability of every paper received by the respective Department. CRU should be strengthened with resources for registration of dak at the entry level. CRU should have registers in the prescribed format (Appendix – 5.1) to register dak.
- (ii) All dak need to be registered at the entry level **except** the following (This may be varied as per the departmental instructions):
- a. receipts which, as a class, are adequately taken care of by a register specially devised for the purpose (e.g. telephone bills which are entered in telephone register);
  - b. Communications received from Members of Parliament for which a separate register is maintained for watching their disposal vide para 12.2;
  - c. identical copies of representations except the one received first, unless directions / remarks are recorded by a senior officer;
  - d. casual leave applications;
  - e. 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
  - f. any other categories of receipts which under Departmental instructions are not required to be registered.
- (iii) The CRU/ IFC will maintain one or more registers as required.

**Box - e.5.3**



**Box - e.5.4.**

**Note:**

Transition Mode means processing of Receipts and File is done physically and tracking is done electronically through eFile.

Electronic Mode means processing of Receipts and Files is done electronically through eFile.

Log of movement details of files and receipts, electronic as well as physical, is maintained in the system.

**Box - e.5.5.**

In eFile, all Dak are registered as explained in Appendix – 5.2 and 5.3.

The registration number thus generated is unique in nature and is a running number throughout the Department. Every time the CRU/ an officer accesses the eFile for registering a Dak, a new number will automatically be generated against it.

Registers maintained at various levels like CRU Register, Section register and the Personal Section or Staff register etc. need not be maintained in the electronic environment as the system saves all the data and search and retrieval processes are done based on these data: computer number/receipt number/key word of subject.

**5.4. Acknowledgement of dak:**

The receipt of dak including files from other Departments, except ordinary postal dak, will be acknowledged by the recipient in the Department by signing in ink in full in the messenger (peon) book with name, date and designation. A specimen of

messenger book is given in Box 5.2. The dak received through emails should be acknowledged.

**Box – 5.2: Specimen of messenger (peon) book**

Date	Reference number of the document	Full signature of the recipient with name date and designation(dd//mm//yy)

**Box - e.5.6.**

In eFile, acknowledgement of a Dak is automatically done by the system through SMS and/or email, after registration of Dak, provided the mobile number and email address fields in contact details of the sender are filled in during registration, in Dak registration screen. Also there is a provision to send acknowledgements in templates (e.g. letter heads of offices).

**5.5. Distribution of Receipts:**

- (i) The receipt will be sent to the section / officer concerned and acknowledged by the receiver. Alternatively, receipt may be distributed and acknowledgement obtained in the register maintained section-wise / officer -wise.

**Box - e.5.7.**

In eFile when registration of dak is done electronically but processing on it is done physically then the acknowledgement is done as above because the paper/receipt moves manually. However, when registration and processing both are done electronically then no register is required.

- (ii) Dak with urgency grading is to be distributed as and when received. Other dak may be distributed at suitable intervals (i.e. 11.00 A.M., 2.00 P.M. and 4.00 P.M.). Such part of the ordinary dak as is received too late to be included in the last daily round, will be kept ready for distribution early next day. The official in charge of the CRU will ensure that:
  - a. as far as possible, sorting and registering of dak is completed on the day of its receipt;

- b. to the extent which the above work cannot be completed during the day, and without prejudice to the processing of Immediate / Priority dak, the night duty staff attends to it; and
  - c. the total number of receipts pending at the end of the day for sorting and registering are handed over to the night duty staff. Full signatures of the night duty staff are obtained in token of having taken custody of these.
- (iii) Dak with urgency grading received outside office hours is to be sent to the sections concerned if there is staff on duty.
- (iv) Sending communications through email is to be encouraged. emails facilitate quicker despatch, distribution and receipt of communications. Parliament Units, Budget Sections and Coordination Sections must extensively send, distribute and receive communications through emails with carbon copy (cc) to authorised officers and Sections concerned. While furnishing information on such references, senders must, apart from attaching pdf documents, attach the Word and Excel documents also to facilitate quicker compilation. Departmental instructions may be issued, if need be.

#### **5.6. Perusal and Marking / sending of Receipts:**

On receiving the Receipts, the Section Officer will –

- (i) go through the receipt
- (ii) forward mis-sent receipts or emails directly to the section concerned;
- (iii) separate those which either under the Departmental instructions or in his or her discretion should be seen by higher officers;
- (iv) retain such of the remaining receipts and emails as are of a difficult nature or have any special feature requiring his/her personal attention;
- (v) mark other receipts to the Dealing Officers concerned and where necessary indicate urgency grading, deadline and / or give directions regarding line of action;
- (vi) keep a note in his/her register of important receipts requiring prompt action or disposal (by a specified date); and
- (vii) submit the file to the officer who last noted on it, if it is the one returned by other Ministry/Department.

#### **Box - e.5.8.**

In eFile, the marking of a receipt or a file is made to the officer concerned in pre-defined field, including self. In case of Receipt, there is a provision to mark a copy to other officers too. Direction may be given from the drop down menu of 'Action'. Sender may use the 'Remarks' field to record his

comments. Officers can set due date for submission in the 'Set due date' field.

### **5.7. Movement of receipt**

Manual receipt submitted to officers will move in pads conspicuously labelled as receipt pad. Their movement and perusal will receive prompt attention. The Section Officer will keep a careful watch on any hold up in the movement of receipts and take action to expedite. The Section will bring to his notice any receipt which is not received back from officers within one day.

#### **Box - e.5.9.**

eFile tracks every movement of a Receipt or a file.

### **5.8. Action by higher officers:**

Officers to whom receipts are submitted will:

- (i) go through the receipts, initial them and return them to the Section Officer;
- (ii) remove receipts which they may like to process or dispose of at his level or to submit to higher officers at dak stage, in which case movement of such receipts are to be made by the personal staff;
- (iii) ensure that an existing file is obtained from the Section or a new file is opened by the Section with respective references made in the File Register for action as in para 5.8(ii)

### **5.9. Allocation of Disputed Receipts:**

If a section feels that it is not concerned with a mis-sent receipt or email forwarded to it, it should be brought to the notice of the Under Secretary so designated by the departmental instructions for deciding allocation of disputed receipt. In case of dispute, he will be responsible for the settlement of the dispute at the earliest within 2 working days from the date of receipt in the department, except that in case of disputed receipts with urgency grading, he/she will decide within half-a-day.

### **5.10. Action on Receipt by functionaries in the Department:**

#### **a. General Principles:**

Action on receipts will be so organized that it results in speedy and correct decision-making process. Certain general principles to be observed in this regard are given below:

- (i) Paper work will be kept at an essential minimum;

- (ii) Least possible time will be taken for examination and disposal of cases, unless a specific time limit has been prescribed in the Receipt or in the Departmental instructions;
- (iii) While disposing of cases, an officer will aim at optimizing the quality as well as the quantity of work performed by him. The objective should be 'speed with accuracy';
- (iv) Simplified and pre-structured formats – standard process sheets – will be developed for processing repetitive cases. Simplified formats should also be devised for the benefit of the citizens in their interaction with the offices.

b. Action by Dealing Officer:

The Dealing Officer must:

- (i) Go through the receipts and segregate from the rest as per the urgency grading;
- (ii) Deal with the receipts with urgency grading first, followed by other receipts and cases;
- (iii) Check enclosures and, if any, found missing initiate prompt action to obtain it;
- (iv) 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;
- (v) Process the receipt on a current file or open a new file (Para 6.6 and Appendix 6.3);
- (vi) File papers in accordance with the instructions in Para 6.6;
- (vii) With the help of various tools of knowledge management like standing guard files (Para 11.4), precedent book(Para11.6), reference folder (Para 11.7), etc. locate and collect other files or papers, if any, referred to in the receipt, or has a bearing on the issues raised therein;
- (viii) Identify and examine the issues involved in the receipt / case and record a note based on functional approach to noting (Para 7.14);
- (ix) Arrange papers (Box 6.1);
- (x) Do referencing (Para 6.7);
- (xi) Do docketing (Para 6.8);
- (xii) Where necessary, attach a label indicating the urgency grading (Para 6.13)and security grading appropriate to the case;
- (xiii) Sign the note (Para 7.3);
- (xiv) Submit the file to officer as per the channel of submission.

**Box - e.5.10.**

In eFile, the system appends the file number automatically with Receipt once it is put up on a file. Date of submission is reflected both on the notes and also in the movement details automatically, once the file is marked and sent.

Action on missing enclosures / attachments: Dealing officer is to use 'Stand alone dispatch facility to obtain the missing enclosures / attachment. In case this responsibility is assigned to CRU, the missing enclosure/attachment can be obtained in shorter time. To achieve this, CRU has to be provided with an authorized e-mail ID, as indicated in Appendix – 5.2.

c. Action by Section Officer:

The Section Officer will:

- (i) Scrutinise the note of the Dealing Officer;
- (ii) Dispose of routine cases, like obtaining information for draft reply to Parliament questions; sending reminders, etc.;
- (iii) Record, where necessary, a note setting out his own comments or suggestions;
- (iv) Submit the case to the higher officer;
- (v) Monitor the progress of the case to avoid delay;
- (vi) on return of the file, take action, like issue of communication, further examination, etc.

d. What constitutes 'routine cases' in terms of (ii) above will be specified by each Department in its Departmental instructions

e. Action by Branch Officers and above:

If in agreement with the views of the Section, they will append the signature and submit the file to the competent authority. Else, they may (a) return the file with written advice or (b) record own note and submit to the competent authority



**APPENDIX 5.1.**

(Para – 5.3(i))

**DAK@ REGISTER**

Registration Number	Particulars of dak received				Brief subject	To whom Sent	File number*	Replied sent in Hindi/English/Bilingual*	Remarks* / No Reply was necessary**
	Letter Reference number	Letter Date	From whom	Language					
Date of Registration									
1	2	3	4	5	6	7	8	9	10

**INSTRUCTIONS:**

- Columns 1-5 will be filled at the stage of registration *i.e.* before the receipts are handed over to the dealing officers.
- Devanagari script will be used for registering Hindi receipts. Hindi receipts may be suitably distinguished by either marking 'Hindi' in Column 5 or using a different colour of ink.
- Column 8 will be filled on the basis of entries in Column 4 of the Assistant Section Officer's register. For this purpose, the Registration Officer will collect and consult the Assistant Section Officer register periodically, say once a week.
- Columns 9 will be filled by the registration officer on receipt of office copy of issue.
- In column 10, '\*Remarks' is filled in based on need by the Section. For instance, 'Movement of receipts marked to officers for perusal' etc. '\*\*No reply was necessary' will be filled in by the Dealing Officer after a decision has been taken at an appropriate level that no reply is necessary.
- In the case of a desk, all the columns will be filled in, at appropriate stages, by the supporting staff attached to the desk functionary.

@ The Register used in CRU, Section and Personal Section of an officer will be known as CRU Register, Section Register and Personal Section or Staff Register respectively. The format is, however, the same as in this Appendix.

### Functions of CRU

#### 1. CRU “Definition”:

‘Central Registration Unit’ (CRU) means a section or unit within a department consisting of functionaries like resident clerk and night duty clerk (data entry operator). The unit is entrusted with the responsibility of receiving, registering and converting physical Daks into electronic receipts, and distributing / marking and sending them.

#### 2. CRU “Process Flow”:

a. *Receipt of DAKs:* The physical DAK for the department is received.

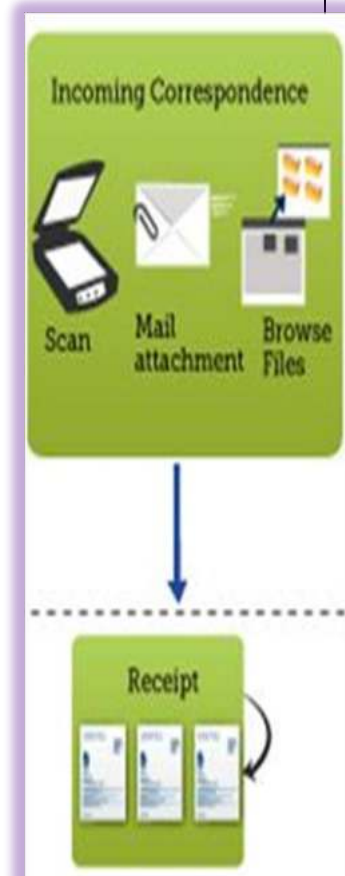
b. *Scanning:* The physical DAKs received is scanned & saved as pdf document. All papers of a single dak must be scanned and saved in a single document. Cases wherein voluminous books, papers etc. are sent as annexure, the sender may be requested to send a soft copy or indicate public website link from where the book, etc. may be downloaded.

#### c. *Registration:*

- i. The scanned copy of the Dak is uploaded in the system along with its details (meta-data), if the processing of Receipt is completely electronic.
- ii. If the processing on a Receipt is to be done in physical form, the registration is to be done using eFile.

*in order to provide ease of access & avoid any loss of letter at a later point of time, the dak should be scanned and uploaded during registration.*

- iii. If Dak received is in the form of e-mail, following actions can be taken as per the processing nature in eOffice-
  - *Electronic processing in eOffice:* the mail can be converted into PDFs for further processing.
  - *Physical processing in eoffice:* a print-out is to be taken.



**Fig. 1:** The Process Flow

- **In both the processes, the meta-data has to be entered and registration/receipt number generated by the system, which is in serialim for the entire Ministry/Department.**

*Storage of physical Daks after scanning:* After scanning and registration, the physical Daks along with registration/receipt number is to be sent to the respective sections. This is done so as to retrieve and refer to, if required.

*Distribution of Receipt:* The receipt may be forwarded to the concerned section. Disputed Receipts are to be dealt with as prescribed in this Manual (para 5.9.)

### Strengthening of CRU

The CRU is considered as the backbone for successful & sustainable implementation process of eOffice in the organization. Therefore, following aspects of a CRU must be looked into –

- a. *Human Resources:* The unit must be equipped with technically skilled man-power with computer proficiency.
- b. *Infrastructure:* The unit would be dealing with heavy volume of Daks each containing multiple pages, on a daily basis; thus it is very important to equip the unit with “Good quality” High-speed ADF Scanners & new-generation computer systems well connected over network for efficient productivity for the organization.

**APPENDIX 5.3.**

(Box –e.5.5.)

**Guidelines for handling of Daks in CRU**

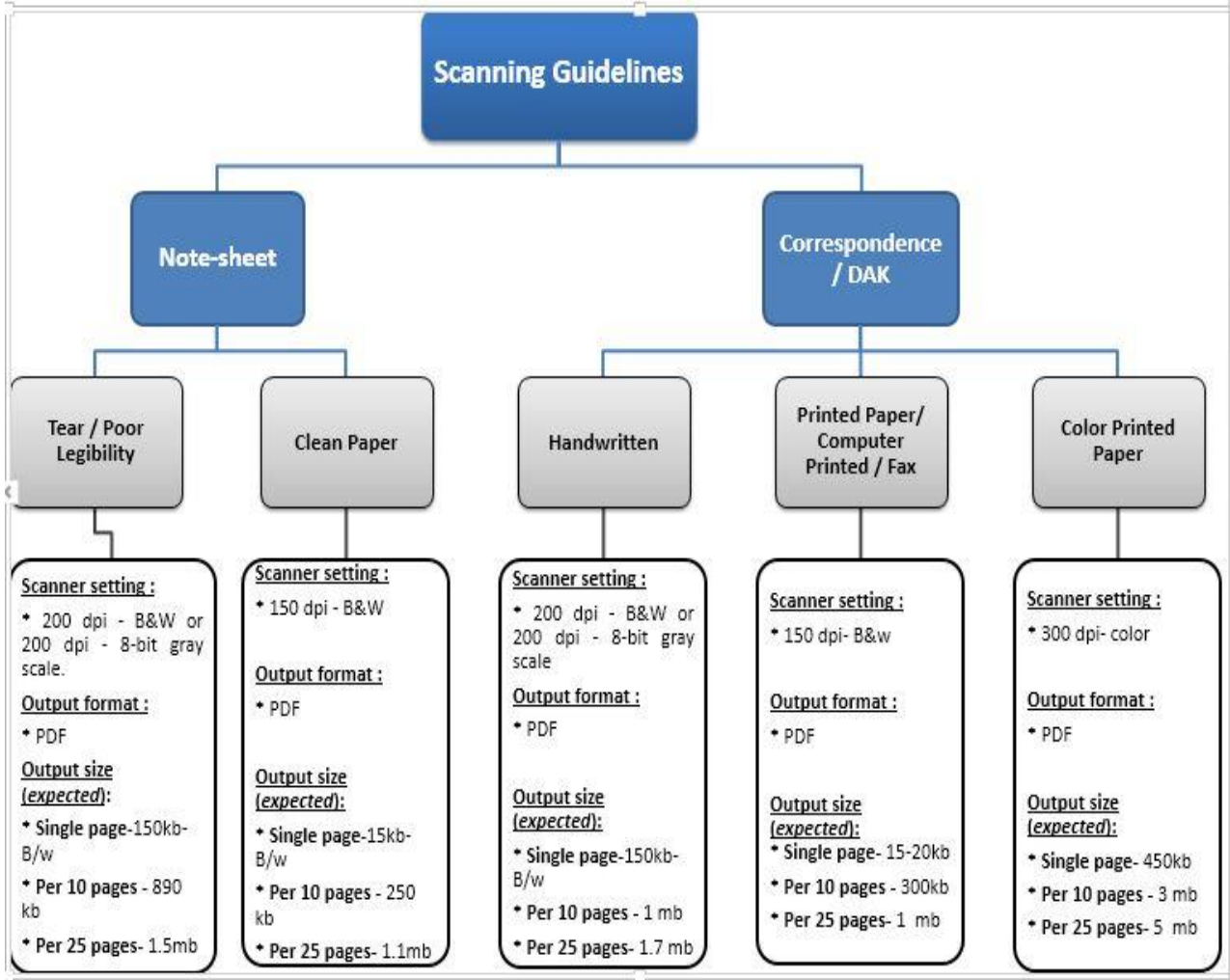
DAK TYPE	REGISTRATION	SCANNING	HANDING OVER PROCEDURE
Newspapers, Magazines and periodicals.	NO	NO	Hand over to Library.
Private DAK e.g. LIC reminders, personal bills.	NO	NO	Handover to addressee/PA/MTS.
Private DAK by registered or Speed Post.	NO	NO	Receive in paper register, take signature of addressee/PA/MTS.
DAKs by office name.	YES	YES	Open Envelope, Scan, and register, Electronically forward to Section concerned. Write Registration number on original paper and send to respective Section.
DAK by office name with bulky enclosures e.g. brochures etc.	YES	Scan Covering letter; Enclosures sent as hard copy.	Remarks about enclosures will be entered in the Registration. If documents are important, Officer/Section/Personal Staff may scan them and keep in a file against registration number.
DAK by officer's name or marked Private/Classified etc.	YES	NO	Will NOT be opened. However, it will be registered and electronically forwarded to the addressee. Registration number and date will be written on the unopened envelope and it will be sent to concerned officer or his/her PA. It will be duty of the addressee or his/her PA to scan it and enter into eFile against the concerned registration number.

**Note:**

The above mentioned guidelines are for reference purpose only. The departments need to have their own instructions depending on different types, nature and importance of Daks received.

**APPENDIX – 5.4.**  
(Para 2. b. of Appendix – 5.2)

**Scanning Guidelines**



**Note:**

The above mentioned guidelines are for general reference purpose only. They may differ with different technological standards of the scanners.

**6.1. File:** means a folder consisting of related papers on a specific subject consisting of one or more of the following parts with a file number:

**(i) Correspondence portion:**

- (a) Contains all incoming written communications that are inputs to take decision; and;
- (b) Office copy of the communication sent by office.

**(ii) Notes portion:**

Contains the process sheet i.e. how decision was taken on a case

**(iii) Appendix to correspondence portion:**

Lengthy enclosures to a communication (whether receipt or issue) on the file, which are likely to obstruct smooth reading of the correspondence or make the correspondence portion unwieldy.

**(iv) Appendix to notes portion:**

A 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. Such aspects are processed in Appendix to Notes and key issues arising there from are then processed in the Notes portion giving reference to the relevant page.

***Box-e.6.1.***

eFile mainly comprises of:

- a) Notes
- b) Correspondences
- c) Draft communication
- d) References
- e) Linked files (actionable files)
- f) Attached files (linked for reference purposes)

**6.2. File Management System :**

It has two connotations :

- (i) The manner in which file number is given; and
- (ii) The manner in which papers are filed.

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

- a. Functional file numbering system; and

- b. File numbering based on subject classification or Conventional File Numbering System.

They are described in the succeeding paragraphs:

**(a) Functional file numbering system:**

- (i) Functional file number was developed by DARPG in respect of functions common to all Ministries and Departments. Common office functions codes are given in Table – 6.1.

**Table – 6.1: Common office function codes**

Code	Records relating to common functions in Ministries & Departments
A	Establishment
B	Welfare
C	Vigilance
D	Common office services
E	Hindi
F	Public relations
G	Finance, budget, cash and accounts
H	Parliament matters
I	RTI matters

- (ii) Broadly speaking apart from the code indicating common office functions, functional file number will have alpha-numeric code for basic, primary, secondary and tertiary heads (Table – 6.2 read with Appendix – 6.1); serial number of the file opened during the year under such heads and numbers representing year of opening of the file.

**Table – 6.2: Functional file number system codes at a glance**

Relevant Head	Activity
Basic heads (Functions)	To identify and list basic functions of the department. These may be called 'basic (or group) heads' e.g. A-Establishment; B-Welfare, etc. for common office functions as prescribed by DARPG in <a href="http://darpq.gov.in/darpqwebsite/cms/Document/file/RRS_WC.pdf">http://darpq.gov.in/darpqwebsite cms/Document/file/RRS WC.pdf</a> ; and 'labour relations', 'foreigners', 'fertilizers' in case of substantive functions of the Departments.
Primary heads (Main activity)	To list under each function (i.e. basic/group heads) its main activities identifying them by appropriate subject headings called 'primary heads'.
Secondary heads	To divide each primary head into sub-subjects or aspects called 'secondary heads'

Tertiary heads	Where necessary, break down each secondary head into its various known factors called 'tertiary heads'.
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(iii) Details of how file numbers are assigned under the functional file number system is given in Appendix 6.1

**(b) Conventional File numbering system or File number system based on subject classification:**

(i) File numbering under this system may vary from Department to Department and in each Department, from Section to Section too. This is the reason why functional file system was devised to bring uniformity in file numbering system across all Departments. However, many sections in a number of Ministries and Departments still use conventional file number system or file number system based on subject classification. A file number under this system normally has two or more file alpha-numeral parts that contains:

- a. Subject code
- b. Sub-head code
- c. Serial number of the file opened
- d. Year in which the file is opened
- e. Ownership which is an abbreviated form identifying the section.

(ii) Details of how file numbers are assigned under the conventional file numbering system are given in Appendix 6.2.

**6.3. Instances where files need not be opened:**

- (i) 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
- (ii) Can be disposed of straightaway by noting the reply on the source receipts and returning them to the originators; or
- (iii) Unlikely to generate further correspondence. 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 any, on the subject. Departmental instructions may be issued on this.

**Box-e.6.2.**

File numbering in eFile is based on the type of file numbering system adopted by the Department. In case of functional file system, eFile has a provision to include basic, primary, secondary and tertiary heads in respect of the substantive functions of the Department. eFile also has provision for file numbering system based on subject classification. However, efforts are to be made by each Department to move from the file numbering system based on subject classification to the functional file numbering system.



How these are to be done is given in the eFile User Manual available at <https://docs.eoffice.gov.in/eFileMU.pdf>

#### **6.4. File Register:**

A record of files opened during a calendar year will be kept in a file register to be maintained by the Section. Specimen of a File Register is at Appendix – 6.3.

#### **6.5. File movement register:**

Movements of files are made in a file movement register. A specimen of a File Movement Register is at Appendix – 6.4. Departments are advised to use the eFile MIS Report available in eOffice.

#### **6.6. Filing of papers:**

- (i) Filing of papers means placing the PUC and / or FRs in the correspondence portion and the notes in the note portion of the file.
- (ii) Papers required to be filed are to be punched on the left hand top corner leaving 1 inch each on the top and left corner and tagged onto the appropriate part of the file viz. notes, correspondence, appendix to notes and appendix to correspondence, in chronological order, top to bottom with the oldest reference at the top and the latest at the bottom.
- (iii) Both the 'Notes portion' and the 'Correspondence portion' of a file are to be separately page numbered. The first page of the correspondence (say page number 1) shall be on the top while the last page (say page number 20) shall be at the bottom of the correspondence portion.
- (iv) Sometimes, the latest PUC or FR is kept on top for quick access by the senior officers. While doing so, it must be ensured that each such PUC and / or FR (s) is page numbered and referenced and docketed. After action thereon is decided, these PUC and / or FR(s) along with copy of the outgoing communication, if any, must be transferred to the bottom of the correspondence portion to ensure chronological sequence.
- (v) Both the 'notes portion' and the 'correspondence portion' are placed in a single file cover. Left end of tag in the note portion will be tagged on to the left side of the file cover and right end of the tag will remain as such i.e. untagged. In the case of correspondence portion, right side of the 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.

- (vi) Earlier communications referred to as the receipt (R) or the issue (I) will be indicated in red ink by giving the position of these references on the file.
- (vii) If a file is bulky, separate file covers may be maintained for keeping appendix to notes and appendix to correspondence. For instance, a 50 page report is received with a demi-official letter as an enclosure, the d.o. letter is filed on the correspondence portion and the report is to be kept in Appendix to Correspondence portion. An indication is given in the d.o. letter that the report is kept in the Appendix to correspondence portion. Similarly, on the first page of the report the details of the d.o. letter and its page reference will be given along with reference to the page number in the correspondence portion.
- (viii) Routine receipts and issues (e.g., reminders, acknowledgments) and routine notes will not be allowed to clutter the file. They will be placed below the file in a separate cover and destroyed when they have served their purpose, unless these have an audit or legal necessity, in which case they are to be filed chronologically in the correspondence portion.
- (ix) If the file is not bulky, appendix to notes and appendix to correspondence may be kept along with the respective note portion or the correspondence portion respectively of the main file.
- (x) To facilitate easy handling of file, when the 'notes' plus the 'correspondence' portion of a file become bulky (say exceed 150-200 pages), it will be stitched and marked 'Volume I' e.g. A – 11011/2/2019 – Estt (Volume – I). Further papers on the subject will be added to the new volume of the same file, which will be marked 'Volume II' e.g. A – 11011/2/2019 – Estt. (Volume – II), and so on.
- (xi) In Volume II and subsequent volumes of the same file, page numbering in notes portion and correspondence portion is to be made in continuity of the last page number in note portion/correspondence portion of the earlier volume.

### **Box-e.6.3.**

In eFile, all electronic receipts including scanned copy of PUC and FRs are attached or uploaded to eFile. For electronic Files the need for creating a new volume does not arise.

### **Box – 6.1: Arrangement of papers in a file**

#### **How are papers to be arranged in a file?**

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

1. Acts/ Rules/ Instructions or Reference books;
2. Notes portion of the current file ending with the note for consideration;

3. Draft for approval, if any;
4. Correspondence portion of the current file ending with the latest receipt or issue or running summary of facts, as the case may be;
5. Appendix to notes and correspondence, if required to approve the proposal; else they may be kept in safe custody by the Dealing Officer;
6. Standing Guard File, Precedent Book or Reference Folder, if any;
7. 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. These too are to be page numbered and to be filed in the correspondence portion;
8. Recorded files, if any, arranged in chronological order, the latest being placed on the top; and
9. Routine notes and papers arranged in chronological order and placed in a separate cover.

**Box-e.6.4.**

In eFile, papers are arranged in each part of the file as given in the box under para 6.1. There is no need for Appendix to Notes or Appendix to Correspondence in eFile.

**6.7. Referencing:**

- (i) Every page in each part of the file (viz., notes, correspondence, appendix to notes, and appendix to correspondence) is consecutively numbered in separate series in pen on the right top corner. Blank intervening pages, if any, are not numbered.
- (ii) Each item of correspondence in a file, whether receipt (R) or issue (I), is assigned number (docketing) which will be displayed prominently in red ink at the top middle of its first page.
- (iii) The paper under consideration on a file is flagged 'PUC' and the latest fresh receipt noted upon, as 'FR'. If there are more than one 'FR' they are flagged separately as 'FR I', 'FR II', and so on. Similarly, there could be more than one PUC in a file. While flagging 'PUC' or 'FR', the relevant page numbers will be invariably quoted in the margin. Other papers in a current file are referred to in the notes could be flagged as Flag A, B etc. even in the current file. However, the relevant page numbers must be given in the margin for future reference, after the flags are removed.
- (iv) Recorded files and other papers put up with the current file are 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. `C'/23n, `C'/17c, 'C'/57c, and so on.

- (v) To facilitate the identification of references to papers contained in other files after the removal of slips, the number of the file referred to will be quoted invariably in the body of the note and the relevant page numbers, together with the alphabetical slip attached thereto, will be indicated on the margin. Similarly, the number and date of orders, notifications and the resolutions, and, in the case of Acts, Rules and Regulations, their brief title together with the number of the relevant section, rule, paragraph or clause, referred to will be quoted in the body of the notes, while the alphabetical slips used, will be indicated on the margin.
- (vi) However, Rules or other compilations referred to in a case need not be put up if copies thereof are expected to be available with the officers 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 as 'Not put up'.
- (vii) Flag will be pinned or stuck neatly on the backside 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.
- (viii) An illustration of 'referencing' in the notes portions and in the correspondence portion is at Appendix – 6.5 and 6.6 respectively.

### **6.8. Docketing:**

- (i) "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. After Docketing, if the Branch Officer or any higher officer has made any remark on the receipt, it is reproduced before recording the note. An illustration of 'docketing' is at Appendix – 6.5 and 6.6.

#### **Box-e.6.5.**

In eFile, the system automatically numbers the e-pages in the Notes and the Correspondence portions in separate series. Thus, page numbers are given automatically by the system.

The system facilitates marking a 'Receipt' in correspondence as 'PUC #' or 'FR #'. However, once a "PUC" or "FR" number is assigned, it cannot be changed. Therefore, each new "PUC" or "FR" will be assigned a fresh number. In eFile, there is no need to flag correspondence as PUC or FR, as merely giving reference to the page number would suffice to track that reference

'Docketing' in eFile is done in two ways

- a. There is a provision for the Minister / senior officer to record his comments on the 'Receipt' in the "Remarks" field. This process is done before adding the 'Receipt' in the eFile; and
- b. It is reproduced by typing the remarks given by the Minister or senior officers on the notes portion and hyper-linking the relevant correspondence page number. However, the system does not assign a serial number for docketing, as is done in the manual system.

#### **6.9. Linking of files:**

- (i) If the issues raised in two or more current files are so inter-connected that they must be dealt with together simultaneously, the relevant files will be linked in the manner indicated in sub-para (ii) 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.
- (ii) Attaching a file is different from linking file(s). Linked file(s) is/are file(s) where decision is required; while an attached file is a file which is 'attached' only for reference purposes.
- (iii) The linked files are to be stacked one above the other. The linked file(s) is / are to be displayed by placing a slip on the flap on the file board as under:

#### **Box – 6.2: Specimen of slip to be attached on file board flap while linking files**

Linked files: No: 11011/5/2016 – Policy No: 11011/6/2010 – Policy
---

4. On return of the file after completion of action, the linked and the attached files will be immediately delinked after taking relevant extracts and placing the extracts in linked files.

#### **Box-e.6.6.**

Procedure exists for linking and attaching of files in the eFile. Only active files are available for linking/attaching. The files to be linked or attached must be available in the user's account.

#### **6.10. Part file:**

- (i) 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.

- (ii) A part file will normally consist of:
  - a. receipt dealt with; and
  - b. notes relating thereto.
- (iii) Where two or more part files are opened, each will be identified by a distinct number, e.g., No: A-11011/2/2018 – Fin (PF-1), No: A-11011/2/2018 – Fin (PF-2) and so on.
- (iv) A part file shall be merged with the main file by the Dealing Officer immediately when the main file and the part file are returned to the Section, after giving fresh referencing.

**Box-e.6.7.**

In eFile, the part file is opened against a main file by any user if he/she is in the channel of submission of that file.

Unlike the merger of physical files, in eFile, part file is attached as separate entity and subsequently the respective part files are closed.

**6.11. Transfer, reconstruction and renumbering of files:**

- (i) 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. In case of transfer of files from one Department to the other a list will be prepared and approval of Head of Department will be taken. The Department/ Section taking over the records will not reclassify or renumber the closed files transferred to it. In the case of current files, the endeavor should be to close them at the earliest possible stage and to open new files according to the Department's/ Section's own scheme of classification for dealing with the matter further.
- (ii) 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.

**Box-e.6.8.**

Similar transfer of files can take place in eFile by the eFile Administrator.

## **6.12. Movement of files and other papers:**

- (i) Movement of files will be entered in the file movement register (Appendix – 6.4).
- (ii) When current files are linked as per Para 6.9, 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.
- (iii) 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.
- (iv) 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 register.
- (v) No current file will be issued to other sections except against written requisition and after marking its movement in the file movement register.
- (vi) Files and other papers marked by the Under Secretary to other officers, sections or departments will be routed through the section for noting their movement.
- (vii) When the files are handed over personally by the Under Secretary to other officers, he will inform the section officer accordingly who will ensure that the movement of such files is marked in the file movement register.
- (viii) The personal staff of officers of the rank of Deputy Secretary and above will maintain the movement of papers received by their officers in the respective personal section register (Appendix – 5.1). 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 movements in the file movement register or section register as appropriate.

### **Box-e.6.9.**

In case of electronic file or receipt its movement is recorded in the system automatically, as and when a user sends it to another. However, when a physical receipt or file is sent using eFile, the user has to make sure that the physical receipt or file is actually sent along with a movement entry made in the system. The receiver has to acknowledge the receiving of the receipt or the file in the system as well.

### **6.13. Urgency grading:**

(i) The urgency grading advised are 'Immediate', 'Priority' and 'Top Priority'. The label 'Immediate' will be used only in cases requiring prompt attention. Amongst the rest, the 'Priority' label will be used for cases which merit disposal in precedence to others of ordinary nature. 'Top Priority' will be applied in extremely urgent cases.

(ii) Where Lok Sabha/Rajya Sabha questions, motions, Bills are processed, separate specific file cover shall be used. Hence, it will not be necessary to use any other urgency grading.

(iii) The grading of urgency assigned to a case will be reviewed by all concerned at different stages of its progress and where necessary, revised. This is particularly important for cases proposed to be referred to other departments.

#### ***Box-e.6.10.***

In eFile, 'Immediate', 'Priority' and 'Top Priority' are the urgency grading. These urgency grading are given by the user at the time of sending the file / receipt. Label "VIP" is used for the Rajya Sabha/Lok Sabha matters. The grading of urgency assigned to a case will be reviewed by all concerned at different stages of its progress and where necessary, revised. This is particularly important for cases proposed to be referred to other Departments.



**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 in annexure to appendix).
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 to adopt any of the following orders or a combination thereof as convenient :

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

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

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

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

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

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

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

11. *Deviations* – If the subjects be simple relating to a fresh or recent activity, they may well be covered by one list of primary heads alone or by a two-level list of primary heads and secondary heads. Each primary 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 standardized 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.

Example: 1– A file opened by Labour Relations I section during 2019 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, '2019' the year of opening the file and 'LRI' the section concerned.

Example: 2– 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 17012/2/2019-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, '2019' 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-19012/3/2019-FIV here 'Frt' would denote the basic head 'fertilisers' and the other symbols would be as explained in the above two examples.

14. *File title* – A complete title of the file will normally consist of the appropriate standardized 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.

## Annexure to APPENDIX- 6.1

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

Basic Head	Primary Head	Secondary Head	Tertiary Head
Labour Relations	Strikes/  Lockouts Adjudication of disputes	- Coal mines - Oil fields - Banking	
Foreigners	Acts and Statutory rules  <ul style="list-style-type: none"> <li>• Visa/endorsement</li> <li>• Special permits</li> <li>• Extension of stay</li> </ul>	-Passport (entry into India) Act/Rules -Registration of Foreigners Acts/Rules -Foreigners Act/Rules -Citizenship Act/Rules	
Fertilizers	Imports   Planning <ul style="list-style-type: none"> <li>• Statistics</li> <li>• Control</li> <li>• Promotion</li> </ul>	-Shipment   -Foreign exchange	-Policy -UK credit -Barter/link deals  -Charter

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

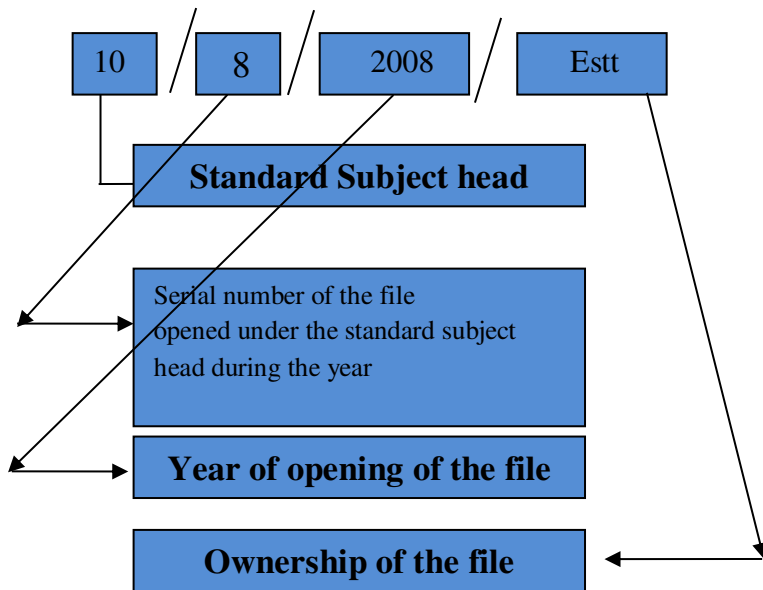
[http://darpg.nic.in/darpgwebsite/cms/Document/file/RRS\\_WC.pdf](http://darpg.nic.in/darpgwebsite/cms/Document/file/RRS_WC.pdf)

**Assigning file numbers under the File numbering system based on subject classification**

Figure – 6.1.

Specimen of a file number under file numbering system based on subject classification

Conventional file number system or File number on subject classification



1. Each Section will maintain approved lists of:
  - a) Standard heads, i.e. main subject headings assigned to the Section; and
  - b) Sub-heads, i.e. aspects of the main subject headings.
  
2. The standard heads will bear consecutive serial numbers and will be pasted on the first page of the File Register. No such numbers, however, will be allotted to sub-heads at this stage. Code for each such sub-heads is allotted as and when the need arises to open such sub-heads. A specimen of standard heads of a section is at Appendix – 6.7.
  
3. The pages allotted to registers are also indicated against each. Specimen of such standard head is at Appendix – 6.7. However, the code number assigned to the subject head the standard heads in this file numbering system will vary from Section to Section even within a Department.

4. 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. Before opening a new file, the dealing officer 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. The first three elements in the file number will be separated from one another by a slant stroke and the last two by dash. Thus, files opened in, say, Scientific Research (SR)Section during 2016 under the standard head bearing serial number '3', will be numbered consecutively as 3/1/2016-SR, 3/2/2016-SR and so on, where 'SR' represents the section.

**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 category '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 in the department, the fact of such transfer and the relevant date, will be indicated in column 6 – e.g.

D.R.R.            M.H.A  
                                              
6-1-2016        6-2-2016

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

**File Movement Register**

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

SUBJECT

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

**Space for recording movements of part files**


**NOTES:**

Movement will be marked by indicating the officer, Section or Department to which the file has been sent with date of sending below it.



**Illustration of ‘Docketing’ and ‘Referencing’ on the notes portion**

-12-

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

S.No. 17 ( R)pg 22/c

“Link the minutes of the previous meeting and consult DoLA@”

sd/- ABC  
JS (Policy)  
12/1/19

\*FR  
pp 80-82 /cor

Reference: FR \*

This relates to \_\_\_\_\_ .

\*\* Flag A  
pp 29-32/cor

2. Minutes\*\* of the previous meeting are linked below.
3. A self –contained I .D. note to DoLA is put for approval.

sd/-  
(DEF)  
12/1/19  
SO (Policy - I)

US (Pol)

Dir (Pol)

S No 18 (I) p 23 – 24/cor

Note:

What is given in red font is docketing.

@ These are the remarks of senior officer on the FR. These are reproduced as part of docketing.

Giving asterisk etc. in the notes and giving details as to where the document is located is called ‘Referencing’.

**Illustration of referencing of previous references in the correspondence portion**

49
<p><b>S No 10 (R)</b> p 53 -55/cor Government of Arunachal Pradesh Department of Administrative Reforms Itanagar, Date the 16<sup>th</sup> January, 2016</p>
<p>To The Secretary, Ministry of Home Affairs, New Delhi</p>
<p>[Attention: Shri ABC, Director (DM)]</p>
<p>Subject: Inputs for the Training policy on Disaster Management – regarding Sir,</p>
<p style="text-align: center;">p 28/cor <span style="float: right;">p 36/cor</span></p>
<p>I am directed to refer to Letter no. _____ dated _____ and dated _____ from the Ministry of Home Affairs on the subject mentioned above and to forward herewith the inputs prepared by the State Institute of Public Administration. It is requested that adequate funds may be provided to the State Government to conduct these training programmes. It is also requested that Training of Trainers may be conducted in Ranchi and at least 5 districts to prepare a team of Trainers.</p>
<p>Yours faithfully,</p>
<p>Encl:</p>
<p>(XYZ) Secretary</p>
<p><b>“S No 10 (R) p 53 -55/cor”</b> is docketing “49” and referring to “page 28 &amp; 36/cor” are referencing</p>

**APPENDIX – 6.7.**  
(Para 4 of Appendix – 6.2)

**Specimen of standard heads of a section**  
**File Register – 2016 of Scientific Research (SR) Section**

Subject Head	Title / Subject
1	Creation of Scientific posts
2	Creation of non-scientific posts
3	Scientific research schemes
4	Policy related issues
5	Memorandum of Understanding
6	Formulation of budget and funding of the schemes
7	Committees
8	Reports and returns (Monitoring)
9	Rajya Sabha Questions / Assurance, etc.
10	Lok Sabha Questions / Assurance, etc.
11	Viability Gap Funding
12	VIP / PMO References
13	Audit
14	Administrative Services related
15	Public procurement
16	RTI cases
17	Court / CAT cases
18	Miscellaneous files

**3 – Scientific Research Schemes**

File number	Title / Subject	Date of opening / Remarks	Date of closing
3/1/2016 – SR	Scientific research on _____	12-02-2016/Sh. A	
3/2/1016 – SR	Scheme to use slags for laying of roads	27-01-2016/ Sh. C	
etc.			

**12 – VIP / PMO Reference**

File number	Title / Subject	Date of opening / Remarks	Date of closing
12/1/2016 – SR	Reference from Shri ..., MP regarding the progress of scientific schemes under implementation in Maharashtra	01.01.2016 /Sh. A	
12/2/2016 – SR	Status of completion of projects – Reference from PMO	29.01.2016 /SO (SR)	

12/3/2016 – SR	Letter from Shri ....., MP regarding the environmental impact of the schemes	13.01.2016 /SO (SR)	
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**7.1. Note:**

- (i) A 'Note' is remarks recorded on a case to facilitate its disposal. It includes a precise of previous papers, analysis of issues requiring decision, financial, legal or other implications, if any; suggestions with justifications; final decision along with the authority competent to take the decision.
- (ii) 'Noting' is the process of recording a note on the notes portion of a file. Note is recorded by the 'dealing officer' and 'other officers' in the hierarchy to facilitate decision making by the 'competent authority'.

**7.2. Guidelines for noting:**

- (i) All notes shall be recorded on note sheet (Green Sheet).
- (ii) A note is submitted either to seek approval of the competent authority or for information.
- (iii) A note must be concise and to the point. Lengthy notes are to be avoided. '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 also be avoided. Instead, a summarized version of the issues raised in PUC / FR are to be brought on the note.
- (iv) For effective noting and to decide the quantum of noting, guidelines given on functional approach to noting (Para 7.14) are to be adopted.
- (v) When passing orders or making suggestions, an officer will confine his/her note to the actual points he proposes to make without reiterating the ground already covered in the previous notes. If he/she agrees to the line of action suggested in the preceding note, he/she will merely append his signature. In case, he/she takes a decision different from the one suggested on file, he may do so giving reasons for his decision.
- (vi) 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.
- (vii) Relevant extracts of the provisions of the Act, Rules and / or guidelines 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, unless such an extract on the note is essential to arrive at a decision.

- (viii) 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 Secretary or Minister. Such a note will bring out briefly but clearly the 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 or decision of the Secretary or Minister is sought.
- (ix) A self-contained note is prepared while seeking advice or opinion or concurrence of another Department. Such inter-Departmental references are to be made only with the approval of an officer not below the level of Joint Secretary or the level specified by a nodal Ministry/Department through departmental instructions.
- (x) When a paper under consideration raises several major points which require detailed examination and respective orders, each point (or group of related points) will be noted upon separately in sectional notes; such notes will each begin with a list of the major point(s) dealt with therein and placed below the main note in a separate folder.
- (xi) If apparent errors or incorrect statements in a case have to be pointed out or if an opinion expressed therein has to be countered, care should be taken to make observations in courteous and temperate language free from personal remarks.
- (xii) While preparing/submitting Notes for the Cabinet/Cabinet Committees/Groups of Ministers & Committee of Secretaries, constitution/reconstitution of High-level Commissions/Committees, the format prescribed in Cabinet Secretariat website ([www.cabsec.nic.in](http://www.cabsec.nic.in)) (as amended from time to time) may be followed.
- (xiii) Black or blue ink will be used by all category of staff and officers.
- (xiv) A note will be divided into serially numbered paragraphs. In case of problem solving or policy cases, paragraphs may have brief titles, if necessary. (See 'Structure of a problem solving & policy case' – para 7.14.(vi) & 7.14.(vii).
- (xv) Hand written notes should be avoided. Notes should be electronically printed if it is half a page or more. Notes are to be printed on both sides of a note sheet.
- (xvi) 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.

**Box-e.7.1.**

**Creation of electronic file:**

In e-File, electronic file or physical file\* (\*a file on which file number is created by the system but processing of the file is done physically) is created before recording a note, using appropriate Menu option.

**Recording a note in an electronic file:**

The inner page of a file has 'Add Green Note' option to record the note, and do the referencing, docketing, etc. 'Yellow note' option is selected to prepare a rough note, which may then be confirmed as a Green note. Details of name etc. of the officer who confirms it will appear in Green note.

It is mandatory for all officers of the rank of Dealing officers and above or equivalent to use Digital Signature Certificates (DSC) or e-sign for electronically signing the eFiles in eOffice system before forwarding.

DSC are to be procured by individual Ministries/Departments/Organizations. For using the e-sign it is required that individual's mobile number is linked to his/her Aadhar Number.

The how part of noting on eFile is available in the User Manual of eOffice at <https://docs.eoffice.gov.in/eFileMU.pdf> .

There are provisions for **standardized one-line quick noting**.

eFile has the facility of delegating access of eFile of a user to another user with complete or restricted rights. There are different kinds of delegation as follows –

<b>Sl. No.</b>	<b>Signatory Delegation</b>	<b>Secretarial Assistance</b>	<b>Authority Delegation</b>
1.	User to whom charge is delegated have to login using his/her own eOffice account and DSC token	User to whom charge is delegated have to login using his/her own eOffice account and DSC token	User to whom charge is delegated have to login using his/her own eOffice account and DSC token.
2.	User has the Read/Write/Send rights of files belonging to the delegated account.	User has the Read(for both physical & electronic) /Write (for both physical & electronic)/Send ( only for physical) rights of files belonging to the delegated account.	User has the Read/Write/Send rights of files belonging to the delegated account.
3.	Signature includes the name of both the users' i.e. to <b>whom</b> charge is delegated	Signature includes the name of the user <b>whose</b> charge is delegated.	Signature includes the name of the user to <b>whom</b> charge is delegated.

	and the user <b>whose</b> charge is delegated.		
4.	Movement History contains the name of the delegator as well as delegated person.	Movement History contains the name of the user <b>whose</b> charge is delegated.	Movement History contains the name of the delegator as well as delegated person.
5.	This delegation is always with respect to an officer and not staff. There should be departmental instructions relating to such a provision.	This delegation is with respect to the personal staff attached to the officers.	This delegation is with respect to the link officers designated by the concerned department.

### 7.3. Examination in Section by Dealing Officer:

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 an elaborate note. In other cases, the Dealing Officer, while submitting a note on a case, will:

- (i) See whether all the statements, so far as they are open to check, are correct.
- (ii) Point out mistakes, incorrect statements, missing data or information, if any.
- (iii) Obtain the missing and / or correct information from the sources concerned either over phone or using correspondence handling category of functional approach to noting.
- (iv) Furnish other relevant data or information available in the Section / Department, if any.
- (v) Prepare a note based on functional approach to noting (Para 7.14), especially use of standard process sheet.
- (vi) State the issues for consideration and bring out clearly the points requiring decision.
- (vii) Draw attention, if necessary, to the statutory or customary procedure and point out the relevant provisions of the Act, rules, instructions to the given case.
- (viii) Draw attention to precedent(s), if any.



- (ix) Suggest the course of action to be taken with justification(s) along with alternative courses of action for consideration of the competent authority.
- (x) Indicate the authority competent to take decision along with the copy of the delegation of powers.
- (xi) Affix full signature with complete date (dd/mm/yyyy) on the left below the note.
- (xii) Leave space not less than one quarter of a page below the last recorded note in the note sheet of the file, especially when the file is submitted to the Secretary or Minister.

**Box-e.7.2.**

In eFile, with every note the dealing officers' signature consisting of his full name and post is appended to the noting along with date and time.

**7.4. Examination by Section Officer:**

Examination by Section Officer will include:

- (i) Check if technique of functional approach to noting (Para 7.14) has been adopted.
- (ii) Consider possibility of using Standard Process Sheet either by using an existing Standard Process Sheet or developing a new one.
- (iii) Evaluate adequacy and relevance of inputs provided.
- (iv) Section Officer and above are to simply sign, on the right side below the note with date, month and year (dd/mm/yyyy), if they agree with Section note. Else, they are to record their note. Signature is to be rubber stamped.

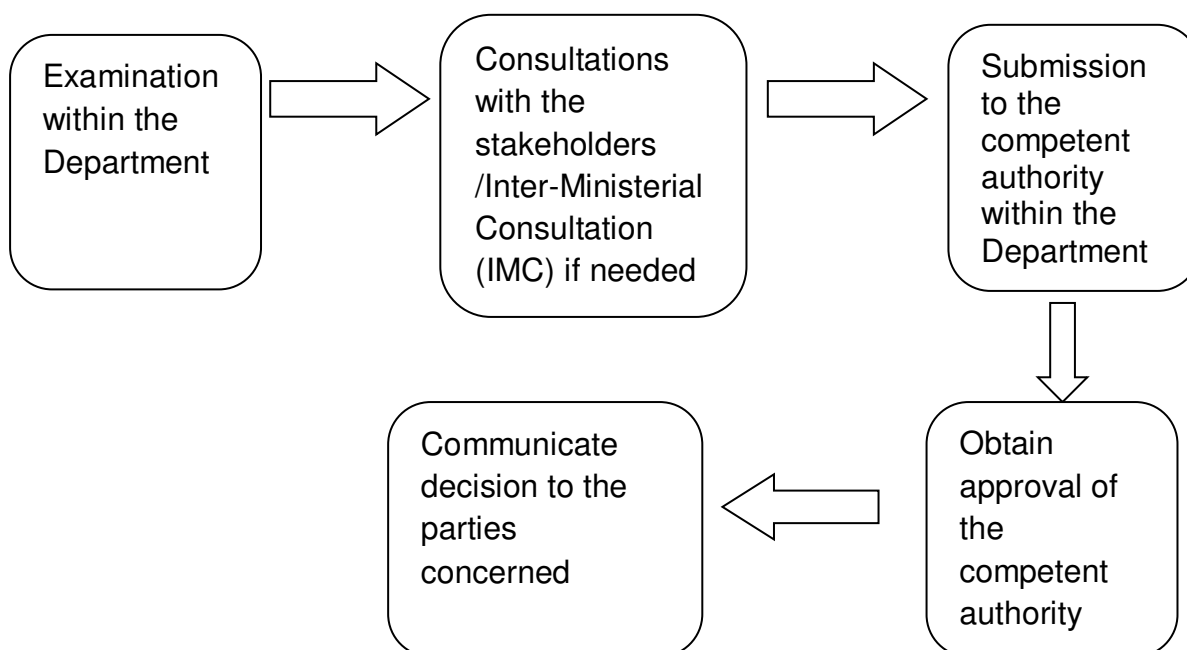
**7.5. Examination by Branch Officer and above:**

- (i) A Branch Officer or Division-in-charge or Wing-in-charge will discuss, wherever necessary, with his team to decide the course of action to be taken on a case involving a new or a complex matter.
- (ii) For dealing with such problem solving or policy cases, the technique of writing a discussed note may be used. Discussed note is submitted as a draft. After clearance from the senior officers, it is faired and submitted by the Dealing Officer.
- (iii) After discussion, the Dealing Officer is entrusted with preparing a comprehensive/self contained note which will be put up to the decision making

level clearly indicating that it is a discussed note. Such discussed note shall also be a reasoned note based on the provisions of the relevant Act, rules, instructions, etc. The note will contain the background to the problem, issues arising out of its precedents, if any, analysis of all relevant facts with reference to the provisions of the relevant Act, Rules and / or guidelines, and the recommended course of action for approval by the competent authority.

### 7.6. Level of disposal and channel of submission:

Process of decision making in cases that are within the delegated powers of the Ministry



- (i) Dealing Officer will take action on a case in accordance with the Departmental instructions prescribing the level of final disposal as per the Departmental instructions on channel of submission for each category of cases. Suitable instructions are to be issued for the channel of submission of files for each category of cases by each Department. The channel of submission of cases, other than the classified ones, must be made available on the website of the Department. Similarly, name, telephone number and e-mail ID of the officers dealing with various subjects must also be made available on the website.
- (ii) Each Department will review the instructions on level of disposal and channel of submission at least once in three years keeping the number of levels to the minimum by delegating powers to lower formations. To facilitate quicker decision making, channels of submission should not be more than four. Powers are to be delegated to operationalize this principle. In case of files to be submitted to Minister – in – charge, a case may be initiated at the level of Deputy Secretary or Director. However, the Section and the Branch Officer would provide assistance to obtain inputs for the case and to prepare draft notes and communications, etc.

- (iii) For addressing cross cutting issues, the Secretary of the concerned Department should have the flexibility to create inter-disciplinary teams.
- (iv) 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, if necessary.

**Box-e.7.3.**

In eFile, sending / marking of receipts / files are flexible. The system allows a user to send a receipt / file to any other user and the movement of record is maintained (who has sent, to whom has been sent and when has been sent).

Physical file which is marked to another officer has to be received by him/her by clicking appropriate button in his/her inbox indicating that the physical file has been received at his/her end. The acknowledgement for the same should be obtained from the recipient.

Electronic file once marked to the next user goes to his/her inbox indicating that it has been received by him/her.

**7.7. Deviation from normal procedure or rules:**

In every case where a material or substantial deviation of the existing procedure 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.

**7.8. Running summary of facts:**

To facilitate consideration and to obviate repeated recapitulation, a running summary of facts will be prepared and updated. Each updated running summary of facts must be dated on right top corner. They will be filed in the correspondence portion and given page number. Such a summary shall be prepared in a manner to contribute to speedy disposal of the case. It will also include the advice or views of other Departments consulted in the matter but not opinions of individual officers within the Department. It should be kept up to date, incorporating changes whenever further developments take place through a newer version. Previous version running summary shall not be destroyed. This is useful while framing new policy, amendments to a policy or Act or Rule, court cases, etc.

**7.9. Oral discussions:**

- (i) 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 submitting a note.

- (ii) All discussions, points which the officer recording them considers to be important enough for the purpose, should be got confirmed by all those who have participated in or are responsible for them. This is particularly desirable in cases where the policy of the government is not clear or where some important deviation from the prescribed policy is involved or where two or more levels differ on significant issues or the decision itself, though agreed to by all concerned, is an important one.

**7.10. Oral instructions by higher officers:**

- (i) Where an officer is giving direction (including telephonic, social media platforms, sms) for taking action in any case in respect of matters on which he/she or his/her subordinate has powers to decide, he/she 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/she should follow it up by a written confirmation at the earliest.
- (ii) An officer shall, in the performance of his/her official duties, or in the exercise of the powers conferred on him/her, act in his best judgment except when he/she is acting under instructions of an official superior to him/her. In the latter case, he/she shall obtain the directions in writing wherever practicable before carrying out the instructions, and where it is not possible to do so, he/she shall obtain written confirmation of the directions as soon thereafter as possible. If the Officer giving the instructions is not his/her immediate superior but one higher to the latter in the hierarchy, he/she shall bring such instructions to the notice of his/her immediate superior at the earliest.

**7.11. Oral orders on behalf of or from Minister:**

- (i) Whenever a member of the personal staff of a Minister communicates to any officer an oral order on behalf of the Minister, it shall be confirmed by him/her in writing immediately thereafter.
- (ii) If any officer receives oral instructions from the Minister or from his/her personal staff and the orders are in accordance with the norms, rules, regulations or procedure it should be brought to the notice of the Secretary (or the Head of the Department where the officer concerned is working in or under a Non-Secretariat Organization).
- (iii) If any Officer receives oral instructions from the Minister or from his/her personal staff and the orders are not in accordance with the norms, rules, regulations or procedures, he/she should seek clear orders from the Secretary (or the Head of the Department where he/she is working in Non-Secretariat Organization) about the line of action to be taken, stating clearly that the oral

instructions are not in accordance with the rules, regulations, norms or procedures.

- (iv) In rare and urgent cases when the Minister is on tour/ is sick and his/her approval has to be taken on telephone, the decision of the Minister shall be conveyed by his/her Private Secretary in writing. In such cases, confirmation will be obtained on file when the Minister returns to Headquarters/ rejoins.

#### **7.12. Confirmation of oral instructions:**

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

#### **7.13. Modification of notes or order:**

- (i) 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. 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 or otherwise, such replacement or modification of a note may have also legal implications. In all such cases, wherever necessary, review of the decision should be examined and the revised decision shall be taken in consultation, if so required, with the Ministry of Law and with the approval of an officer higher than the one who took the original decision. The reason(s) for the reversal or modification of the earlier decision shall duly be recorded on the file.
- (ii) Under no circumstances a note shall be pasted over or removed from the file. In case of mistake in the note or disagreement with a previously recorded note a new note shall be recorded, keeping the previously recorded note on the file.

#### **7.14. Functional Approach to Noting:**

- (i) Noting should be kept to an optimal level. Therefore, it should be systematic and functional. One of the points for consideration while preparing a note is the size of the note. Functional Approach to Noting helps in deciding the kind and size of note to be prepared. It is a technique for more effective noting and facilitates the officer initiating a note to submit a more effective note; and the competent

authority to take decisions quickly. It categorizes the types of cases and the quantum of noting to be done as given in Table – 7.1.

**Table –7.1: Functional approach to noting at a glance**

<b>Sl. No</b>	<b>Type or category of the case</b>	<b>Quantum of noting</b>
1.	Ephemeral	No noting is needed
2.	Correspondence handling or Action in correspondence cases	Short note of a few sentences
3.	Repetitive case	Develop and use Standard Process Sheet
4.	Problem solving case	A structured and detailed note is prepared
5.	Policy /Planning case	Detailed note is prepared covering various aspects, implications and expected outcome of a policy to be developed or under review

**(ii) Types of Cases, Quantum of Noting and Functional Approach:**

The following approach could be adopted for noting on various categories of cases:

**(1) Ephemeral Cases:**

These cases are also known as “No-Noting” cases. The Section Officer should record the reasons, in brief, why no action is necessary and file such cases at the dak stage itself. Such cases should be kept in File “O” bundle and destroyed on 31st December of every year. In some cases, these may also be returned in original to the originator giving requisite factual information.

**(2) Correspondence handling or Action-in-Correspondence Cases:**

These cases too do not require detailed noting. It would be sufficient if a brief note (a paragraph of three to four sentences) is recorded indicating the issue under consideration and the suggested action or submission of a fair communication to obtain further inputs, etc.

**(3) Routine or Repetitive Cases:**

- a. In cases of repetitive cases, e.g. sanctioning of leave, motor car advance, pension cases, release of grant-in-aid, giving permission to an organization to use the emblem and logo of the Ministry /Department, giving vigilance clearance, etc. ‘a standard process sheet’ will be devised by the respective Ministries/Department and will be prescribed through the Departmental instructions. A standard process sheet is a standard

skeleton note, or a template. It is developed by indicating pre-determined points of check. The check list contains the parameters or points that are to be taken into account while processing a case often through the instructions, if any, contained in the standard operation procedure issued by the department for examining a case. Against the check list, variables of a case are filled in to obtain approval of the competent authority on each case. No conventional note will be recorded in such cases. A fair reply is put up on file with the standard process sheet. Wherever possible, standard formats of communications should be prepared;

- b. Standard process sheets will be developed by the Section Officer concerned with the help of the Dealing Officers. It will be prescribed through Departmental instructions, if necessary;
- c. Departments are to encourage developing templates to be used for cases of repetitive nature through issue of Departmental instructions;
- d. It acts as training tool to new Dealing Officers, as it gives points of check to process a case;
- e. A specimen of standard process sheet is given in Appendix – 7.1.

#### **(4) Problem Solving Cases:**

In these cases, a detailed note providing all information on each aspect will be necessary. Even then, the note should be concise and to the point, covering the following aspects:-

- (1) What is the problem?
- (2) How has it arisen?
- (3) What are the provisions of Act, Rule, Policy or Precedent?
- (4) What are the possible solutions?
- (5) Which is the best solution proposed and Why?
- (6) What will be the consequences (implications) of the proposed solution?
- (7) Is any inter-departmental consultations needed? If so, with whom and how?
- (8) Who is the competent authority?

#### **(iii) Policy and Planning Cases:**

These types of cases would not be large in number and are normally dealt with at sufficiently higher levels of the organization. They require a thorough examination with maximum amount of noting developed systematically. A note in such cases should be structured in the following manner: -

- a. Problem: State how the problem has arisen? What are the critical factors?
- b. Additional Information: Obtain additional information to size up the problem. The information would be available on the files and other papers in the Section. If sufficient information is not available to enable thorough examination, it should be collected before preparing a policy note;
- c. Rule, policy etc.: Refer to relevant rules, regulations, policy, standing orders practices. Analyze and interpret such rules etc. in a cohesive manner bringing out their bearing on the problem;
- d. Precedents: Precedent cases having a bearing on the issue under consideration should be put up. If there are varying precedents or any precedent differs in certain respects from the case under examination, the difference should be brought out so as to arrive at a correct decision;
- e. Critical analysis: The case should then be examined on merit answering questions such as 'what are the possible alternative solutions/ which is the best solution? It should be ensured that views of other Divisions/Ministries etc. have been obtained where necessary. Attention should also be paid to other aspects like the financial and other implications, repercussions, and the modality of implementing the decision and the authority competent to take a decision;
- f. Concluding paragraph: The concluding paragraph should suggest a course of action for consideration. In cases where a decision is to be taken by a higher authority like Committee, Board or by the Cabinet or a Committee of the Cabinet, the point or points on which the decision of such higher authority is sought should be specifically mentioned.

**Box 7.1: Structure of a problem solving / policy note**

**Structure of a problem solving / policy note:**

- (i) File Number on right top corner.
- (ii) Subject of the case.
- (iii) Profile of the problem / issue to be resolved [Introduction or the Context].
- (iv) Apply provisions of the Act, Rules, Regulations or guidelines relevant to the case.
- (v) Precedent(s), if any.
- (vi) Analysis and sequence.
- (vii) Position of resources or financial implication including cost-benefit analysis, where required (also legal, social or gender implications, if applicable).



- (viii) Reasoned conclusions reached (proposed course of action).
- (ix) In case more than one course of action is suggested, approval must categorically be sought for a specific course of action.
- (x) Authority competent to approve the case.
- (xi) Docketing & Referencing.
- (xii) Signature of the Dealing Officer submitting the note.

NOTE: Functional Approach to Noting, however, does not mean that each of the cases is water-tight compartment. Depending on the current status of a case the type of case could be different. For instance, most problem solving and policy cases are initially correspondence handling cases to collect the requisite inputs. During the final stages they are either problem solving or policy case.

**APPENDIX– 7.1.**  
(Para7.14(v))

F.No. A-12026/6/2019-Admn.

Department of Agriculture Cooperation & Farmers Welfare  
[Admn. Section]

**Standard Process Sheet to process Study Leave case**

Sl. No	Points to be considered	Details
1.	Name of the Officer	
2.	Designation	
3.	Cleared probation and appointed substantively?	Yes / No
4.	Does she/he have not less than 5 years' service	Yes / No
5.	Is the proposed study relevant to the applicant's job? Briefly, explain	a) Quote the rule b) Yes / No
6.	Did she/he obtain 'No Objection Certificate' (NOC) before applying for higher studies in the University?	Yes / No
7.	In case she / he has not obtained the "NOC", is it proposed to condone this provision?	Yes / No
8.	Rule / Precedent for Sl. No 6	
9.	Has vigilance clearance been obtained?	Yes / No
10.	Has she / he submitted the Bond?	a) Refer to the rule for the Bond b) Yes / No
11.	Is the Bond in the prescribed format?	Yes / No
12.	Is arrangements for payment of leave salary have ,been made?	Yes / No If yes, brief details
13.	Suggested course of action	
14.	Any other relevant issue(s)	
15.	Competent authority	

Signature of the Initiating Officer  
Date (dd/mm/yy)

Signature of other officers in the hierarchy till the competent authority

**8.1. Inter-Departmental consultations:** Inter-Departmental consultation may take the form of inter-Departmental notes, inter-Departmental meetings or oral discussions. The most common and frequently used form of written communication for transaction of business within the Secretariat (Ministries/Departments) is Inter-Departmental note (earlier known as U.O. note) or Inter-Section note.

**1. Inter-Departmental (ID) note:**

- (i) The form of communication for consultations between and among the Ministries/Departments, used is Inter-Departmental note. It is generally used for obtaining the advice, views, comments or concurrence of other Departments on a proposal or in seeking clarification of the existing rules, instructions etc. from the nodal Ministry or Department. It may also be used by a department when consulting it's attached and subordinate offices and vice versa.
- (ii) The Inter-Departmental note is either to be recorded on a file referred to another department or take the form of an independent self-contained note.
- (iii) While referring the ID note to the other department, it is marked to the officer concerned in the referring department.

**2. Following points are to be kept in view while preparing ID note:**

- (i) Prescribe a time-limit when calling for advice or concurrence from other Ministries/ Departments.
- (ii) In case any of the Ministries so consulted is not in the position to send their comments/concurrence within the prescribed time limit it should seek additional time required for furnishing reply, if a Ministry or Department is not in a position to adhere to the time limit.
- (iii) When such a reference does not require concurrence under the Rules, the originating Ministry need not wait for the comments of the other Ministry beyond the prescribed time-limit, and go ahead with its scheme/proposal without waiting any longer.
- (iv) The initiating Ministry should always feel free to recall its file from another Ministry, to which such a reference has been made on a file, if such a course is required to be adopted for expediting the process

of decision-making in the case. Such a decision to recall a file should be taken at a level not lower than that of a Branch Officer in the originating Ministry.

- (v) Inter-Departmental references are to be made with the approval of an officer not below the rank of the Joint Secretary under the signature of an officer not below the rank of Under Secretary.
  - (vi) Clearly state the points on which the advice or concurrence of other departments is sought, preferably in the concluding paragraph.
  - (vii) Place the drafts of the orders proposed to be issued along with the ID note to the Ministry / Departments being consulted.
  - (viii) When it is necessary to consult more than one department on a case, such consultation may be effected simultaneously by self-contained Inter-Departmental notes unless:
    - a. It involves copying of a large number of documents available on the file in a physical file environment; or
    - b. The need for consulting the second department would arise only after the views of the first have become available.
3. Inter-Departmental meetings may be held where it is necessary to elicit the opinion of other departments on important cases and arrive at a decision within a limited time. No such meeting will normally be convened except under the orders of an officer not below the level of Joint Secretary. In respect of such meetings, it will be ensured that:
- (i) the representatives attending the meeting are officers who can take decisions on behalf of their departments;
  - (ii) an agenda setting up clearly the points for discussion is prepared and sent along with the proposal for holding the meeting, allowing adequate time for the representatives of other departments to prepare themselves for the meeting; and
  - (iii) a record of discussions is prepared immediately after the meeting and circulated to other departments concerned, setting out the conclusions reached and indicating the department or departments responsible for taking further action on each conclusion.

4. On occasions it may be necessary to have oral discussions (including teleconferencing or video conferencing) with officers of other departments, e.g., when:
  - (i) a preliminary discussion between the officers of the Departments concerned is likely to help proceed further for the disposal of the case;
  - (ii) inter-Departmental noting reveals a difference of opinion between two or more departments; or
  - (iii) it is proposed to seek only information or advice of the department to be consulted.

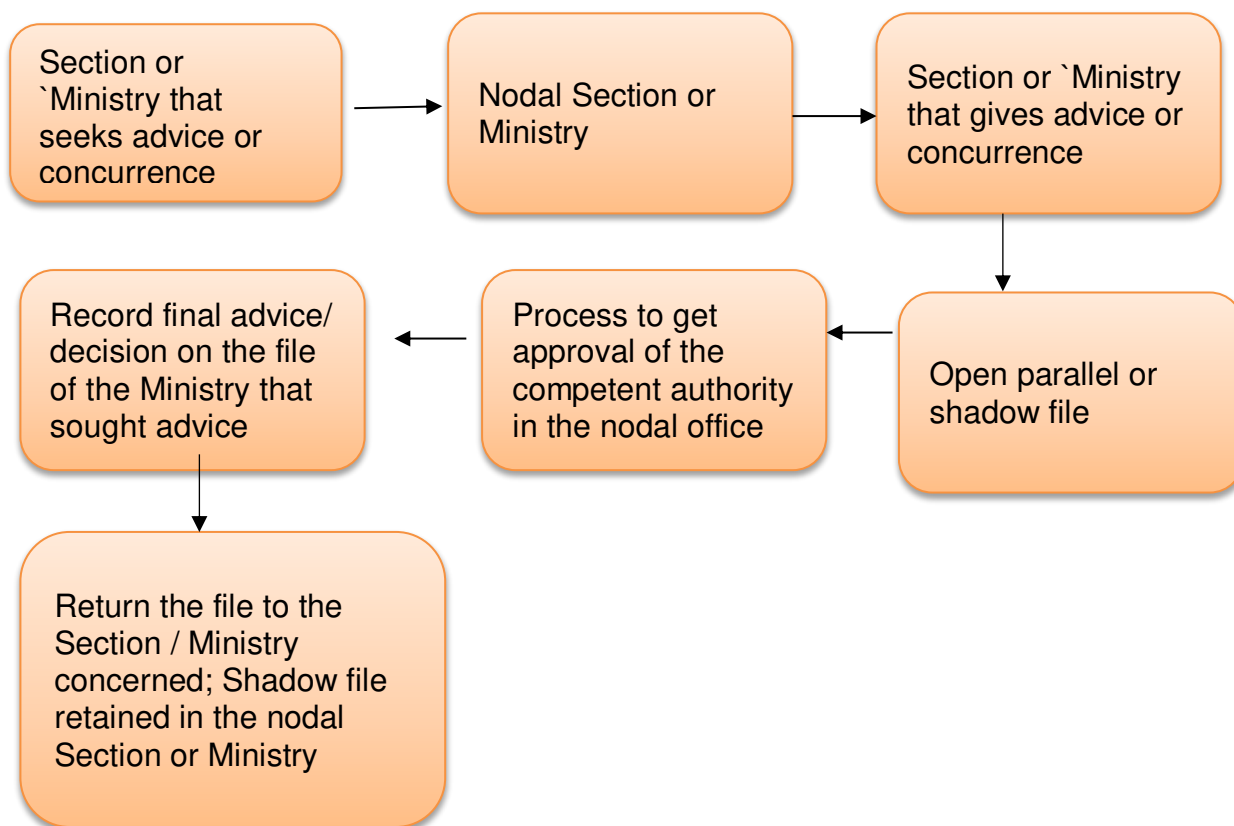
The result of such oral consultation should be recorded in a single note on the file by the officer of the Department to which the case belongs. The note will state clearly the conclusions reached and the reasons thereof. A copy of the note will also be sent to the departments consulted in order that they have a record of the conclusions reached.

5. Reopening of decisions arrived at after proper inter-Departmental consultations should normally be avoided. In case adequate grounds exist for re-opening of such issues, it should be settled after a quick re-assessment.
6. In case two or more departments persist with their respective viewpoints leading to a deadlock or impasse, such issues should be sorted out by raising the level of consideration to a forum like the Committee of Secretaries headed by the Cabinet Secretary or to the level of Ministers concerned, to arrive at a quick decision without continuing with protracted correspondence/discussions among the disputing departments.
7. Nodal Ministries/Departments which render advice to various departments and do so through different Divisions will ensure that the views expressed by them at inter-Departmental discussions are consistent, and they are not found deviating from their views on different occasions. The expression of conflicting views by the different Divisions of the same department during such inter-Departmental discussions should be discouraged.

**Box - e.8.1.**

In case of electronic files where there is no electronic environment in the receiving department, a print out of the approved note is taken and placed on the physical file and forwarded to the receiving Department. However, where both the departments are working in eOffice/electronic environment, the file containing ID note can be sent directly from the sending officer to the receiving officer.

**8.2. Noting on files received in nodal Sections or nodal Ministries from other Departments:**



If a reference from the other Department seeks the advice or concurrence of the receiving Department and requires detailed examination, such examination will normally be done separately through notes in a '**shadow file**'. A shadow file contains photo copy of all the relevant correspondence portion and the notes portion received from the other Department or Attached or Subordinate Office, as the case may be. The case will then be processed for a decision on the shadow file including the decision or the observation to be recorded on the file of the other Department. The decision or the observation approved by the competent authority will then be recorded on the file of the other Department preferably at the level of Under Secretary clearly indicating the level at which the decision was taken; and return the original file to the owner Department. The shadow file too will have a file number as per the procedure given in Chapter 7 and retained in the decision taking Department. Where necessary, entries shall also be made in the precedent book.

Where the reference requires information of a factual nature or other action based on a clear precedent or practice, the Dealing Officer in the receiving Department may note on the file straightway.

**8.3. e-mail:** The email services provided by NIC shall be used for official Communication. This is a paperless mode of communication to be used by

department in eOffice environment. It can be widely used even where classified data is shared. Such classified data are to be sent only in encrypted version. Other Guidelines are provided in the 'email Policy of Government of India' prepared and updated by the Ministry of Electronics and Information Technology.

#### **8.4. Other forms of written communications:**

For correspondence between Government of India and organizations other than those which are not part of the Government of India and for communication for certain specific purposes, different forms of written communication generally used by a Department are described below. Formats of these forms are given in Appendix – 8.1.

1. **Letter:** This form is used for corresponding with 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 public.

A letter being a formal form of communication is addressed on behalf of a Department or Government to the Head of the Government/ organisation by designation, beginning with the salutation "Sir / Madam"; and ending with subscription "Yours faithfully."

2. **Demi-official letter:** This form is generally used in correspondence by one Government officer with another with the purpose of drawing his/her personal attention in an official matter of importance and/or urgency.

a. Since demi-official letter is written in the first person in a personal and friendly tone, it should be addressed by an officer to another of similar level /rank as far as possible. In the event of non-availability of officer of same level at receiving end, the same may be addressed to an officer at one or two levels below the officer to whom such communication is addressed.

b. Demi-official letter may be used for communicating with officers in other public offices except chief of the Constitutional authorities. In such cases, communications are addressed to the Secretary of such authorities. A Minister may communicate with another Minister at Centre or State Government or a Member of Parliament or State Legislature using D.O. letter.

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

3. **Office Memorandum:** This form is generally used for communicating decisions to other departments including its attached and subordinate offices. It is used for calling for or providing information. Office Memorandum form is also used by Ministries and Departments for communicating to its employees. It is written in the

third person and bears no salutation or subscription. The name, designation, e-mail ID, telephone number and fax number of the officer signing it will, however, be indicated. This form is also to be used for seeking and providing information amongst sections within Ministry.

4. **Office Order:** It is used for issuing instructions/ intimation in routine internal administrative matters, e.g., grant of regular leave, distribution of work among officers and sections, internal posting and transfers, etc. Therefore, there is, no salutation or subscription. Copies are endorsed to all the persons/authority concerned.

5. **Order:** This form is generally used for conveying –

- (i) financial sanctions: and
  - (ii) final orders in disciplinary cases. Order is not addressed to anyone.
- Copies are endorsed to all the persons/authority concerned.

6. **Notification:** This form is used in notifying promulgation of statutory rules and orders, appointments and promotions of certain categories of officers etc. through publications in the Gazette of India. The composition of the gazette, the types of matter to be published in each part and section thereof, the instructions for sending the matter for publication therein may be seen at Appendix – 8.2.

7. **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 published in the Gazette of India.

8. **Press Communiqué/ Press Note:** This form is used when it is proposed to give wide publicity to a decision of government through media. A press communiqué is issued where matter is to be published as per the text given by the issuing authority, while a press note, on the other hand, is intended to serve as a hand-out to the press which may be edited, compressed or enlarged by the respective press or media channel.

9. **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, statutory/constitutional bodies. The appropriate form for such communication is letter.

10. **Minutes:** A record of discussions is prepared immediately after the meeting and circulated to the other Ministries/Departments concerned, giving date/time/venue of the meeting held, who chaired the meeting and list of participants,



setting out the conclusions reached and indicating the Ministry(s)/Department(s) responsible for taking further action on each conclusion. In case it is perceived by a participant of the meeting, that the minutes recorded are not as per the understanding/perception of the participant, the same may be immediately referred in writing to the authority which has issued the minutes.

**8.5. Email, fax, speed post, registered post, telephonic communications, etc.:**

- (i) eMail, fax, speed post, registered post, special messenger, etc. are modes of sending communication.
- (ii) 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, and in matters of urgency with outstation offices.
- (iii) Telephonic communications, wherever necessary, may be followed by written communications for confirmation.

**8.6. Correspondence with attached and subordinate offices:**

- A(i) Senior Officers/ Head of a subordinate/ attached office under an administrative Ministry/ Department will correspond in respect of matters involving intervention/ approval of another Ministry/ Department in a note, email and eFile form to their concerned Ministry/ Department.
- (ii) Head of an autonomous body under an administrative Ministry will write in respect of matters involving intervention/ approval of another Ministry/ Department to the Secretary of the concerned Ministry/ Department in a letter form.
- (iii) In both the cases, Ministry/ Department concerned, if required, will take up the matter with another Ministry.
- (iv) An officer of a Subordinate office/ Attached office/ Autonomous body will not correspond directly with the Minister of another Ministry except the head of a Statutory Body/Regulatory Authority set up by an Act of Parliament.
- (v) Attached office/subordinate office may, however, seek factual information from other Ministry/Department directly.

B In the case of their own Attached offices and Subordinate offices placed directly under them, i.e. without the intervention of an Attached office, as are located in Delhi/New Delhi, the departments will introduce the Single File System of correspondence, details of which are in Para 8.7.

**NOTE:** The Single File System will not apply to correspondence between a department and any Statutory, Corporate or other Autonomous Body which might be owned or controlled by it.

#### **8.7. Single File System (SFS):**

- (i) This will apply to matters which have to be referred by the non-secretariat organisation (NSO) to the Department for seeking a sanction/order i.e. a decision not within its own delegated powers.
- (ii) The file cover of a SFS case should prominently show the name of the (originating) NSO and likewise indicate that it follows the SFS system.
- (iii) The SFS file need not bear an I.D. No. or other formal method of sending, but will be sent as though it is from one officer to another in the same organization.
- (iv) The SFS file should be completed in all respects, so as to enable the Department to take a decision expeditiously; hence the NSO will ensure that:
  - a. every point for decision/order is clearly brought out;
  - b. all relevant connected papers are placed on the file, properly arranged and referred to;
  - c. draft orders/sanctions are put up, where they are required to be approved by the Department for issue; and
  - d. the availability of funds etc. is certified where expenditure is involved in the proposal.
- (v) The officer last dealing with the SFS case in the NSO will mark it to the appropriate officer in the Department, by name; policy files will, however, be referred to the Department at appropriate levels to be determined by the Department and the NSO concerned, through a general order.
- (vi) As a rule, all notings in the Department will be on the NSO file. However, where sensitive or delicate matters in the sphere of personnel, policy issues and finance are involved, the recording of notes in 'shadow' file may be permitted by issuing general or special orders by the Department. This will be done at a particular stage of the SFS case or at or above a particular level, with the final decision thereafter being suitably recorded on the SFS file.

(vii) As a convention, the secretariat noting on a SFS file will start on a new page and the noting done sequentially except in matters of the nature referred to in above 8.7.(vi).

(viii) Action to implement the government decision in SFS case will be initiated by the NSO on the return of the file. Orders so issued should specifically state that they have received the concurrence of Government in the department concerned. Copies of every sanction/order so issued by the NSO, will be endorsed without fail to all the officers concerned in the department.

### 8.8. References to Constitutional authorities, etc.

Table 8.1 provides guidance on the procedure pertaining to making references to certain authorities.

**Table 8.1.**

<b>Sl. No.</b>	<b>Details of the Authority</b>	<b>Form and procedure for communication</b>
1.	Rajya Sabha and Lok Sabha Secretariats	Communications meant for the Lok Sabha Secretariat or the Rajya Sabha Secretariat and requiring urgent or high level attention shall be addressed to the Secretaries concerned and not to the Speaker and Chairman directly. Similarly, no communication is to be addressed to the Chairman of any Parliamentary Committee directly.
2.	Attorney General of India	References are to be made only through the Ministry of Law & Justice.
3.	Comptroller and Auditor General of India (C&AG)	References are to be made only by and through the Ministry of Finance, except when reference is received from C&AG on audit paragraphs.
4.	Union Public Service Commission (UPSC)	References are to be addressed to Secretary, UPSC in the form of letter.
5.	Other Constitutional/ Statutory Authorities	Communications to constitutional authorities like, Election Commission of India and statutory authorities, like TRAI, SEBI, etc. will normally be made in the letter form addressed to Principal Secretary/Secretary. In no case an office memorandum will be sent to such authorities by the Ministries/ Departments.
6.	Correspondence with Members of Parliament/VIP references/Ministers of State Governments	1. Communications received from Members of Parliament should be attended to promptly. 2. Where a communication is addressed to a Minister, it should, as far as practicable, be replied to by the Minister himself. In other

		<p>cases, a reply should normally be issued over the signature of an officer of the rank of Secretary only.</p> <ol style="list-style-type: none"> <li>3. Where, however, a communication is addressed to the head of an attached or subordinate office, Public Sector Enterprise, Financial Institutions (including nationalized banks) Division/Branch-in-charge in a Ministry/Department/ Organization, it should be replied to by the addressee himself. In routine matters, he may send an appropriate reply on his own. In policy matters, however, the officer should have prior consultation with higher authorities before sending a reply. It should, however, be ensured that minimum level at which such replies are sent to Members of Parliament is that of Under Secretary and that also in polite letter form only.</li> <li>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.</li> <li>5. As far as possible, for correspondence with Members of Parliament, pre-printed replies should be avoided.</li> <li>6. In case a reference from an ex-Member of Parliament is addressed to a Minister or Secretary, reply to such reference may be sent by the concerned Divisional Head after obtaining approval of the Secretary of the Ministry/ Department. In case the reference is addressed to a lower level officer, reply to such reference could be sent by the officer on his own in non-policy cases and after obtaining approval of the higher authorities in policy cases. However, the minimum level at which reply could be sent should be that of an Under Secretary and that too in a polite letter form only.</li> </ol>
7.	State Governments	Communications on the subjects which clearly relate to the business of a particular

		<p>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.</p> <p>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.</p> <p>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.</p>
8.	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.
9.	Foreign Governments and International Organizations	Correspondence with Foreign Governments and their Missions in India, Heads of Indian Diplomatic Missions and posts abroad and United Nations and its specialized agencies will normally be channelized through the Ministry of External Affairs. The exceptions under which direct correspondence may be resorted to are indicated in the instructions entitled 'Channel of communication between the Government of India and State Governments on the one hand; and Foreign and Commonwealth Governments or their Missions in India, Heads of Indian Diplomatic Missions and posts abroad and United Nations and its specialized agencies on the other' issued by the Ministry of External Affairs.

### **8.9. Prompt response to letters received:**

- (i) Each communication received from the Member of Parliament, a member of the public, a recognized association or a public body will be acknowledged within 15 days, followed by a reply within the next 15 days of acknowledgement sent.
- (ii) 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 15 days (from the date of receipt) indicating the possible date by which a final reply can be given.
- (iii) If any such communication is wrongly addressed to a Department, it will be transferred promptly (within 5 working days of its receipt) to the appropriate Department under intimation to the party concerned.
- (iv) Where the request of a Member of the Public cannot be acceded to for any reason, reasons for not acceding to such a request should be given courteously.
- (v) 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.

### **8.10. Target date for replies:**

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

### **8.11. Use of Official Language in Government communications:**

The provisions stipulated in the Official Languages Act, 1963 and instructions issued from time to time by the Department of Official Language are to be scrupulously implemented.

#### ***Box - e.8.2.***

In eFile, there are options to use either Hindi or English or bilingual.

**APPENDIX – 8.1.**

**Format of Letter**

No.....

Government of India  
(Bharat Sarkar)  
Department of .....  
(.....Vibhag)

New Delhi, the .....20..

To

Subject

Sir/Madam,

\* With reference to your letter No..... dated ..... on the subject cited above, I am directed.....

Yours faithfully,

-Sd/

(A.B.C.)

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

Tele: No.....

email.....

@(Endorsement)

No.....

Copy forwarded for information/necessary action to :

(1)

(2)

(A.B.C.)

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

Tele: No.....

email.....

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

(i) In continuation of my/this Department's letter No.....

(ii) With reference to the correspondence resting/ending, with your/this

Department's letter No..... Dated.....

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

## Format of D.O. letter

Dr. ABC  
Deputy Secretary  
Tele:

D.O. No.....

Government of India  
(Bharat Sarkar)  
Department of .....  
.....Vibhag

New Delhi, the .... 20.....

My dear/Dear Shri.....

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

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

With regards

Yours sincerely,

(ABC)

X.Y.Z  
Deputy Secretary  
Ministry of .....  
Department of .....  
New Delhi.....



## Format of Office Memorandum

No.  
Government of India  
(Bharat Sarkar)  
Department of .....  
(..... Vibhag)

New Delhi, the..... 20.....

### OFFICE MEMORANDUM

Subject :

The undersigned is directed to refer to this/their Department O.M. No. .... dated.....

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

(A.B.C.)  
Under Secretary to the Govt. of India  
Tele. No./email:.....

To  
The Department of .....  
(..... Vibhag)  
Shri/Smt.....  
Sardar Patel Bhavan,  
Parliament Street  
New Delhi-110001

## Format of Office Order

No.  
Government of India  
(Bharat Sarkar)  
Department of .....  
(..... Vibhag)

New Delhi, the ... 20.....

### OFFICE ORDER

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

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

-sd/-

(ABC)

Under Secretary to the Government of India  
Tele. No./email:

*Copy to:-*

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

## Format of Order

No.  
Government of India  
(Bharat Sarkar)  
Department of .....  
(..... Vibhag)

New Delhi, the..... 20.....

### ORDER

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

- (i) XXX X
- (ii) X XX X

-sd/-

(ABC)

Under Secretary to the Government of India  
Tele. No./email:

Copy forwarded to :

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

## Format of Inter-Departmental Note

Government of India  
(Bharat Sarkar)  
Department of .....  
(..... Vibhag)

Subject :

1. The present rules regulating the issue of identity cards provide inter alia that .....
2. A question has now arisen whether.....
- 3.
- 4.
5. This department will be grateful for the advice of the Department of Legal Affairs on the issue raised in para 4 above

(X.Y.Z.)  
Deputy Secretary  
Tele. No./email:

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

---

Department of .....I.D. No. .... dated.....

## Format of Notification

( To be published in the Gazette of India Part I, Section 2)

Government of India  
(Bharat Sarkar)  
Department of .....  
(..... Vibhag)

New Delhi, the ..... 20....

## NOTIFICATION

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

-sd/  
(A.B.C)  
Joint Secretary  
Tele. No./email:

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

Copy forwarded for information to :

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

[ To be published in the Gazette of India, Part 1, Section 1]

Government of India  
(Bharat Sarkar)  
Department of .....  
(..... Vibhag)

New Delhi, the .....20....

### **RESOLUTION**

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

-sd/-  
(A.B.C)

**Secretary to the Government of India**

Tele No./email:

### **ORDER**

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

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

(A.B.C)

**Secretary to the Government of India.**

Tele No./email:

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

Not to be published or broadcast before ..... a.m./p.m. on  
..... day, the 20..

## PRESS COMMUNIQUE/NOTE

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

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

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

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

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

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

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

New Delhi, the ..... 20.....

No.....

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

(A.B.C)  
Joint Secretary  
Tele. No./email:

## Endorsement

No.  
Government of India  
(Bharat Sarkar)  
Department of .....  
(..... Vibhag)

New Delhi, the .....20.....

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

-sd/-  
(A.B.C)  
Under Secretary to the Govt. of India  
Tele. No./ email:

List of papers forwarded

- 1.
- 2.

To



**APPENDIX 8.2**

(Para 8.4.6)

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

Part	Section & Sub Section	Type of matter to be published
Part I (To be published from Government of India Press, Minto Road, New Delhi)	1.	Notifications relating to Non Statutory Rules, Regulations, orders and Resolution issued by the Ministries of the Government of India (other than the Ministry of Defence) and by the Supreme Court of India.
	2.	Notifications regarding Appointments, Promotions, Leave etc. of Government Officers issued by the Ministries of the Government of India (other than the Ministry of Defence) and by the Supreme Court of India.
	3.	Notifications relating to Resolutions and Non-Statutory Orders issued by the Ministry of Defence.
	4.	Notifications regarding Appointments, Promotions, Leave etc. of Government Officers issued by the Ministry of Defence.
Part-II (To be published from Government of India Press, Minto Road, New Delhi)	1.	Acts, Ordinances and Regulations.
	1A.(Hindi)	Authoritative texts in Hindi language of Acts, Ordinances and Regulations.
	2.	Bills and Reports of Select Committees on Bills.
Part-II (To be published from Government of India Press, Maya Puri, Ring Road, New Delhi)	3 <i>Sub-Section (i)</i>	General Statutory Rules (including Orders, Bye Laws, etc., of a general character) issued by the Ministries of the Government of India (other than the Ministry of Defence) and by Central Authorities (other than the Administration of Union Territories).

	<i>3 Sub-Section (ii)</i>	Statutory Orders and Notifications issued by the Ministries of the Government of India (other than the Ministry of Defence) and by Central Authorities (other than the Administration of Union Territories)
Part-II (To be published from Government of India Press, Maya Puri, Ring Road, New Delhi)	<i>3 Sub-Section (iii)</i>	Authoritative texts in Hindi (other than such texts published in Section 3 or Section 4 ) of the Gazette of India of General Statutory Rules and Statutory Orders (including Bye-laws of general character) issued by the Ministries of Government of India (including Ministry of Defence) and by Central Authorities (other than Administration of Union Territories).
	4.	Statutory Rules and Orders issued by the Ministry of Defence.
Part-III (To be published from Government of India Press, Minto Road, New Delhi)	1.	Notifications issued by the High Courts, the Comptroller and Auditor General, Union Public Service Commission, the Indian Government Railways and by Attached and Subordinate offices of the Government of India.
	2.	Notifications and Notices issued by the Patent Office, relating to Patents and Designs.
	3.	Notifications issued by or under the authority of Chief Commissioners.
	4.	Miscellaneous notifications including Notifications, Orders, Advertisements and Notices issued by the Statutory Bodies.

Part IV (To be published from Government of India Press, Minto Road, New Delhi)		Advertisements and Notices issued by the Private Individuals and Private Bodies.
Part V (To be published from Government of India Press, Minto Road, New Delhi)		Supplement showing Statistics of Births and Deaths, etc. both in English and Hindi.

### **Procedure to be followed by Ministries/Departments/Statutory Bodies etc.**

- I. The Part, Section and sub-section of the Gazette in which the matter is to be published should invariably be indicated on the top of the copy for the guidance of the Press.
- II. All notifications to be published in the Gazette should be sent to the press bilingually (i.e. in Hindi and English), except in case of Supreme Court of India, invariably signed by the competent authority.
- III. All the matters to be furnished in both the formats i.e. Soft and Hard copy with the certificate from the competent authority that both the versions are same.
- IV. The original typescript copy, duly signed in ink by an officer not below the rank of Joint Secretary, should be sent to the Press.
- V. The soft copy of the Hindi including tabular matter and English matter should be sent in a single of MS-word file.
- VI. The hard copy or a copy without the Officer's signature in ink and without indication of Part and Section will not be accepted by the Press.
- VII. All authorities forwarding the Notification should take care of duplication to avoid publication more than once.
- VIII. Gazette Notifications except in exceptional circumstance should always be sent to the Press during normal working hours.
- IX. The Departments requiring printed hard copies of the Gazette Notifications may submit a separate request in the prescribed proforma of S-99 to the respective Press, for not less than 1000 copies.
- X. The Ministries/Departments/Statutory Bodies etc. of government of India should appoint a Nodal Officer for publishing Gazette Notifications, in consultation with Directorate of Printing, as per Guidelines available on e-gazette website.  
([http://egazette.nic.in/S\(y1cdvxqypngoszbkk2xaztcm\)/HelpForOrganiszaition.aspx](http://egazette.nic.in/S(y1cdvxqypngoszbkk2xaztcm)/HelpForOrganiszaition.aspx))

### **System requirement for e-publishing of Gazette Notifications**

<b>Sl. No.</b>	<b>Features</b>	<b>Specifications</b>
1.	<b>Page Size</b>	<b>A-4 Size (21.2 cms. x 30 cms)</b>
2.	<b>Matter Size</b>	<b>17 cms. x 24 cms.</b>
3.	<b>First Page</b>	<b>11 cms. margin from the Top</b>
4.	<b>English Font Size and Name</b>	<b>10 points Times New Roman</b>
5.	<b>Hindi Font Size and Name</b>	<b>11 points Mangal Unicode</b>
6.	<b>Space between lines</b>	<b>Normal/Auto</b>
7.	<b>File Type</b>	<b>MS Office document file (open file)</b>
8.	<b>Document Type</b>	<b>Soft copy and Hard copy (both)</b>
9.	<b>Authentication</b>	<b>A certificate confirming that Soft and Hard copy are same</b>
10.	<b>Competent authority for Extra ordinary Gazette</b>	<b>Under the signature or the approval of not lower than the rank of Joint Secretary</b>
11.	<b>Contact Details of indenting Ministry/Department</b>	<b>(i) Telephone No. (ii) E-mail (iii) Mobile No.</b>

**Note:**

(1) The physical printing of Gazette Notifications of governments of India has been dispensed with and exclusive e-publishing of the same has been started in compliance to the provisions of Section 8 of the Information Technology Act, 2000 with effect from 1<sup>st</sup> October, 2015. Accordingly, the concerned Nodal Officer of the administrative Ministry submitting the request for Gazette Notification shall be solely responsible for submitting and circulating the copies of Gazette wherever required by Law or otherwise within the prescribed time frame.

(2) The Ministries/Departments/Statutory Bodies etc. of Government of India should appoint a Nodal Officer for publishing the matter in Gazette of India as per Guidelines available on e-gazette website ([http://egazette.nic.in/\(S\(y1cdvxqypngoszbkk2xaztcm\)\)/HelpForOrganization.aspx](http://egazette.nic.in/(S(y1cdvxqypngoszbkk2xaztcm))/HelpForOrganization.aspx)).

**9.1. Procedure for preparing draft communication and its approval:**

- (i) 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.
- (ii) In cases which are complex in nature or wherein proposed line of action or decision is not clear or having more than one option, the draft communication will be put up for consideration and approval along with the notes by the initiating level officer.
- (iii) After a final decision is taken by the competent authority, he may have the fair communication made for his signature, or authorize its issue under signature of an officer not below the rank of an Under Secretary. All draft communications put up for approval must be specified accordingly by writing 'Draft' at top centre.
- (iv) Computer print -out of draft is to be submitted for approval.
- (v) The drafts of letters having crucial policy, financial and vigilance implication where the drafts have been changed by Senior Officers in the process of movement of files upwards, barring grammatical corrections, should also form a part of the correspondence portion. The officer approving the issue of a draft appends his initials with the date on the draft, if necessary, after editing.

**Box-e.9.1**

In the eFile system, there is a provision for initiating a draft at any level in the hierarchy and getting it approved and signed by any level with a pre-defined approver and signatory role respectively.

There is also a provision to initiate a draft without a file in case of receipts received.

Once the draft is approved, no change can be made in the draft content by any authority. There is also option for appending eSign/Digital Signature by the signatory.

If necessary, the file has to be resubmitted for amendment of the approved draft.

## 9.2. General instructions for drafting:

- (i) A draft should carry the message sought to be conveyed in a language that is clear, concise and unambiguous.
- (ii) Lengthy sentences, abruptness, redundancy, circumlocution, superlatives and repetition, whether of words, observations or ideas, should be avoided. If unavoidable, lengthy communications are generally concluded with a summary specifying the action(s), if any, expected from the addressee(s).
- (iii) Official communications emanating from a Ministry or 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.
- (iv) 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 a series of communications, this should be done on the margin of the draft.

### **Box-e.9.2.**

In the eFile system, there is a provision for creating a draft in a template. Also the draft created in word can be uploaded directly to the system. There are other ways like typing directly on the editor of the draft and using copy & paste function from a compatible source.

- (v) While asking for information, comments, etc. from the addressee(s), specify the date by which they are required. Example: Instead of stating, “.....may be sent immediately.” state, “.....may be sent by 28-02-2019”.
- (vi) All drafts put up on a file should bear the file number. When two or more communications are to be issued 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)/200119-Estt., A-11011/5(ii)/2019-Estt.

### **Box-e.9.3**

In the eFile, the differentiation is done by different issue numbers which appear on the left corner of the letter as well as in the table of correspondence of the file from which the issues are made. The file number is present on the top of the letter.

- (vii) 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 Dealing Officers who fair and compare the

draft with the fair. The number of enclosures should also be indicated at the end of the draft on the bottom left of the page thus-`Encl. 3'.

- (viii) If copies of an enclosure referred to in the draft are available and are, therefore, not to be photocopied, an indication to that effect is to be given in the margin of the draft below the relevant oblique line.
- (ix) If the communication to be dispatched by post is important (e.g., a notice cancelling a license or withdrawing an existing facility) or encloses a valuable document (such as an agreement, service book or certificates) instructions as to whether it should be sent through registered post or speed post or in an insured cover, is to be given on the draft by the Section Officer concerned with its issue.
- (x) Draft is to be prepared in double space to provide space between the lines for editing by officers.
- (xi) Urgency grading to the draft is to be so marked by or under the orders of an officer not lower in rank than a Section Officer.
- (xii) The name, designation, telephone number, fax number and e-mail address of the officer, over whose signature the communication is to issue, should invariably be indicated on the draft. It would be beneficial to indicate the telephone number and the fax number of the person to whom the communication is being addressed.
- (xiii) A flag 'DFA' is to be attached to the draft. If two or more drafts are submitted on a file, the drafts as well as the flags attached thereto will be marked `DFA I', `DFA II', `DFA III' and so on.

### **9.3. Authentication of Government Orders:**

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

### **9.4. 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. In such cases, the communication is to be addressed to the Head of the organization and “Attention: Km XYZ, Deputy Secretary(Pol)]” is written above “Subject”.

### 9.5. Drafting of Demi-official letters:

(i) As the objective of writing a Demi-official (D.O.) letter is to invite 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.

i. (Example 1: `I notice' rather than `It is noticed').

ii. Example 2: `I seek your cooperation in the matter of.....' rather than `It is expedient to come to the issue at the beginning itself'.

(ii) 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 paragraphs in a manner that holds the interest of the addressee. The detailed arguments can be set out in appendices. A draft D.O. letter is to be faired by the personal staff of the officer who signs it.

(iii) The colour code and use of National Emblem on D.O letter will be as per instructions issued by the Ministry of Home Affairs from time to time.

### 9.6. Responsibility mapping regarding issue of communications

**Table: 9.1.**

Sl. No	Action	Primary responsibility	Secondary responsibility
1	Fair copying the draft approved by the competent authority. This includes ensuring that all corrections made have been carried out.	Dealing Officer	Section Officer
2.	Fair copying the draft demi-official letter approved by the competent authority, This includes ensuring that all corrections made have been carried out.	Personal staff of the officer signing the D.O. letter	Dealing Officer
3.	Ensure that all enclosures are attached to the draft	Dealing Officer	Section Officer



4.	Issue of fair communications (fax or email) with enclosures, if any, as approved by the competent authority,	P.S. of the officer signing the D.O.	Dealing Officer
5.	Issue of fair Demi-Official letter with enclosures if complete set of enclosures is attached to the draft. In case the enclosure is to be attached, the D.O. letter will be issued by the Section. This includes sending of fax or email as approved by the competent authority	Personal staff of the officer signing the D.O. letter	Dealing Officer
6.	In case the communication is to be issued through the Central Issue Section, making entries in the Peon/Messenger book; obtaining signature of the Central Issue Section and receiving the Peon book back for safe custody.	Dealing Officer or Personal staff of the officer signing the D.O. letter as the case be	Nil
7.	Retaining office copy of the communication sent. This includes print of emails sent, including attachment(s) or downloading and filing it in appropriate folders in e-Office system.	Dealing Officer or Personal staff, if email sent by the officer	Section Officer or officer concerned, if email sent by the officer
8.	Docketing and referencing of office copy and safe custody of the file	Dealing Officer	Section Officer

- (i) After obtaining approval of the competent authority, as per the Departmental Instructions, the Section/Officer designated for this purpose will upload the approved version in the PRAGATI, eSamiksha, CPGRAM, Online computer Monitoring System (OCMS) of Ministry of Statistics and Programme implementation, Project Monitoring Group (PMG), PMO and similar other portals. Screen shot of the portal or printed copy of the uploaded version is retained as office copy.
- (ii) Departmental Instructions are to be issued to the Central Issue Section regarding use of window-type or ordinary envelope, communications to be sent by registered post, registered post with acknowledgement, speed post, etc., rubber stamping the office copy of the communication, segregating those to be sent by foreign post from the rest, use of franking machines, or stamp account register, etc.
- (iii) The Section Officer is to scrutinize the Section dispatch register (Appendix 9.1) once a week to see that it is being properly maintained and append his dated initials in token of scrutiny.

- (iv) Issue of Inter-Departmental notes: Fair self-contained Inter-Departmental notes are issued in the same manner as any other communication. Inter-Departmental notes sought to be recorded on files are fair typed in the Sections/desks concerned but dispatched through the Central Issue Section. Before sending the files to the Central Issue Section for dispatch the Dealing Officer in the Section has to:
- a. mark the movement in the file movement register (where relevant, in electronic form) in the case of Section's own file and in the Section Register in other cases (movement is to be updated against file or registration number);
  - b. in respect of Section's own files, prepare a challan in duplicate and place one copy on the file and make over the other to the dealing Officer concerned;

**Box – 9.1: Specimen of challan**

Ministry/ Department of: _____ File No: _____ Subject: _____ Notes: Page no: 1 -39 Correspondence: 1-203 Linked File No: _____ Sent to: Ministry of Law (Smt LMO, Legal Adviser) ID No & Date: _____ Signature of Dispatcher: _____
---

- c. enter the file in the messenger book; and
- d. send it to the Central Issue Section for dispatch.

**Box - e.9.4.**

In eFile, the issue can be made electronically through emails and an office copy of the issue gets automatically attached to the file along with any enclosures sent. In eFile fairing of approved drafts is not required as it is automatically done by the system at every level of correction / editing / contribution. Therefore, at the initial stage itself the draft is prepared as necessary for issue from amongst the formats available.

**Box - e.9.5.**

In eFile the dispatch is made electronically as well as manually and all data relating to the issue is saved in the system. In case of electronic dispatch of e-files, it can be done directly from one Officer to another through the eFile system. However, for such a movement to take place both the offices should be working in the eOffice environment.

**Box - e.9.6.**

In eFile, the signatory signs the approved draft with his Digital Signature / eSign.

**Box - e.9.7.**

In eFile the dispatch of communication can be done through email.  
And in return it should be encouraged that the correspondence is received through emails.

**Box - e.9.8.**

Electronic files containing ID notes can be sent directly from one Office to another using the eOffice, however both the offices sending and receiving, should be using eFile.

**Box - e.9.9.**

In eFile a copy of the fair copy / office copy is automatically attached in the file once the dispatch is done through the eFile.

**Box - e.9.10.**

In eFile there is a provision for setting up reminders for the reply awaited against an issue and also for sending of reminder against it.

The difference in the various activities in the physical, the transition and the electronic modes

Table. e-9.1.

ACTIVITY	PHYSICAL MODE	TRANSITION MODE (Processing of Receipts and File is done physically and tracking is done electronically through eFile)	ELECTRONIC MODE (Processing of Receipts and File is done electronically through eFile)
Registration	Manual registers	Electronic	Electronic
Distribution	Through Manual registers	Manual as well as Electronic – Record of distribution– Electronic Document sent - Manually	Electronic
Receiving	Manual registers	Manual and Electronic – Record of movement – Electronic Document received - Manually	Electronic
Processing (Note and Draft)	Manual	Manual	Electronic
Outward Communication	Manual	Physical and/or Electronic	Electronic and / or Physical
Retrieval	Manual	Electronic	Electronic

**Note:**

To use the eFile in eOffice application, one needs to comprehend the procedure given in the User manual at <https://docs.eoffice.gov.in/eFileMU.pdf>

**APPENDIX 9.1.**

(Para: 9.6 (iii))

**Section Dispatch Register**

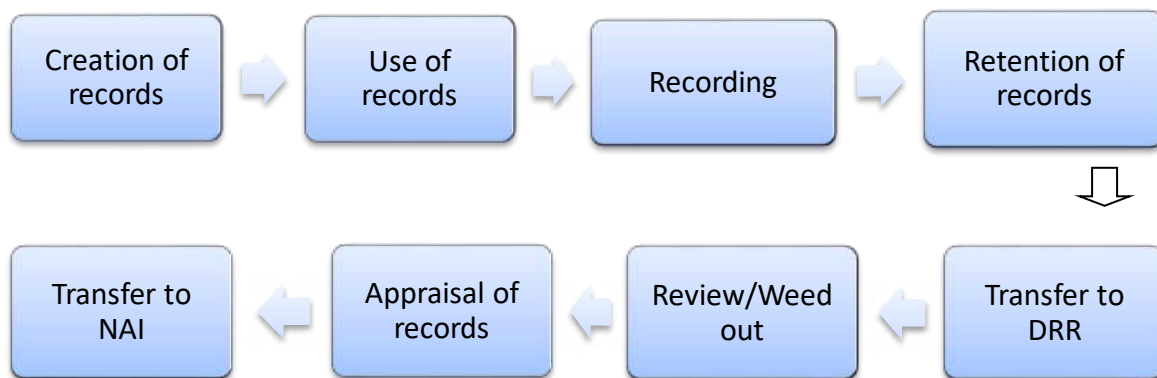
Date:

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

**10.1. Activities involved in records management are:**

- (1) Records management covers the activities concerning mainly recording, retention, retrieval and weeding out.
- (2) Each record creating agency will nominate, in pursuance of provisions of the Public Records Act, 1993 and the Public Records Rules, 1997 a Departmental Records Officer (DRO) who is not below the level of a Section Officer for overall records management of the organisation as a whole.

**Box – 10.1: Stages of Records Management:**



**10.2. Stage of recording:**

Files should be recorded after action on all the issues considered thereon has been completed as per the record retention schedules (Para 10.7). 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.

**Box-e.10.1.**

In eFile, the facility of recording a file is given for the files on which processing is done physically. An electronic file on which action is complete is closed and kept in a separate folder (closed folder). This may be closed by the creator of the file after getting approval of the competent authority, which may be of the level of Section Officer or above based on the roles assigned in the application. The closed file may be seen by the official who has closed the file and official who has authorized the closure of the file. The closed file can be re-opened/retrieved by the official who has closed the file with the approval of the competent authority.

The closed file can be reopened / retrieved by the official who has closed the file with the approval of the competent authority.

**Departmental instructions** are to be reviewed and re-issued by each Department.

The e-files should also be kept in external media and the working condition of media should be checked frequently ( at least once a week).

### **10.3. Departmental instructions for records management:**

Each Department has to issue Departmental instructions to regulate the recording and reviewing of records.

### **10.4. Categorisation of records:**

Files may be recorded under any one of the following categories:

- (i) Category 'A' meaning 'keep and microfilm'- This categorization will be adopted for:
  - (a) files which qualify for permanent preservation for administrative purposes (Part 'A' of Appendix 10.2) and which have to be microfilmed because they contain:
    - (i) a document so precious that its original must be preserved intact and access to it in the original form must be restricted to the barest minimum to avoid damage or loss; or
    - (ii) material likely to be required for frequent reference by different parties simultaneously/frequently.
  - (b) files of historical importance (Part 'B' of Appendix 10.2)
- (ii) Category 'B' meaning 'keep but do not microfilm'- This category will cover files required for permanent preservation for administrative purposes, such as those listed in part 'A' of Appendix 10.2. 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.
- (iii) Category 'C' meaning 'keep for specified period only'-This category will include files of secondary importance having reference value for a limited period not exceeding 10 years. In exceptional cases, if the record is required to be retained beyond 10 years it will be upgraded to 'B' Category.

The eFiles may be recorded under two categories:

Category - 'A'-eFiles which qualify for permanent preservation for administrative purposes or historical reasons such as those listed in Part A and Part B of Appendix-10.2.

Category 'C' --eFiles which are of secondary importance having reference value for a limited period not exceeding 10 years. In exceptional cases, if the record is required to be retained beyond 10 years it will be upgraded to A Category.

#### **10.5. Procedure for recording:**

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

- i. indicate the appropriate category of record (Para10.4) and in the case of category 'C', also specify the retention period and the year of review/weeding/destruction on the file cover; for non-file documents, indicate the number of years for retention on the file cover. E.g. "C/5 – Destroy (or Review) 2/2023 on a file cover of the file to be retained for 5 years from the date of closure in 2/2018". This is done after the Dealing Officer specifically obtained approval of the Section Officer/Desk Officer;
- ii. where necessary, revise the title of the file so that it describes adequately the contents at that stage;
- iii. get the file indexed (Paras10.6 & 10.7 ) for Category 'A' & 'B' files;
- iv. Take extract from the file, copies of important decisions, documents, etc. as are considered useful for future reference and add them to the standing guard file/standing note/precedent book;
- v. remove from the file all superfluous papers such as reminders, acknowledgements, routine slips, working-sheets, rough drafts, surplus copies, etc. and destroy them, unless they have audit or legal value;
- vi. complete all references and, in particular, mark previous and later references on the subject on the file cover;
- vii. complete columns 4 and 5 of the file register (Appendix – 7.3) and correct the entry in column 2 where necessary;
- viii. enter the file number in column 2 of the register for watching progress of recording (Appendix 10.1);
- ix. write the word 'recorded' prominently in red ink, across the entries in the file movement register;
- x. indicate page numbers and other references in ink which were earlier made in pencil;
- xi. prepare fresh file covers, where necessary, with all the entries already made thereon; and
- xii. hand over the file to the MTS who will repair the damaged papers, if any, stitch the file and, show it to the person entrusted with the responsibility by the Section Officer for making entries in the register for watching progress of recording before keeping it in the bundle of recorded files.

#### **Box-e.10.2.**

In eFile, change of file title and removal of any paper from any part of the electronic file is not permissible. In eFile, file maintenance is a continuous and automatic activity.



## 10.6 Stage of indexing:

Files will be indexed at the time of their recording. Only those files which are categorised as 'A' & 'B' will be indexed. If a list of recorded files is in MS-Word or pdf format, there is no need for indexing.

### **Box-e.10.3.**

In eFile, the meta-data of the file along with the recording information and record movement helps in easy tracking and retrieval of the file along-with monitoring the status of recording.

**In eFile, the files may be searched using meta-data like file number, subject/part of the subject, category and other parameters used while creating a file / on the cover page of the file.**

## 10.7. Record Retention Schedule:

- (i) 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 9 to the General Financial Rules, 2017;
  - b. in respect of records, relating to establishment, housekeeping matters, etc. 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 (Sl.No.15 in Table 4.2)
  - c. in respect of records prescribed in this Manual, observe the retention periods specified in Appendix 10.10; and
  - d. in respect of records connected with its substantive functions, Departments/Ministries may issue Departmental Record Retention Schedule vetted by the National Archives of India.
- (ii) The above schedules should be reviewed at least once in 5 years.

## 10.8. Custody of records:

- (i) Recorded files are to be kept serially arranged in the sections/desks concerned for not more than one year, after which they are to be transferred to the departmental record room. For files due for such transfer the register at Appendix 10.1 will be consulted.
- (ii) In the event of transfer of work from one section to another, the relevant files also are transferred, after being listed in duplicate in the form at Appendix 10.3. 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.
- (iii) Files transferred by a section to the departmental record room will be accompanied by a list of files (Appendix 10.3) 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.

- (iv) The departmental record room will maintain a record review register (Appendix 10.4) in which a few pages will be allotted for each future year. Category 'C' files marked for review in a particular year will be entered in the pages earmarked for that year in the register.
- (v) Files surviving the review undertaken on their attaining the 25th year of life will be stamped prominently as 'transferred to NAI' and sent to the National Archives of India. Files transferred to the National Archives of India will be accompanied by a list (in triplicate) (Appendix – 10.3), one copy of which will be returned by the National Archives of India, duly signed, to the Departmental Record Room.
- (vi) 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.

**Box-e.10.4.**

Closed e-files will be reviewed as per Record Retention Schedules and marked for weeding out/transfer to NAI as per accession procedure of NAI.

**10.9. Review and weeding of records:**

- (i) 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 10 years, including the period already retained-
- (ii) Category 'A' & '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 categorisation of category 'B' files may also be considered.
- (iii) The year of review of category 'C' files will be reckoned with reference to the year of their closing and that for category 'A' and category 'B' files with reference to the year of their opening.
- (iv) 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 10.5, in four lots – in January, April, July and September.

(v) a. 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. 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.

b. 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 out until the appeal/challenge is considered and finally decided. In such cases the limitation period prescribed for appeals should also be kept in mind.

(vi) After review the person entrusted with that responsibility by the Section Officer will make entries of revised categorization/retention period in the file registers and return them to the Departmental Record Room along with the list (Appendices–10.6 & 10.7) after completing column 3 thereof.

(vii) The Departmental Record Room, under the supervision of Departmental Record Officer (DRO), will:

(a) transfer category 'A' & 'B' files surviving the review undertaken at the 25th year of their life sub-para (iii) above, to the National Archives of India;

(b) in the case of other files:

(i) destroy those marked for destruction, after completing column 4 of the list of files (Appendix 10.3); 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;

(viii) Records not falling within the definition of file, e.g., publications, orders, etc., will also be subject 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.

(ix) 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 annually to record/review all Category 'C' files, and to weed out those no longer needed.

(b) Each Joint Secretary may review half yearly the state of recording/reviewing/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.

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

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

(b) Classified files/records will be destroyed by use of shredder, and

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

**Box-e.10.5.**

In eFile, once the **physical** file gets reviewed, Records Management System (RMS) takes care of the file that has been sent for weeding out. The provisions relating to weeding out in the RMS is as per the procedure prescribed as above.

**10.10. Quarterly progress reports of recording and reviewing of files:**

- i. The record officer will prepare each quarter, in duplicate, progress reports on the recording and review of files for the preceding quarter, in the forms at Appendices 10.6 and 10.7 and submit them, together with the following records, to the section officer
  - (a) Register for watching progress of recording (Appendix – 10.1); and
  - (b) Lists of files received for review (Appendix – 10.5)
- ii. The section officer will check the two statements, submit one copy of the report to the branch officer and send the other to the designated section looking after Internal Work Study.
- iii. The designated section entrusted with the functions of Internal Work Study (DSIWS)/O&M will:
  - (a) post the figures in the forms at Appendices 10.6 and 10.7 and return the reports to the section concerned;
  - (b) prepare the consolidated statement for the Department as a whole by vertically totalling the columns in the form at Appendices 10.8 and 10.9;
  - (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.

**10.11. Maintenance/transfer of records in the personal offices of Ministers:**

- (a) The personal offices of Ministers shall maintain necessary records such as registration, dispatch and file movement registers. The above records will be in addition to files and folders for papers of secret nature connected with the Cabinet meetings, etc. and for such subjects as considered necessary;

- (b) When a file or paper is given to the Minister for seeking orders or for any other purpose, informally, the PS to Minister will be informed. PS to Minister will on receipt of these particulars, will satisfy that such a file has been received by the Minister and watch its further movement. The file will be returned to the officer concerned as soon as the matter has received the attention of the Minister and the file has been disposed of.

#### **10.12. 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.

#### **10.13. Requisitioning of records:**

- (i) No recorded file will be issued from the sections, Departmental Record Room or Archival records except against a signed requisition in form prescribed under Public Records Act, 1993/Public Records Rules, 1997 in the case of Archival records.
- (ii) Files obtained by a section from the departmental record room will normally be returned within 6 months. If they are not received back within this period, the departmental record room will remind the section concerned. For this purpose, the record room will maintain a simple register for keeping a record of the files issued to the various sections each month. A similar register will be maintained by each section as a record of files borrowed from it by other sections.
- (iii) Requisitions for files belonging to other departments and in the custody of the National Archives, will be got endorsed by the department concerned before they are sent to the Archives. If the requisitioned file happens to be a confidential one, the Archives will not supply the file direct to the requisitioning department but route it through the department to which it belongs.
- a. The requisition will be kept in place of the file issued by NAI.
  - b. If the requisitioned file is one that has been microfilmed or printed, normally a microfilmed or printed copy and not the original will be issued to the requisitioning department.
  - c. Files obtained by a department from the National Archives will not normally be retained for more than a year except with the latter's specific knowledge and consent.
- (iv) On return, the requisitioned file will be restored to its place and the requisition returned to the section/official concerned.

**Box-e.10.6.**

In eFile, based on the category defined on the files, the list of files that are to be reviewed in a particular year is available in the system.

The Record Management System has provisions to take care of requisitioning of files from the department and / or NAI

In eOffice, the system, Records Management System, provides all the facilities for recording of physically processed files in eFile, beginning with categorisation, sent to record room for recording, keeping the location of recorded file(s) in record room, reviewing of recorded files, sending the file(s) to the NAI if required and weeding out. Presently, all electronic files are retained in the eFile system.

**APPENDIX 10.1.**  
[para 10.10(i)(a)]

**Register for watching the progress of recording**

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

Sl. No.	F. No. marked for recording	Date of marking	Date of Recording
1	2	3	4

**Box-e.10.7.**

In eFile, the above data is saved automatically.

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

**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 recognize, 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 assistance.

4. Papers relating to the implementation of a change of policy, including a complete set of instructions to executing 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 of India, 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 10.3.**

(para10.8.iii)

**List of files transferred to National Archives of India/Departmental Record Rooms/Sections/Desks**

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

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

**Record Review Register**

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

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

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

**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.

**Quarterly progress report on recording of files**

Section/Desk... ..

Quarter ending	Number of files				Initials	
	B.F. from previous quarter	Marked for record during the quarter	Recorded during the quarter	Remaining to be recorded at the end of the quarter (col. 2+3-4)	Assistant Section Officer	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 quarter.
3. Column 3 and 4 will be filled on the basis of the register for watching the progress of recording (Appendix 10.1).

**APPENDIX 10.7.**  
(para10.10 (i))

**Quarterly progress report on review of files**

Section/Desk .....

Quarter ending	Number of Files						Initials	
	B.F. from previous quarter	Received for review during the quarter	Reviewed during the month			Remaining to be reviewed at the end of the quarter (col. 2 + 3 + 6)	Assistant Section Officer	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 quarter.
2. Column 3 and 4 will be filled on the basis of record review register and lists of file received for review.

**APPENDIX 10.8.**

(para10.10(iii))

**Consolidated quarterly progress report on recording of files**

Ministry/Department. . . . .

Quarter ending.....

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

**APPENDIX 10.9.**  
(para10.10(iii))

**Consolidated quarterly progress report on review of recorded files**

Ministry/Department. . . . .

Month ending.....

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

**Box – e 10.8.**

In eFile, the various registers maintained physically, like file registers for recording, records review register, records for weeding out, records sent to NAI, etc. are available in the system.



**APPENDIX 10.10.**

(para 10.7c)

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

Sl. No.	Description of record	Reference to relevant para of the manual	Retention period (in years) from the date of closure
1	2	3	4
1	Dak register	5.3	3
2	Standing guard files	11.4	Permanent. To be weeded out when the revised version becomes available
6	Section Dispatch Register	9.6(iii)	5
7	Messenger book	5.4	3
9	File register	6.4	Permanent
10	File movement Register	6.5	3
11	Register for watching the progress of recording	10.10(i)a	3
12	Precedent book	11.6	Permanent
13	List of files transferred to Departmental record room	10.8(iii)	25
14	List of files transferred to National Archives	10.8(v)	Permanent
15	Record review register	10.8(iv)	1
16	List of files received for review	10.10.(i)(b)	1
17	Record requisition slip (NAI)	10.13.(iii)	To be destroyed after the file has been returned to NAI
19	Monthly Progress report on recording of files	10.10.(i)(a)	1
20	Register for keeping a watch on communications received from MPs /VIPs	12.3	3
21	Register of Parliamentary Assurances	12.6	3
22	Check-lists for periodical reports	12.7	1
23	Inspection reports		1 year after the ATN on that report is accepted

**NOTE:**

The retention period will be reckoned with reference to the date from which the record ceases to be current/active. Where, however, it is proposed to weed out a register

wherein certain entries are still current, e.g., file movement register where certain files entered therein have not been recorded or the register of assurances, where certain assurances have not been implemented, the current entries will first be transferred to the new register and the old register weeded out thereafter.

Knowledge Management is a process of creating, sharing, using and managing the knowledge and information of an organisation. It refers to a multi-disciplinary approach to achieve organisational objectives by making the best use of the knowledge. Knowledge Management is, therefore, an enabler of organisational learning. A knowledge management dashboard shall be set up in the e-Office environment by every Section/Unit/ Desk which will provide access to aids to processing as indicated in this Chapter.

**11.1. Aids to processing :**

Aids to processing are tools of knowledge management used in the Ministries and Departments. Any mechanism that helps an officer to learn his/her area of work in examination and disposal of a case is an aid to processing. They are more effective if maintained electronically.

Examples of aids to processing are:

1. Note for the Successor
2. Standing Process Sheet
3. Standing Guard File
4. Standing Note
5. Precedent Book
6. Reference Folder

**11.2. Note for Successor :**

- (i) Movement of officers from one post to another by way of promotions, transfers, deputation, etc. is part of functioning in any organisation. It is the responsibility of the organisation to ensure that relevant induction material is provided to the new incumbent to enable him/her to perform duties to the best of his/her abilities.
- (ii) Even though in Government organisations, all the required information is available in files, predecessors also play an important role in passing on institutional memory. Guidance provided by the predecessors needs to be documented to ensure easy and ready access.
- (iii) Note for successor from his/her predecessor is an important tool to keep the work progress in a flawless manner. Such a note should be prepared in a structured manner in incorporating all the inputs so that the successors could discharge their duties more efficiently.

(iv) The responsibilities may vary from one post to another post. The note for the successor generally has to be of uniform format across the levels. A common template for a model Note for successor is given in Appendix –11.1.

### **11.3. Standard Process Sheet:**

(i) A Standard Process Sheet is a standardized note or template described in Para 7.14(v). It is a mechanism used in an office to arrive at a decision. The Standard Process Sheet provides various check-points to process cases of repetitive nature. The various details or the facts and figures of each case are provided by the Dealing Officer. Apart from being a performance tool for the Dealing Officer, it ensures that no important point is overlooked by the seniors when the case is submitted. For the senior officers, it also helps in saving time because relevant information needed is visible in a more conspicuous manner.

- (ii) Some of the steps to be taken to devise Standard Process Sheet are:
- a) List the cases dealt with
  - b) Check if any of them is of repetitive nature
  - c) Prepare a list of points to consider while submitting the case
  - d) Arrange those points in a logical sequence. The broad sequence to be adopted is:
    - i. Facts of the case
    - ii. Rules/regulations to be applied
    - iii. Suggested course of action
    - iv. Indicate who the competent authority is
    - v. Points on which decision is sought
  - e) Design a format
  - f) Get the draft standard process sheet cleared by Section Officer and Branch Officer
  - g) Test-run the Standard Process Sheet in a few cases
  - h) Revise, if necessary
  - i) Finalise.

(iii) A specimen Standard Process Sheet is in Appendix – 7.1.

(iv) Standard Process Sheets are to be reviewed periodically with respect to standing instructions/orders/guidelines of the Government of India in force. It will be filed on the notes portion of the file. It is to be treated exactly in the same manner as a normal note sheet is treated. In eFile, one may design and customize templates to process cases of repetitive nature like advance or withdrawal from GPF, etc.

- (v) Need to revise Standard Process Sheet may arise due to:
- a) change in the rules position or
  - b) change in the procedure itself.

For example, if the minimum notice period for resignation to be given by the employee is done away with. This would need a revision in the Standard Process Sheet to the extent that this particular checkpoint will have to be deleted.

#### **11.4. Standing Guard File:**

(i) A Standing Guard File is maintained to help in processing and taking a decision in a case because:

- (a) It gives the background of the policy and procedures of the relevant subject to new officers;
- (b) It enables quick submission and disposal of cases;
- (c) It takes the place of voluminous old files put up for reference;
- (d) It helps the office in locating the previous papers having bearing on the subject.

It is a compilation consisting of the following three parts:

- a) A running summary of the principles or policy or procedure on a subject with number and date of relevant Decisions or Orders quoted in margin.
- b) Copy of the Decisions or Orders referred to, arranged in chronological order; and
- c) Model forms of communications to be used at different stages of processing a case.

(ii) While processing a receipt, the Dealing Officer will first identify the issues and collect all information. Then consider possible course(s) of action to suggest applying the latest relevant rules and procedure. For example, a new Dealing Officer has to process a case for release of grant-in-aid to a State Government on a scheme. Standing Guard File on the subject would aid in his/her processing the case, as explained below:

- a. The running summary will assure that the rules and procedure contemplated is the same as the one to be adopted (Part – 1).
- b. Refresh knowledge and understanding of the provision of the rules including the latest amendment (Part -2)
- c. Submit draft or fair communications (Part – 3).

(iii) To create a Standing Guard File, the first step is to build Part - 2 by collecting copy of orders issued by the nodal Ministry on the subject. Look for the previous references given in these orders and get a copy. Then, arrange them in chronological order. Go through these orders and note important points. Thereafter, prepare a summary based on these points. Then put these summarised points in a logical sequence. Take previous years' files, if any, on the subject. Go through the correspondence portion of these files and take copy of the communications used at different stages of processing of the case. The finalised draft along with Standard Process sheets would form Part - 3 of Standing Guard File.

(iv) To facilitate easy retrieval, Standing Guard Files are given a number. The Section must have a list of Standing Guard Files maintained by it. A copy of this list must also be available with the Section Officer and each of the Dealing Officers. The Section Officer normally gives the task of maintaining Standing Guard Files to the Dealing Officers concerned.

(v) A Standing Guard File would gradually lose its utility if it is not updated regularly. Therefore, one of the responsibilities assigned to a Dealing Officer is to update it regularly. One of the ways to update it, is to take photocopies of Orders and other relevant communications issued on the subject by the nodal Ministry concerned, of important decisions taken within the organisation and keep them in Part - 2 of the Standing Guard File in a chronological order. Depending on the content of these Orders or Decisions, there could be a need to revise the running summary by adding suitable paragraphs or deleting paragraphs. Such revisions are to be made only after preparing a draft, getting it cleared by the Branch Officer. Similarly, as and when the forms of communication are revised or an additional one is devised, these too are to be added to Part- 3 of the Standing Guard File.

#### **11.5. Standing Note:**

Standing Note is helpful in retrieval of important files on the subject to which Standing Note pertains as it contains reference to important previous files concerning the subject. By referring to Standing Note one can easily have access to important files on the subject and locate them without any delay.

It's 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.

As and when there is change in policy or procedure, the Standing Note should be brought up-to-date by incorporating relevant changes.

#### **11.6. Precedent Book:**

- (i) It is a register in a prescribed format to keep note of important rulings & decisions having a precedent value for ready reference. While taking action on receipts, the Dealing Officer examines cases with reference to the rules, regulations or guidelines on the subject. There are, however, instances when one comes across cases where the rules, the regulations or the guidelines do not provide a clear and specific answer for the issue under consideration. Precedent Book is a valuable tool for quick retrieval of past files on the subject under consideration. It is a Register designed to keep note of important rulings or decisions having a precedent value for ready reference.

(ii) If Dealing Officer and other officers in the hierarchy are unaware of precedent, they will have to seek advice from the nodal Ministry concerned. Often this sort of references result in delay in disposal of cases. Precedent Book must be maintained in all Sections that are designated as a nodal section. Format of Precedent Book is in Appendix.11.2.

- (iii) A perusal of index in the Precedent Book maintained by the section will help:
- (a) to know whether there is any decision taken earlier on the issue presently under consideration;
  - (b) If so, to obtain details of the old file number in which the decision was taken;
  - (c) Helps in locating it and linking it with the current file.

(iv) Locate files with precedent value. It is difficult to define the term "precedent value". A rigid view on the entries in the Precedent Book should not be taken. Dealing Officer may also make entries relating to discussions on file leading to 'No Decision' also. 'No Decision' cases are those which are examined in a file for a decision but the final outcome is to keep it on hold. For example, a section receives a proposal for creation of posts. Concurrently, there is a proposal for cadre review. A view may be taken not to process the proposal for creation of posts till the cadre review is completed. If considered suitable, this 'No Decision' may be a fit case for entry in the Precedent Book. Similarly, dealing officer may examine a proposal to grant relaxation to one of the eligibility conditions provided in recruitment rules for promotion. After discussions on the file, the Department of Personnel, the nodal authority in such cases, may not agree to the proposal. The precedent value is that no relaxation was granted.

The criterion to decide whether or not a case should be entered in the Precedent Book is on the basis of whether such a file is likely to be called up for reference in the future.

Dealing Officer may consider taking photocopy of the relevant correspondence and the notes portions of the file with precedent value in a folder giving a fresh page number to the photocopied papers and keeping a record in the form of an index on the first page of the folder. He may also note the page reference in the Precedent Book. Between one set of photocopy of a precedent and another he may keep a blank colored sheet as a separator. This folder should be kept along with the Precedent Book in a file board. This kind of an institutionalised system would obviate the need to locate the old file. The Precedent Book along with the folder-containing photocopy of the relevant note/ correspondence portions should be kept in a safe place for easy retrieval. Section Officer should assign the responsibility of maintenance of Precedent Book to a functionary in the section through a specific entry in the work-allocation chart.

An ideal time to make entries in the Precedent Book, therefore, is immediately after a decision of precedent value is taken. However, in any case, the entry must be made at least at the stage of recording the file.

### **11.7. Reference Folder:**

Reference folder is a folder maintained by individual officers. It contains such basic details as considered necessary by the officer, which are of immediate use for processing a case. Folder containing copies of various orders, rules, instructions, guideline, etc. on a specific topic, data pertaining to the subject dealt with, etc. Reference Folder is useful for the Dealing Officer or an officer during the discussions with the senior officers or while attending a meeting. For instance, it may contain details of funds released under a scheme to different State Governments during the last 3 years and also during the current financial year. It may contain details containing reasons why funds have not been released to a State Government, details like outstanding Utilisation Certificates, etc.

Depending upon the need of the Dealing Officer or an officer, the Reference Folder will be created. Thus, it would depend on the needs of the officer concerned. The Reference Folder needs to be updated regularly on every updation of data and also every amendment to the standing instructions, orders and guidelines of Government of India.

### **11.8. Induction Material :**

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

### **11.9 Master Circulars:**

1. In order to improve the existing Knowledge/information Systems in Government, Ministries/Departments may review the instructions issued by them on each subject from time to time and consolidate the instructions on a given subject into a self-contained single document in the form of Master Circular. References of source instructions and amendments thereto may be listed and hyperlinked at the end of Master Circular so as to facilitate a user to see changes/updates introduced over time.
2. Whenever new instructions/orders are issued, or modification/amendment is carried out in any existing instructions on a subject, the relevant Master Circular may be updated on the above lines. Such updated Master Circular shall supersede the previous Master Circular on the subject.
3. The Master Circulars may be published on the website with well thought out content design and positioned prominently on the website within the broad framework of Guidelines for Government Websites.



- 4 Ministries/Departments may consider setting up a dedicated Cell for adoption of system of Master Circulars and for organizing, maintaining and updating information on their websites on regular basis.
5. The progress of implementation of the above measures may be reviewed by Secretary of the Ministry/Department regularly in Senior Officers Meetings.

**11.10. RESPONSIBILITY MAPPING:**

S No	Activity	Responsibility assigned to
1	Note for a Successor	The Officer concerned*
2	Standard Process Sheet	Branch Officer*
3	Standing Guard File	Section Officer*
4	Precedent Folder (Book)	Branch Officer*
5	Reference Folder	The Officer concerned*

\* The officer may ask the Dealing Officer and other officers to help.

**Box – e.11.1**

In eFile, there is a provision for 'Remarks' in the electronic as well as physical file cover, which could be used to indicate the decision made using **key/catch words**. Subsequently, this could be indicated in the Precedent Folder. It is possible in **eFile to have a single folder combining the features/utilities of Standing Guard File and Precedent Folder**. These tools of Knowledge Management are essential to be developed and updated regularly.

**APPENDIX – 11.1**

(Para 11.2.(iv))

**NOTE FOR THE SUCCESSOR**

1. List of key areas and responsibilities related to key areas

Sl. No	Key performance area	Responsibility related to the key performance area
1 etc.		

2. Staff position at present

Sl. No	Nomenclature of the post	Sanctioned strength	Persons in position	Vacant posts	Date of vacancy	Remarks

3. A brief write up on the sensitive matters being dealt with in the Section, Branch, Division, Wing or Department.
4. List of documents required by the officer for handling the responsibilities are in Annexure.

5. What were the predecessor's experience of working in the Ministry/Department and what steps need to be taken to improve the situation.
6. Challenges that he/she faced and efforts made to overcome them.
7. What are the constraints under which the work had to be undertaken?
8. List of counterparts in various Ministries/Departments along with the subject matter.

Sl. No	Subject matter	Ministry concerned	Officer concerned	Office address, email and contact number

9. Pending matters like Court cases, Parliamentary Committee matters, PMO or Cabinet Secretariat, PRAGATI, eSamiksha, etc. needing urgent attention.
10. Any other issues.

**Annexure to Appendix 11.1**

**LIST OF IMPORTANT DOCUMENTS**

1. About the Ministry
2. Second Schedule of Transaction of Business Rules, 1961.
3. Relevant portion of the Allocation of Business Rules, 1961.
4. Annual Report.
5. Organization Chart.
6. Work allocation with details of work allocated to Officers & Sections.
7. List of attached offices, subordinate offices, autonomous bodies, CPSEs.
8. Delegation of financial and other powers and Departmental instructions for decision making within the organization.
9. Citizens' Charter.
10. Parliamentary matters – A folder containing answers provided to Questions, Note for Supplementary for the last three sessions Question days of the Ministry/Department.
11. Court cases – status of court cases requiring attention:

Sl. No.	File No.	Subject of court case	Date of next hearing	Advocate handling the case with telephone No.

12. Projects/schemes completed and under process:

Sl. No	File No.	Subject of project/Schemes	Target date	Implementing Agency/Unit with contact details	Present position

13. Level of ICT prevalent in the Ministries – List of important websites, eOffice and File Tracking System.
14. Budget provision and the status of utilization of funds/budget. Action on additional budget requirement. Pending Audit paragraphs.
15. Pending RTI applications.
16. Important instructions on files from senior officers on which responses are pending.
17. EFC/SFC/Cabinet Note pending.
18. Important meetings during the next fortnight. Follow up action on previous meetings.
19. List of periodic reports that are generated by the office and that are received by the office.

**LOGISTICS**

The data available on the computer of the predecessor should be made available to the successor.

**Format of Precedent Book**

<b>PRECEDENT BOOK</b>	
Heading*	
Decision or ruling in brief	
Date:	File No.
Copy at page ____ in the folder.	

\* Decisions with precedent value are indexed under various heads. For instance, a decision on “critical date for determination of eligibility of candidates for the post of Chairman, Central Electricity Authority” may be indexed under:

- i. Central Electricity Authority
- ii. Chairman
- iii. Critical date
- iv. Eligibility, etc.

**12.1. Disposal of work:**

- (i) The primary responsibility for expeditious disposal of work and timely submission of arrear-and-disposal statements rests with the Section Officer/Desk Functionary concerned. To this end, he will inspect the Sections' register and the Assistant Section Officer's registers, and take such other action as may be necessary to ensure that no paper or file has been overlooked.
- (ii) The Branch Officer will also keep a close watch on the progress of work in the sections under his control.

Necessary MIS reports are available in eFile to monitor the progress of work.

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

**MONITORING OF DISPOSAL OF RECEIPTS /CASES****12.3. Watch on disposal of communications received from Members of Parliament and VIPs:**

- (i) The personal section of each Joint Secretary/Director (if the Director submits cases directly to Secretary/Additional Secretary) will maintain a separate register of communications received from Members of Parliament and VIPs in the form given in Appendix 12.1. 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' /20.3.2019
- (ii) To keep a special watch on speedy disposal of communications received from Members of Parliament/VIPs, each section will;
  - (a) maintain a register as in form at Appendix 12.2; and
  - (b) mark out prominently those communications finally disposed of by circling the serial numbers in the register in red ink.
- (iii) If for any reason an M.P.'s letter is received by a section without being registered in the personal section of the Joint Secretary/Director, it should be registered there immediately.

- (iv) On the first working day of each month, each section will submit the register, along with the report in the form at Appendix 12.3 to the Under Secretary/Deputy Secretary. The report, with the remarks of Under Secretary/Deputy Secretary, will be submitted to the Director/Joint Secretary and register will be returned to the section.
- (v) The personal section of the Joint Secretary/Director will check whether all the communications entered in its register figure in the reports sent by the sections. If any discrepancy is found, it should be reconciled. Thereafter, the report will be submitted to the Joint Secretary/Director for scrutiny and for such other action as he may consider appropriate.
- (vi) Ministries/Departments may, through Departmental instructions, include additional columns in the forms at Appendices 12.1, 12.2 and 12.3 to suit local needs.
- (vii) An illustrative list of VIPs is available at Appendix 12.4

In eFile, utmost importance has been given to deal with VIP cases. Every letter received from VIP is tagged with unique VIP tag and their details are saved automatically. Mechanism for easy tracking and monitoring of VIP letters are also provided in the system.

#### **12.4. Monitoring of Court/CAT cases and implementation of Court/CAT Orders:**

- (i) The Personal section of each Joint Secretary/Director (if the Director submits cases directly to Secretary/Additional Secretary) will maintain a separate register of Court/CAT Cases from the date of filing the petition/application in Court/CAT in the form given in Appendix 12.5. The serial number at which a petition is entered in the register will be prominently marked on the petition/application together with its date of registration e.g. 12/JS/Court/CAT Case18.3.2019.
- (ii) To keep a watch on status of Implementation of Court/CAT judgments/orders, each section will:
  - (a) maintain a register as in form at Appendix 12.6; and
  - (b) mark out prominently those Court/CAT cases finally implemented /disposed of by rounding off the serial numbers of the register in red ink and give date of implementation of Court/CAT orders.
- (iii) If for any reason Court/CAT case is received by a section without being registered in the personal section of the Joint Secretary/Director, immediate steps will be taken to get it registered there.

- (iv) On the 1st & 15th day of each month, each section will submit the register along with the reports in the form at Appendix 12.5 & 12.6 to the Under Secretary/Deputy Secretary. The report, with the remarks of Under Secretary/Deputy Secretary, will be submitted to the Director/Joint Secretary and register will be returned to the section.
- (v) The personal section of the Joint Secretary/Director will check whether all the Court/CAT cases entered in its register figure in the reports sent by the sections. If any discrepancy is found, it should be reconciled. Thereafter, the report will be submitted to the Joint Secretary/Director for scrutiny and for such other action as he/she may consider appropriate.
- (vi) Through Departmental instructions, Ministries may include additional columns in the forms at Appendices 12.5 and 12.6 to suit local needs.

**12.5. Requests/applications received under Right to Information Act, 2005 (RTI):**

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

**12.6. Register of Parliamentary Assurances:**

- (i) Each section in a Ministry/Department will keep a record in the form at Appendix 12.7 of Assurances given by a Minister to either House of Parliament, whether in replies to questions or in the course of discussions on Bills, Resolutions, Calling Attention Notices, Motions, etc. A separate register will be maintained for each House and entries therein will be made session-wise.
- (ii) The Section Officer will :
  - (a) scrutinize the registers once a week;
  - (b) ensure that necessary follow-up action is infact 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.
- (iii) The Branch Officer will keep the higher officers and the Minister informed of the progress made in the implementation of assurances given by him in Parliament. Cases, in which there is likely to be any delay in the implementation of a promise or an undertaking should be particularly brought to their notice well in advance.

In eFile, facility for tagging Parliament Assurance matters and subsequently generation of MIS report for timely monitoring of such cases is given.

#### **12.7. Check-list of periodical reports:**

- (i) To ensure timely receipt, preparation and dispatch of periodical reports, each section will maintain two check-lists, one for incoming reports and the other for outgoing reports, in the forms at Appendices 12.8 and 12.9, respectively. All periodical reports will be listed in column 2 of the appropriate check-list in the order of their frequency, weekly reports being entered first, fortnightly reports next, and so on.
- (ii) The check-lists will be prepared at the commencement of each year, approved by the Section Officer and shown to the Branch Officer.
- (iii) The Section Officer will go through the check-lists once a week to plan action on items requiring attention during the following week or so. After a periodical report has been received or dispatched the relevant entry in the date column of the appropriate check-list will be circled in red ink.

#### **12.8. Review of periodical reports/returns:**

- (i) 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;
  - a. to eliminate unnecessary report and returns.;
  - b. to redesign reports and returns which do not provide information/data in usable form;
  - c. to rationalise/simplify the essential ones by combining two or more of them, if possible; and
  - d. 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.
- (ii) The results of the review during each year will be reported by the section to the Section designated for handling work of IWSU by 7th of April.
- (iii) The Section designated for handling work of IWSU will consolidate the reports received from various sections and send a report covering the Ministry/Department as a whole, to the Department of Administrative Reforms and Public Grievances, by the 30th of April as per item 6 of Appendix 12.10.



## **12.9. Monitoring of Websites:**

All Central Government Ministries/Departments/Offices/PSUs should have a Website containing updated data/information in compliance with the Guidelines of Government of India Websites (GIGW) available on the websites of Ministry of Electronics & Information Technology ([www.meity.nic.in](http://www.meity.nic.in)) and of the Department of Administrative Reforms & Public Grievances ([www.darpg.nic.in](http://www.darpg.nic.in)). A nodal officer should be appointed for the purpose and the Website updated regularly.

## **12.10 Disposal of Pending Matters:**

- (i) With the objective of disposing of references from Members of Parliament, State Governments, Parliamentary Assurances Grievances, and references for Inter-Ministerial Consultation, the Department of Administrative Reforms and Public Grievances has been advocating the Ministries/Departments to undertake Special Campaign covering all Ministries/Departments of Government of India, their Attached/Subordinate Offices, Autonomous Bodies and PSUs. Such campaign was run successfully, with DARPG as the nodal Department, from 2nd to 31st October, 2021.
- (ii) As a sequel to the month-long Special Campaign, Ministries/Departments shall undertake the following actions on a regular basis to reduce pending matters to the minimum possible:-
  - (a) Dedicate three hours every week for the special campaign.
  - (b) Designate Nodal Officers (not below the rank of Joint Secretary), who will be responsible for identification of pending matters and monitoring disposal on weekly basis, and to get the data entered on DARPG portal, namely, <https://pgportal.gov.in/scdpm>, on the first day of every month.
  - (c) Secretaries shall monitor progress on monthly basis.
  - (d) The Campaign shall also be implemented in all outstation offices of Ministries/Departments and autonomous organisations/subordinate offices/attached offices.

**APPENDIX 12.1.**

[Para 12.3 (i) ]

**Register for keeping a watch on the disposal of communications received from  
Members of Parliament/ VIPs****(To be maintained by Personal Sections of Joint Secretaries/Directors)**

Sl. No.	Reg. 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 12.2.**

(Para12.3 (ii) )

**Register for keeping a watch on the disposal of communications received  
from Members of Parliament and VIPs****(To be maintained by Sections/Desks)**

Name of Section/Desk... ..

Sl. No.	Receipt No. & Date	Joint Secretary/ Director	No. & date of Comm- unication	Name of M.P.	To whom addressed	Subject	Date of acknow- ledgement	File No.	Date of interim reply	Date of final reply	Remarks
1	2	3	4	5	6	7	8	9	10	11	12

**APPENDIX 12.3.**

(Para12.3 (iv))

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

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

**Illustrative list of VIPs**

1. President
2. Vice President
3. Prime Minister
4. Governors of States
5. Former Presidents
6. Deputy Prime Ministers
7. Chief Justice of India
8. Speaker of Lok Sabha
9. Cabinet Ministers of the Union
10. Chief Ministers of the States
11. Vice Chairman (Niti Aayog)
12. Former Prime Ministers
13. Judges of the Supreme Court
14. Chief Election Commissioner
15. Comptroller & Auditor General of India
16. Ministers of State of the Union
17. Attorney General of India
18. Chief Justice of High Court
19. Cabinet Ministers in States/Chief Ministers of Union Territories
20. Chairman, Minority Commission
21. Chairman, Scheduled Castes and Scheduled Tribes Commission
22. Chairman, Union Public Service Commission
23. President's Office
24. Prime Minister's Office

**APPENDIX 12.5.**

(Para 12.4 )

**Details of Pending Court /CAT Cases**

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 12.6.**  
(Para12.4.(ii))

**Status of Implementation of Court/CAT Judgements**

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

**APPENDIX 12.7.**  
(Para12.6(i))

**Register of Parliamentary Assurances**

Section/desk.....

Lok Sabha/Rajya Sabha

Sl. No.	File No.	Ques. No. discussion date and name of MP raising the point	Reference	Subject	Promise made	Dt. of receipt from Parliament unit	Due dt. For implementation of the assurance	Sources from which information is required to be collected	Extension sought/granted	No. and dt. Of the communication under which IR/Part IR was sent to M.P.A	Dt. On which IT/Part IR/Laid on the Table of the House	Remarks
1	2	3	4	5	6	7	8	9	10	11	12	13

**INSTRUCTIONS**

1. Column 3: Show date on which the Assurance was given.
2. Column 4 : Show name of Bill, Resolution, Motion, etc. in connection with which the Assurance was given and also reference to the communication from the Ministry of Parliamentary Affairs with which it was received.
3. Column 5: Show specific point on which assurance was given
4. Column 13: Show whether request for deletion has been made



**APPENDIX 12.8.**  
(Para 12.7(i))

**Check list for watching receipt of incoming periodical reports for the  
year.....**

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 12.9.**  
(Para 12.7 (i))

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

Ministry/Department of.....

Section/Desk.....

Sl. No	Title of the Report & File No.	Periodicity	Due date of Dispatch											
			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 dispatched 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.

**Report on O&M Activities**

Ministry/Department

Year ending\_\_\_\_\_

1. Have the instructions been issued regarding fixation of final levels of disposal of cases and channel of their submission.  
If yes, month & year of issue for the first time and subsequent review done.  
Have these instruction been extended to any new type of cases during reviews.

2. Whether Tel. No. and complete address of Officers signing the communications, are being written.

3. Recording of Files

Total No. of files which are due for recording at the start of the year.  
Which became due for recording during the year.  
Which were recorded during the year.  
Which remained due for recording.

4. Other aspects of Record Management.

Whether indices are maintained for records retained.  
Whether Record Retention Schedule is being maintained .  
No. of special drives carried out during the year. Files weeded out during the drives .

5. Review of files

Total no. of files

Which were due for review at the start of the year.  
Which became due for review during the year. Which were reviewed during the year.  
Out of reviewed during the year.  
No. of files marked for further retention.  
No. of files marked for destruction.

6. Review of periodical Reports and Returns

Total Number	Reviewed	Streamlined/Rationalised by Amalgamation/Reducing Frequency	Eliminated	Currently in Use

--	--	--	--	--

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				
Total				

8. Annual inspection of Sections

Total number of Sections

No. of Sections inspected during the year

9. Inspection of Departmental Record Room (DRR)

Whether DRR was inspected jointly with NAI

Total No. of files held in DRR

at the start of the year

at the end of the year

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

at the start of the year

at the end of the year

No. of files reviewed jointly with NAI

No. of files transferred to NAI after review.

10. 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

11. Whether Induction material is maintained

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

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

14. Composition of O&M/designated section to handle work of IWS

Officers at the level of	Name and designation	Office Address with Room No., Floor No., Building/Road name etc.	Tele No.

Additional Secy./Joint Secy. in charge of O&M unit			
O&M Officer Dy. Secretary/Dir.			
Under Secretary			
Section Officer			
Research Assistant/ ASO			
Investigator/SSA			
<p>Notes : -</p> <ol style="list-style-type: none"> <li>1. This report duly filled in should be sent to DAR&amp;PG (O&amp;M Division) by April end every year.</li> <li>2. Any additional information relating to Administrative Reforms introduced, O&amp;M studies undertaken, and suggestions for improving efficiency in administration might be given in a separate note.</li> </ol>			

**13.1. Communication of official information:**

Every Government servant shall, in performance of his/her duties in good faith, communicate information to a person in accordance with the Right to Information Act, 2005 (22 of 2005) and the rules made there under:

Provided that no Government servant shall, except in accordance with any general or special order of the Government or in performance in good faith of the duties assigned to him/her, communicate, directly or indirectly, any official document or any part thereof or classified information to any Government servant or any other person to whom he is not authorised to communicate such document or classified information.

**13.2. Treatment of classified papers:**

(i) The provisions contained in this manual apply primarily to unclassified papers. In handling classified papers, the official concerned will have to exercise special care and follow the provisions under 'Departmental Security Instructions' issued by the Ministry of Home Affairs. Since, according to these instructions, classified papers (other than confidential) are expected to be handled either by officers themselves or in sections designated as 'secret' or 'top secret', it is essential that in sections not so designated:

(a) a separate set of registers and other records (e.g. Dak Register, Section Register, File Register, File Movement Register, Precedent Book, electronic media, CDs, pen drives, etc.), is maintained by Section Officer himself/herself; and

(b) the recording of such files and their review is also undertaken by him /her personally, keeping in view the provision under the Departmental Security Instructions.

(ii) Every classified file shall be reviewed once in five years for declassification. A declassified file considered fit for permanent preservation will be transferred to the National Archives of India.

**13.3. Confidential character of I.D. notes/ files:**

(i) A file or I.D. note 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.

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

(iii) For the purpose of attending meetings/discussions outside office an officer not below the level of Section Officer/Desk Officer may carry Confidential papers/files or an officer not below the level of Under Secretary may carry Secret papers/files in a special circumstance with the written authorisation of Joint Secretary concerned. The authorisation will be produced by the officer on demand. Besides, provisions contained in the manual of Departmental Security Instructions issued by the Ministry of Home Affairs shall be followed in this regard.

#### **13.4. Communication of information to the press :**

(i) Official information to the press and other news media, i.e. radio and television, will normally be communicated through the Press Information Bureau.

(ii) Only Ministers, Secretaries and other officers specially authorised in this regard may give information or be accessible to the representatives of the press. Any other official, if approached by a representative of the press, will direct him/her to the Press Information Bureau or will seek the permission of the Secretary of the department before meeting the Press.

(iii) Whenever it is proposed to release official information to the Press, or to hold a press conference or press briefing, or to give publicity to an official report, resolution or any other publication, the Department concerned will consult the accredited Information Officer in advance. The accredited Information Officer will meet the authorised officials from time to time and collect information worthy of publicity.

(iv) Detailed procedure in respect of matters mentioned in this para, as laid down by the Ministry of Information and Broadcasting, shall be followed.

#### **13.5. Use of restrictive classification for printed reports etc.:**

(i) The restrictive classification 'For official use only' will not be assigned to any printed report, pamphlet or compilation, unless it contains information disclosure of which would not be in the public interest. In doubtful cases, the test that may be usually applied is whether the publication, whose circulation is proposed to restrict to official use only, is such that the Minister would be justified in refusing to lay it before the Parliament.

(ii) No official publication (including in electronic form) will be marked 'For official use only' except with the prior approval of the Branch Officer, who will obtain the orders of the Secretary or the Minister in case of doubt.

**Box – e.13.1**

In eFile, the system allows movement of envelopes, receipts and files with security grading among any / all users in the department.

Departmental instructions are to be issued by the Chief Vigilance Officer of the Department to restrict access to various categories of classified documents, to designated users.



**14.1. Annual Action Plan:**

(i) **Formulation** - In order that the programmes and projects undertaken by a Ministry/Department are implemented in a systematic manner, each of them will formulate an Annual Action Plan in the month of January. The Action Plan will reflect the manner and timeframe 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.

(ii) **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.

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

**14.2. Citizens/Clients Charter:**

(i) **Citizens Charter** is an instrument which seeks to make a Ministry/Department transparent, accountable and Citizen friendly. A Citizens Charter is basically a set of commitments made by them regarding the standard of service delivered. The objective of framing a Citizens Charter is to build bridge between the citizens and the administration and to streamline administration in tune with the needs of the citizens.

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

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

also. Clients are part of the government and are generally referred to as internal clients. Being part of the government machinery, the general presumption is that clients have sufficient knowledge of the government's internal processes. Therefore, the onus of ensuring that clients who are also part of the government are well aware of the service standards and the expectations from service recipients is equally divided between the service provider and the service recipient. It is presumed that all clients are literate and communicating with them in the official language of the service provider agency is sufficient.

(iv) **Clients** could be Government agencies and Government employees availing the services from another Government agency. Services here will exclude administrative control activities, references and opinions to be provided on policy related matters which cannot be disposed off within a predefined timeline.

(v) **A Citizens Charter comprises of the following components:**

- Cover page  
(As per Appendix 14.1)
- Vision Statement
- Mission Statement
- Details of Business transacted by the Ministry/Department (indicates services offered, specifies timelines, for service, indicates service standards, identifies levels/ information about contact points and conditions for delivery of services)
- Details of Customers / Clients (identifies client group/stakeholders/users)
- Statement of services provided to each citizen/client group separately (information about processes / procedures to access service benefits)
- Details of Grievance Redressal Mechanism and how to access the same in case of deficiency in services.
- Information about facilitating implementation of Right to Information Act,2005
- Expectation from the citizen / client for smooth service delivery.
- Date of Issue of Citizens Charter and Date of next review of the same.

(vi) **Each Ministry/ Department shall appoint a 'Contact Officer on Citizens Charters'** responsible for formulation and implementation of the Citizens Charter. The Contact Officer or Nodal Officer for Citizens Charter will be responsible for various activities involved in formulation and implementation of the Citizens Charter.

(vii) **A comprehensive website of Citizens Charter in Government of India** has been developed and launched on 31st May,2002. This website at link [www.goicharters.nic.in](http://www.goicharters.nic.in) contains the Citizens Charters issued by various Central and State Government/ Ministries / Departments They are required to upload their respective updated Citizens Charters on this link as and when their Citizens Charters are reviewed and revised.

(viii) **Activities relating to the Citizens Charter required to be included in the Annual Report of the Ministry/Department are as under:**

- (a) Action taken to formulate the Citizens Charter for the Ministry/Department and its subordinate formations.
- (b) Action taken to implement the Citizens Charter.
- (c) Details of Training Programmes, Workshops etc., held for proper implementation of the Citizens Charter;
- (d) Details of publicity efforts made and awareness campaigns organized on Charter of the Citizens/Clients;
- (e) Details of internal and external evaluation/implementation of Citizens Charter in the Ministry/Department and assessment of the level of satisfaction among Citizens/Clients;
- (f) Details of the revisions made in the Citizens Charter on the basis of internal and external review.

### **14.3. Public Grievance Redressal Mechanism:**

(i) Grievances are expressions of resentment against specific acts of omission or commission that are wrong or perceived as wrong thus requiring corrective action to be taken. In other words, if a grievance is received, it needs to be redressed. Grievance includes complaints by service recipients against non-delivery of services as expected but does not include requests for service delivery in normal course.

(ii) **Grievance Redress Mechanisms (GRMs)** are the processes set up by Ministry/Department to receive, record, investigate, redress, analyse, prevent, or take any other appropriate action in respect of grievances lodged. GRMs in Central Ministries/Departments include grievances received by them from the public and clients/service recipients as well as from their own employees. As such, these include issues related to service delivery as well as employment related matters (e.g. transfers, promotions, pensions, pay fixation, etc.). A Citizen can lodge a grievance in English, Hindi or any local language.

(iii) **The compilation of the guidelines on GRMs** issued by Department of Administrative Reforms and Public Grievances as well as various Orders / OMs on the subject are available in the public domain on [www.pgportal.gov.in](http://www.pgportal.gov.in). Any complaint sent by email will not be attended to / entertained as the public grievance is to be lodged on the website. The tracking of the same is possible through a Unique Registration Number generated by the system at the time of lodging of the public grievance by the citizen.

#### **14.4. The main guidelines on Grievance Redressal are:**

- (i) A grievance should be disposed within a period of 45 days and in case of delay, an interim reply with reasons for delay should be furnished.
- (ii) A well reasoned speaking reply should be given while closing a grievance and the relevant documents should be uploaded.
- (iii) Each Ministry/Department / State / UT should have a senior officer of the level of Deputy Secretary or above designated as “Director of Public Grievance’ who can be approached in case the grievance is not redressed or the Citizen is not satisfied.
- (iv) The name, designation, room number, telephone number, etc., of the Director of Public Grievances should be displayed prominently at the reception office and other convenient places in the office building so that Citizens are fully aware of it. This information is also available on the [www.pgportal.gov.in](http://www.pgportal.gov.in) in respect of all Ministries / Departments State Governments &UTs.
- (v) Every Wednesday of the week between 10.00 A.M to 1.00 P.M has been earmarked for receiving and hearing of grievances by the Director of Public Grievances.
- (vi) A locked complaint box will be placed at the Reception Office of the Ministry/Department for convenient registration of complaints by members of the public which must be opened by the designated officer at regular intervals.

#### **14.5. Central Public Grievance Redress and Monitoring System (CPGRAMS)**

based on web technology was established in June, 2007 with the aim to enable/facilitate an aggrieved Citizen to lodge a grievance from anywhere at any time (24x7) on [www.pgportal.gov.in](http://www.pgportal.gov.in). The CPGRAMS enables a Citizen to lodge a grievance to any of the Ministries/Departments or State Governments/UTs on [www.pgportal.gov.in](http://www.pgportal.gov.in). The functioning and various features of the CPGRAMS are as under:

- (a) The PMO, President’s Secretariat, Directorate of Public Grievances, Cabinet Secretariat, DARPG and the Pensioners portal are integrated through CPGRAMS.
- (b) CPGRAMS interlinks all the 87 Central Ministries/Departments /Organisations existing as on date as well as all the 36 State Governments and UT Administrations.
- (c) On lodging of a grievance online, a Unique Registration Number is generated to the Citizen through CPGRAMS to enable online tracking of the grievance, giving reminders or comments by the Citizen.
- (d) The acknowledgement with the Unique Registration Number of the grievance registered online is sent via email to the email address indicated or by SMS on the phone number indicated by the citizen while lodging the grievance.
- (e) In case the grievance is lodged offline by post, the same is uploaded on CPGRAMS and an acknowledgement letter is generated through the system which is sent to the Citizen by post.
- (f) The first five alphabets of the registration number denote / indicate the Ministries/Departments to whom the grievance had been lodged.

- (g) There is a provision of lodging a grievance which will be automatically forwarded to field level directly.
- (h) The system enables Ministries/Departments to take appropriate action and upload the Action Taken Report (ATR) to be filled mandatorily by Grievance Redressal Officer on the system, which can be viewed by the citizens online with the help of the Unique Registration Number.
- (i) The system enables Ministries/Departments to declare their respective subordinate organizations for Grievance Redressal.
- (j) CPGRAMS generates various reports for monitoring of Public Grievances which facilitate identification of grievance prone areas and enables systemic changes / reforms.
- (k) Citizen satisfaction feedback rating mechanism is available on CPGRAMS.
- (l) Public Grievance records on CPGRAMS are archived after a period of five years.

**14.6. Issues not taken up for Redressal of Grievances are as under:**

- (i) Sub Judice cases or any other matter concerning judgement given by court.
- (ii) Personal and Family Disputes.
- (iii) Right to Information matters.
- (iv) Anything that impacts upon the territorial integrity of the country or friendly relations with other countries.
- (v) Suggestions.
- (vi) Any complaint sent by email will not be attended to/entertained as the public grievance is to be lodged on the website.

**14.7.** 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 Annual Administrative Report of the Ministry/Department.

**14.8 Appeal Mechanism in CPGRAMS is as under:**

- (i) After closure of a grievance by the Nodal Public Grievance Officer of the concerned Ministry/Department, the complainant can provide feedback, if he/she is not satisfied with the resolution.
- (ii) If the rating is 'Poor' the option to file an appeal is enabled.
- (iii) The stipulated time for disposal of Appeal is 30 days.
- (iv) Every Ministry/ Department should have a Nodal Appellate Authority (NAA), details of whom are to be given in the portal, namely, at [pgportal.gov.in](http://pgportal.gov.in).
- (v) The Nodal Appellate Authority should be one level above the designated Nodal Public Grievance Officer.
- (vi) NAA can create Sub Appellate Authority for disposal of appeal.

<p><b>National Emblem</b> <b>Logo (if any)</b> <b>CITIZEN'S/CLIENT'S CHARTER</b> <b>NAME OF THE MINISTRY/DEPARTMENT</b> <b>(Name of the Ministry to which the department</b> <b>belongs)</b> <b>Address with website ID</b> <b>Month and Year of issue</b></p>
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This is an abridged version of eOffice Digitization Framework Document of Department of Administrative Reforms & Public Grievances (DARPG) and National Informatics Centre (NIC).

The complete version is available at:

[https://eoffice.gov.in/downloads/Final\\_Digitisation\\_Framework\\_Updated\\_29052019.pdf](https://eoffice.gov.in/downloads/Final_Digitisation_Framework_Updated_29052019.pdf)

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**15.1.** eOffice is aimed to bring in more transparency, efficiency and accountability in the Govt. transactions leading to increase productivity. One of the key area of importance is to bring in the required transition to electronic mode of working on files and documents. Moving from a manual document, file and paper based functioning to an “electronic” environment requires effective management to implement the transition. This involves digitizing and storing existing physical files and records and also in managing the newly created electronic files and records.

- (i) The key areas in the Digitization Strategy Framework are:
  - a. Approach to be followed for digitising the existing documents and files,
  - b. Identification of files and records and their storage after the digitization,
  - c. Roles and responsibilities of the various stakeholders involved in the transition process,
  - d. Setting Standard Procedures and Guidelines to be followed,
  - e. Establishing a long term retention policy.
- (ii) Before the digitization process is started, it is important that:
  - a. The approach adopted ensures the integrity of official records to provide authentic, complete and accessible information.
  - b. Decisions need to be made about the (i) mode and process for the transformation, (ii) equipment needed, and (iii) technical standards in storage adopted.
  - c. Quality assurance measures need to be defined and implemented. Effective storage of physical files is important for their retrieval for any reference purposes.
  - d. The required training needs to be imparted so as to enable Department officials meet the responsibilities as per the guidelines laid down.

## **15.2. Digitization Framework:**

Digitization of documents and files play a key role for overall transition to eOffice. Framework for digitization is, thus, critical for transition to an electronic mode of functioning. It helps to build an integrated approach in preparing the user Department for making the transition. The framework includes the Standards, Policies, Guidelines and Best Practices.

It has been designed to be in sync with the overall eOffice Implementation. The overall framework includes the following areas:

- 1. Governance Structure**
- 2. Digitization Approach**
- 3. Digitization Process**
- 4. Integration into eOffice.**

### **1. Governance Structure:**

For the successful implementation of eOffice, the commitment of the top management in the Department is essential, combined with the distribution of responsibilities across the department by designating clear roles and responsibilities. The implementation of eOffice must be driven and monitored by a well-defined Governance Structure. Some of the important functions include notifying the required Policies, Guidelines, Best Practices and Standard Operating Procedures (SoPs) for eOffice such as :

- a. Ensure meeting the Legal requirements of eOffice: Compliance to Open Storage Formats, Prescribed eGovernance Standards , IT Act 2000 and its amendments;
- b. Ensure that the Standard Scanning Guidelines are followed with Quality Control;
- c. Ensure that the digitized records are stored in open standard format;
- d. Adherence to the Policies and Guidelines of the “Strategy Framework Document”.

### **2. Digitization Approach :**

The phased approach to be adopted is detailed in the following sections:

- Phase 1: Plan
- Phase 2: Prepare
- Phase 3: Implement



## Phases of Digitisation Process

### PHASE 1: PLAN

- Step 1 Identification of Department Nodal Officer and Nodal Coordinators as per the Governance Structure at Annexure 1
- Step 2 Identification of documents which are candidates for Digitisation
- Step 3 Selection of the Data within the identified documents
- Step 4 Decision on the phasing or sequencing
- Step 5 Current State Assessment of Volume & Efforts
- Step 6 Decision on the model of Digitisation: In-house, outsourced, mixed mode

### PHASE 2: PREPARE

- Step 7 Preparation of digitisation time table for the department
- Step 8 Procurement of resources estimated in Phase 1
- Step 9 User education and training

### PHASE 3: IMPLEMENT

- Step 10 Implementation as per the :
  - ▶ Digitisation Time Table
  - ▶ Digitisation Process
  - ▶ Guidelines for Scanning & Storage

- Annexure may please be seen in the main document

## **Phase 1: Plan**

### **Step 1: Identification of Department Nodal Officer and Nodal Coordinators as per the Governance Structure**

### **Step 2: Identification of Documents for Digitization**

This is the first step to be carried out in each unit of the Department by the designated Digitization Coordinator as per the Governance Structure.

#### **i. Documents**

- Acts, Office Memorandums, Circulars, Annual Reports, Policies

#### **ii. Files**

- All the files that are likely to continue beyond six months in the open status should be selected
- For the files that are likely to be closed within six months, the files should be selected on the following criteria:
  - The files that may end up as permanent records
  - The files that are involved in issuing or likely to be issued in future important instructions and directions
  - The files that have gone or likely to go before the Cabinet
  - The files that are likely to be added to the Standard Guard File or Precedent Book
  - Any other files identified as important for reference by the concerned Digitisation Coordinator
  - Disposed of files and the files which will be disposed of in the next three to four months time will not be scanned unless they are candidates for the record room
  - Any other records identified as important for reference by the Digitisation Coordinator concerned.

### **Step 3: Selection of the data that need to be digitised within the selected documents**

It is important to ensure that the digitisation activity is undertaken in a meaningful manner and not merely as a scanning exercise. It is not necessary to digitize all the pages or the content in the identified files and records. There are several pages in a file that will not have significance for future reference. Therefore, it is necessary to identify only those pages which have value for future references and these needs to be digitized. Papers in Closed or Recorded files need to be digitised selectively. For instance, extra copies, any correspondence or notes portion for which soft copies, are available need not be digitized;

Apply the Record Retention Schedule and Policies for old and legacy files to minimize digitization efforts.

The final decisions will need to be taken by the designated Digitization Coordinator in consultation with the Unit.

#### **Step 4: Decision on the Phasing and sequencing manner to be adopted**

Decide on the phasing of digitisation of the identified documents, files and records, especially when there is a large number and volume. The outcome of this decision will become an input for the Step 8 of Phase 2: Digitisation Timetable.

Suggested approach to select files to be digitized and its order is:

- a. Digitize all files which are not in circulation.
- b. Closed and Recorded files from the current to the older could be digitised first.
- c. Closed Files that are referenced in the Active or Current Files.

Active files should be done as per the transition decision. The active files belonging to the category decided to be taken up for converting to electronic mode in the first phase of the Transition Time Table. This can be done by the Sections themselves and do not need any advance preparation.

#### **Step 5: Current State Assessment of Volume & Efforts**

**Volume Estimation:** Based on the selection done in Steps 1 and 2, the expected volume of documents is calculated.

**Efforts estimation:** This is done based on the following activities:

- Pre-Processing activities
- Scanning
- Entry of metadata which must have keywords of the document content and keywords for searching.
- Storage of the digitised documents
- Uploading to eOffice

#### **Step 6 Decision on the model of Digitization: In-house, outsourced, mixed mode**

The recommended approach is:

##### **(i) Active and Current files**

All active and current files will not be converted to electronic file from day one. Files taken up for transition to electronic file will depend on the Transition Approach adopted and finalized by the organization and the finalised Transition Time Table. The Digitisation activity of Active/Current files is normally best under taken by the Section concerned.

**(ii) Record Room and Legacy Files:** Out- sourced to external empanelled agencies who can take up the activity.

### Scanners

A high level of clarity is required within the Department of the technical aspects of scanning. There are many types of scanners with different features and most models include the in-built software or drivers for Optical Character Recognition (OCR), image manipulation, support for multiple formats. The scanners are to be selected based on the requirements depending on the various parameters such as:

- Volume of documents to be scanned
- Quality of documents and subsequent scanned images
- Speed of scanning required
- Type of documents (file, book, letter etc.)

Parameter	Description	Type
Volume of Documents	High	High end scanner that can scan up to 100 pages/minute
Type	Good Quality Laminated documents Books	Automatic Document Feeder (ADF) scanner Flat Bed Scanner Book Scanner

## Phase 2: Prepare

### Step 7 Preparation of digitisation time table for the Department

The Digitisation Time Table provides the detailed calendar of digitisation activity that need to be carried out, both for in-house as well as outsourced.

### Step 8: Procurement of resources estimated in Phase 1

The resources can be procured following due procedures.

### Step 9: User education and training

- Training for Document identification, indexing, Preparing metadata, etc. at first stage
- Implementation and Execution Plan (scanning) with Handholding support
- Continued Training for different activities

### Phase 3: Implement

The implementation follows the steps and methodology outlined in the following Section :

#### Step 10: Implementation as per the suggested points.

- Digitisation Time Table
- Digitisation Process
- Guidelines for Scanning, storage

#### Digitisation Timetable (Format):

Serial	Actions	Activities	By whom	Timeline

### 3 Digitisation Process



**(a) Collect and prepare the documents:** The documents identified by individual units are collected. The involvement of the section concerned is considered important as the knowledge of the files, documents will be required.

- Documents must be carefully separated. If stapled, pins need to be carefully extracted. Page separators or post-it notes can be placed for separating the categories.

- Any external annexure like photographs is to be fixed carefully and neatly, if required with glue.
- Proper dusting of the document is required as it may affect the quality of the image.
- Ironing and smoothening of the document. This is done in the case of documents that are folded at the edges.
- Page Numbering- Each page of the document is numbered on the corner. This helps in maintaining the count and also in avoiding any misplaced sheets of any document during the course of file movement.
- Clip the document set.

Important Points to Take Care:

**Make sure that the scanned documents are readable.**

**Collect the originals from the scanner, collate and clip the documents once again.**

**All the physical records (per connection) shall be bound in a file. The file should have the details of the content and a unique identifier on the top of the file to help faster retrieval.**

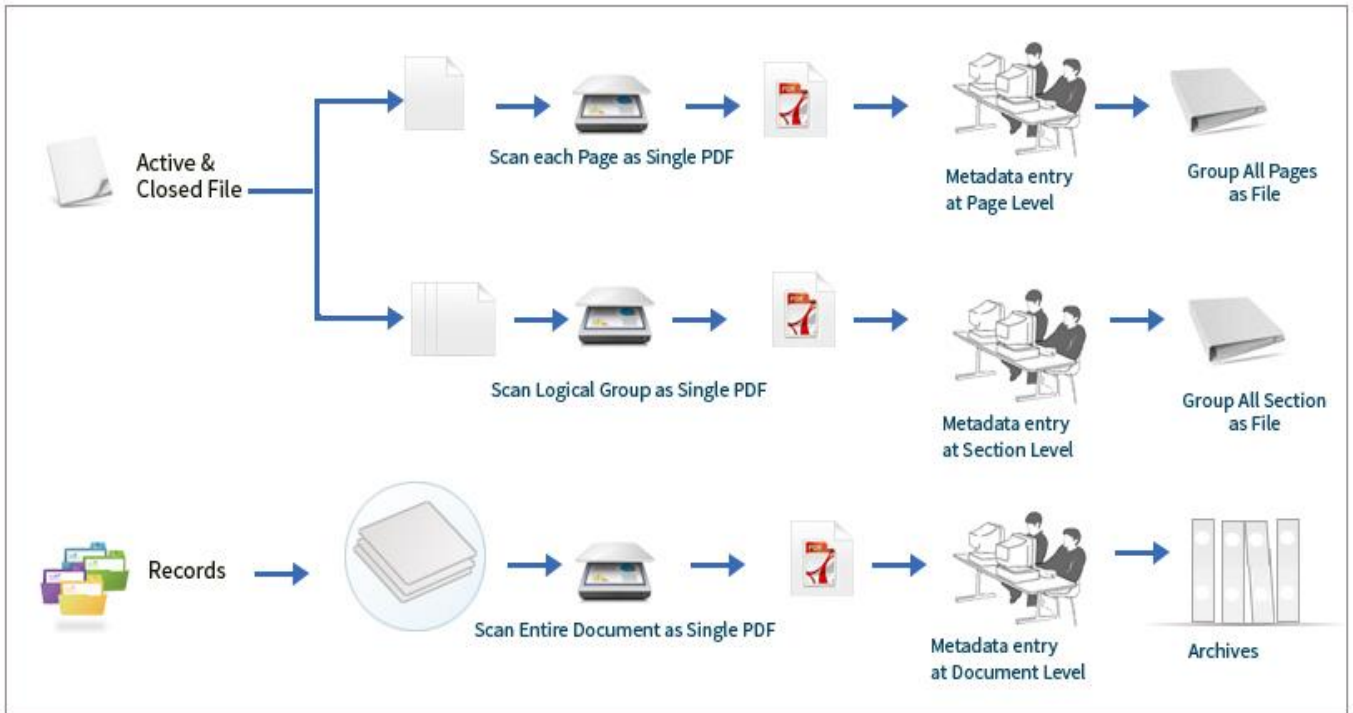
**If DPI (Dots Per Inch) is more, the photo is sharp but the size of the file is more. If DPI is less, the photo is dull but the size of the file is less.**

#### **(b) Mode for Scanning:**

There are various modes and options available for scanning files and records. Depending on the contents and complexity of the file, it can be scanned as a single pdf or each page can be scanned in the file as a separate pdf. Different methods can be applied to different components of the same file as well. For example, all correspondence may be broken into logical sections and scanned such that there is one pdf for each section. At the same time notes in the file can be scanned page by page as each note is a significant component of a file.

The contents of an active file, i.e., Correspondence, notes, issues, Drafts, etc., may be scanned in either of the two ways:

- Page-by-page:** Each correspondence is scanned as a separate image and a separate PDF file. This is more time consuming but leads to easier indexing of the images.
- Bulk scanning:** All documents are scanned into the same image and the same file. In this case each page needs to be identified and indexed separately as per its type and use.



Closed files can be digitized in the same way as active files with some differences in scanning and indexing.

**(c) Scanning Specifications & Format:**

Document Type/ Condition	Color & DPI
Regular text	100 dpi B/W
Text with images	300 dpi Gray scale
Very damaged /Tarnished/Clouded	450 dpi B/W-
Seriously damaged / Tarnished/ Clouded	600 dpi B/W-
Documents with Photograph	600 dpi Gray scale/Colour

The choice of storage format for electronic documents can have significant and far-reaching consequences.

**Entry of the Metadata**

The required metadata is entered against each document. The indicative metadata is as follows:

Active Files	Closed Files	Recorded files
<ul style="list-style-type: none"> <li>File no.</li> </ul>	<ul style="list-style-type: none"> <li>File no.</li> </ul>	<ul style="list-style-type: none"> <li>File no.</li> </ul>
<ul style="list-style-type: none"> <li>Subject Description</li> </ul>	<ul style="list-style-type: none"> <li>Subject Description</li> </ul>	<ul style="list-style-type: none"> <li>Subject Description</li> </ul>
<ul style="list-style-type: none"> <li>Subject Category</li> </ul>	<ul style="list-style-type: none"> <li>Subject Category</li> </ul>	<ul style="list-style-type: none"> <li>Subject Category</li> </ul>

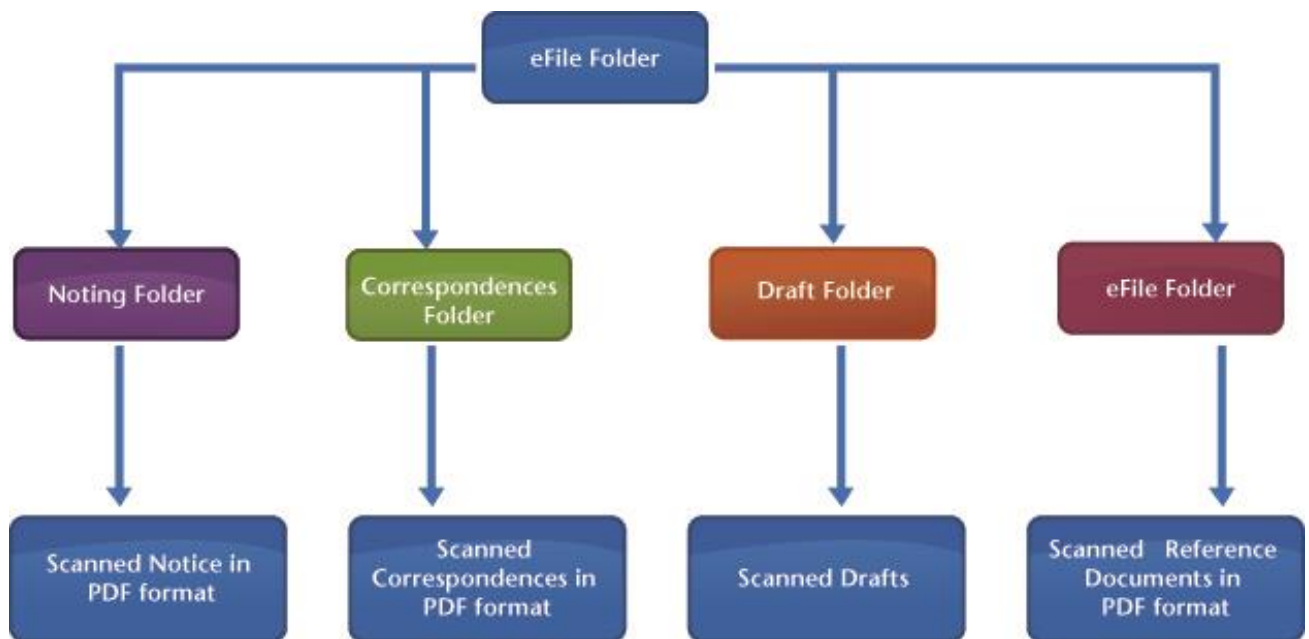


• Subject Sub category	• Subject Sub category	• Subject Sub category
• Language	• Language	• Language
• Remarks	• Remarks	• Remarks
• Previous Reference	• Previous Reference	• Previous Reference
• Next Reference	• Next Reference	• Next Reference
• Created on	• Created on	• Created on
	• Closed by	• Closed by
	• Closed on	• Closed on
	• Closing Remarks	• Closing Remarks
		• Recorded By
		• Recorded On
		• Recording Remarks

**(d) Storage of the scanned documents:**

Temporary

- Scanned copies of Notings are saved in the **Notings** folder under the e File folder.
- Scanned copies of correspondences are saved in the **Correspondence** folder under the eFile folder.



### Permanent

Once the physical files have been successfully scanned and indexed, their storage must be done effectively so that it is clearly linked with the corresponding e File. The e File number must be clearly mentioned on the physical file at the right hand corner and the physical file can be stored in the following manner:

- A record room must be assigned in the section where the file is to be stored.
- Staff must be clearly assigned responsibility for lock & key to the record room. In case of confidential files, separate lockers must be assigned for each file (these lockers could be placed in the office of the concerned officers) whose lock & key will be assigned to the officer to whom the file is addressed.
- Care must be taken to clearly label the physical files in serial order or through some other customized labelling convention so that they can be clearly linked to the e Files.
- A register must be maintained for tracking the issuance and return of these physical files. Each time the physical file is issued and returned, an entry must be logged in the register.

Accurate labelling of stored files is critical for the success of the digitisation process as active physical files should be readily available for reference from time to time.

### **(e) Post Scanning :**

Processing & Quality Control- The scanned images need to be processed for removal of punch holes and shadows, checking of pixilation, sharpness and skew etc.

Indexing is one of the most critical steps of the digitization process as it establishes the identity of the scanned files so that it can be referenced/linked and retrieved with ease at a later stage.

- **Guidelines, Standards & Procedures :**

Guidelines, Standards and Procedures for managing digital records are an important element of the Strategy framework. It aims to define the organization's approach to managing digital records and provide the necessary senior management authority for the implementation of the framework. Procedures outline how the guidelines and Standards will be implemented.

- (i) **Guidelines for Metadata**

Metadata is the data describing the context, content and structure of records and their management over time. It allows users to control, manage, understand and search records over time through a set of pre-defined parameters that can be captured for every scanned document. Structured and comprehensive metadata captured can help to:

- identify, authenticate, and categorize the records
- enabling topic based references and retrieval of specific files/ records
- ensure accessibility and accountability of files/ records by defining the access privilege metadata

Metadata can be of various types depending on the level of information to be captured and the intended use and can be classified as follows:

Regular metadata – contains information about the file's contents

- the title of a record
- the subject it covers
- its format
- the date the record is created
- the history of its use
- details of its disposal
- keyword must also be captured while preparing metadata

Administrative metadata contains information such as sender address and location of scanning.

Structural metadata contains information pertaining to the structure of the file/ document such as size of page, type of document, etc.

For appropriate creation and maintenance of metadata, it is important to consider the various types of files/ records that are used in the departments/ ministries.

Guidelines and procedures that may be employed are:

- identify the metadata elements to be captured;
- establish when and how metadata is to be captured;
- ensure that the metadata needs to be retained;

- detail the need to store metadata along with the scanned record to maintain the linkages
- assign roles and responsibilities for capturing and managing metadata;

**(ii) Guidelines for Storage and Storage format :**

Guidelines for storing the scanned files need to be evolved. For active files, the storage can be in the respective client system of the user who is performing the scanning as these are normally migrated using the Migration Module. For files that are identified to be outsourced, the storage can be on a Central File Server identified by the department so that systematic and periodic back up can be taken. Accurate labelling of stored files is critical for the success of the digitisation process as active physical files should be readily available for reference from time to time.

Open Standards Storage format is to be adopted for storage. Technology Standards prescribed for e Governance as per the e Governance Standards and Digital preservation policy is to be followed.

**(iii) Guidelines for maintaining Quality Control :**

Most software and hardware that will be used in a digitisation program will provide a range of variable parameters such as image resolution and output file format, and informed choices need to be made on each of these.

**(iv) Security Guidelines**

The security guidelines of the digitised documents before they are uploaded and migrated to eOffice is mentioned in the section. Once the digitised documents are on the eOffice, the security of eOffice as applicable prevails.

**(v) User Training**

Training on how to convert the physical files to electronic files and its migration to eOffice needs to be imparted to the section users. This is normally undertaken by the Digitisation Coordinator of the section.

Need for adherence to the following factors need to be emphasized to the users performing the conversion:

- Scanning guidelines
- Storage formats
- Security

**3. Integration into eOffice:**

For Integration with eOffice, digitisation strategy has to be followed with migration as follows:

### **Guidelines for Migration Process:**

Step 1: Create main folder with the name of the “Folder” same as that of the “Physical File” in the local system.

Step 2: Create sub folders inside the main folder for Notes, Receipts, Issues, and References

Step 3: All files (Active/Closed/Legacy) are scanned along with their respective Notes, Receipts, Issues, References and stored in separate folder/sub-folders.

**Example:** If the Physical file number is A-21001(3)/5/2008/DFG, then user has to create the main folder along with their respective sub folders as depicted below:

<b>Main Folder Name</b>	<b>Sub Folder Names</b>
<b>A-21001(3)_5_2008_DFG</b> (Name of the folder should be same as that of the Physical file number, following certain conventions)	For notes, Notes For receipts, Receipts For issues, Issues For references, References

Step 4: Scanning Process:

All Notes, Correspondences (Receipts/Issues), References are scanned and saved in pdf format in FTP client.

- Notes are scanned into a single pdf, if possible. Otherwise notes can be scanned one by one.
- Correspondences (Receipts/Issues) should be scanned, one at a time, as a single pdf.
- References should be scanned one at a time, as a single pdf.
- Issues should be scanned one at a time, as a single pdf.

Step 5: Uploading scanned files from FTP Client to the eOffice Server

The e-Office Migration Module facilitates to upload the files from local system (client) to the eOffice server.

**16.1. Purpose and periodicity:**

- (i) Inspections are not investigations. They are to find facts or state of affairs; and improve functioning, to help introspection rather than find faults or lapses for punitive action. With the abolition of the IWSU/O&M Units in various Ministries/Departments, the work of inspection activity is given to a Section and officers entrusted with these responsibilities through Departmental Instructions.
- (ii) Each section/ desk in the department will be inspected at least once a year, as per the departmental instructions, to ascertain the extent to which the provisions of the latest Central Secretariat Manual of Office Procedure and instructions issued there under are being followed; and improvements recommended by the Inspecting Officers are implemented. Department will also inspect once a year all attached and subordinate offices under their administrative control through the designated senior officers who will give them useful tips on the spot for improvement.

**16.2. Simplification of the process of Inspection:**

CRU and the Departmental Records Room are the key areas to be focused upon at the highest level to aid and facilitate switch over from the manual or transition stage to the complete eOffice stage. Therefore, shorter versions of questionnaire for use during inspection have been provided in Table 16.1.

**Table – 16.1: Details of inspection questionnaire**

Appendix No	Title of the questionnaire
16.1	Inspection questionnaire for Departments on Implementation of eOffice
16.2	Inspection questionnaire for CRU where e office has commenced
16.3	Inspection questionnaire for Departmental Records Room
16.4	Inspection questionnaire for sections / desks
16.5	Inspection questionnaire for personal section / staff

**16.3. Inspection teams / authority:**

- (i) CRU shall be inspected on the basis of inputs given in Appendix – 16.2 along with the representatives of IT Cell and NIC, once in each quarter till Departmental Instructions are issued.
- (ii) Record room in the Department shall be inspected on the basis of inputs given in Appendix-16.3 in association with the representatives the National Archives of India once a year till departmental instructions are issued.
- (iii) Each section and Desk shall be inspected by an officer not below the level of Deputy Secretary not in the hierarchy of that section or desk.

- (iv) Each personal section/staff shall be inspected by the officer concerned including Secretary of the Department in respect of his/her personal section.
- (v) Staff Inspection Unit (SIU) of Department of Expenditure will undertake study for all the Ministries/Departments as a whole on the advice of the Finance Advisor (of the concerned Department/Ministry). SIU, Department of Expenditure will share the report of the work measurement study of any Ministry/Department with DARPG.

#### **16.4. Inspection program:**

- (i) The designated section entrusted with the work of erstwhile IWSU / O & M unit will draw up in advance with the approval of the Secretary, monthly programme of inspection of section/desks to be taken up during the following year, indicating the names of the inspecting officers and the months in which the inspection would be carried out.
- (ii) The program will also include a few sections/ desks inspected by the officer in-charge of the designated section entrusted with the work of IWSU/O&M. At the end of each quarter, the designated section will submit the report to Secretary, indicating whether the program of inspection of the previous quarter was carried out. Wherever required, the corrective measures suggested in the earlier inspections will be reviewed.

#### **16.5. Inspection Report:**

- (i) Inspecting Officer will submit his report to the higher officer concerned and mark a copy each to the Divisional Head, the designated O&M officer and the Section / Desk Officer concerned.
- (ii) The Section Officers /Desk Functionary will take necessary action to rectify the defects pointed out in the Inspection Report and submit a compliance report to his/her senior officer within 15 days, endorsing a copy to the Divisional Head and to the designated Section. The Divisional Head will review the action taken on inspection reports.
- (iii) The compliance report will be governed by departmental instructions.
- (iv) The designated officer will report the significant points, if any, emerging from the inspection reports to the Secretary. In addition, he/she will bring the following to the notice of the Department of Administrative Reforms and Public Grievances by the 30th April each year:
  - a. Number of sections/ desks inspected during the preceding financial year;
  - b. Name of the attached/ subordinate offices inspected;

- c. Deficiencies noticed in the existing procedures;
  - d. Suggestions received for the improvement of procedure common to all departments together with his comments there on; and
  - e. Any other points of general application emerging from the inspections
- (v) If so approved by the Secretary of the Ministry/Department concerned, the significant points emerging from the inspection report(s) may be brought to the notice of the DARPG for action.

**16.6. Supplementary inspection:**

- (i) Apart from the annual general inspection, departmental instructions may prescribe Supplementary inspection for all or any of the Sections/Desks with special reference to the nature of the work.
- (ii) Surprise inspections may be organized in accordance with instructions of the Secretary.

**16.7. Periodic inspection by supervisory officers:**

The inspection as provided above should be supplemented by periodic inspections by the Branch Officer/Divisional Head/Joint Secretary who is responsible for effective functioning of the Sections/Desks under his/her charge.



**APPENDIX – 16.1.**

(Table: 16.1)

**Inspection questionnaire for Departments on implementation of e-Office**

Sl. No	Questions	Status	Remedial action required, if any, for improvement
1.	Has e-Office been commenced ? If so, date of commencement?		
2.	Section/Desks and personal section / staff where e-Office is yet to be introduced?		
3.	Has budget requirements been worked out?		
4.	Has adequate budget been provided for during the current financial year?		
5.	Has responsibility mapping done to implement e-Office?		
6.	Has timeline been finalized?		
7.	Has action been initiated to procure hardware (with the required specifications) for the e-Office?		
8.	Has action been initiated to procure software for the e-Office ?		
9.	Has action been initiated to post personnel in CRU?		
10.	Is monitoring done on a monthly basis in the senior officers' meeting?		
11.	Is a quarterly/fortnightly report being sent to DAPRG on the status of progress?		
12.	What efforts are made by DARPG to facilitate the Department to introduce e-Office?		
13.	Any other issues?		
14.	Any other observations of the Inspecting officer / team to expedite implementation of Office?		

15.	Is capability building being imparted to the users of e-Office?	
16.	Is there any Central Help Desk to cater to the queries of e-Office?	

**APPENDIX – 16.2.**

(Table: 16.1)

**Inspection questionnaire for CRU where eOffice has commenced**

Sl. No	Questions	Status	Remedial action required, if any, for improvement
1.	Is the location of CRU conducive for efficient performance?		
2.	Are the personnel posted in CRU adequate with reference to the workload?		
3.	Does the CRU have : (a) Efficient PC systems? (b) Latest eOffice applications? (c) Efficient scanner? (d) Efficient printers? (e) Any others (specify)		
4.	Do the personnel posted in CRU have adequate IT proficiency: (a) In operating the PC systems? (b) In using the eOffice applications? (c) In operating the scanner? (d) Is the seating arrangements conducive? (e) Any other associated equipment?		
5.	Is the personnel sent on periodic training to operate the latest versions?		
6.	Is CRU under the direct charge of a SO level or higher level officer who is proficient in IT tool used in CRU?		
7.	Is the CRU under the overall charge of a Deputy Secretary or equivalent officer?		
8.	Any other issues?		
9.	Any other observations of the Inspecting officer / team to improve the efficiency of CRU?		

**APPENDIX – 16.3.**

(Table: 16.1)

**Inspection questionnaire for Departmental Records Room**

Sl. No	Questions	Status	Remedial action required, if any, for improvement
1.	Is the location of Departmental Records Room conducive for maintenance of physically processed records?		
2.	Does the Departmental Records Room have : (a) Compactors? (b) Almirahs? (c) Other storage facilities (Specify)? (d) Efficient PC systems? (e) Latest e Office applications? (f) Efficient scanner? (g) Efficient printers? (h) Any others (specify)		
3.	Is the Departmental Record Room properly maintained to preserve the records?		
4.	Any other issues?		
5.	Other observations of the Inspecting officer/team to improve the efficiency of Departmental Records Room?		

**APPENDIX – 16.4.**

(Table: 16.1)

**Inspection questionnaire for a Section / Desk**

Sl. No	Questions	Status	Remedial action required, if any, for improvement
1.	Is the location of Section/Desk conducive for efficient performance?		
2.	Are the personnel posted in Section/Desk adequate with reference to the workload?		
3.	Does the Section / Desk have: (a) Efficient PC systems? (b) Latest eOffice applications? (c) Efficient scanner? (d) Efficient printer? (e) Any others (specify)		
4.	Do the personnel posted in Section/Desk have adequate IT proficiency: (a) In operating the PC systems? (b) In using the eOffice applications? (c) In operating the scanner? (d) Is the seating arrangements conducive? (e) Any other associated equipment?		
5.	Is the personnel in the Section/Desk sent on periodic training to operate the latest versions?		
6.	Is data for monitoring of the pendency of the following generated by the Section/Desk automatically: (a) Fulfillments of Assurances? (b) Action on Court / CAT cases? (c) References from Cabinet Secretariat? (d) References from PMO? (e) References from MPs and other VIPs? (f) Action on formulation/review of policy? (g)		

(h)	Action on formulation/review of schemes?		
(i)	Action on Note for the Cabinet / Cabinet Committee / GoM/CoS?		
(j)	CPGRAM?		
(h)	RTI?		
	Any others? (Specify)		
7.	Are the files kept properly in the almirah / racks?		
8.	Mechanism for brainstorming to develop innovative ideas with interactions with the stakeholders?		
9.	Any other issues?		
10.	Any other observations of the Inspecting officer / team to improve the efficiency of Section / Desk:		

**APPENDIX – 16.5.**

(Table: 16.1)

**Inspection questionnaire for a personal section/staff**

Sl. No	Questions	Status	Remedial action required, if any, for improvement
1.	Is the location of personal section /staff conducive for efficient performance?		
2.	Does the personal section / staff have : (a) Efficient PC systems? (b) Latest eOffice applications? (c) Efficient scanner? (d) Efficient printer? Any others (specify)		
3.	Do the personnel posted in personal section / staff have adequate IT proficiency: (a) In operating the PC systems? (b) In using the eOffice applications? (c) In operating the scanner? (d) Any other associated equipment?		
4.	Is the personnel in the personal section / staff sent on periodic training to operate the latest versions?		
5.	Is data for monitoring of the pendency of the following generated automatically by the personal section / staff: (a) Reminders for the meetings to be attended by the officer? (b) Reminders to prepare / obtain brief for the meetings? (c) Approval for tour programmes of the officer? (d) Arrangements for the tour? (e) Submission of tour report, if any? (f) Any other issues?		
6.	Any other issues?		

7.	Any other observations of the Inspecting officer/ team to improve the efficiency of Personal Section/ Staff:	
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## GLOSSARY

Special meanings attached to some of the terms used in this manual are:

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. Such aspects are processed in Appendix to Notes and key issues arising therefrom are then processed in the Notes portion giving reference to the relevant page in Appendix to Notes.
3. 'Branch'- The Unit of a Division and may comprise a couple of Sections/Units/Cells.
4. 'Branch officer' in relation to a section means the officer, Under Secretary, Deputy Director or equivalent, who is directly above the section in the line of control for execution of work.
5. 'Case' means a current file or a receipt together with other related papers, if any.
6. 'Central Issue Section' means the unit within a Department responsible for dispatch of communication to the addressees and includes functionaries like resident clerk and night duty clerk.
7. 'Central Receipt and Issue section' means a unit within a Department consisting of the central registry and the central issue section.
8. 'Central Registration Unit (CRU)' means a unit within a Department assigned with the responsibility of receiving, registering and distributing dak meant for that Department and includes functionaries like resident clerk and night duty clerk. Often, the terms Central Issue Section, Central Receipt & Issue Section and CRU are used inter-changeably.
9. 'Classified dak' means dak bearing a security grading.
10. Citizens Charter is an instrument which seeks to make an organization transparent, accountable and Citizen friendly. A Citizens Charter is basically a set of commitments made by an organization regarding the standard of service which it delivers. The objective of framing a Citizens Charter is to build bridges between

the citizens and the administration and to streamline administration in tune with the needs of the citizens.

11. '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 or to process in line with written instructions of senior officers. Such cases are to be dealt with immediately. In case of re-examination, it must be submitted with reasoned self-contained note.
12. 'Correspondence portion' in relation to a file means the portion containing 'Receipts' and office copies of 'Issue' (docketed outgoing communications) pertaining to the file including self-contained inter-departmental notes but excluding ID notes recorded on the notes portion of the file itself.
13. 'C.R.U No.' means the serial number assigned by the Central Registration Unit to dak in the dak register.
14. 'Current file' means a file, action on which has not yet been completed.
15. 'Dak' includes every type of written communication such as letter, inter-Departmental note, file, fax, e-mail, wireless message which is received, whether by post or otherwise, in any Department for its consideration.
16. 'Dealing officer' means any functionary entrusted with initial examination and noting upon receipts/cases.
17. 'Department' means any of the Ministries, Departments, Secretariats and Offices mentioned in the First schedule to the Government of India (Allocation of Business) Rules, 1961, as amended from time to time.
18. 'Departmental instructions' means instructions issued by a Department with the approval of its Minister or Secretary to supplement or vary the provisions of the Manual of Office Procedure to meet its specific requirements.
19. 'Departmental Record Officer (DRO)' means the officer, not below the rank of Section Officer, entrusted by the Department with the responsibility for overall records management in a Department.
20. 'Desk' is an officer-oriented work unit within a Department with a specific task assigned to it.
21. 'Desk functionary' means an officer assigned a well-defined sub-function or activity in the charge of desk.

22. 'Division' is a unit of a Wing within a Department. A division may comprise a number of branches. It is generally headed by a Director, Deputy Secretary or equivalent level officer.
23. 'Discussed note': A note submitted by the Dealing Officer after discussions with the senior officer(s), generally in cases where course of action is not clear.
24. 'Docketing' means making 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. In eFile, a hyper-link is used to take one to the relevant page.
25. 'File' means (Box e 6.1 of eFile) a collection of papers on a specific subject matter assigned a file number and consisting of one or more of the following parts:
- (a) Notes
  - (b) Correspondence
  - (c) Appendix to notes
  - (d) Appendix to correspondence
26. 'Final disposal' in relation to a case under consideration means completion of all action thereon culminating, where necessary, in the issue of final orders or final reply to the party from which the original communication emanated.
27. 'Fresh receipt (FR)' means any subsequent receipt on a case which brings in additional information to aid the disposal of a paper under consideration.
28. 'Information and Facilitation Counter (IFC)' is a facility, normally set-up outside the Security Zone of Ministries/Departments/Organizations to provide information to the citizens/clients about the programmes, schemes, etc., as well as status of cases, applications, etc. IFCs are also called 'May I Help You' or 'Help' Counters in certain organizations.
29. 'Issue' means a communication sent in a case.
30. '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.
31. 'Link Officer' is an officer (Section Officer and above) who is assigned the responsibilities of another officer of comparable rank in the Department during the former's absence. This is an arrangement made by a Department through issue of Departmental instructions, from time to time.
32. 'Messenger / Peon Book' means a record, maintained in the format in Box 5.2 of particulars of dispatch of non-postal communications and their receipt by the addressees.

33. 'Minute' means a note recorded by the President, the Vice-President, the Prime Minister or a Minister.
34. 'Night Duty Clerk' means a Junior/Senior Secretariat Assistant on duty outside office hours who performs the functions of the central receipt and issue section during such hours.
35. '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.
36. 'Notes portion' in relation to a file means the portion containing notes or minutes recorded on a case.
37. 'Nodal Ministry/Department' is one which interacts with all other Ministries/Departments to ensure uniformity in handling of specific matters.
38. 'Ordinary postal dak' means postal dak for which no acknowledgement is obtained by the Posts offices.
39. 'Parliamentary matters' includes Parliament Questions, Assurances, etc. the manner of dealing with which is laid down in the 'Manual of Parliamentary Procedures' in the Government of India, Ministry of Parliamentary Affairs.
40. 'Paper under consideration (PUC)' means a receipt on a case, the consideration of which is the subject matter of the case.
41. 'Personal staff' includes Principal Staff Officer, Senior Principal Private Secretary, Principal Private Secretary, Private Secretary, Personal Assistant, Stenographer, Secretariat Assistant Section Officer, Multi-Tasking Staff (MTS) or any other staff appointed to assist an officer. It also refers to the personal section of a Minister.
42. 'Postal communication' means a communication dispatched by post.
43. 'Postal dak' means all dak received through Posts offices.
44. Precedent Book is a register in a prescribed format to keep note of important rulings & decisions having a precedent value for ready reference.
45. 'Receipt' means dak after it has been received by the concerned section/officer.

46. 'Record officer' means a Dealing Officer in a section entrusted with the responsibility of repetitive / routine aspects of records management.
47. '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 decisions of precedent value in the Precedent Book, categorizing the file and stitching the file.
48. 'Reference folder' in relation to a particular subject means a folder containing copies of relevant rules, orders, instructions, etc., arranged in chronological order.
49. 'Registration Officer': The term 'Registration Officer' is used in this manual instead of 'Diarist'. He is a functionary within a section entrusted with the responsibility *inter alia* of maintaining the section diary, namely diary and dispatch.
50. 'Registration': The term 'Registration' is used in this manual instead of 'Diarising'. It means registration of receipts in the section diary as well as in the diary register with the Personal Staff of Officers.
51. 'Registration number': The term 'Registration number' is used in this manual instead of 'Diary number'. It means the serial number assigned to a receipt in the section diary/Personal Staff of Officers.
52. 'Routine note' means a note of a temporary value or ephemeral importance recorded outside the file, e.g., a record of casual discussion or a note on a point of secondary importance intended to facilitate consideration of the case by higher officers.
53. 'Running summary of facts' in relation to a case means a summary of the facts of the case updated from time to time to incorporate significant development as and when they take place.
54. 'Secretariat Offices' are those which are responsible for formulation of the policies of the Government and also for the execution, monitoring and review of those policies.
55. '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 similar terms.
56. 'Sectional note' means a note recorded on only one of the many issues raised in the PUC.

57. 'Section officer' means an officer supervising a section and includes functionaries like superintendent.
58. 'Security grading' means security marking of classified documents as 'Confidential', 'Restricted', 'Secret', 'Top Secret'.
59. 'Shadow file' is a file maintained by a section to which another section sends its file for advice/clarification, etc.
60. '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.
61. 'Standing Note' in relation to a subject means a continuing note explaining among other things, the history and development of the policy, procedure and latest position designed to serve as:
- (a) A complete background material for review of the existing policy or procedure;
  - (b) A brief for preparing replies to Parliament questions or notes for supplementaries thereto; and
  - (c) Induction or training material.
62. 'Standard process sheet' means a standard skeleton note or a template developed for a repetitive item of work, indicating pre-determined points of check or aspects to be noted upon.
63. 'Urgent dak' means dak marked 'Out Today', 'Most Immediate' and 'Immediate Priority', 'Top Priority' and includes wireless messages, fax, etc.
64. 'Wing' is a unit of the Department and may comprise a number of divisions. [Ref: Para 2.5.5]
65. Master Circulars

#### **Box e**

1. eOffice: eOffice is a product suite aimed at transforming the core of the Government functioning, the work culture and work ethics by bringing in more
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efficiency, transparency, and accountability in Government transactions leading to increased productivity. One of the key areas of importance in eOffice is to have a uniform & seamless communication channel between the electronic world (user-Department implementing eOffice) & the existing physical world (external organizations, citizen etc.). eOffice includes many different modules in it which are: eFile, KMS, eLeave, eTour, PIS/eService book and CAMS

a. eFile - File Management System or eFile, provides a simplified, accountable, responsive, effective and transparent electronic system for end-to-end processing of any file. The system includes all stages of working on a file, right from registration of an inward receipt to creation of file; to noting, drafting, approval, signing and issuing of a communication of decisions. With this system, the movement of receipts and files becomes seamless with ease of access to end users as every action taken on a receipt or file is recorded electronically. This automation of file plays a very crucial role in both improving the efficiency of decision making and bringing transparency in government.

b. KMS – Knowledge Management System - Government manages large volume of documents of various categories like Policies, Forms, Circulars, Guidelines, etc. Maintaining a central repository of documents provides a one-stop access of all the necessary information required by end-users in the Department. KMS allows users to create and manage e-documents which can be viewed, searched and shared. It is also capable of keeping track of the different versions modified by different users.

c. eLeave – Leave Management System – An automated workflow based system for managing the complete life-cycle of a leave application from application of leave-requests to sanctioning of leaves, with subsequent joining requests. The system provides a robust admin interface for the product administrator to manage leaves/approval workflow in an efficient manner with various Reports to facilitate seamless use.

d. eTour – Tour Management System – An automated workflow based system for approval of domestic/international tour to disbursement of advance for tour to its claim and settlement.

e. PIS – Personal Information System or eService Book

f. CAMS – Collaboration and Messaging Service is a tightly integrated communication module providing secure internal information sharing to individuals/groups with features for initiating discussions using forums. It includes modules like – mail, calendar, photo gallery and eConnect services.

2. eFile Administrator : eFile Administrator is the identified person in any Department who holds privileged rights to manage all the reference data, transfer of cases, reports permissions, search privileges etc. in case of eFile.

3.eOffice Administrator : eOffice Administrator is the identified user with all the administrative privileges and rights to manage various master/reference-data, and its configuration of all the available applications of eOffice product suite, viz. eFile, eLeave, eTour, PIMS and CAMS. He is the one with the responsibility of creation, mapping, and management of all the organization and user data of the eOffice.

4. Meta-data: Meta-data are details of information provided in the pre-defined fields for a Dak while registration and / or for a file during its creation

5. Registration at entry level: This means that in eFile, a dak or an inward communication is registered only once at the first point of entry in a Department, whether in the CRU or in the personal offices of the Minister, Secretary or any other officer or in the Section.

6. Registration: means entering of details of dak at the entry level.

7. Registration number: means the serial number assigned to a dak by the eFile system after registration. It is also referred to as CRU number.

8. Registration Officer: means a functionary within a section or in CRU or in the personal section of an officer entrusted with the responsibility of registration of dak, marking and sending of receipts and files and other associated tasks.

9. IT Cell: Each Department must have an IT Cell to administer and manage the eOffice data-base as an eOffice and eFile administrator. Till the time such IT cell is created, the Department will designate an officer and a team to carry out these functions. Illustrative list of functions of IT Cell are:

- a. To create government mail IDs for the users who do not have one and also to map the existing IDs to their respective eOffice application
- b. To manage the employee transfer and joining
- c. To manage the DSCs provided to various employees
- d. To give training to the new users in working of eOffice
- e. To manage the master and reference data with respect to various applications of eOffice

10. DSC (Digital Signature Certificate) or Electronic Signature: The Information Technology Act, 2000 & the subsequent Amendment Act, 2008 provides for use of digital signatures (and now termed as electronic signatures) on the documents



submitted in electronic form in order to ensure the security and authenticity of the documents filed electronically. An electronic (digital) signature is the electronic equivalent of a handwritten signature, verifying the authenticity of electronic documents. These electronic signatures are stored in a certificate which stores the personal information of the owner which is then imported to a physical device (USB Token, floppy disk, CD etc.).

Dos:

- a) The token containing certificate should be preserved in safe custody by the owner of the certificate.
- b) If the token is lost, the concerned certifying authority (CA) should be informed and requested for the revocation of the certificate immediately.
- c) The owner should always ensure to protect the private key with a good password.

Don'ts:

- a) The private key protected by a password should never be sent across any network.
- b) Never delete token objects, as once deleted, objects will never be regained.

**Box e**

To maximize usage of physical space available with any Department and to avoid any damage to file the Department should make an endeavour to move towards the complete digitization of existing physical files and papers and start working on eFile system.



