

# **GOA UNIVERSITY**

## **MANUAL ON OFFICE PROCEDURE, NOTING, DRAFTING & SERVICE RULES**

**Compiled By**

**Alberto Fernandes**

Former Assistant Registrar &  
Former Consultant, Directorate of  
Student Placement & Alumni Relations,  
Goa University



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**JUNE, 2021.**

**GOA UNIVERSITY**

**This Manual was released**

**at the gracious hands of**

**PROF. VARUN SAHNI**

**VICE-CHANCELLOR, GOA UNIVERSITY**

**on 12<sup>th</sup> July, 2021**

## **FOREWORD**

**I am extremely delighted to write the Foreword to the Manual on Office Procedure, Noting, Drafting and Service Rules which includes chapters on Office Procedure, Conduct and Leave rules, Fundamental and Supplementary Rules and Records Management. The author of this Manual, Shri Alberto Fernandes, is a highly regarded and well beloved former Assistant Registrar of Goa University. In his long years of service to our University, he has acquired an enviable reputation based on his probity and efficiency. It is a wonderful act of generosity on his part to share his vast administrative experience with the next generation of the University. I am particularly impressed with the Chapters on Noting and Drafting. In Appendix I, Shri Alberto Fernandes has given examples of case notings and suggested drafts. Appendix II contains suggested drafts on Noting and Drafting of letters, Circulars, D.O. letters, Notes and Office Memorandum. The two Chapters on Noting and Drafting along with the Appendix I and II are commendable as they provide deep insights into the entire gamut on Noting and Drafting. The Chapters on Noting and Drafting**

**together with the other Chapters on Service Rules will serve as a comprehensive and handy reference in the University for processing cases and will prove to be of great help to all those who wish to work with diligence and dedication. I am sure that the Manual will serve to be an invaluable source of guidance and I am sure the staff will be able to deal with cases efficiently and effectively. I congratulate Shri Alberto Fernandes for his labour of love and thank him for the kind invitation to pen this Foreword.**

**Prof. Varun Sahni  
Vice-Chancellor, Goa University.**



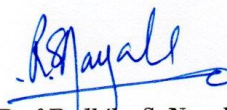
### **MESSAGE**

I am happy to know that Shri Alberto Fernandes has compiled a Manual on Office Procedure, Noting, Drafting and Service Rules which is awaiting release.

Shri Fernandes has fruitfully utilized his post retirement period in getting involved in the activities of the Goa Institute of Public Administration and Rural Development, Old Goa, a premier Institute set up by the Government of Goa to impart training to its employees. He has utilized his administrative experience to conduct sessions there on various topics.

The compilation of the Manual is the result of his experience in the University administration for more than three decades. The topics in the Manual especially on Noting and Drafting are extremely relevant in the efficient functioning of the day-to-day administration of any Office. I appreciate his effort to share his knowledge with his colleagues at the University.

I am sure that the Manual will prove to be a very useful guide to all the employees and this will result in improving the efficiency of the employees in particular and the University in general.



(Prof. Radhika S. Nayak)

**OFFICIATING REGISTRAR**

## **MESSAGE**

**I take this opportunity to extend my hearty congratulations to Mr. Alberto Fernandes for this Manual on Office Procedure, Noting, Drafting and Service Rules.**

**Mr. Fernandes has over forty years of administrative service out of which three decades have been at the Goa University. Mr. Fernandes has been an efficient and competent Officer and has over the years, gained elaborate experience and knowledge of all the key spheres of the administrative system.**

**I am indeed glad to note that he has continued his zeal and passion post retirement and has very aptly demonstrated that age and tenure is no limitation to enhance one's area of expertise. Mr. Fernandes is a sought after Resource Person for various Training Programmes organized by the Goa Institute of Public Administration and Rural Development for Officers and employees of the Central and State Government.**

**As I place on record my appreciation and gratitude to Mr. Fernandes for sharing his knowledge and experience with his former colleagues at the Goa University, I am certain that the Manual on Office Procedure, Noting, Drafting and Service Rules will be helpful and immensely benefit the employees of the University in the years to come.**

**I once again congratulate Mr. Fernandes for this accomplishment as I wish him all the very best in his future endeavours.**

**Donald A. E. Rodrigues  
Joint Registrar-Academics.**

## **P R E F A C E**

**This Manual covers 10 topics viz. 1.Introduction to Office Procedure 2.Forms and procedure of communication 3.Records Management 4.Noting 5.Drafting 6.Conduct Rules 7.Fundamental Rules 8.Supplementary Rules 9.Travelling Allowance Rules 10.Leave Rules.**

**Apart from the above topics, the 2 Appendices on 1.Examples of case Notings and suggested drafts and 2.Suggested drafts on Noting and drafting of letters, Circulars, D.O. letters, Notes, Office Memorandum provides special emphasis on the various types of case notings and useful tips on drafting of all official communication. The Manual includes a detailed table of contents for ease of reference.**

**As a Faculty/Resource Person/Certified Trainer at the Goa Institute of Public Administration and Rural Development (GIPARD), Ela, Old Goa, I am conducting the sessions for the staff of various Government Departments. It is, therefore, my desire to share my knowledge and experience with my colleagues in the administration.**

**This Manual, I am sure, will prove to be useful to the staff to acquire knowledge of the relevant rules. It will serve as an important tool and be an invaluable source of guidance and reference in their day-to-day work. It will also widen the scope for their effective and efficient functioning. I am sure, this in turn, will benefit the efficient functioning of the University administration as the staff will be able to take on the cases with speed and accuracy.**

**The Manual is prepared based on the existing Edition. In some cases, only a gist of the rules are quoted. Readers are advised to refer to the rules, amendments, further decisions thereon in the latest and revised Edition printed from time to time.**



**I am extremely thankful to Prof. Varun Sahni, Vice-Chancellor, a brilliant star on the firmament of Indian intellectualism and educational scenario for writing the Foreword to this Manual. The Foreword from a such scholar of national and international repute will go a long way in providing the much needed impetus to the Manual.**

**I thank Dr. (Mrs.) Radhika S. Nayak, Registrar for obliging with a Message to the Manual.**

**I also thank Shri Donald Rodrigues, Joint Registrar (Academic) for writing a Message to the Manual.**

**Alberto Fernandes**

## **ABOUT THE EDITOR**

**This Manual on Office Procedure, Noting, Drafting and Service Rules is edited and compiled by Shri Alberto Fernandes.**

**Shri Fernandes out of four decades of experience in administration, had a decade with the Government of Goa in the Directorate of Education, Rural Development Agency (now District Rural Development Agency), Directorate of Technical Education and Directorate of Accounts. He had worked for three decades with the Goa University out of which two decades are as Assistant Registrar.**

**His post retirement assignments are as Co-ordinating Officer, College of Theatre Arts, Kala Academy (academic year 2018-19) and Consultant, Directorate of Student Placement and Alumni Relations, Goa University (academic year 2019-20).**

**He is also a Faculty/Resource Person at the Goa Institute of Public Administration and Rural Development, Ela, Old Goa. As a Certified Trainer of GIPARD, he has delivered/conducted lectures/sessions for the various training programmes organised by them for State and Central Government employees. Out of the 67 sessions, 42 are on Noting and Drafting and the remaining on Records Management, Conduct Rules, Fundamental Rules and Supplementary Rules (FR,SR), Overview to the Manual of Office Procedure, Introduction to Office Procedure, Key concepts/terminologies as per Manual of Office Procedure and Key concepts/terminologies related to FR,SR.**

**His manual on File Register and Records Management was released by Dr.Satish Shetye, former Vice-Chancellor on 5.12.2012 during the valedictory function of the training programme.**

**His Handbook on Noting and Drafting and Manual on Affiliation was released by Prof. Varun Sahni, Vice-Chancellor on 30.6.2017 on the occasion of the Foundation Day of Goa University.**

**Shri Fernandes holds a Master's degree in Public Administration.**

## **TABLE OF CONTENTS**

| <b>Sl.No.</b> | <b>Particulars</b>   | <b>Page No.</b> |
|---------------|--|-----------------|
| <b>1.</b>     | <b>Introduction to Office Procedure</b>  | <b>1-9</b>      |
|               | <b>Definition of office, system, procedure, Important terms</b>                            | <b>1</b>        |
|               | <b>Management of Dak</b>   | <b>2</b>        |
|               | <b>File Management, Standard Process Sheets</b>  | <b>4</b>        |
|               | <b>Oral discussion, oral instructions by Higher officers</b>                               | <b>5</b>        |
|               | <b>Oral instructions on behalf of or from Ministers, confirmation of oral instructions</b> | <b>6</b>        |
|               | <b>Definition of file, file numbering, file Register</b>                                   | <b>7</b>        |
|               | <b>Structure of a file, filing of papers</b>   | <b>8</b>        |
|               | <b>Linking of files, use of urgency grading</b>  | <b>9</b>        |
| <b>2.</b>     | <b>Forms and procedure of communication</b>  | <b>10-20</b>    |
|               | <b>Meaning, definition, process and forms of Communication</b>                             | <b>10</b>       |
|               | <b>Letter</b>  | <b>10</b>       |
|               | <b>D.O. letter</b>   | <b>12</b>       |
|               | <b>Difference between a letter and a D.O. letter</b>                                       | <b>13</b>       |
|               | <b>Office Memorandum</b>   | <b>13</b>       |
|               | <b>Interdepartmental Note</b>  | <b>14</b>       |
|               | <b>Office Order, Order</b>   | <b>15</b>       |
|               | <b>Notification</b>  | <b>16</b>       |
|               | <b>Resolution</b>  | <b>17</b>       |
|               | <b>Press Communique/Note</b>   | <b>18</b>       |
|               | <b>Endorsement</b>   | <b>19</b>       |

|           |   |              |
|-----------|---|--------------|
|           | <b>Minutes</b>  | <b>20</b>    |
| <b>3.</b> | <b>Records Management</b>   | <b>21-33</b> |
|           | Definition of records, what constitutes Records   | 21           |
|           | Necessity to retain Govt. records   | 22           |
|           | Records Management  | 23           |
|           | Principles of Records Management  | 24           |
|           | Categorization of records   | 25           |
|           | Records Retention Schedules   | 26           |
|           | Procedure for recording   | 27           |
|           | Indexing of files, transfer of recorded files   | 28           |
|           | Review of records, disposition and Retrieval of records   | 29           |
|           | Retrieval system, Standing Note   |              |
|           | Precedent Book, Reference Folder, Induction Note  | 30           |
|           |   | 32           |
|           | Alphabetical list of important files, Other information aids  | 33           |
| <b>4.</b> | <b>Noting</b>   | <b>34-47</b> |
|           | What is noting, why noting, definition and contents of a note, difference between noting and drafting     | 34           |
|           | Purpose of noting, file, file structure, Processing steps   | 35           |
|           | Docketing, noting, referencing  | 36           |
|           | Submission, decision, drafting, noting, Noting sheet, margin  | 37           |
|           | File No., File Register, page no.   | 38           |
|           | Dept./Section, subject, concise and to the point, no paraphrasing, concluding para, Signature and marking | 39           |
|           | From pre-page, courtesy sheet, guidelines for noting, modification of notes                               | 40           |
|           | Sectional and Routine Note, essential contents of a note  | 41           |
|           | Functional approach to noting   | 42           |

|    |   |       |
|----|---|-------|
|    | Language in notes, a good note  | 43    |
|    | Essential points of a good note   | 45    |
|    | Noting skills, arrangement of papers in a case, Standing Guard File   | 46    |
|    | Standard Note, reference folder, recording  | 47    |
| 5. | Drafting  | 48-51 |
|    | Definition of a draft, contents of a note, what is drafting, two cases when drafts are not necessary, principles of drafting, What a draft must contain | 48    |
|    | Mode of transmission, urgency grading, Endorsement and its contents   | 51    |
| 6. | Central Civil Services Conduct Rules  | 52-74 |
|    | RULE  |       |
|    | 1,2-Applicability, Definition   | 52    |
|    | 3-General   | 54    |
|    | 3A-Promptness and courtesy  | 55    |
|    | 3B-Observance of Govt.'s policies   | 56    |
|    | 3C-Prohibition of sexual harassment of working women  | 56    |
|    | Govt. of India's decision   | 58    |
|    | Acts and conducts which amount to misconduct  | 61    |
|    | Acts and omissions which amount to misconduct   | 62    |
|    | 4-Employment of near relatives of Govt. Servant (GS) in companies or firms  | 63    |
|    | 5-Taking part in politics and elections   | 63    |
|    | 6-Joining of Association by GS  | 65    |
|    | 7-Demonstrations and strikes  | 65    |
|    | 8-Connection with Press or other Media  | 66    |
|    | 9-Criticism of Govt.  | 66    |
|    | 10-Evidence before Committee or any other Authority   | 66    |
|    | 11-Communication of official information  | 67    |
|    | 12-Subscriptions  | 67    |

|           |  |              |
|-----------|--|--------------|
|           | <b>13-Gifts</b>  | <b>68</b>    |
|           | <b>13A-Dowry</b>   | <b>69</b>    |
|           | <b>14-Public demonstrations in honour of GS</b>  | <b>70</b>    |
|           | <b>15-Private trade or employment</b>  | <b>70</b>    |
|           | <b>15A-Subletting and vacation of Govt. accommodation</b>  | <b>71</b>    |
|           | <b>16-Investments, lending and borrowing</b>   | <b>71</b>    |
|           | <b>17-Insolvency and habitual indebtedness</b>   | <b>72</b>    |
|           | <b>18-Movable, immovable and valuable property</b>   | <b>72</b>    |
|           | <b>18A-Restrictions in relation to acquisition and disposal of immovable property outside India and transactions with foreigners, etc.</b> | <b>72</b>    |
|           | <b>19-Vindication of acts and character of GS</b>  | <b>72</b>    |
|           | <b>20-Canvassing of non-official or other outside influence</b>  | <b>72</b>    |
|           | <b>21-Restrictions regarding marriage</b>  | <b>73</b>    |
|           | <b>22-Consumption of intoxicating drinks and drugs</b>   | <b>73</b>    |
|           | <b>22A-Prohibition regarding employment of children below 14 years of age</b>  | <b>74</b>    |
| <b>7.</b> | <b>Fundamental Rules</b>   | <b>75-81</b> |
|           | <b>RULE</b>  |              |
|           | <b>1-Applicability, 9-Definitions, GOI order</b>   | <b>75</b>    |
|           | <b>10-Production of medical certificate</b>  | <b>76</b>    |
|           | <b>11-Definition and 13-Retention of lien</b>  | <b>76</b>    |
|           | <b>14A-Termination of lien</b>   | <b>77</b>    |
|           | <b>15(a)-Transfer from one post to another</b>   | <b>77</b>    |
|           | <b>16-Subscription to Provident Fund</b>   | <b>77</b>    |
|           | <b>17-Drawing of pay</b>   | <b>77</b>    |
|           | <b>17-A-Unauthorised absence</b>   | <b>77</b>    |
|           | <b>18-No continuous leave exceeding 5 yrs.</b>   | <b>78</b>    |
|           | <b>22-Regulation and fixation of pay</b>   | <b>78</b>    |
|           | <b>24-Withholding of increment</b>   | <b>78</b>    |
|           | <b>26-Release of increments</b>  | <b>78</b>    |



|    |   |       |
|----|---|-------|
|    | 27-Grant of premature increment                                   | 78    |
|    | 29-Reduction to lower time scale                                  | 79    |
|    | 35-Fixation of pay less than that admissible                      | 79    |
|    | 44-Compensatory Allowance   | 79    |
|    | 45-Allotment of residence   | 79    |
|    | 45A-II-Assessment of licence fee                                  | 79    |
|    | 49-Officiate in one or more independent posts at one time         | 79    |
|    | 50-Deputation out of India  | 80    |
|    | 52-No pay and allowance on dismissal or removal from service      | 80    |
|    | 53(1)-Entitlement on suspension                                   | 80    |
|    | 54(1)-Reinstatement in service                                    | 80    |
|    | 55-No leave during suspension                                     | 80    |
|    | 56-Retirement   | 80    |
|    | 108-No pay to GS not joining post within the joining time         | 81    |
|    | 109-Applicability   | 81    |
|    | 110-Foreign service against will                                  | 81    |
|    | 114-Pay on foreign service  | 81    |
|    | 115-Payment of leave salary and pension contribution              | 81    |
| 8. | Supplementary Rules   | 82-85 |
|    | RULE  |       |
|    | 1-Applicability 2-Definitions                                     | 82    |
|    | 3-Medical certificate (M.C.) of fitness                           | 82    |
|    | 4-Authorities to sign M.C.  | 82    |
|    | 5-Drawing of Compensatory allowance                               | 83    |
|    | 9-Crediting of fees   | 83    |
|    | 11-Debar from taking work without sanction of Competent Authority | 83    |
|    | 196-Service book-Maintenance of                                   | 83    |
|    | 197-Service book for non-gazetted GS                              | 84    |
|    | 198-Custody of service book                                       | 84    |
|    | 199-Recordings in service book                                    | 84    |
|    | 200-Attestation   | 84    |

|     |  |       |
|-----|--|-------|
|     | 201-Certificate of character                                     | 84    |
|     | 202-Showing of service book                                      | 84    |
|     | 307(1)-Contribution for leave salary and pension contribution    | 85    |
|     | 307(2)-Payment of leave salary and pension contribution          | 85    |
| 9.  | <b>Travelling Allowance Rules</b>                                | 86-88 |
|     | <b>RULE</b>  |       |
|     | 1-Applicability 2-Definitions                                    | 86    |
|     | 21-Different kinds of TA   | 86    |
|     | 22-Permanent TA  | 86    |
|     | 25-Conveyance or Horse Allowance                                 | 87    |
|     | 29-Mileage Allowance   | 87    |
|     | 52-Sanction of higher or lower Daily Allowance                   | 87    |
|     | 69-Daily Allowance (DA)  | 87    |
|     | 72-DA during a halt or tour on a holiday                         | 87    |
|     | 105-No TA to join first post in Govt. service                    | 88    |
|     | 194A-TA claim to be preferred within one Year                    | 88    |
| 10. | <b>Central Civil Services Leave Rules</b>                        | 89-99 |
|     | <b>RULE</b>  |       |
|     | 1-Short title 2-Applicability 3-Definitions                      | 89    |
|     | 7-Right to leave   | 89    |
|     | 9-Effect of dismissal, removal or resignation on leave at credit | 89    |
|     | 10-Commutation of one kind of leave into another                 | 90    |
|     | 11-Combination of different kinds of leave                       | 90    |
|     | 12-Maximum amount of continuous leave                            | 90    |
|     | 17-Leave not to be granted in certain circumstances              | 91    |
|     | 22-Combination of holidays with leave                            | 91    |
|     | 23-Recall to duty before expiry of leave                         | 91    |
|     | 25-Absence after expiry of leave                                 | 91    |
|     | 26-EL for GS serving in Departments                              | 92    |

|   |    |
|---|----|
| other than vacations Departments  |    |
| 27-Calculation of EL  | 92 |
| 28-EL for persons serving in vacation<br>Departments  | 92 |
| 29-Half pay leave   | 92 |
| 30-Commuted leave 31-Leave not due  | 93 |
| 32-Extraordinary leave  | 93 |
| 38-Leave preparatory to retirement  | 93 |
| 38A-Encashment of EL alongwith LTC<br>while in service  | 93 |
| 39-Leave/cash payment in lieu of leave<br>beyond the date of retirement,<br>compulsory retirement or quitting<br>service  | 93 |
| 39A-Cash equivalent of leave salary in<br>case of death in service  | 94 |
| 39B Cash equivalent of leave salary in<br>case of invalidation from service   | 94 |
| 39C-Payment of cash equivalent of leave<br>salary in case of death etc. of GS   | 94 |
| 39D-Cash equivalent of leave salary in<br>case of permanent absorption in<br>Public Sector Undertaking/Autono-<br>mous Body wholly or substantially<br>owned or controlled by the Central/<br>State Govt. | 94 |
| 40-Leave salary, 43-Maternity leave   | 95 |
| 43A-Paternity leave   | 95 |
| 43AA-Paternity leave for child adoption   | 96 |
| 43B-Child adoption leave  | 96 |
| 43C-Child care leave  | 97 |
| 44-Special disability leave for injury<br>intentionally inflicted   | 97 |
| 45-Special disability leave for accidental<br>injury  | 97 |
| 46-Hospital leave   | 98 |
| 47-Seamen's sick leave  | 98 |

|     |   |   |
|-----|---|---|
|     | 48-Special leave to aggrieved female GS in connection with inquiry of sexual harassment   | 98  |
|     | 49-Departmental leave   | 98  |
|     | 50-Conditions for grant of study leave  | 98  |
|     | 51-Maximum amount of study leave  | 99  |
| 11. | <b>Appendix-1</b><br>Examples of case Notings and suggested Drafts<br>Exercise 1-Incorrect and not to the point Noting<br>Ex.2-Excessive and lengthy noting<br>Ex.3-Verbatim reproduction of extracts<br>Ex.4-Criticism in the note<br>Ex.5-Note to be divided into paras and brief titles<br>Ex.6-Repeating of facts in the note when running summary is available<br>Ex.7-Reproducing the relevant provisions of the rule in the note<br><b>INSTRUCTIONS FOR DRAFTING</b><br>Ex.8-Wrong draft of a note ... not clear<br>Ex.9-Long sentences without full stop<br>Ex.10-Abrupt sentences<br>Ex.11-Redundant words<br>Ex.12-Circumlocation<br>Ex.13-Verbosity Ex.14-Use of superlatives<br>Ex-15-Avoiding superlatives<br>Ex.16-Repetition of words, observations or ideas<br>Ex.17-Style, clarity, precision and format<br>Ex.18-Use of incorrect English<br>Ex.19-Use of wrong subject | 100-<br>110<br>100<br>101<br>102<br>102<br>103<br>103<br>104<br>105<br>106<br>107<br>107<br>107<br>108<br>108<br>108<br>109<br>109<br>110 |
| 12. | <b>Appendix-2</b><br>Suggested drafts on Notings and drafting of letters, Circular, D.O. letters, Notes, Office Memorandum  | 111-<br>124   |

|  |  |     |
|--|--|-----|
|  | <b>NOTINGS</b>                           |     |
|  | Ex.1, Ex.2-Processing of a note          | 111 |
|  | Ex.3, Ex.4-Drafting of letter            | 113 |
|  | Ex.5, Ex.6-D.O.letter                    | 116 |
|  | Ex.7, Ex.8-Note                          | 119 |
|  | Ex.9-OM                                  | 120 |
|  | Ex.10-Circular                           | 121 |
|  | Ex.11-Subject and Referencing            | 122 |
|  | Ex.12-Incorrect drafting                 | 123 |
|  | Ex.13-Capitalisation                     | 123 |
|  | Ex.14-Use of tenses, Ex.15-Use of vowels | 123 |
|  | Ex.16-Consistency in typing of letters   | 124 |
|  | Ex.17-Consistency in typing of numbers   | 124 |

## **INTRODUCTION TO OFFICE PROCEDURE**

### **WHAT IS AN OFFICE :**

(i)An office is a work place where teams of people are engaged in an assigned work, mostly in a hierarchy, for the fulfillment of objectives of an Organisation.

(ii)It is also an information processing unit where information is processed to facilitate a competent authority to take a decision to achieve organisational goals.

### **WHAT IS A SYSTEM:**

A System is doing things methodically by following certain procedures laid down with a clearly defined roles and responsibilities for smooth and effective functioning.

### **WHAT IS A PROCEDURE:**

A procedure is a set of sequential and logical steps followed to do a job in an efficient and effective manner or a set of precise instructions to meet an objective.

### **IMPORTANT TERMS:**

(i)Dak: Includes every type of written communication such as letter, fax, telegram, e-mail, I-D notes, file, wireless message etc, which is received by post or otherwise, in a Department, for its consideration.



(ii)Central Registry: Is a unit within a Department, charged with the responsibility of receiving, registering and distributing dak received, which is meant for that Deptt.

(iii)Classified Dak: Means dak bearing security gradings like Restricted, Confidential, Secret or Top Secret.

(iv)Urgent Dak: Means dak which is marked immediate or Priority . It includes telegrams, wireless messages, fax messages- dak demanding immediate attention.

(v)Receipt: Means dak which is received by the section/ officer.

(vi)Section: Means the basic work unit within a Department, responsible for attending to items of work assigned to it. It could be a cell or a unit headed by a Section Officer or Superintendent.

(vii)PUC (Paper under consideration): The first receipt pertaining to a case which becomes the subject matter of a new file.

(viii)FR (Fresh Receipt): Any subsequent receipt bringing in additional information to a file after PUC. There can be more than one FR which needs to be flagged properly.

## **MANAGEMENT OF DAK**

### **RECEIPT OF DAK:**

(i)During Office hours: The entire Dak will be received in CR Unit. Immediate/Important Dak addressed to the Ministers/Officers to be sent directly and it will be received by them or their personal staff. In any Officer is on leave/training/tour, the personal staff/link Officer/Officer just below the Officer concerned dealing with the subject will receive the immediate/important dak. If there is no one to receive then it is to be received in C.R. In no case immediate/Urgent Dak will be undelivered or returned.

(ii)Outside Office hours: Immediate/urgent Dak to be delivered at the residence of the addressee and received by him. In all other cases, dak will be received outside office hours by the night duty clerk of the Deptt. concerned or by the Officer designated by the Deptt. Concerned to receive such Dak after advance intimation to him/ her.

(iii)E-mails received in the Deptt. will be downloaded centrally by the Deptt. and forwarded to the Officer concerned.

#### **ACKNOWLEDGEMENT OF DAK:**

The receipt of Dak in person will be acknowledged by the recipient by signing his name in full and in ink with date and designation.

#### **REGISTRATION/DIARISING OF DAK:**

(i)The urgent Dak to be taken up first for diarizing. All covers, except those addressed to Ministers/Officers by name or those bearing security grading will be opened by the CR. All the enclosures indicated to be checked.

(ii)All opened Dak and the covers of unopened or classified Dak will be date stamped.

(iii)Registered postal dak, Interdepartmental files, Court summons and receipts enclosing important documents such as service books, agreements, important reports, Parliament questions, resolutions, cut motions, unopened inner covers containing confidential dak, letters from MLAs, M.Ps. will be diarised according to the procedure laid down.

(iv)Envelopes received without contents or any material, to be registered with necessary remarks in Dak Register.

**DISTRIBUTION OF DAK:** The receipts may be forwarded to the Officer/Section concerned and acknowledgement obtained in the Invoice / Messenger Book / Section-wise Dak Register.

## **FILE MANAGEMENT**

### **LEVEL OF DISPOSAL AND CHANNEL OF SUBMISSION:**

(i) Each Ministry/ Department shall lay down a detailed scheme of delegation at all levels so that decision making takes place at most appropriate level. The scheme of delegation to be updated periodically and should be audited regularly to ensure that delegated authority is exercised by the delegatee only. The scheme of delegation to be placed in public domain.

(ii) The number of levels through which a file is submitted for a decision shall not exceed four.

(iii) Whenever level jumping is done each such case on its return will be submitted through all the levels jumped over.

(iv) In case of urgent matters, the decisions may be conveyed directly to the concerned Officer for implementation, who shall bring it to the notice of the level of Officers that have been jumped in the hierarchy.

### **STANDARD PROCESS SHEETS:**

Orders for sanction of leave; GPF and HBA advances and other cases of repetitive nature may be dealt with by using the Standard Process Sheets.

#### **ORAL DISCUSSIONS:**

(i) All points emerging from discussions including telephonic between two or more officers of same or different Deptts. and reached shall be recorded on a relevant file by the Officer authorizing action.

(ii) All discussions/instructions/decisions which the Officer recording them considers them to be important should be got confirmed by all those who have participated in or are responsible for them.

#### **ORAL INSTRUCTIONS BY HIGHER OFFICERS:**

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

(ii) Where an Officer is acting under instructions of an official superior, he shall obtain the directions in writing wherever practical before carrying out the instructions. Where it is not possible to do so, he shall obtain written confirmation of the directions as soon as possible. If the Officer giving the instructions is not the immediate official superior but is one higher to the latter in the hierarchy, the Officer shall bring such instructions to the notice of the immediate superior and thereafter the latter will obtain the written confirmation of the directions from the senior Officer who gave the instructions. Normally instructions to be in writing.

## **ORAL ORDERS ON BEHALF OF OR FROM MINISTER:**

(i) 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 her/his personal staff and the orders are in accordance with the norms, rules, regulations or procedures, they should be brought to the notice of the Secretary/Head of the Deptt.

(iii) In all cases of oral instructions/orders which are not in accordance with the norms, rules, regulations or procedures, clear orders from the Secretary/Head of Deptt. should be sought 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/unwell and the approval has to be taken urgently on telephone, the decision of the Minister shall be conveyed by the Private Secretary. In such cases, confirmation of the Minister shall be obtained at the earliest.

## **CONFIRMATION OF ORAL INSTRUCTIONS:**

(i) If an Officer seeks confirmation of oral instructions given by his 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 shall be acknowledged by the senior Officers or their personal staff or the personal staff of the Minister as the case may be.

## WHAT IS A FILE:

A file is a collection of papers on a specific subject with an assigned file number.

### 3.FILE NO:

File numbering is based on subject classification based file numbering system. Each Section has to maintain approved lists of standard heads i.e. main subjects concerning it.

Suppose the standard head is Scientific Research Section and the Sl.No. is 3, the file no. will be 3/1/2019-SR. 3-Std. head No., 1-Sl.No. of the file opened, 2019-Year in which the file is opened, SR-stands for the abbreviated symbol identifying the Section.

The first three elements in the file no. will be separated from one another by a stroke/slant and the last one/two by a dash/hyphen.

### 4.FILE REGISTER

Standard Head No. \_\_\_\_\_

Standard Heading \_\_\_\_\_

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

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 case of class 'C' files.



3.If as a result of the review, a file is marked for further retention, the year of the next review will be worked out and indicated in Column 5.

#### **STRUCTURE OF A FILE:**

It consists of one or more of following parts:

(i)Correspondence (ii) Notes (iii) Appendix to Correspondence and(iv)Appendix to Notes.

#### **FILING OF PAPERS:**

(i)Both 'Notes portion' and 'Correspondence portion' are to be placed in a single file cover.

(ii)Papers required to be filed will be punched on the left hand corner and tagged into the appropriate part of the file i.e. notes or correspondence portions.

(iii)Earlier communications referred to in the receipt or issue, will be indicated by pencil by giving their position on the file.

(iv)Whenever the file cover or file board of a file gets torn, it should be immediately replaced by a new one. Damaged Note sheets and correspondence portion are also required to be repaired immediately.

(v)Appendix to notes and Appendix to Correspondence to be kept along with the respective notes or correspondence portions, if considered important and integral part and if the file is not bulky.

(vi)If file is bulky, separate file covers may be maintained for keeping appendix to notes appendix to correspondence.

(vii) Routine notes and receipts should not clutter the file and should be kept below the file in a separate cover and may be destroyed when they have served their purpose.

(viii) When the file becomes bulky (exceeds 150 pages), file may be stitched and new volume to be opened.

(ix) Subsequent volumes of the file to follow same file no., subject and page numbering to be continued from the previous volume.

(x) On top of the first page of the note portion in each volume of the file, file number, name of the Ministry/Deptt., name of the branch/section, subject of the file and classification of file will be mentioned. A similar procedure will be followed on the file cover.

(xi) Part File to be opened for processing important and immediate matter if the main file is not available.

#### **LINKING OF FILES:**

If the issues raised in two or more current files are inter-connected, the relevant files shall be linked. After completion of action, the linked file be de-linked after taking relevant extracts.

#### **USE OF URGENCY GRADING:**

(i) The urgency grading advised are 'Immediate', 'Priority' and 'Most Priority'.

(ii) The label 'Immediate' will be used only in cases requiring prompt attention. The 'Priority' label will be used for cases which merit disposal in precedence to others of ordinary nature. In extremely urgent cases, 'Top Priority' label to be used.

## **FORMS AND PROCEDURE OF COMMUNICATION**

### **WHAT IS THE MEANING OF COMMUNICATION:**

The origin of the word “communication” is “communicare” or “communis” which means “to impart”, “to participate” or “to share” or “to make common”. The sense of sharing is inherent in the very origin and meaning of communication”.

### **HOW IS COMMUNICATION DEFINED:**

Communication is defined by different people as a process of passing information and understanding from one person to another OR Communication is an exchange of ideas, facts, opinions and make himself or herself understood.

### **THE PROCESS OF COMMUNICATION:**

Communication is a two-way process involving a sender, a message, a medium, a channel, a receiver, a response and feedback.

### **FORMS OF COMMUNICATION:**

The form of communication may defer depending upon the purpose or group to whom the communication is addressed. Therefore, each form of communication should have some distinctive feature.

The different forms of communication, its contents and format generally used by a Department is given below:

#### **1. LETTER**

This form is used for corresponding with State Governments, constitutional bodies like Election Commission of India, Public Service Commissions, heads of Offices including subordinate Offices, public enterprises, statutory authorities, public bodies and members of the public.

A letter begins with the salutation “Sir or Madam” and end with “Yours faithfully”. The name, designation and telephone number of the signatory must be mentioned below the signature. It is written in first person and more formal in nature and does not carry any personal touch. It is used for collecting or eliciting information as well as for conveying views, decisions, etc.

In case of correspondence with Foreign Government, instructions issued by the Ministry of External Affairs from time to time are to be followed.

| Format   |                   |
|--|-------------------|
| No....   |                   |
| Government of India  |                   |
| (Bharat Sarkar)  |                   |
| Department of..... (.....Vibhag)   |                   |
| New Delhi, the.....(Date)  |                   |
| 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.....   | Telefax.No/e-mail |
| (Endorsement)  |                   |
| No.....  |                   |
| Copy forwarded for information/necessary action to:  |                   |
| (1)  |                   |
| (2)  |                   |
| (A.B.C.)   |                   |
| Under Secretary to the   |                   |
| Govt. of India   |                   |

## 2. DEMI OFFICIAL (D.O.) LETTER:

It is written in a personal and friendly tone for inviting personal attention or for conveying information or opinion on the issue without the formality of prescribed procedure. It is written by an Officer who is not more than one or two levels below the Officer to whom such communication is addressed. A D.O. letter is also written to a non-official member. It is written in the first person.

It begins with the salutation “My dear ... “ or “Dear Shri ....” with the expression “With kind regards” or “With regards’ or “With warm regards” and ends with “Yours Sincerely”. The name, designation and telephone number of the sender is written on the left side top of the letter head.

| Format  |                                 |
|---|---------------------------------|
|   | GOVERNMENT OF INDIA             |
|   | (Bharat Sarkar)                 |
| XYZ   | Department of.....              |
| Dy.Secretary  | (.....Vibhag)                   |
| 7788889999  | 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,<br>(XYZ)       |
|   | A.B.C.                          |
|   | Deputy Secretary                |
|   | Ministry of .....               |
|   | Department of ..... New Delhi.. |

### 3.DIFFERENCE BETWEEN A LETTER AND A D.O. LETTER:

| Point of difference | Letter  | Demi-official letter   |
|---------------------|---|--|
| Purpose             | Various official interests are served through official letter | To attain office objectives through personal relations.      |
| Nature              | Its nature is official and impersonal                         | Its nature is mix i.e. combination of personal and official. |

### 4.OFFICE MEMORANDUM:

It is used for correspondence with other Departments or in calling information from or conveying information to its employees. It may also be used in corresponding with attached and subordinate offices. It is written in the third person and bears no salutation or supersession except the name and designation of the officer signing it.

| Format   |
|--|
| Government of India<br>(Bharat Sarkar)<br>Department of.....<br>(.....Vibhag)<br>New Delhi, the.....(Date)   |
| OFFICE MEMORANDUM  |
| Subject:   |
| The undersigned is directed to refer to this/their Department O.M. No.....dated.....<br>Doubts have been expressed whether the provisions of .....also apply to..... It is hereby clarified that ..... |
| ( ABC )<br>Under Secretary to the<br>Govt. of India<br>Tele.No/e-mail  |
| To<br>The Department of ..... (.....Vibhag) (Shri/Smt.....)<br>Sardar Patel Bhavan , Parliament Street New Delhi-110001.   |

## 5.INTER DEPARTMENTAL NOTE:

It may be recorded on a file or e-file (in case departmental connectivity is available) referred to another department or it could be an independent self-contained Note.

It is used for obtaining the advice, views, concurrence or comments from other departments on a subject as proposed or in seeking clarification on the existing rules, instructions, etc. It is also used for consultation by a department with its attached and subordinate offices or vice-versa. It does not require any salutations.

| Format  |
|---|
| No.<br>Government of India<br>(Bharat Sarkar)<br>Department of.....<br>(.....Vibhag)<br>New Delhi, the ....(Date)   |
| Subject   |
| 1. The present rules regulating the issue of identity cards provide inter alia that.....<br>2. A question has now arisen whether.....<br>3. This department will be grateful for the advice of the Department of Legal affairs on the issue raised in para 3 above. |
| Dept. of Legal Affairs<br>(Vidhi Karya Vibhag)<br>(Shri .....)<br>Shastri Bhavan,<br>New Delhi.   |
| (X.Y.Z.)<br>Deputy Secretary<br>Tele.No/e-mail  |

## 6.OFFICE ORDER:

It is used for issuing internal decisions/instructions of day-to-day administration e.g. grant of regular leave, distribution of work, appointments and transfers etc.

| Format   |
|--|
| <p>No.<br/>Government of India<br/>(Bharat Sarkar)<br/>Department of....., (.....Vibhag)<br/>New Delhi, the.....20..</p> <p>OFFICE ORDER(No. /2014)</p> <p>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.</p> <p>2. It is certified that Shri XYZ is likely, on the expiry of this leave, to return to duty at the station from which he proceeded on leave.</p> <p>(A.B.C.)<br/>Under Secretary to the<br/>Govt. of India<br/>Tele.No/e-mail</p> <p>Copy to:<br/>1. Office order file<br/>2. Cashier 3. Section concerned<br/>4. Shri XYZ Section Officer</p> |

## 7.ORDER:

It is used for issuing certain types of financial sanctions and for communicating Government orders in disciplinary cases to the officials concerned.



| Format   |
|--|
| <p>No.<br/>Government of India<br/>(Bharat Sarkar)<br/>Department of....., (.....Vibhag)<br/>New Delhi, the.....20..</p> <p>ORDER</p> <p>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.</p> <p>(1) X X X X X<br/>(2) X X X X X</p> <p>(A.B.C.)<br/>Under Secretary to the<br/>Govt. of India<br/>Tele.No/e-mail</p> <p>Copy forwarded to:<br/>1. The A.G.C.R., New Delhi. 2. Internal Finance Section 3. Cash Section</p> |

## 8.NOTITICATION:

It is mostly used in notifying promulgation of statutory rules and orders, appointments and promotions of Gazetted Officers, etc. through publications in the Gazette of India.

| Format  |
|---|
| <p>No.<br/>Government of India<br/>(Bharat Sarkar)<br/>Department of....., (.....Vibhag)<br/>New Delhi, the.....20..</p> <p>NOTIFICATION No.....</p> <p>Shri XYZ., Under Secretary in the Department of .....is appointed to officiate as Deputy Secretary in that Department vice Shri ..... transferred to the Department of .....</p> <p>(A.B.C.)<br/>Joint Secretary<br/>Tele.No/e-mail</p> <p>The Manager,<br/>Government of India Press,<br/>(Bharat Sarkar Press)<br/>FARIDABAD<br/>Copy forwarded for information to:<br/>1.<br/>2.</p> <p>(D.E.F.)<br/>Under Secretary to the<br/>Govt. of India</p> |

## 9.RESOLUTION:

This form of communication is used for making public announcement of decisions of Government regarding important matters of policy e.g. policy of industrial licensing, appointment of committees or commissions of enquiry. Resolutions are also published in the Gazette of India.

| Format  |
|---|
| <p>Gazette of India, Part I, Section I)<br/>No.....<br/>Government of India<br/>(Bharat Sarkar)<br/>Department of....., (.....Vibhag)<br/>New Delhi, the.....20..</p> <p>RESOLUTION</p> <p>The Government of India have had under consideration the question of further improving the efficiency of the departments and services concerned with the collection of revenue. As a first step in that direction the President has been pleased, under the powers vested in him under Article ..... of the Constitution of India, to decide that a Class Central Service to be known as 'India Revenue Service' should be constituted with effect from .....</p> <p>(A.B.C.)<br/>Secretary to the<br/>Government of India<br/>Tele.No/e-mail</p> <p>ORDER</p> <p>ORDERED that a copy of the resolution be communicated to..... ORDERED that the resolution be published in the Gazette of India for general information</p> <p>(A.B.C.)<br/>Secretary to the Government of India<br/>Tele.No/e-mail</p> <p>The Manager,<br/>Government of India Press,<br/>(Bharat Sarkar Press)<br/>FARIDABAD.</p> |

## 10. PRESS COMMUNIQUE/NOTE

This form is used with a view to giving wide publicity to a Government decision. A Press Communique is more formal in character than a press note and is expected to be reproduced verbatim by the Press. A press note is intended to serve as a hand-out which can be edited, compressed or enlarged as deemed fit by the Press.

| Format   |
|--|
| <p align="center"><b>PRESS COMMUNIQUE/NOTE</b></p> <p>Not to be published or broadcast before ..... a.m./p.m on.....day, the ..... 20..</p> <p align="center"><b>PRESS COMMUNIQUE/NOTE</b></p> <p>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.</p> <p>2. The Commission will consist of Shri ..... ..as Chairperson and the following as members;</p> <p>(i)</p> <p>(ii)</p> <p>(iii)</p> <p>3. In making its recommendations, the Commission is expected to give consideration to the following matters: (a) (b) (c)</p> <p>4. The Commission is expected to submit its report to the Government by .....</p> <p align="right">Department of .....<br/>(.....Vibhag)<br/>New Delhi, the.....20...</p> <p>No.....</p> <p>Forwarded to the Principal Information Officer, Press Information Bureau, Government of India, New Delhi, for issuing the communiqué and giving it wide publicity.</p> <p align="right">(A.B.C.)<br/>Joint Secretary<br/>Tele.No/e-mail</p> |

## 11.ENDORSEMENT:

This form is used when a receipt has to be returned in original to the sender, or the receipt 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.

| Format  |
|---|
| <p>No.</p> <p>Government of India</p> <p>(Bharat Sarkar)</p> <p>Department of.....</p> <p>(.....Vibhag)</p> <p>New Delhi, the.....2014</p> <p>A copy each of the papers mentioned below is forwarded for information and necessary action.</p> <p>(A.B.C.)</p> <p>Under Secretary to the</p> <p>Govt. of India</p> <p>Tele.No/e-mail</p> <p>List of papers forwarded.</p> <p>1.</p> <p>2.</p> <p>To</p> |

## 12.MINUTES

It is a record of discussions prepared immediately after the meeting and circulated to all concerned. It gives the date/time/venue of the meeting held. It indicates who chaired the meeting and the list of participants. It also indicates the concerned responsible for taking further action on each decision/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.

## **RECORDS MANAGEMENT**

### **RECORDS:**

(i)Records refer to the sources of information which has future referral value. Records may be on **PAPER** or **NON PAPER MEDIUM**. Paper medium – these are available in the form of files, registers, manuals, maps, reports, correspondence, forms etc. **NON PAPER MEDIUM** includes floppies, CDs, pen drives, audio-tapes, micro-films.

(ii)Records are tools of management to take tactical, operational or strategic decisions. These are memory of an organization. The quality of the decision taken by an organization depends to a large extent on the quality and timeliness of the information provided to the decision makers.

### **WHAT CONSTITUTES RECORDS:**

In the Offices, records get created when the office performs its informational role (informational role - providing to the general public the information on their area of operations). Records are the end product of activities such as collecting, collating, storing, processing and disseminating information. The creation of records in an organization takes place during the process of its activities and operations. The records are created due to the following factors:

(a)**External activities:** This could be in the form of various communications received from outside (eg. Circulars, letters etc.).

(b)**Internal activities:** This could be in the form of analysis of the communication received from outside or the process of decision making on the issues considered by the organization. The communications (letters) conveying the final decision of the organisations.

(a)**Mini records:** To facilitate the internal working of the organization, especially to meet the informational needs during the process of decision making, organisations create certain aids to processing for various types of cases like running summary of a case, reference folders, standing notes, standing guard files, etc.

## **WHY IS IT NECESSARY TO RETAIN GOVT. RECORDS:**

The following are some of the reasons for retaining Govt. records:

**I. The Public Records Act, 1993** has given a statutory orientation to the need to properly preserve and maintain records as per the Act and the Rules framed under it.

**II. Chapter II 4 (a) of the Right to Information Act, 2005** says every public authority shall maintain all its records duly catalogued and indexed. The Act has enjoined the responsibility to have an efficient records management system to ensure the timely availability of information to the public.

**III. To get over the limitation of human memory** to meet the informational needs relating to planning and scheduling of Govt. activities.

**IV. To ensure continuity in administration** in view of the continuous personnel changes.

**V. To meet obligations towards audit, courts, legislature, parliamentary committees and other public authorities.**

**VI. To maintain consistency and uniformity in the decision-making and its execution.**

**VII. To maintain transparency in Govt. working.**

**VIII. For fixing responsibility** if the need for that arises.

**IX. For historical and cultural value of records** in the history of the nation.

**X. For ensuring financial propriety.**

**XI. For providing evidence in the cases of dispute.**

## **RECORDS MANAGEMENT**

Records Management refers to the activities required to be undertaken during the entire life cycle of a record so that records are kept within manageable limits to ensure quick retrieval of the required records at a particular moment. A watch would have to be kept over each stage in the **life cycle of a record i.e. from its creation to disposition**. These stages may be categorized as follows:

(i) **Exercising judicious control over the CREATION** of records in the following manner:

a) **Files to be opened only when necessary.**

b) **Open only one file for a subject.**

c) **Avoid unnecessary correspondence.**

d) **Use standard process sheets or standard forms of communication/reply.**

e) **Review/re-design forms.**

f) **Reduce the number of levels of hierarchy**

g) **Constant reviewing of records management schedules/weeding.**

(ii) **After the disposal of the case, appropriate CATEGORIZATION of the record as per the importance of the records to be done.**

(iii) **TRANSFER** of the disposed of closed record to the designated custodian (**Records room**) .

(iv) **MAINTENANCE** of the records by the custodian (Records keeper).

(v) **PRESERVATION** of the records by the custodian.

(vi) **REVIEW** of the records by the creator on the completion of the initial retention period.

(vii) **WEEDING** out of the records that has outlived its utility (methods of weeding eg. Shreding, etc.).



(viii)Retiring the records of lasting value to the ultimate custodian-  
**NATIONAL ARCHIVES OF INDIA/STATE ARCHIVES** as the case may be.

### **PRINCIPLES OF RECORDS MANAGEMENT:**

Keeping in mind the challenges of effective records management, one of them being quick retrieval of records, the principles of effective records management would be listed as follows:

I. There should be **control over the creation of records** since its inception till its final disposal. Only relevant papers may be kept in the file. Papers of secondary importance and of transitory nature should not be allowed to clutter the file. **Filing of envelopes and many drafts (1st and 2<sup>nd</sup> draft) to be avoided.**

II. **Elaborate record retention schedules** should be available in the organisation and should provide for uniform and systematic schedule for retention and disposal of records. These schedules should be reviewed periodically say after every five years or so.

III. The closed records should be regularly and periodically **reviewed** after the expiry of the initial retention period.

IV. There should be constant **weeding** of the records that have outlived its utility.

This would keep the cost of maintenance of the records to the minimum.

V. The records should be stored in such a manner that they are **accessible** to the agencies that need to utilize them.

VI. The **storage** of records should also help in **speedy retrieval of records**.

VII. The maintenance and preservation of records should not be unnecessarily expensive. **Economy** should be observed by ensuring that (a) records occupy minimum space (b) cost of storage equipments is low (c) cost of retrieving information is low.

## **CATEGORIZATION OF RECORDS:**

The Government records at the time of their segregation as closed records are to be categorised in accordance with their importance. There are three such categories.

**CATEGORY 'A'** – At the time of recording of such files, these are endorsed as **'KEEP and MICROFILM'**-These categories of files are kept for at the most **25 years** with the **creator**. Thereafter a joint review is undertaken with the NAI and then taken over by the NAI. Files which fall in this category are:

(i)Files which qualify for permanent preservation for **administrative purposes** and which have to be microfilmed because they contain:

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

(b)Material likely to be required for frequent references by various agencies.

(ii)Files of **historical importance**.

**CATEGORY 'B'** – At the time of recording of such files, these are endorsed as **'KEEP but DO NOT MICROFILM'**. This category of files covers files required for permanent preservation for administrative purposes but not containing material of the kind mentioned above.

**CATEGORY 'C'**- This category includes those files which are required to be preserved for **specified period only**. These are the files of secondary value having reference value for a limited period **not exceeding 10 years**.

**RECORD RETENTION SCHEDULES:** Records should neither be destroyed prematurely nor should they be kept after they have outlived their utility. There should be a reasonable ratio between the creation and destruction of records. One of the essential components of an efficient records management system is the availability of elaborate record retention schedules. There are four types of record retention schedules.

| Retention Schedule  | Type of Records  |
|---|--|
| 1.Appendix 28 of the CS MOP   | Records referred in the C.S. MOP   |
| 2.Appendix 13 of GFR  | Records pertaining to Accounts   |
| 3.Records Retention schedules on such subjects issued by Dept. of Admn. Reforms and Public Grievances | Records relating to subjects common to all Departments                       |
| 4. Records retention schedules prescribed by the Department concerned                                 | Record Retention schedule pertaining to the item of work of a Department (*) |

(\*) Suggestions for preparation of format of Records Retention Schedule.

### **FORMAT**

| Sl.No. | Particulars<br>(subject of the file) | Retention (years) |
|--------|--------------------------------------|-------------------|
| 1.     | 2.                                   | 3.                |

**NOTE:** (i)The above format so prepared has to be approved by the Competent Authority.

(ii)The Format so prepared and approved is to be notified to all concerned.

(iii)The Format so notified is to be circulated widely to all concerned for implementation.

## **PROCEDURE FOR RECORDING:**

Files should be recorded after the issues considered thereon have been completed. Files are closed, after one year. Files of purely **ephemeral nature** containing papers of little reference value or research value may be destroyed after one year even without formally recording.

After action on the issues considered on the file have been completed, the dealing hand/initiating officer, should close and record the file in the following manner.

(i) Remove from the file all superfluous papers such as reminders, acknowledgements, routine slips, working sheets, rough drafts, surplus copies, and destroy them.

(ii) Indicate the appropriate categorization of records and in the case of Category 'C' also specify the retention period and the year of destruction on the file cover.

(iii) Wherever necessary, revise the title of the file so that it describes the contents of the file.

(iv) Get category 'A' and category 'B' files indexed.

(v) Take extracts from the file copies of important decisions, Circulars, documents that will be useful for future reference and add them to the standing guard file and precedent book.

(vi) Complete all references in the file

(vii) Complete entries in the file register. If required, revise the entries relating to the title of the file.

(viii) Complete entries in the register for watching progress of recording.

(ix) If required, re-page-number the file, and write page numbers in ink.

(ix) Prepare fresh file covers, where necessary, with all the entries already made thereon.

(x) Repair the file/papers, if damaged, and get the file stitched.

## **INDEXING OF FILES:**

**Indexing means the arrangement of record and documents in such a fashion that it is possible to locate them without delay. It is a procedure to locate important files.**

- (i) Files of category 'A' and 'B' to be indexed.**
- (ii) Ensure that the title of the file adequately represents the contents of the file.**
- (iii) From the title of the file, identify the catch words. The catch words are to be approved by the supervisory officer.**
- (iv) Take the index cards double the number the catch words so identified.**
- (v) Indicate on top of cards all the catch words one below the other.**
- (vi) Allot a pair of cards to each catch word by scoring out entries relating to the others.**
- (vii) Arrange the index card in two sets of alphabetical order of catch words. Keep one set in the Section and send the other to the compiler of Departmental index.**
- (viii) Keep the set of cards on year-wise basis in the Section.**
- (ix) Complete the entries relating to indexing on the file cover of the recorded file.**

## **TRANSFER OF RECORDED FILES:**

**Once the closed files have been recorded, they must be taken away from the dealing hand, so that his primary function relating to processing of current files is carried out.**

- (i) Section to keep recorded file for one year.**
- (ii) After following the proper procedure, the recorded files are to be transferred to Departmental Records Room at the most for 24 years.**
- (iii) These files are reviewed in consultation with NAI and then taken by NAI for permanent preservation.**

## **REVIEW OF RECORDS:**

**It is an activity for determining the future of the past records after completing the initial prescribed retention period. The objective is to know how much of the records stored have lost their relevance and utility at the end of the prescribed retention period.**

**Review should be undertaken in a systematic and regular manner as follows:**

**(i)Category 'C' records are reviewed after completion of the retention period.**

**(ii)Category 'A' and 'B' should be reviewed after completion of 25 years.**

## **DISPOSITION OF RECORDS:**

**If during the course of review of records it is found that some of the records have outlived its utility, it is weeded out. Before such records are shredded for destruction, a Certificate of Destruction is prepared in the format prescribed in Form-6 of the Public Records Rules, 1997.**

## **RETRIEVAL OF RECORDS:**

**It is an important activity in the area of records management. If a preserved record cannot be retrieved at the required moment it is as good as destroyed. The records required to be retrieved is properly identified i.e. the exact file number with the help of aids to retrieve records such as:**

**(a)Organisation History.**

**(b)Printed Index Heads.**

**(c)Induction Note.**

**(d)Index Cards.**

(g)Precedent Books.

(h)Standing Guard File.

(i)Standing Note.

(j)Reference Folder.

A formal request has to be made for requisitioning the record the custodian of the record. The records are to be issued only against a requisitioning card or paper which will indicate the purpose for which the particular record is being requisitioned. There is a need to indicate the identity i.e. the file number, diary number of the current record with which the requisitioned record is to be linked. When the record is issued, the requisition is kept in place of the issued record.

Files/records obtained from the Departmental Records Room are normally returned within three months.

#### **RETRIEVAL SYSTEM:**

Retrieve means 'find and bring in' or 'recover by investigation'. Retrieval system means devices which help in locating and identifying files which have bearing on cases under consideration. Besides the movement and diary registers, other aids which help in retrieval of records are the following.

**1.PRINTED INDEX:** An index helps an individual in locating previous papers on a particular subject.

**2.STANDING GUARD FILE:** Standing Guard File on a particular subject is useful to officers and staff because:

(i)It gives a background of the policy and procedure on the relevant subject to new officers.

(ii)It enables quick submission and disposal of records.

(iii)It takes the place of voluminous old files put up for reference and is capable of being put up at short notice.

(iv)It helps the office in locating the previous papers having a bearing on the subject.

Standing Guard Files are prepared on subjects dealt in a Section and is a compilation consisting of the following three parts:

- (a) A running summary of the principles and policy relating to the subject with number and relevant decisions or orders quoted in margin against each;
- (b) Copies of the decisions or orders referred to arranged in chronological order;
- (c) Model forms of communications to be used at different stages.

The relevant number of file quoted in (a) and copies of orders placed in (b) helps in immediate location of the previous papers on the subject.

### **3. 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 it, access to important files on the subject can be done and located without any delay.

Standing Note is a continuous note explaining the history and development of policy of a particular subject and is designed to serve as:

- (a) Complete background material for review of the existing policy and procedure;
- (b) A brief for preparing replies for Parliament questions;
- (c) Induction or training material for new incumbents.
- (d) The Standing Note should be updated when there is change in policy or procedure.



#### **4.PRECEDENT BOOK:**

This is a valuable tool for quick retrieval of past papers on the subject under consideration. It is possible to locate files on the subject quickly by referring to it.

It is designed for keeping a note of important rulings/decisions having a precedent value for ready reference. Entries in this register are to be made at the time of taking decision and at the stage of recording the file. The form of the Book is as follows:

#### **PRECEDENT BOOK**

Heading .....

|                             |          |
|-----------------------------|----------|
| Decision or ruling in brief | File No. |
|-----------------------------|----------|

#### **5.REFERENCE FOLDER:**

It is another device which helps in retrieving previous papers on the subject quickly. It is a folder containing copies of relevant rules, orders, instructions, etc. on a particular subject issued by various authorities arranged in chronological order. It is useful to collect important previous files on the subject which are helpful in the disposal of the case.

**6.INDUCTION NOTE:** In order to help new Officers in understanding the working of various sections under their control an induction note explaining the working of the Division is prepared. It consists of the following:

(i)Subjects dealt with in the Division together with brief and to the point history of each subject, present policy relating to it and rules and regulation necessary for the disposal of cases. It also contains list of :-

- (a) Reference Books and Guard Files kept in the Section;
- (b)Important current and recorded files pertaining to each subject.
- (ii)Organisation chart showing line and staff arrangement.
- (iii)Allocation of work among different Sections of the Division.
- (iv)List of attached and subordinate Offices with designation of corresponding Officers.

(v) Names of Ministries and designation of Officers with whom the Officers are likely to have official meetings.

#### **7. ALPHABETICAL LIST OF IMPORTANT FILES:**

This is yet another device which is very helpful in retrieving papers quickly. The Section Officer can maintain a list of important files in alphabetical diary.

This can also contain the nominal index in respect of :

- (i) Persons whose cases may often be called up by higher Officers
- (ii) Persons against whom some action is pending.
- (iii) Persistent representationists.

#### **8. OTHER INFORMATION AIDS:**

These are helpful in quick disposal of cases. A specimen list of information aids in different functional areas are available for reference.

## **NOTING**

### **WHAT IS NOTING:**

It is a process through which one officer or official shares his views on a given subject on a file with another officer or official.

### **WHY NOTING:**

The main purpose of noting and drafting is to complete the process of disposal of a case.

### **DEFINITION OF A NOTE:**

Notes are written remarks recorded on a paper under consideration to facilitate its disposal.

### **CONTENTS OF A NOTE:**

Name, designation, Telephone No. of the Officer signing the Note should invariably be typed or stamped with a rubber stamp below the signature which should be dated. In recording the date, the month and the year should also be indicated.

### **DIFFERENCE BETWEEN NOTING AND DRAFTING:**

**Noting** focuses on thorough examination of the case. **Drafting** actually conveys the decision or message.

**PURPOSE OF NOTING:** The primary purpose of the process is i) to allow discourse over the specific topic ii) Maintain a written record of the same for future reference iii) It facilitates the decision making process iv) It ensures consistency of approach v) It also provides historical and evidential material.

Noting is the most basic and daily function performed in Offices at every level of hierarchy.

**FILE:**

A file is a collection of papers on a specific subject with an assigned file number and consisting of one or more of the following parts.

**FILE STRUCTURE:**

A file has two parts viz. **correspondence** portion with receipts, office copy of letters and **Notes** portion containing notes or minutes/orders recorded on a case. It also consists of appendix (enclosures/attachment) to correspondence and appendix to Notes.

**PROCESSING STEPS:**

**FILING:** A proper filing system is essential for convenient identification, sorting, storage and retrieval of papers. Both **Notes** portion and correspondence are to be placed in a single cover file. Notes to be filed on left hand side and correspondence on right hand side. Filing of papers processed through folders/part files are to be filed after re-numbering both the Notes and correspondence portion. Envelopes are not to be filed.

**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. After Docketing, if the Branch Officer or any higher Officer has made any remark on the receipt, it should be reproduced in the manner indicated below and then the note should follow.

p.70/C

S.No.5 (Receipt)

“We need to keep the Director informed. Pl.put up today.

Sd/- ABC  
Asstt. Dir. (Admn)  
12/3/2018”.

OS(Admn) Sd/-

**NOTING:** A Note has to contain: i) Statement of case ii) Relevant facts & figures iii) Law/rules on the subject iv) Views/advise of other Departments v) Possible course of action vi) Implications of various options vii) Suggested courses of action with reasons.

### **REFERENCING :**

Is a process of identifying a document, decision and facts mentioned in a note, draft or office copy of the communication issued.

Referencing involves:

Consecutively numbering in separate series, every page in each part of the file viz. notes, correspondence, appendix to notes and correspondence e.g. 23/N or 2/C.

Assign a serial number on each item of correspondence on a file, receipt or issue. The serial number will be displayed prominently in red ink on the top middle portion of its first page. eg. Sl.No.17(R).

The paper under consideration on a file will be flagged 'PUC' and the latest fresh receipt noted upon, as 'FR'. In no circumstances, will a slip, other than 'PUC' or 'FR' be attached to any paper in a current file. If there are more than one fresh receipt in a case, these should be flagged as 'FR1', 'FR2', etc. eg. Flag 'PUC' or 'FR'.

In referring to the papers flagged 'PUC' or 'FR', the relevant page numbers will be quoted invariably in the margin. Other papers in a current file will be referred to by their page numbers. eg. Pg.10-12/C.

Current file will be flagged with alphabetical slips for quick identification. If two or more papers are to be referred to, they should be identified by the relevant page numbers in addition to the alphabetical slip eg. 'A'/23N, 'A'/17C.

**SUBMISSION:** The submission of files will be according to the levels of hierarchy laid down by the Department/Section. The number of levels through which a file passes for a decision shall not exceed 4.

**DECISION:** It is a stand taken by the deciding authority on the subject.

**DRAFTING:** It is a process of conveying the decision/order/message.

**NOTING** – The important aspects in a Noting and some important points to be included in a Noting are as follows:

**1.NOTE SHEET :**

All notings are to be put on a green sheet. Green sheet has a legal status.

**2.MARGIN :**

One inch margin on all the sides of the noting sheet to be left to take care of the wear and tear of the noting sheet.

### **3.FILE NO:**

File numbering is based on subject classification based file numbering system. Each Section has to maintain approved lists of standard heads i.e. main subjects concerning it.

Suppose the standard head is Scientific Research Section and the Sl.No. is 3, the file no. will be numbered as 3/1/2019-SR. 3-represents the standard head No., 1-represents the Sl.No. of the file opened, 2019-represents the year in which the file is opened, SR-stands for the abbreviated symbol identifying the Section.

The first three elements in the file no. will be separated from one another by a stroke/slant and the last one/two by a dash/hyphen.

### **4.FILE REGISTER**

Standard Head No. \_\_\_\_\_

Standard Heading \_\_\_\_\_

| File No. | Subject | Date of opening | Date of closing | Classification (and year of review) | Remarks |
|----------|---------|-----------------|-----------------|-------------------------------------|---------|
| 1.       | 2.      | 3.              | 4.              | 5.                                  | 6.      |

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 case of class 'C' files.

3.If as a result of the review, a file is marked for further retention, the year of the next review will be worked out and indicated in Column 5.

### **5.PAGE NUMBERING:**

Every page in each part of the file (viz. Notes and correspondence) will be consecutively numbered in separate series on the top right hand corner. Blank intervening pages should also be numbered.

**6.DEPARTMENT/SECTION:**

The name of the Department/Section has to be invariably indicated on the file cover.

**7.SUBJECT:**

The subject in a letter may be used but it is not essential. It talks about the purpose of the letter. It should catch the eye. It should be short and precise and should highlight what the letter is about.

**8.CONCISE AND TO THE POINT:**

The letter should be concise and to the point. It should be brief yet it should include all the important points.

**9. NO PARAPHARSING :**

The coping of direct quotations, words or phrases from a single reference source from elsewhere should be avoided.

**10.CONCLUDING PARAGRAPH:**

It is also known as 'Approval Paragraph'. It is a recommendation made by the dealing hand by citing the rules/procedure laid down for the approval of the Deciding Authority.

**11.SIGNATURES AND MARKING:**

The dealing hand will append his or her full signature with date on the left below the note.

An officer will append full signature on the right hand side of the note with name, designation and the date.

The Dealing Hand on completion of the Note shall append his signature on the left hand side of the note and mark the note/file to his next superior in the level of hierarchy.

**12.FROM PRE-PAGE:**

In case the noting spills over to the next noting sheet, writing 'from pre-page' would be essential to indicate that the noting is continued from the previous noting sheet.



### **13.COURTESY SHEET:**

As a matter of courtesy, the Dealing Hand is required to place an additional green sheet even though he has started his noting on a fresh noting sheet and his noting will only be of 2-3 lines.

### **GUIDELINES FOR NOTING**

- 1.All notes should be concise and to the point and factually correct.
2. A simple and direct style of writing should always be adopted. Use of complicated and ambiguous language should be avoided.
- 3.The verbatim reproduction of extracts from or paraphrasing of the letter or any other part of correspondence or Notes on the same file should be avoided.
- 4.Excessive and lengthy noting is an evil which should be avoided. The official is required to read the paper under consideration and the previous notings, if any.
- 5.The dealing hand will append his or her full signature with date on the left below the note.
6. An officer will append full signature on the right hand side of the note with name, designation and the date.
- 7.A Note will be divided into paragraphs of easy size, say six to ten lines each. Paragraphs should be serially numbered and may also have brief titles.
- 8.When running summary of facts is available on the file, it should be referred to without repeating any part of the facts in the note.
- 9.**Modification of Notes:** There should be no occasion to record a Note in the first instance and then pasting it over. Such pasting tantamount to mutilation of the record. It also gives an inelegant look to the files. Even where a Note recorded in the first instance needs any modification on account of additional facts/errors having come to notice, a subsequent Note may be recorded indicating the

circumstances leading to recording of the fresh Note, keeping the earlier Note intact. In any case, there should be no occasion to conceal a Note recorded in the first instance. It is also undesirable for an Officer to make his subordinate change his Note.

10. Avoid repeating the points/grounds already covered either by the Dealing Hand or other supervisory staff.

11. If the Officer/Supervisory staff agrees to the line of action already proposed/suggested/covered by the Dealing Hand, he/she may merely append his signature.

**SECTIONAL NOTE:** When a case raises several major points which require detailed examination and orders on each point, it will be noted separately in Sectional Note which will begin with a list of major points dealt with.

**ROUTINE NOTE:** It is of a temporary value or ephemeral important recorded outside the file – A record of casual discussion or of secondary importance to facilitate consideration of the case by higher officers.

#### **ESSENTIAL CONTENTS OF A NOTE:**

1. Statement of case (Shri XYZ has made an application for deputation for training-4/C).

2. Relevant facts & figures (Check facts-whether the Agency indicated by the applicant is conducting the training and dates).

3. Law/rules on the subject (To ascertain whether he/she can be deputed in case on probation, temporary, etc.).

4. Views/advise of other Departments (To ascertain the date of retirement).

5. Possible course of action (If the applicant is temporary he/she cannot be deputed for training. To also state/indicate any precedents in similar cases).

6.Implications of various options (If not deputed, whether it may result in loss to the Department.).

7.Suggested courses of action with reasons (If temporary, he/she can be deputed after confirmation).

# **FUNCTION APPROACH TO NOTING - 5 TYPES OF CASES AND THE QUANTUM OF NOTING.**

|                                  |  |   |
|----------------------------------|--|---|
| 1.Ephemeral cases                |  | No noting   |
| 2.Routine/Repetitive cases       |  | Standard process sheet  |
| 3.Action-in-correspondence Cases |  | Brief note indicating the issue under consideration and the suggested action  |
| 4.Problem solving cases          |  | (i)What is the problem (ii)How has it arisen (iii)What is the rule, policy or precedent (iv)What are the possible solutions, why (v)Which is the best solution, why (vi)What will be the consequences of the proposed solution. |
| 5.Policy and planning cases      |  | (i)Problem (ii)Additional information (iii)Rule, policy, etc. (iv)Precedents (v)Critical analysis (vi)Concluding paragraphs.  |

Examples on the point of Noting in the above 5 cases.

|                                  |   |
|----------------------------------|---|
| 1.Ephemeral cases                | Note from another Section informing of the missing inward register.                   |
| 2.Routine/Repetitive cases       | Application for sanction of leave.  |
| 3.Action-in-correspondence cases | Letter from another Dept. to nominate one officer on the Committee to be constituted. |
| 4.Problem solving cases          | Note informing theft of the vehicle of the Department.                                |
| 5.Policy and planning cases      | Decision to include the staff of autonomous bodies in the HBA scheme.                 |

## **LANGUAGE IN NOTES:**

### **1.USE SIMPLE WORDS:**

The notings should be put up in a simple language considering that it has to be understood by all those reading the notes. Words with a precise meaning should be preferred to those that are vague.

The use of the following words may be avoided in official notings and some other words are given as substitutes.

| <b>Words to be avoided</b> | <b>Substitute words</b>                         |
|----------------------------|---|
| Do the needful             | Do what is necessary/the necessary may be done. |
| The same                   | It.   |
| Therein                    | In it.  |
| Thereon                    | On it.  |

**2.AVOID USING REDUNDANT WORDS:**

Care should be taken to ensure that the notings does not have unnecessary words. Only those words that are necessary to express one's meaning should be used.

**3.AVOID AMBIGUOUS/COMPLICATED WORDS/SENTENCES:**

The notings should be in simple language without being open to multiple interpretations. Familiar words are to be used so that they are easily understood.

**4.COURTEOUS AND TEMPERATE LANGUAGE:** The Note should express ideas tactfully, without hurting anybody's feelings, and emphasise positive facts. If apparent errors or incorrect statements in a case have been pointed out or if an opinion expressed therein has to be criticized, care should be taken to make the observations in courteous and temperate language free from personal remarks.

**A GOOD NOTE**

A basic Note in a file is written by the Dealing Hand. Based on his notings, a decision will be taken by the Superiors. The correctness of the decision will depend upon the Notings put up by the Dealing Hand. A well written Note leads to correct decision. It is necessary that the contents of the note should be well thought of.

### ESSENTIALS POINTS OF A GOOD NOTE:

|    |                               |   |  |
|----|-------------------------------|---|--|
| 1. | <b>Check - facts</b>          | <b>Subject: Permission to erect a mobile tower</b><br>Is the application for mobile tower in the area received. | <b>Subject: Application for advance increments</b><br>Whether asking increments is as per rules. |
| 2. | <b>Supply – missing link</b>  | Earlier same party had applied or was there any opposition from the people.                                     | Whether increments were given earlier.   |
| 3. | <b>Refer- rules/authority</b> | Any rules by the Panchayat/Govt.in this regards.  | Whether he is eligible for increments as per rules   |
| 4. | <b>Quote- Precedence</b>      | Whether another party had applied for permission earlier –and whether permission was given.                     | Whether anybody was given advance increments earlier.  |
| 5. | <b>Suggest- alternatives</b>  | Whether there was opposition from the people, whether he could apply elsewhere.                                 | Instead of advance increments whether he is due for promotion/MACP/other scheme.                 |
| 6. | <b>Assess- Implications</b>   | If permission is given- people will agitate which may result in law and order problem.                          | In case promotion is not given he will approach the Court with the grievance.                    |

### **NOTING SKILLS – THE 3 Cs:**

**1.CORRECT:** The notings should be factually correct, figures should be free from mistakes, and the writing should be grammatically correct.

**2.CLEAR:** The notings should be written, as far as possible, choosing short, familiar words, using short sentences, in active voice, and preferring concrete expressions in place of abstract ones.

**3.COHERENT:** The notings should be logically arranged, sticking to one idea for each paragraph, and linking together sentences and paragraphs.

### **ARRANGEMENT OF PAPERS IN A CASE:**

The case in the file should have the following documents:

- (i)Reference books;
- (ii)Notes portion of the current file ending with the note for consideration;
- (iii)Running summary of facts;
- (iv)Draft for approval, if any;
- (v)Correspondence portion of the current file ending with the latest receipt or issue, as the case may be;
- (vi)Appendix to notes and correspondence;
- (vii)Standing Guard file, standing note or reference folder, if any.

**STANDING GUARD FILE:** Is useful to staff because i)gives a background of the policy and provisions on the subject ii)helps in quick submission and disposal of cases iii)takes the place of voluminous and old files and capable of putting notes at a short notice.

**STANDING NOTE:** Is a continuous note explaining the history and development of a policy of a particular subject.

**REFERENCE FOLDER:** It is a device which helps in retrieving previous papers on the subject quickly. It consists of copies of relevant rules, orders, instructions.

Other papers referred to like extract of notes or correspondence from other files, copies of orders, resolutions, gazettes, arranged in chronological order;

Recorded files ( if any, to be arranged in chronological order).

**RECORDING:**

Recording is a process of closing a file after action on all the issues under consideration has been completed.

Procedure for recording:

(i)Referencing to be completed.

(ii)Remove from the file routine papers i.e. reminders, acknowledgements, working sheets, rough drafts, envelopes, if any and destroy.

(iii)Revise the title of the file, if required.

(iv)Change the cover of the file and specify the retention period.

(v)Place copies of important decisions in the Guard file/Precedent Book.

(vi)Record files under proper class i.e. A, B and C.

(vii)Index A and B class files.

(viii)Get the file stitched.



## **DRAFTING**

### **DEFINITION OF A DRAFT:**

A draft is a rough sketch of a communication to be issued under approval of the officer concerned.

### **CONTENTS OF A NOTE:**

A draft should contain the name, designation, telephone No., email and official address of the sender.

### **WHAT IS DRAFTING:**

The rough sketch that is put up in the file is known as a draft. It is issued after the Officer who has to sign it has approved it. It is prepared in double spacing.

### **TWO CASES WHEN DRAFTS ARE NOT NECESSARY:**

- In simple cases like sending an acknowledgement, etc. a fair communication can be put up for the signature of the concerned Officer.
- In cases of repetitive nature, where standard forms of reply are available.

### **PRINCIPLES OF DRAFTING:**

1.A draft should result in the desired response.

2.It should be divided into paragraphs. The Note should be made attractive by dividing it in serially numbered paragraphs, using headings liberally and keeping the paragraphs to six to ten lines.

3.A draft should have a coherent flow of ideas. It should be logically arranged, sticking to one idea for each paragraph, and linking sentences and paragraphs together.

4.A draft should draw attention/reference to previous correspondence.

5.It should be initialed/approved by the Approving Authority.

6.When the matter is complex or where the communication to be sent is long or where the subject matter is complex, providing a summary of the content at the end would enable a quick appreciation of the message conveyed and reinforce the actions points for the receiver.

7.It is not always necessary to await the approval of the proposed line of action and the draft will be put up simultaneously along with the notes by the initiating level Officer. The higher Officer may revise the draft, if it does not conform to the approved course of action.

8.The enclosures which are to accompany the fair copy, should be indicated at the bottom left of the page.

9.A draft should not contain lengthy sentences, abruptness, redundancy, circumlocution, verbosity, superlatives and repetition whether of words, observations or ideas.

10.A draft should cover one idea in one paragraph.

11.A draft should include concrete words in place of abstract words as the former is more likely to have precise meaning.

#### **A DRAFT MUST CONTAIN THE FOLLOWING:**

##### **1.File No:**

All drafts put up on a file should have the number of file written appropriately which is necessary to identify in case the draft is misplaced.

##### **2.Name, address, phone and fax no. of sender organization:**

All the above details should figure in the draft at the appropriate places.

**3.Name, designation of addressee with postal address:**

These details should be indicated at the appropriate places.

**4.Salutation:**

The salutation like 'Sir' (in case of official letters) and 'Dear Shri' (in respect of D.O. letters) should appear appropriately.

**5.Subject of communication:**

The subject in the letter talks about the purpose of the letter and which should catch the eye. It should be short and precise. The use of subject is optional.

**6.No. and date of last communication:**

A reference should invariably be made to the number and date of last communication in the draft.

**7. Enclosures to accompany the fair letter:**

A mention of the enclosures should be made in the letter on the left hand side below and by the side of the subscription e.g.

i)NOC.

ii)Form I and XIV.

iii)Affidavit.

**8.Subscription:**

The subscription 'Yours faithfully' or 'Yours sincerely' as the case may be should be made in the letter.

**9. Mode of transmission:**

The mode of transmission of the letter whether by i)Hand delivery ii)Special Messenger iii)Speed post iv)Registered post, etc. should be indicated.

**10.Urgency grading:**

The urgency grading is to be decided/approved not below the Section officer and should be indicated in the letter. The following three types of urgency gradings are suggested.

i)Immediate: Cases requiring prompt action.

ii)Priority: Cases which merit disposal in precedence to others of ordinary nature.

iii)Most Priority :Extremely urgent cases.

**11.Endorsement: (if required)**

The endorsement may be used when a receipt/letter has to be returned in original/copy to another Office/Department for information or action.

**12.Name, designation, mobile no. and email address of the Sender:**

These details should be included in the letter.

## **CENTRAL CIVIL SERVICES (CONDUCT) RULES**

### **RULE 1: APPLICABILITY**

**These rules shall apply to every Government servant appointed to a civil service or post.**

**These rules shall not be applicable to i)A railway servant ii)A person holding a post in the Railway Board/under the administrative control of the Railway Board or the Financial Commissioner of the Railways iii)A member of an All India Service iv)Any other person/post so notified.**

### **RULE 2: DEFINITION:**

**a)The Government means the State/Central Government.**

**b)Government servant means any person appointed by the Government to any civil service or post.**

**c)Members of family in relation to a Government servant includes:**

**(i)The wife or husband, as the case may of the Government servant whether residing with the Government servant or not but does not include a wife or husband separated from the Government servant by a decree or order of the competent court.**

**(ii)Son or daughter or stepson or stepdaughter of the Government servant and wholly dependent on him.**

**(iii) Any other person related, whether by blood or marriage to the Government servant or wholly dependent on the Government servant.**

**RULE 3: GENERAL:**

**(1) Every Government servant shall at all times:**

**i. Maintain absolute integrity;**

**ii. Maintain devotion to duty; and**

**iii. Do nothing which is unbecoming of a Government servant.**

**iv. Uphold the supremacy of the Constitution and democratic values;**

**v. Uphold the sovereignty and integrity of India, the security of the State, public order, decency and morality;**

**vi. Maintain high ethical standards and honesty;**

**vii. Maintain political neutrality;**

**viii. Promote the principles of merit, fairness and impartiality in the discharge of duties;**

**ix. Maintain accountability and transparency;**

**x. Maintain responsiveness to the public, particularly to the weaker section;**

**xi. Maintain courtesy and good behaviour with the public;**

**xii. Take decisions in public interest, use public resources efficiently, effectively and economically;**

**xiii.Private interests relating to public duties to be declared, take steps to resolve any conflicts in a way that protects the public interest;**

**xiv.Financial or other obligations to any individual or organization which may influence in the performance of official duties to be avoided;**

**xv.Not misuse position as civil servant and not take decisions in order to derive financial or material benefit for self, family or friends;**

**xvi.Make choices, take decisions and make recommendations on merit alone;**

**xvii.Act with fairness and impartiality and not discriminate against anyone, particularly the poor and the under-privileged sections of society;**

**xviii.Refrain from doing anything which is or may be contrary to any law, rules, regulations and established practices;**

**xix.Maintain discipline in the discharge of duties and be liable to implement the lawful orders duly communicated.**

**xx.Maintain confidentiality in the performance of his official duties as required by any laws for the time being in force, particularly with regard to information, disclosure of which may prejudicially affect the sovereignty and integrity of India, the security of the State, strategic, scientific or economic interests of the State, friendly relation with foreign countries or lead to incitement of an offence or illegal or unlawful gain to any person;**

**xxi. Perform and discharge duties with the highest degree of professionalism and dedication to the best of abilities.**

**(2) (i) Every Government servant holding a supervisory post shall take all possible steps to ensure the integrity and devotion to duty of all Government servants for the time being under his control and authority;**

**(ii) No Government servant shall, in the performance of his official duties, or in the exercise of powers conferred on him, act otherwise than in his best judgment except when he is acting under the directions of his official superior;**

**(iii) The direction of the official superior shall ordinarily be in writing. Oral direction to subordinates shall be avoided, as far as possible. Where the issue of oral direction becomes unavoidable, the official superior shall confirm it in writing immediately thereafter;**

**(iv) A Government servant who has received oral instruction from his official superior shall seek confirmation of the same in writing as early as possible, whereupon it shall be the duty of the official superior to confirm the direction in writing.**

**A Government servant who habitually fails to perform the task assigned to him within the time set for the purpose and with the quality of performance expected of him shall be deemed to be lacking in devotion to duty within the meaning of Clause (ii) of sub-rule (1).**

### **RULE 3-A. PROMPTNESS AND COURTESY**

**No Government servant shall:**

**(a) in the performance of his official duties, act in a discourteous manner;**

**(b) in his official dealings with the public or otherwise adopt dilatory tactics or wilfully cause delays in disposal of the work assigned to him.**



### **RULE 3-B.OBSERVANCE OF GOVERNMENT'S POLICIES**

**Every Government servant shall, at all times:**

- (i)act in accordance with the Government's policies regarding age and cultural heritage;**
- (ii)Observe the Government's policies regarding prevention of crime against women.**

### **RULE 3-C. PROHIBITION OF SEXUAL HARASSMENT OF WORKING WOMEN**

**(1)No Government servant shall indulge in any act of sexual harassment of any woman at any workplace.**

**(2) Every Government servant who is in charge of a workplace shall take appropriate steps to prevent sexual harassment to any woman at such workplace.**

**EXPLANATION – For the purpose of this rule, (a) “sexual harassment” includes such unwelcome sexually determined behaviour, whether directly or otherwise, as:**

- (i)physical contact and advances; or**
- (ii)a demand or request for sexual favours; or**
- (iii)making sexually coloured remarks; or**
- (iv)showing pornography; or**
- (v)any other unwelcome physical, verbal, non-verbal conduct of a sexual nature.**

**(b)The following circumstances, among other circumstances, if it occurs or is present in relation to or connected with any act or behavior of sexual harassment may amount to sexual harassment-**

**(i)implied or explicit promise of preferential treatment in employment; or**

**(ii)implied or explicit threat of detrimental treatment in employment; or**

**(iii)implied or explicit threat about her present or future employment status; or**

**(iv)interference with her work or creating an intimidating or offensive or hostile work environment for her; or**

**(v)humiliating treatment likely to affect her health or safety.**

**(c)"workplace" includes,-**

**(i)any Department, organization, undertaking, establishment, enterprise, institution, office, branch or unit which is established, owned, controlled or wholly or substantially financed by funds provided directly or indirectly by the Central/State Government;**

**(ii)hospitals or nursing homes;**

**(iii)any sports institute, stadium, sports complex or competition or games venue, whether residential or not used for training, sports or other activities relating thereto;**

**(iv)any place visited by the employee arising out of or during the course of employment including transportation provided by the employer for undertaking such journey;**

**(v)a dwelling place or a house.**

## **GOVERNMENT OF INDIA'S DECISIONS:**

**(1)Intimation required to be given regarding conviction: Every Government servant is expected to inform his departmental superiors of any conviction.**

**(2)Intimation about detention: It shall be the duty of a Government servant who may be arrested for any reason to intimate the fact of his arrest to his official superior promptly even though he might have been subsequently been released on bail. Failure on the part of the Government servant to inform his official superior will be regarded as suppression of material information and will render him liable to disciplinary action on this ground alone, apart from the action that may be called for on the outcome of the police case against him.**

**(3)Provisions in the Conduct Rules should not violate the Government servant's fundamental rights guaranteed under the Constitution.**

**(4)Joining educational institutions by Government servant outside normal office hours: Government servant to take prior permission before joining educational institutions or courses of studies for University degrees.**

**Government servants belonging to the Scheduled Castes/Scheduled Tribes may be allowed to take full advantage of the educational facilities.**

**(5)Period of tenure of the official should be taken into account while granting permission to attend courses of study outside office hours.**

**(6)Participation in "Shramdan" organized by Government department or the Bharat Sevak Samaj to be encouraged.**

**(7)Government servant can join as volunteer in the Civil Defence Service.**

**(8)Incentive to Central Government servants who are members of St.John Ambulance Brigade: The Head of Office may permit the employee to enroll himself as member of St.John Ambulance Brigade on the condition it will not interfere with the efficient discharge of his official duties.**

**(9)Government servants to be encouraged to join Home Guard Organisation.**

**(10)Government servants may be permitted to join Territorial Army.**

**(11)It is not necessary for the Government servant to obtain permission for seeking redress in Courts of Law of grievances arising out of their employment or conditions of service.**

**(12)Conduct of a Government servant in relation to the proper maintenance of his family: A Government servant is expected to maintain a responsible and decent standard of conduct of his private life. Neglecting of wife and family will attract departmental proceedings on that score without invoking any of the Conduct Rules.**

**(13)Those holding responsible posts to maintain independence and impartiality in the discharge of their duties.**

**(14)Integrity of Officers appointed to responsible posts: Officers with integrity and reputation for honesty and impartiality to be recommended for responsible posts.**

**(15)According to Rule 3(2)(i) every Government servant holding a supervisory post shall take all possible steps to ensure the integrity and devotion to duty of all Government servants under his control and authority.**

**(16-A) Oral instructions by Superiors Officers to be avoided: Oral instructions should not be issued by senior officers to their subordinates. If issued, they should be confirmed by him in writing immediately thereafter.**

**(16-B) Role of oral instructions in the transaction of Government business: The instructions issued in this regard needs to be followed.**

**(17-A) Observance of courtesy by Officers in dealing the Members of Parliament: Instructions issued are to be followed.**

**(17-B) Official dealings between the Administration and Members of Parliament and State Legislatures: The procedure and instructions issued are to be followed.**

**(17-C) Guidelines for official dealings with the MPs and MLAs: The guidelines issued are to be followed.**

**(17-D and 17-E) Invitation to functions/public functions: Members of Parliament/State Legislature are to be invariably invited to public functions organized by a Government office and proper and comfortable seating arrangements at public functions should be made for them.**

**(17-F) Observance of proper procedure in official dealing between the Administration and MPs/MLAs: The guidelines issued are to be followed.**

**(18) Deterrent action for discourtesy and adopting dilatory tactics in dealing with the public.**

**(19) Participation of Government servants in proselytization.**

**(20) Practice of untouchability to be viewed seriously.**

**(21) Joint representation from Government servants to be viewed as subversive of discipline: Every Government servant making a representation should do so separately and in his own name.**

**(22) Observance of proper decorum by Government servant during the lunch break: The sight of groups of Government servants playing cards around and inside Government offices is not becoming and does not promote discipline and decorum in Government offices.**

**(23) Acts and conducts which amount to misconduct-the following act or conduct of a servant may amount to misconduct:**

**(1) conduct is prejudicial to the interests of the master/reputation of the master.**

**(2) conduct is inconsistent or incompatible with the due or peaceful discharge of duty to the master.**

**(3) conduct makes it unsafe for the employer to retain in service.**

**(4) conduct is grossly immoral –employee cannot be trusted.**

**(5) conduct is such that the master cannot rely on the faithfulness of employee.**

**(6) not discharging duties properly.**

**(7) is abusive or disturbs the peace at the place of employment.**

**(8) is insulting and insubordinate.**

**(9) habitually negligent in work.**

**(10) if neglect tends to cause serious consequences.**

**The following acts and omissions amount to misconduct:**

- (1) willful insubordination or disobedience.**
- (2) infidelity, unfaithfulness, dishonesty, untrustworthiness, theft and fraud.**
- (3) strike, picketing, gherao, striking work or inciting others.**
- (4) gross moral misconduct-acts subversive of discipline-riotous or disorderly behavior.**
- (5) habitual late attendance, negligence/neglect of work, absence without permission over-staying leave.**
- (6) Conviction by a criminal court.**

**(24) Cases of trivial nature should be eliminated.**

**(25) Guidelines and norms to be observed to prevent sexual harassment of working women: The Hon'ble Supreme Court has laid down guidelines and norms to be observed to prevent sexual harassment of working women.**

**Complaints Committee: The Complaints Committee should be constituted and should be headed by a woman and not less than half of its members should be women. It should also involve a third party, either NGO or other body who is familiar with the issue of sexual harassment.**

**Rule 4 - Employment of near relatives of Government servants in companies or firms:**

**(1) No Government servant shall use his position or influence directly or indirectly to secure employment for any member of family in any company or firm.**

**(2)(i) No class I officer shall, except with the previous sanction of the Government permit his son, daughter or other dependent to accept employment in any company or firm with which he has official dealings or in any other company with the Government.**

**(ii) A Government servant shall, as soon as he becomes aware of the acceptance by a member of his family of any employment in any company or firm, intimate such acceptance to the prescribed authority and shall also intimate whether he has or has had any official dealings with that company or firm.**

**(3) No Government servant shall in the discharge of his official duties deal with any matter or give or sanction any contract to any company or firm or any other person if any member of his family is employed in that company or firm, he shall refer every such matter or contract to his official superior.**

**Rule 5 – Taking part in politics and elections:**

**(1) No Government servant shall be a member of, or be otherwise associated with, any political party or any organization which takes part in politics nor shall he take part in, subscribe in aid of, or assist in any other manner, any political movement or activity.**

**(2) It shall be the duty of every Government servant to endeavor to prevent any member of his family from taking part in, subscribing in aid of, or assisting in any other manner any movement or activity which is, or tends directly or indirectly to be, subversive of the**



**Government.** If a Government servant is unable to prevent a member of his family from taking part in, or subscribing in aid of, or assisting in any other manner, any such movement or activity, he shall make a report to that effect to the Government.

**(3)**On a question whether a party is political or activity falls within the scope of sub-rule (2), the decision of the Government thereon shall be final.

**(4)**No Government servant shall canvass or otherwise interfere with, or use his influence in connection with or take part in an election to any Legislature or Local Authority.

**EXPLANATION:** The display by a Government servant on his person, vehicle or residence of any electoral symbol shall amount to using his influence in connection with an election within the meaning of the sub-rule.

**(2)**Attendance by Government servants at political meetings: Attendance at meetings, organized by a political party would always be contrary to Rule 23 (i) of the Conduct Rules (now Rule 5) unless all the following conditions are satisfied.

**(a)**That the meeting is a public meeting and not in any sense a private or restricted meeting.

**(b)**That the meeting is not held contrary to any prohibitory order or without permission where permission is needed.

**(c)**That the Government servant in question does not himself speak at, or take active or prominent part in organizing or conducting the meeting.

**(5)**Government servant proposing/seconding the nomination of a candidate at an election or acting as polling agent is not permissible.

**(6)Political neutrality of Government servants: It is essential that Government servants should not only maintain political neutrality but should also appear to do so and they should not participate in the activities of, or associate themselves with any organization in respect of which there is the slightest reason to think that the organization has a political aspect.**

**(7)Position of Government servants in relation to elections: The principles laid down in this regard are to be followed.**

**(8)Participation in meetings/organisations organized by political parties: In order to avoid any doubts about the political neutrality of the Government servants it would be in the interest of the Government servants themselves not to participate in such meetings or demonstrations.**

**(9)Government servants to keep away from demonstrations in the vicinity/neighbourhood of Government offices.**

**(10)Government servants to avoid taking active part in holding rallies in support of political parties.**

**Rule 6 – Joining of Associations by Governments servants:**

**No Government servant shall join/continue to be a member of the association the objective or activities may be prejudicial to the interests of the sovereignty and integrity of India, public order/morality.**

**Rule 7 – Demonstration and strike:**

**No Government servant shall:**

**(i)Engage/participate in any demonstration which is prejudicial to the interests of the sovereignty and integrity of India, security, friendly relations with foreign countries.**

**(ii)Resort to or in any way abet any form of strike or coercion or physical duress in connection with any matter pertaining to his service or the service of other Government servant.**

**GOVERNMENT OF INDIA'S DECISION:**

**(4)Holding of meetings/demonstrations by Government servants within office premises is violative of Rule 7 (i).**

**(5)Participation in any form of strike/mass casual leave/boycott of work etc. by Government servant.**

**Rule 8 – Connection with press and other media**

**(1)No Government servants shall own, conduct or participate in the editing/management of any newspaper, or other periodical publication or electronic media.**

**Rule 9 – Criticism of Government:**

**No Government servant shall make statement of fact or opinion:**

**(i)which has the effect of an adverse criticism of any current or recent policy or action of the Government;**

**(ii)Embarrassing the relations between central and state Government.**

**(iii)Embarrassing the relations between the Central Government and the Government of any foreign State.**

**Rule 10 – Evidence before Committee or any other authority;**

**(1)No Government servant shall, except with the previous sanction of the Government give evidence in connection with any enquiry conducted by any person, committee or authority.**

**(2)No Govt. servant giving such evidence shall criticize the policy or any action of the Central Govt., Parliament or a State Legislature.**

**(3) Nothing in this rule shall apply to:**

**(a) Evidence given at an enquiry before an authority appointed by the Government, Parliament or a State Legislature Parliament or a State Legislature; or**

**(b) Evidence given in any judicial enquiry; or**

**(c) Evidence given at any departmental enquiry ordered by authorities subordinate to the Government.**

**Rule 11 – Communication of official information:**

**Every Govt. servant shall, in performance of his duties in good faith, communicate information to a person in accordance with the Right to Information Act, 2005 and the rules made thereunder.**

**GOI'S DECISIONS:**

**(3) Disclosure of identity of superior officers while communicating adverse remarks in C.Rs:**

**It is therefore desirable that while communicating the adverse remarks to the Govt. servant concerned, the identity of the superior officer making such remarks should not normally be disclosed.**

**Rule 12 – Subscriptions**

**No Government servant shall, except with the previous sanction of the Government ask for or accept contributions to, or otherwise associate himself with the raising of, any funds or other collection in cash or in kind in pursuance of any object whatsoever.**

### **Rule 13 - Gifts**

**(1) No Govt. servant shall accept, or permit any member of family or any other person acting on his behalf to accept any gift.**

**Explanation:-The expression 'gift' shall include free transport, boarding, lodging or other service or any other pecuniary advantage provided by any person.**

**Note 1 – A casual meal, lift or other social hospitality shall not be deemed to be a gift.**

**Note 2 – A Govt. servant shall avoid accepting lavish hospitality or frequent hospitality from any individual, industrial or commercial firms, organisations, etc. having official dealings with him.**

**(2) On occasion such as weddings, anniversaries, funerals or religious function, when the making of gift is in conformity with the prevailing religious and social practice, a Govt. servant may accept gifts from his near relatives or from his personal friends having no official dealing with him, but shall make a report to the Govt., if the value of such gifts exceeds as specified therein.**

**(3) In any other case, a Govt. servant shall not accept any gifts without the sanction of the Govt., if the value exceeds as specified therein.**

**(4) A Govt. servant being a member of the Indian delegation may receive and retain gifts from foreign dignitaries as per the value specified therein.**

**GOI'S DECISION:**

**(1)Acceptance of gifts by Govt. servants on the occasion of their transfer or retirement.**

**It has, therefore, been decided that in future no Govt. servant should be given permission to accept gift of more than trifling value at the time of his transfer. There is however, no objection to his accepting gifts at the time of his retirement from the members of the staff, subject to prior permission of Govt., wherever such permission is necessary.**

**(6)Acceptance of gifts from subordinates on occasions like weddings, etc.**

**No sanction is necessary for acceptance of gifts from subordinates or to accept gifts from subordinates if the limits specified in the rules are not exceeded. However, it does not seem proper on the part of the officer to accept gifts from their subordinates, as such action is against the spirit of Rule 13(3) and Rule 3(1) (ii) of the CCS (Conduct) Rules, 1964.**

**Rule 13-A . Dowry:**

**No Government servant shall:**

**(i)give or take or abet the giving or taking of dowry; or**

**(ii)demand directly or indirectly, from the parent or guardian of a bride or bridegroom, as the case may be, any dowry.**

**Explanation-For the purposes of this rule, "dowry" has the same meaning as in the Dowry Prohibition Act, 1961 (28 of 1961).**

**Section 2. Definition of "dowry".- In this Act, "Dowry" means any property or valuable security given or agreed to be given either directly or indirectly:**

(a)by one party to a marriage to the other party to the marriage; or  
(b)by the parents of either party to a marriage or by any other person to either party to the marriage or to any other person; at or before or any time after the marriage in connection with the marriage of the said parties, but does not include dower or mahar in the case of persons to whom the Muslim Personal Law (Shariat) applies.

**Rule 14 – Public demonstrations in honour of Government servants:**

No Govt. servant shall, except with the previous sanction of the Government receive any complimentary or valedictory address or accept any testimonial or attend any meeting of entertainment held in his honour; or in the honour of any other Government servant .

Provided that nothing in this rule shall apply to –

(i)a farewell entertainment of a substantially private and informal character held in honour of a Govt. servant on the occasion of his retirement or transfer.

(ii)the acceptance of simple and inexpensive entertainments arranged by public bodies or institutions.

**Rule 15 – Private trade or employment:**

No Govt. servant shall, except with the previous sanction of the Govt. (a)engage in any trade or business;

(b)negotiate or undertake any other employment;

(c)hold an elective office, or canvass for a candidate for an elective office;

(d)canvass in support of any business of insurance agency, commission agency;

**(e)take part except in the discharge of his official duties, in the registration, promotion or management of any bank or other company,**

**(f)participate in or associate himself in any manner in the making of:**

**(i)a sponsored media programme, or**

**(ii)a media programme commissioned by Govt. media but produced by a private agency,**

**(iii)a privately produced media programme including video magazine.**

**GOI'S DECISIONS:**

**(3)Acceptance of part-time employment by Govt. servant after office hours not ordinarily to be allowed.**

**(4)Prior permission is necessary for accepting remuneration for services rendered to co-operative societies.**

**(7)Canvassing in support of business of advertising agencies owned or managed by members of family, attracts the provisions of CCS (Conduct) Rules.**

**Rule 15-A. Subletting and vacation of Government accommodation:**

**No Govt. servant shall sublet, lease, allow occupation by any other person of Government accommodation which has been allotted to him.**

**Rule 16 – Investments, lending and borrowing:**

**No Govt. servant shall speculate in any stock, share or other investment**



**(2) (i) No Govt. servant shall permit any family member or any person acting on his behalf to make any investment which is likely to embarrass or influence him in the discharge of his official duties.**

**Rule 17 – Insolvency and habitual indebtedness:**

**A Govt. servant shall so manage his private affairs as to avoid habitual indebtedness or insolvency.**

**Rule 18 – Movable, immovable and valuable property:**

**(1) Every Govt. servant shall on first appointment submit a return of his assets and liabilities, property inherited or owned or acquired by him.**

**(b) shares, debentures and cash including bank deposits.**

**(c) other movable property.**

**(2) No Govt. servant shall acquire or dispose of any immovable property by lease, mortgage, purchase, sale, gift or otherwise.**

**Rule 18-A. Restrictions in relation to acquisition and disposal of immovable property outside India and transactions with foreigners, etc.**

**Rule 19 – Vindication of acts and character of Government servant:**

**(1) No Govt. servant shall have recourse to any Court or to the press for the vindication of any official act which has been the subject matter of adverse criticism or an attack of a defamatory character.**

**Rule 20 – Canvassing of non-official or other outside influence:**

**No Govt. servant shall bring any political or outside influence to bear upon any superior authority in connection with his service under the Govt.**

**Rule 21 – Restriction regarding marriage:**

**(1)No Govt. servant shall enter into, or contract, a marriage with a person having a spouse living.**

**(2)No Govt. servant having a spouse living, shall enter into, or contract, a marriage with any person.**

**(3)A Govt. servant who has married a person other than of Indian nationality shall forthwith intimate the fact to the Govt.**

**Rule 22 – Consumption of intoxicating drinks and drugs:**

**A Govt. servant shall -**

**(a)strictly abide by any law relating to intoxicating drinks or drugs in force in any area in which he may happen to be for the time being;**

**(b)not be under the influence of any intoxicating drink or drug during the course of duty and shall also take care that the performance of duties at any time is not affected in any way by the influence of such drink or drug;**

**(bb)refrain from consuming any intoxicating drink or drug in a public place;**

**(c)not appear in a public place in a state of intoxication;**

**(d)not use any intoxicating drink or drug to excess.**

- 74 -

**Rule 22-A. Prohibition regarding employment of children below 14 years of age:**

**No Govt. servant shall employ to work any child below the age of 14 years.**

- X -

## **FUNDAMENTAL RULES**

### **PART I GENERAL RULES**

#### **CHAPTER I**

##### **Extent of Application**

**RULE FR.1.** These rules may be called the Fundamental Rules and shall come into effect from 1st January, 1922.

**RULE FR.2.** These rules apply, subject to the provisions of Rule 3 to all Govt. servants whose pay is debitable to Civil Estimates and to any other class of Govt. servants specified by general or special order.

As per GOIs Orders, these rules are also applicable to other employees as indicated therein.

#### **CHAPTER II**

##### **DEFINITIONS:**

**RULE FR 9:** The definitions are as explained therein.

**(6) Duty:** (a) Duty includes – (i) service as probationer/apprentice followed by confirmation. (ii) Joining time.

**(b)** A Govt. servant may be treated as on duty –

**(i)** During a course of instruction or training in India.

##### **GOI'S ORDERS**

Duty also includes attending departmental exams, open competitive exams, Hindi exams, enforced halts (due to road blockade, floods, rain, heavy rainfall, etc.), all training as mentioned therein.

**(19)** Period of participation in national/international sports events and pre-participation coaching camps:

**(20)** Period of waiting on joining from leave for posting orders:

### **CHAPTER III**

#### **GENERAL CONDITIONS OF SERVICE**

##### **RULE FR 10: PRODUCTION OF MEDICAL CERTIFICATE:**

Except as provided by this rule, no person may be appointed in India to a post in Government service without a medical certificate of health.

##### **RULE FR 11:**

The whole time of a Government servant is at the disposal of the Government which pays him and he may be employed in any manner required by proper authority, without claim for additional remuneration.

##### **DEFINITION OF LIEN:**

Lien means the title of a Government servant to hold on regular basis, a post, including a tenure post to which he has been appointed on regular basis and on which he is not on probation.

##### **RULE FR 13: RETENTION OF LIEN:**

A Govt. servant who has acquired lien on a post retains the lien on that post-

- (a) While performing of duties of that post,
- (b) While on foreign service, or holding a temporary post, or officiating in another post,
- (c) During joining time on transfer to another post,
- (d) While on leave,
- (e) While under suspension.

Provided that no lien of a Government servant shall be retained:

- (i) Where a Government servant has proceeded on immediate absorption basis to a post or service outside his service/cadre/post in the Government from the date of absorption; and

(ii) On foreign service/deputation beyond the maximum limit admissible under the orders of the Government issued from time to time.

**RULE FR 14-A: TERMINATION OF LIEN:**

Except as provided under Rule 13 and clause (d) of this rule, a Government servant's lien on a post in no circumstances be terminated, if the result will be to leave him without a lien upon a regular post.

**RULE FR 15 (a) : TRANSFER FROM ONE POST TO ANOTHER:**

The President may transfer Government servant from one post to another provided that except –

- (1) On account of inefficiency or misbehaviour, or
- (2) On his written request.

**RULE FR 16: SUBSCRIPTION TO PROVIDENT FUND.**

A Government servant may be required to subscribe to a provident fund, a family pension fund as the President by order prescribe.

**RULE FR 17: DRAWING OF PAY**

An officer shall begin to draw the pay and allowances attached to the tenure post with effect from the date when he assumes the duties of that post and shall cease to draw them as soon as he ceases to discharge those duties.

**RULE FR 17-A: UNAUTHORISED ABSENCE:**

Without prejudice to the provisions of Rule 27 of the Central Civil Services (Pension) Rules, 1972, a period of an unauthorised absence –

(i) In the case of employees working in industrial establishments, during illegal strike which has been declared illegal under the provisions of the Industrial Disputes Act, 1947.

(ii) In the case of other employees as a result of action in combination or in concerted manner, such as during a strike, without any authority from, or valid reason.

(iii) In the case of an individual employee, remaining absent unauthorizedly or deserting the post,

shall be deemed to cause an interruption or break in the service of the employee.

#### **RULE FR 18: NO CONTINUOUS LEAVE EXCEEDING FIVE YEARS**

No Government servant shall be granted leave of any kind for a continuous period exceeding five years.

### **CHAPTER IV**

#### **PAY**

#### **RULE FR 22: REGULATION AND FIXATION OF PAY:**

Regulation and fixation of pay to be done as indicated therein.

#### **RULE FR 24: WITHHOLDING OF INCREMENTS:**

An increment may be withheld from a Government servant if his conduct has not been good or his work has not been satisfactory.

#### **RULE FR 26: RELEASE OF INCREMENTS:**

The increments will be released as per the provisions laid therein.

#### **RULE FR 27: GRANT OF PREMATURE INCREMENT:**

An authority may grant a premature increment to a Government servant on a time-scale of pay among others to -:

- Stenographers on passing 100/120 wpm,
- Nursing staff,
- Special increment for undergoing sterilization operation,
- Small family norms,
- Increment/special increments to sportsmen/women/referees/umpires and coaches achieving excellence in National/International events,
- Incentive for acquiring higher qualification which are useful in discharge of higher official work.

- Cash handling allowance to cashiers.

**RULE FR 29: REDUCTION TO LOWER TIME-SCALE:**

If a Government servant is reduced as a measure of penalty to a lower service, grade or post or to a lower time-scale, the authority shall specify –

- (a) The period for which the reduction shall be effective,
- (b) On restoration the period of reduction shall operate to postpone future increments and to what extent,
- (c) Whether the Government servant shall regain original seniority in the higher service, grade from which he was reduced.

**RULE FR 35: FIXATION OF PAY LESS THAN THAT ADMISSIBLE:**

The fixation of pay less than that admissible shall be as indicated therein.

**CHAPTER V**

**Additions to pay**

**RULE FR 44: COMPENSATORY ALLOWANCE:**

As prescribed by the Government from time to time.

**RULE FR 45: ALLOTMENT OF RESIDENCES :**

The accounting procedure for receipt and payment of licence fee shall be as per the procedure laid down therein.

**RULE FR 45-A II: ASSESSMENT OF LICENCE FEE:**

The payment of licence fee shall be as per the procedure laid down therein.

**CHAPTER VI**

**COMBINATION OF APPOINTMENTS**

**RULE FR 49: OFFICIATE IN ONE OR MORE INDEPENDENT POSTS AT ONE TIME:**

The Central Government may appoint a Government servant already holding a post in a substantive or officiating capacity to



officiate, as a temporary measure, in one or more of other independent posts at one time under the Government and the pay will be regulated as the provisions laid down therein.

## **CHAPTER VII**

### **DEPUTATION OUT OF INDIA**

#### **RULE FR 50: DEPUTATION OUT OF INDIA**

No deputation of a Government servant out of India shall be sanctioned without the previous approval of the Central Government.

## **CHAPTER VIII**

### **DISMISSAL, REMOVAL AND SUSPENSION**

#### **RULE FR 52: NO PAY AND ALLOWANCES ON DISMISSAL OR REMOVAL FROM SERVICE:**

The pay and allowances of a Government servant who is dismissed or removed from service cease from the date of such dismissal or removal.

#### **RULE FR 53 (1): ENTITLEMENT ON SUSPENSION:**

A Government servant under suspension or deemed to have been placed under suspension by an order of the appointing authority shall be entitled to subsistence allowance at an amount equal to the leave salary which the Government servant would have drawn if he had been on leave. The amount of subsistence allowance will vary according to the period of suspension as indicated in the rules.

#### **RULE FR 54 (1): REINSTATEMENT IN SERVICE:**

When a Government servant who has been dismissed, removed or compulsorily retired is reinstated in service as a result of appeal or review, the authority competent to order reinstatement shall consider and make a specific order regarding the pay and allowances, etc.

#### **RULE FR 55: NO LEAVE DURING SUSPENSION:**

Leave may not be granted to a Government servant under suspension.

## **CHAPTER IX**

### **RETIREMENT**

#### **RULE FR 56: RETIREMENT**

Every Government servant shall retire from service on the afternoon of the last day of the month in which he attains the age of 60 years or as decided by the Govt. (65 years in case of Medical Faculty).

Provided that a Government servant whose date of birth is the first of a month shall retire from service on the afternoon of the last day of the preceeding month on attaining the age of 60 years.

## **CHAPTER XI**

### **JOINING TIME**

#### **RULE FR 108: NO PAY TO GS NOT JOINING POST WITHIN THE JOINING TIME:**

A Government servant who does not join his post within his joining time is entitled to no pay or leave salary after the end of the joining time.. Wilful absence from duty after the expiry of joining time to be treated as misbehaviour for the purpose of Rule 15.

## **CHAPTER XII**

### **FOREIGN SERVICE**

#### **RULE FR 109: APPLICABILITY**

The rules in this Chapter apply to those Government servants only who are transferred on foreign service.

#### **RULE 110.FOREIGN SERVICE AGAINST WILL**

No Government servant may be transferred to foreign service against his will.

#### **RULE FR 114: PAY ON FOREIGN SERVICE:**

A Government servant in foreign service will draw pay from the foreign employer from the date on which he relinquishes charge of his post in Government service.

#### **RULE FR 115: PAYMENT OF LEAVE SALARY AND PENSION CONTRIBUTION:**

While a Government servant is in foreign service, contribution towards the cost of his pension and leave by the foreign employer.

### **DEPUTATION WITHIN INDIA**

A Government servant while on deputation shall have to exercise an option whether to draw pay either in the scale of pay of deputation/foreign service post or his basic pay in the parent cadre plus deputation (duty) allowance.

The Deputation (Duty) Allowance will be 5% of basic pay in case of deputation within the same station or 10% in other cases.

The tenure of deputation/foreign service will be 3 years. Extension upto the fourth and fifth year is permissible with the prior permission of the parent Department. No extension beyond the fifth year except in certain cases.

## **SUPPLEMENTARY RULES**

### **I – GENERAL**

#### **EXTENT OF APPLICATION**

**RULE SR. 1.** These rules may be called the Supplementary Rules. They apply to those Government servants only, who are subject to the Fundamental Rules, and whose pay is debitable to Central Revenues. Except where it is otherwise expressly stated in the rules, they apply to all Government servants fulfilling these conditions.

#### **DEFINITIONS**

**RULE SR.2.** Unless there is something repugnant to the subject or context, the terms defined here are used in the rules in the sense explained therein.

#### **DIVISION 3**

##### **MEDICAL CERTIFICATE OF FITNESS ON FIRST ENTRY INTO GOVT. SERVICE.**

**RULE SR 3:** A medical certificate of fitness for Government servant shall be in the form indicated therein.

##### **RULE SR 4: AUTHORITIES TO SIGN MEDICAL CERTIFICATE:**

The authorities to sign the medical certificate shall be as mentioned therein.

## **II ADDITIONS TO PAY**

### **DIVISION 4**

#### **DRAWING OF COMPENSATORY ALLOWANCES**

**RULE SR.5.** Save as provided by the rules in this Division, a compensatory allowance attached to a post will cease to be drawn by a Government servant when he vacates the post.

### **DIVISION V**

#### **FEES**

##### **RULE SR. 9. CREDITING OF FEES**

The crediting of fees will be as specified therein.

**RULE SR. 11.** No Government servant may undertake work for another Government or a private or public body or a private person, or accept a fee therefor without the sanction of the Competent Authority.

## **III – RECORDS OF SERVICE**

### **DIVISION 7**

#### **GAZETTED GOVERNMENT SERVANTS**

**RULE SR 196 :** A record of the services of a Gazetted Government servant will be kept by such Audit Officer and in such form as the Comptroller and Auditor-General may prescribe.

##### **GOI'S ORDERS**

Service books of Gazetted Officers to be maintained by the respective Head of Office.

## **NON-GAZETTED GOVERNMENT SERVANTS**

**RULE SR 197 :** A service book must be maintained for every non-gazetted Government servant holding substantive post on a permanent establishment or officiating in a post or holding a temporary post.

### **RULE SR 198: CUSTODY OF THE SERVICE BOOK**

A service book shall be maintained for a Government servant from the date of his first appointment to Government service. It must be kept in the custody of the Head of the Office in which he is serving and transferred with him from office to office.

### **RULE SR 199: RECORDINGS IN THE SERVICE BOOK:**

Every step in the Government servant's official life must be recorded in service book and each entry must be attested by Head of Office.

### **RULE SR 200: ATTESTATION**

Every suspension from employment and every other interruption of service must be noted and must be attested by the Attesting Officer.

**RULE SR 201:** Personal certificates of character must not be entered in the service book.

**RULE SR 202:** It shall be the duty of every Head of Office to initiate action to show the service book to the Government servant every year and obtain their signature therein in token of their having inspected the service book.

## **VI – FOREIGN SERVICE**

### **DIVISION 24**

#### **INTEREST ON OVERDUE CONTRIBUTIONS**

**RULE SR 307 (1):** Contribution for leave salary or pension due in respect of a Government servant on foreign service, may be paid annually within fifteen days from the end of each financial year or at the end of the foreign service, if the deputation on foreign service expires before the end of a financial year.

**RULE SR 307(2):** The leave salary and pension contribution should be paid separately as they are creditable to different Head of Accounts and no due recoverable from Government, on any account, should be set off against these contributions.

### **DIVISION 24-A**

#### **TRAVELLING ALLOWANCES**

**RULE SR 307-A:** The travelling allowance of a Government servant both in respect of the journey on transfer to foreign service and the journey on reversion therefrom to Government service will be borne by the foreign employer.

## **VIII – GOVT. RESIDENCES**

### **DIVISION 26**

#### **ALLOTMENT OF RESIDENCES**

The allotment of Government residences, licence fee and recovery of licence fee will be as specified therein.

## **PART II – TRAVELLING ALLOWANCE RULES**

### **SUPPLEMENTARY RULES**

#### **DIVISION I**

##### **Extent of application**

**SR 1:** These rules may be called the Supplementary Rules. They apply to those Government servants only, who are subject to Fundamental Rules, and whose pay is debitable to the Central Revenues.

##### **Definitions**

**SR 2:** The definitions will be as specified therein.

#### **CHAPTER II**

##### **Different kinds of Travelling Allowances**

##### **SR 21. Different kind of TA**

The following are the different kinds of travelling allowances which may be drawn in different circumstances by Government servants.

(a) Permanent travelling allowance (b) Conveyance or horse allowance (c) Mileage allowance (d) Daily allowance (e) The actual cost of travelling.

##### **SECTION III – Permanent Travelling Allowance**

**SR 22:** A permanent monthly travelling allowance may be granted by a competent authority to any Government servant whose duties require him to travel extensively as per the conditions mentioned therein.

## **GOI'S ORDER**

Travelling allowance in respect of Attendant/Escort for accompanying a Government servant with disabilities on travel during tour/training, etc. is permissible as specified therein.

### **SR 25: Conveyance or horse allowance**

A competent authority may grant, on such conditions as it thinks fit to impose, a monthly conveyance or horse allowance to any Govt. servant who is required to travel extensively at or within a short distance from his HQs under conditions which do not render his eligible for daily allowance.

### **SR 29: Mileage allowance**

A mileage allowance is an allowance calculated on the distance travelled which is given to meet the cost of a particular journey.

### **SR 52: Sanction of higher or lower daily allowance**

A Competent Authority may sanction a daily allowance higher or lower than that prescribed under the rules if it considers that the allowance so prescribed is inadequate or excessive.

SR 69: Except where otherwise expressly provided in the rules, a Govt. servant not in receipt of permanent travelling allowance draws travelling allowance for journeys on tour in the shape of daily allowance.

### **SR 72: Daily allowance during a halt on tour on a holiday**

Subject to the conditions laid down, daily allowance may be drawn during a halt on tour on a holiday occurring during a tour.

## **GOI'S ORDERS**

(1)Entitlement of DA on Sunday, holiday, casual leave and restricted:

(a)A Government servant who takes casual leave or restricted holiday while on tour is not entitled for daily allowance during such leave, and



(b) Daily allowance is not admissible for any day, whether Sunday or holiday, unless the officer is actually and not merely constructively in camp.

SR 105:

Except as otherwise provided travelling allowance is not admissible to any person for the journey to join his first post in Govt. service.

SR 194-A:

The right of the Government servant to travelling allowance including daily allowance is forfeited or deemed to have been relinquished if the claim for it is not preferred within one year from the date on which it became due.

## **FUNDAMENTAL RULES AND SUPPLEMENTARY RULES – PART III**

### **CENTRAL CIVIL SERVICE LEAVE RULES**

#### **CHAPTER I**

##### **Preliminary**

**RULE 1:** These rules may be called the Central Civil Services (Leave) Rules, 1972.

**RULE 2: Extent of application**

These rules shall apply to Govt. servants appointed to the civil services and posts in connection with the affairs of the Union.

**RULE 3: Definitions**

The definitions shall as specified therein.

#### **Chapter II – General conditions**

**Rule 7: Right to leave**

(1) Leave cannot be claimed as of right.

(2) When exigencies of public service so require, leave of any kind may be refused or revoked by the competent authority.

GOI's decision: (1) Govt. servants to be encouraged to take leave regularly.

(2) Leave should not ordinarily be denied during the last ten years of service.

**Rule 9: Effect of dismissal, removal or resignation on leave at credit:**

(1) Claim to leave to the credit of Govt. servant who is dismissed or removed or who resigns from Govt. service ceases from the date of dismissal, removal or resignation.

(2) Leave to the credit of Govt. servant shall not lapse if (i) Govt. servant applies for another post under the GOI but outside his parent office (ii) application is forwarded through proper channel.

(3)A Govt. servant who is dismissed or removed from service and is reinstated on appeal or revision, shall be entitled to count for leave his service prior to dismissal or removal, as the case may be.

(3)A Govt. servant who having retired on compensation or invalid pension or gratuity is re-employed and allowed to count his past service for pension, shall be entitled to count his former service towards leave.

(4)A Govt.servant retiring on compensation or invalid pension or gratuity and on re-employment and allowed to count his past service for pension shall be entitled to count his former service towards leave.

#### **Extract from CSR**

Article 418(b): Resignation of an appointment to take up, with proper permission, another appointment, whether permanent or temporary, service in which counts in full or in part, is not a resignation of public service.

#### **Rule 10:Commutation of one kind of leave into another**

At the request of a Government servant, the authority which granted him leave may commute it retrospectively into leave of a different kind which was due and admissible to him at the time the leave was granted, but the Govt. servant cannot claim such commutation as a matter of right.

#### **Rule 11: Combination of different kinds of leave:**

Except as otherwise provided in these rules, any kind of leave under these rules may be granted in combination with or in continuation of any other kind of leave.

Explanation-Casual leave which is not recognised as leave under these rules shall not be combined with any other kind of leave admissible under these rules.

#### **Rule 12: Maximum amount of continuous leave:**

No Govt. servant shall be granted leave of any kind for a continuous period exceeding five years.

### **Chapter III.**

#### **Rule 17: LEAVE NOT TO BE GRANTED IN CERTAIN CIRCUMSTANCES:**

Leave shall not be granted to a Govt. servant whom a competent punishing authority has decided to dismiss, remove or compulsorily retire from Govt. service.

GOI's decision: (i) Leave may not be granted to a Govt. servant under suspension.

(ii) Leave sanctioning authority shall get prior approval before sanctioning leave for 'going abroad'.

#### **Rule 22: Combination of holidays with leave:**

When the day, immediately preceding the day on which a Govt. servant's leave begins or immediately following the day on which his leave expires, is a holiday or one of series of holidays, the Govt. servant shall be deemed to have been permitted (except in cases where for administrative reasons permission for prefixing/suffixing holidays to leave specifically withheld) to leave his station at the close of the day before, or return to it on the day following such holiday or series of holidays as indicated in the rules.

#### **Rule 23: Recall to duty before expiry of leave:**

(3) In case a Govt. servant is recalled to duty before the expiry of his leave, such recall to duty shall be treated as compulsory in all cases and the Govt. servant shall be entitled to such benefits as specified therein.

#### **Rule 25: Absence after expiry of leave:**

(1) Unless the competent authority to grant leave extends the leave, a Govt. servant who remains absent after the end of leave is entitled to no leave salary for the period of such absence and that period shall be debited against his leave account as though it were half pay leave, to the extent such leave is due, the period in excess of such leave due being treated as extraordinary leave.

(2) Wilful absence from duty after the expiry of leave renders a Govt. servant liable to disciplinary action.

## **Chapter IV**

### **Kinds of leave due and admissible**

**Rule 26: Earned leave for Government servants serving in Departments other than Vacation Departments:**

The leave account of every Govt. servant who is serving in a Department other than a Vacation Department shall be credited with earned leave, in advance, in two instalments of 15 days each on the first day of January and July of every calendar year.

Provided that the earned leave at his credit together with the unavailed joining time allowed to be so credited shall not exceed 300 days.

### **GOI'S DECISION**

Govt. servants are allowed to encash ten days' earned leave at the time of availing of LTC to the extent of 60 days during the entire career. The leave encashed at the time of LTC will not be deducted from the maximum amount of earned leave encashable at the time of retirement.

**Rule 27: Calculation of Earned Leave:**

Earned leave shall be credited to the leave account of the Govt. servant at the rate specified therein.

**RULE 28: Earned leave for persons serving in Vacation Departments:**

### **GOI'S DECISION**

Teachers to earn 10 day's earned leave on full pay during a year instead of 20 days' half pay leave.

**Rule 29: Half pay leave:**

The half pay leave account of every Govt. servant shall be credited with half pay leave in advance in two instalments of ten days each on the first day of January and July of every calendar year.

**Rule 30: Commuted leave:**

Commutated leave not exceeding half the amount of half pay leave due may be granted on medical certificate to a Govt. servant subject to the conditions specified therein.

**Rule 31: LEAVE NOT DUE:**

Leave not due may be granted to a Govt. servant in permanent employment to a maximum of 360 days during the entire service on medical certificate and also for those suffering from TB, leprosy, cancer or mental illness.

**RULE 32: EXTRAORDINARY LEAVE:**

Extraordinary leave may be granted to a Govt. servant in special circumstances-

(a)When no other leave is admissible

(b)When other leave is admissible, but the Govt. servant applies in writing for grant of extraordinary leave.

**RULE 38: LEAVE PREPARATORY TO RETIREMENT:**

A Govt. servant may be permitted by the competent authority to grant leave to take leave preparatory to retirement to the extent of the earned leave due, not exceeding 300 days together with half pay leave due, subject to the condition that such leave extends upto and include the date of retirement.

**RULE 38-A: ENCASHMENT OF EARNED LEAVE ALONGWITH LTC WHILE IN SERVICE:**

A Govt. servant may be permitted to encash earned leave upto ten days at the time of availing of LTC while in service subject to the conditions specified therein.

**RULE 39: LEAVE/CASH PAYMENT IN LIEU OF LEAVE BEYOND THE DATE OF RETIREMENT, COMPULSORY RETIREMENT OR QUITTING OF SERVICE:**

No leave shall be granted to a Govt. servant beyond

- (a) The date of his retirement or,
- (b) The date of his final cessation of duties,
- (c) The date of his resignation from service.

**RULE 39-A: CASH EQUIVALENT OF LEAVE SALARY IN CASE OF DEATH IN SERVICE:**

In case a Govt. service dies while in service, the cash equivalent of leave salary for both earned leave and half pay leave, if any, at the credit of the deceased Govt. servant on the date of his death, not exceeding 300 days shall be paid to his family.

**RULE 39-B: CASH EQUIVALENT OF LEAVE SALARY IN CASE OF INVALIDATION FROM SERVICE:**

A Govt. servant who is declared by a Medical Authority to be completely and permanently incapacitated for further service may be granted cash equivalent of leave salary in respect of both earned leave and half pay leave, if any, at the credit of the Govt. servant on the date of invalidation from service, subject to 300 days.

**RULE 39-C: PAYMENT OF CASH EQUIVALENT OF LEAVE SALARY IN CASE OF DEATH OF GOVERNMENT SERVANT:**

In the event of the death of a Govt. servant while in service or after retirement or after final cessation of duties but before actual receipt of its cash equivalent of leave salary shall be paid to the widow or as specified therein.

**RULE 39-D: CASH EQUIVALENT OF LEAVE SALARY IN CASE OF PERMENENT ABSORPTION IN PUBLIC SECTOR UNDERTAKING/AUTONOMOUS BODY WHOLLY OR SUBSTANTIALLY OWNED OR CONTROLLED BY THE CENTRAL/STATE GOVT:**

A Govt. servant who has been permitted to be absorbed in a service or post be granted leave cash equivalent of leave salary in respect of earned leave at his credit on the date of absorption subject to a maximum of 300 days.

**RULE 40: LEAVE SALARY:**

A Govt. servant who proceeds on earned leave is entitled to leave salary equal to the pay drawn immediately before proceeding on earned leave.

**CHAPTER V**

**SPECIAL KINDS OF LEAVE OTHER THAN STUDY LEAVE**

**RULE 43: MATERNITY LEAVE:**

(1) A female Govt. servant (including an apprentice) with less than two surviving children may be granted maternity leave by an authority competent to grant leave for a period of 180 days from the date of its commencement.

(2) During such period, she shall be paid leave salary equal to the pay drawn immediately before proceeding on leave.

(3) Maternity leave not exceeding 45 days may also be granted to a female Govt. servant (irrespective of the number of surviving children) during the entire service of that female Govt. servant in case of miscarriage including abortion on production of medical certificate as laid down in Rule 19.

(4) Maternity leave may be combined with leave of any other kind.

(5) Maternity leave shall not be debited against the leave account.

**RULE 43-A: PATERNITY LEAVE:**

(1) A male Govt. servant (including an apprentice) with less than two surviving children, may be granted Paternity leave by an authority competent to grant leave for a period of 15 days, during the confinement of his wife for childbirth i.e. upto 15 days before, or upto six months from the date of delivery of the child.

(2) During such period of 15 days, he shall be paid leave salary equal to the pay drawn immediately before proceeding on leave.

(3) The Paternity leave may be combined with leave of any other kind.

(4) The Paternity leave shall not be debited against the leave account.



(5) If Paternity leave is not availed within six months, such leave shall be treated as lapsed.

**RULE 43-AA: PATERNITY LEAVE FOR CHILD ADOPTION:**

(1) A male Govt. servant (including an apprentice) with less than two surviving children, may be granted Paternity leave, on valid adoption of a child below the age of one year, may be granted Paternity leave for a period of 15 days, within six months from the date of valid adoption.

(2) During such period of 15 days, he shall be paid leave salary equal to the pay drawn immediately before proceeding on leave.

(3) The Paternity leave may be combined with leave of any other kind.

(4) The Paternity leave shall not be debited against the leave account.

(5) If Paternity leave is not availed within six months, such leave shall be treated as lapsed.

**RULE 43-B: CHILD ADOPTION LEAVE:**

(1) A female Govt. servant, with fewer than two surviving children, on valid adoption of a child below the age of one year may be granted child adoption leave, on valid adoption of a child below the age of one year, may be granted child adoption leave, by an authority competent to grant leave, for a period of 180 days immediately after the date of valid adoption.

(2) During the period of child adoption leave, she shall be paid leave salary equal to the pay drawn immediately before proceeding on leave.

(3)(a) Child adoption leave may be combined with leave of any other kind.

(4) The child adoption leave shall not be debited against the leave account.

**RULE 43-C: CHILD CARE LEAVE:**

(1) Subject to the provisions of this rule, a woman Govt. servant may be granted child care leave by an authority competent to grant leave for a maximum period of 730 days during her entire service for taking care of her two surviving children, whether for rearing or for looking after any of their needs, such as education, sickness and the like.

(2) For the purposes of sub-rule (1), "child" means-

(a) a child below the age of eighteen years or;

(b) a child below the age of twenty-two years with a minimum disability of forty percent as specified therein,

(3) Grant of child care leave to a woman Govt. servant under sub-rule (1) shall be subject to the following conditions, namely-

(i) It shall not be granted for more than three spells in a calendar year;

(ii) It shall not ordinarily be granted during the probation period except in case of certain extreme situations where the leave sanctioning authority is satisfied about the need of child care leave to the probationer, provided that the period for which such leave is sanctioned is minimal.

(4) During the period of child care leave, the woman Govt. servant shall be paid leave salary equal to the pay drawn immediately before proceeding on leave.

(5) Child care leave may be combined with leave of any other kind.

(6) Child care leave shall not be debited against the leave account.

**RULE 44. SPECIAL DISABILITY LEAVE FOR INJURY INTENTIONALLY INFLICTED:**

As per rules indicated therein.

**RULE 45. SPECIAL DISABILITY LEAVE FOR ACCIDENTAL INJURY:**

As per rules indicated therein.

**RULE 46. HOSPITAL LEAVE:**

As per rules indicated therein.

**RULE 47. SEAMEN'S SICK LEAVE:**

As per rules indicated therein.

**RULE 48. SPECIAL LEAVE TO AGGRIEVED FEMALE GOVT. SERVANT IN CONNECTION WITH INQUIRY OF SEXUAL HARASSMENT:**

As per rules indicated therein.

**RULE 49. DEPARTMENTL LEAVE:**

As per rules indicated therein.

**CHAPTER VI  
STUDY LEAVE**

**RULE 50. CONDITIONS FOR GRANT OF STUDY LEAVE:**

(1) Subject to the conditions specified in this Chapter, study leave may be granted to a Govt. servant with due regard to the exigencies of public service to enable him to undergo, in or out of India, a special course of study consisting of higher studies or specialised training in a professional or a technical subject having a direct and close connection with the sphere of his duty.

(2) Study leave may also be granted-

(i) For a course of training or study tour in which a Govt. servant may not attend a regular academic or semi-academic course if the course of training or the study tour is certified to be of definite advantage to Govt. from the point of view of public interest and is related to sphere of duties of the Govt. servant; and

(ii) For the purpose of studies connected with the framework or background of public administration subject to the conditions that-

(a) the particular study or study tour should be approved by the authority competent to grant leave; and

(b) The Govt. servant should be required to submit, on his return, a full report on the work done by him while on study leave;

(iii) For the studies which may not be closely or directly connected with the work of a Govt. servant, but which are capable of widening his mind in a manner likely to improve his abilities as a civil servant and to equip him better to collaborate with those employed in other branches of the public service.

**RULE 51. MAXIMUM AMOUNT OF STUDY LEAVE:**

(1) The maximum amount of study leave, which may be granted to a Govt. servant other than Central Health Service Officers, shall be-

(a) ordinarily twelve months at any one time, and

(b) during his entire service, twenty-four months in all (inclusive of similar kind of leave for study or training granted under any other rules).

(2) In respect of Central Health Service Officers, study leave may be granted for thirty-six months for acquiring postgraduate qualification.

## **APPENDIX - 1**

### **EXAMPLES OF CASE NOTINGS AND SUGGESTED DRAFTS**

- **All notes should be concise and to the point and factually correct.**

#### **Example 1: Incorrect and not to the point noting:**

The report of the Committee to find ways and means to improve the efficiency of the Department has been finalized and signed by the members. The Committee has recommended that the Department may be permitted to fill up the backlog of vacancies not filled for the last several years. The recommendations have been approved by the Competent Authority. The recommendations have been approved by the Secretary on 10<sup>th</sup> March, 2018 and by the Competent Authority on 15<sup>th</sup> March, 2018.

A copy of the report of the Committee (placed at 84/C) along with the letter to the Director of the Department is placed in the file for the signature of the Asstt. Director please. submitted.

**Explanation:** The report has to be signed otherwise it is incomplete and cannot be put up. There is no need to indicate the recommendations of the Committee in the noting. Hence the underlined noting is irrelevant.

#### **Example of concise, to the point and factually correct Noting:**

The report of the Committee appointed by the Govt. as approved by the Secretary and the Competent Authority is placed at 84/C.

Letter forwarding the report may be signed.

- Excessive and lengthy noting is an evil which should be avoided. The official is required to read the paper under consideration and the previous notings, if any.

### **Example 2: Excessive and lengthy Noting**

A letter No.33/Misc/2009-2010/79 dt.18/06/09 received from Manohar S. Naik and others, the World Biographical Research Centre, Goa, Pandurang Sadan, 3 Kamat Nagar, Socorro, Porvorim, Goa suggested to discuss certain irregularities regarding many of the schemes implemented by our Department

**“As per remark of Director on the said letter”** we may request the PA to Director to kindly suggest convenient date and time to fix for discussion.

Submitted please.

**Explanation:** There is no need to write the full address of the sender in the noting and the remarks marked in bold above could be done by marking ‘A’. The underlined portion and noting in bold is excessive.

### **Example of Concise and correct Noting:**

Letter No. 33/Misc/2009-2010/79 dated 18/06/09 from World Biographical Research Centre, Porvorim seeking a meeting with the Director may be seen at 2/C.

As per ‘A’ at 2/C, we may get a date and time from P.A. to Director for the discussion.

- The verbatim reproduction of extracts from or paraphrasing of the letter or any other part of correspondence or Notes on the same file should be avoided.

**Example 3 – Verbatim reproduction of extracts:**

Letter dated 18.4.2016 recd. from the Dte. of Printing and Stationery, Panaji may be seen at /C.

The Directorate of Printing and Stationery, Govt. of Goa brings out “CALENDARS’ every year which contains detailed information on all the HOLIDAYS AND OTHER EVENTS”.

**Explanation: The underlined noting is reproduced from the letter including the use of capital words. The noting should be in own words and the reproduction of the same words from the letter received should be avoided.**

**Example of brief and correct noting:**

Letter dated 18.4.2016 recd. from Dte. of Printing and Stationery, Panaji may be seen at /C.

The Directorate brings out Calanders every year which gives information of all the holidays and other events.

- Even if apparent errors or misstatements have to be pointed out or if the opinion expressed therein has to be criticized, care should be taken that the observations are expressed in courteous and temperate language, free from personal remarks.

**Example 4: Criticism in the Note:**

The rule is intentionally quoted wrong with ulterior motives to misguide the superiors.

**Explanation:** The intention of the writer cannot be known and hence it is incorrect to criticise.

**Example of Courteous and temperate language:** The rule quoted may not be correct which may be re-checked and quoted.

- A Note will be divided into paragraphs of easy size, say ten lines each. Paragraphs should be serially numbered and may also have brief titles.

**Example 5: A Note divided into paragraphs and brief titles**

**1.**A departmental inquiry was instituted against Shri ABC and Shri XYZ was appointed as an Inquiry Officer.

**Report of the IO:**

**2.**Shri XYZ, the Inquiry Officer has submitted his report and he has pointed grave irregularities committed by the employee.

**Report accepted:**

**3.**The Appointing Authority has accepted the report of the Inquiry Officer.

- When running summary of facts is available on the file, it should be referred to without repeating any part of the facts in the note

**Example 6 – Repeating of facts in the note when running summary is available.**

Letter dated 18.2.2018 received from XYZ may be seen.

He has informed that he may be considered for promotion as per the judgement of the Hon. High Court.

The operative part of the judgement reads as follows:



“The Hon. High Court has observed that the seniority list prepared by the Department for the post Dy. Director is bad in law and not in conformity with the instructions issued by the Government from time to time”.

**Example of Noting without repeating any part when summary is available:**

Letter dated 18.2.2018 received from XYZ may be seen.

He has informed that he may be considered for promotion as per the judgement of the Hon. High Court.

The operative part of the judgement may be seen at ‘X’ on 4/C in the file/linked file.

- Relevant extracts of a rule or instruction will be placed on the file and attention to it will be drawn in the note with proper referencing, rather than reproducing the relevant provisions in the note.

**Example 7: Reproducing the relevant provisions of the rule in the Note.**

Application recd. from Shri M.P. Naik requesting to allot quarters may be seen at /C.

The eligibility for allotment of quarters as per SR 317-B-4 is as follows:

“Govt. quarters will not be allotted to an Officer whose spouse has been allotted a quarter, except under specific circumstances.

**Example of drawing attention of the rule in the note without reproducing the rule.**

Application recd. from Shri M.P. Naik requesting to allot quarters may be seen at /C.

The eligibility for allotment of quarters is placed at 'Y' on 8/C.

## **INSTRUCTIONS FOR DRAFTING**

- **A draft should carry the message sought to be conveyed in a language that is clear, concise and incapable of misconstruction.**

**Example 8: Wrong draft of a Note which is not clear**

### **NOTE**

Kind attention is invited to the written test which was answered on 1.2.2020 for Accountant post. As per the allotment of marks, the objective questions have 30 marks and the essay type have 70 marks. But the syllabus on the website of the Department mentions that the essay carry 70 marks but the objective carry 20 marks.

Placed herewith for information. Hence kindly do the needful.

Submitted for needful.

**Explanation: The Note is not clear nor worded properly. The words 'but', 'carry' is unnecessarily used and the words 'have' are repeated. The action that is required to be taken is not specified in the Note (see the highlighted portion).**

### **Example of a correct draft of Note**

#### **NOTE**

**Reference is invited to the written test held on 1.2.2020 for the post of Accountant. As per the allotment of marks indicated in the question paper, the objective type questions carry 30 marks while the essay type questions indicate 70 marks. The syllabus on the website of the Department mentions 20 and 80 marks respectively.**

**This Note may be sent to the Establishment Section to clarify the anomaly.**

- **Lengthy sentences, abruptness, redundancy, circumlocution, verbosity, superlatives and repetition, whether of words, observations or ideas, should be avoided.**

### **Example 9: Lengthy sentences**

**The Secretary, Sainik Welfare Board, Goa has vide letter dated 24/2/2018 while informing all the Government Departments about the importance of the observance of Flag Day on 7<sup>th</sup> December has also forwarded flag day stickers and emphasised the need to affix the Flag Day stickers on the vehicles of all Government Departments and to be worn on the person of all the employees working in all the establishments under the Government of Goa with the remarks of the Director.**

**Explanation: Long sentences without a single full stop.**

### **Example of short sentences**

**The Secretary, Sainik Welfare Board, Goa has vide letter dated 24/2/2018 informed the importance of the observance of Flag Day on 7<sup>th</sup> December. He has also forwarded flag day stickers.**

They are to be affixed on Government vehicles and worn by all Government servants. The remarks of the Director may be seen at /C.

**Example 10: Abrupt sentence**

The Department terminated the services of the employee when.

**Example of full sentence:**

The Department terminated the services of the employee when he was found guilty of misconduct.

**Example 11: Redundant words**

The ideal and most suitable colour for the building would be blue and sky colour so that it would be pleasant and pleasing to the eye.

**Explanation:** unnecessary words which have the same meaning like 'ideal' 'most suitable' , 'blue' 'sky colour' and 'pleasant' 'pleasing' are used.

**Example: Avoiding redundant words**

The ideal colour for the building would be blue, so that it would be pleasing to the eye.

**Example 12: Circumlocution**

In a meeting with the employees, the Director informed the employees that they have to be punctual, regular, come in time and leave the office in time and be disciplined in the office.

**Explanation:** Many unnecessary words like 'punctual', 'regular', 'come in time and leave the office in time' are used.

**Example: Avoid circumlocution**

In a meeting with the employees, the Director informed the employees to observe discipline in the office.

**Example 13: Verbosity**

Make the assessment – to assess

Purchase – buy

Commence – begin

Make enquiries - enquire

**Example 14: Use of superlatives**

Although the student was most disciplined and observed the highest degree of discipline, by his rowdiest behaviour made the biggest blunder of his life.

**Explanation: Superlatives words end with 'est'.**

**Example 15: Avoiding superlatives**

Although the student was disciplined, by his rowdy behaviour made a big blunder of his life.

**Example 16: Repetition of words, observations or ideas**

In view of the directions issued by the Government, we have to act on the directions.

In view of the remarks of the Director on the letter, we may appoint a three member committee to look into the possibility of developing available open spaces in the city as gardens so that the general public could use the gardens as recreational spaces so also they will serve as a good meeting place in the evening for all the senior citizens.

In view of the above, it is necessary to develop the available open spaces in the city as gardens so that the general public could use the gardens as recreational spaces so also they will serve as a good meeting.

**Example of noting by avoiding the repetition of words, observations and ideas**

As per the directions issued by the Government, it is necessary to develop the available open spaces in the city as gardens. The general public could use the gardens as recreational spaces. They will also serve as a good meeting place in the evening for all the senior citizens.

As per the remarks of the Director on the letter, we may appoint a three member committee to look into the matter.

**Example 17: Style, clarity, precision and format**

The same – it

Therein – in it

Thereon – on it

Do the needful – do what is necessary

Information – informations

**Example 18: Use of “not so good English”**

The Development Commissioner, will, in the circumstances now stated, be requested ...

**Example: Correct English**

In the circumstances now stated, the Development Commission will be requested to .....

**Example 19: Using of wrong subject**

Sub: Increase in the number of post of Dy.Directors.

Explanation: The subject is actually creation of one post of Dy.Director in addition to the one already existing. In fact,it is not increase.

**Example of using the correct subject**

Sub: Sanction of one post of Dy.Dir.

OR

Request for additional post of Dy.Dir.

OR

Approval for creation of one post of Dy. Director

## **APPENDIX 2**

### **SUGGESTED DRAFTS ON NOTING AND DRAFTING OF LETTERS, CIRCULAR, D.O. LETTERS, NOTES, OFFICE MEMORANDUM**

#### **NOTING (Exercises)**

##### **1. NOTINGS:**

**EXAMPLE 1: Based on the following rule, examine the case and put up suitable noting.**

The following is the Central Govt.'s new transport rules:

The Central Govt. in April has done away with the requirement of a commercial licence for driving taxis, three-wheelers. It had been reported that it is not required by drivers of taxis, autos, rickshaws, two-wheelers employed by companies for food deliveries etc. to hold commercial licence. Their private driving licence is now enough for all legal intents and purposes.

##### **SUGGESTED DRAFT OF NOTING:**

1. The Central Govt.'s new rule may be seen at /C.
2. They have done away with the requirement of a commercial licence for taxis, autos and product delivery vehicles as their private driving licence is valid for all purposes.
3. Previously a commercial licence was required by all such vehicles.
4. In view of (3) and the new rule at (2) above, we may issue a Notification and also publish it in the Govt. Gazette and local dailies for wide circulation.

**EXAMPLE 2: Based on the following representation, examine the case and put up suitable Noting.**

Shri Prasad has informed that he is "very unhappy and sad" because specifically he has not been considered for promotion for the post of Accountant not considering him for promotion to the post of Accountant has deprived him and his family of financial



benefits not only in the 6<sup>th</sup> pay commission but also 7<sup>th</sup> pay commission and the Department has not considered his seniority, his seniority to the post of Accounts Clerk and granted promotion to an employee who is much junior to him, junior in age and years of service. The employee in question who is promoted to the post of Accountant is a habitual drunk and habitual late comer who comes late to office practically everyday but however his superiors and his families have accepted gifts from him and favoured him for ulterior motives and given him very good CRs.

Rule 13 of Central Civil Services Conduct Rules says “same as otherwise provided in these rules, no Govt. servant shall accept or permit any member of his family or any other person acting on his behalf to accept any gifts”.

The Department has gone ahead, I mean moved further with the promotion to the post of Accountant in utter disregard and with very little respect to the rules of seniority and moreover the rules which says that seniority of the employee should be considered and therefore further the promotion granted to Shri Prasad should be withdrawn forthwith and with immediate effect by cancelling the promotion order and demoting promoted employee and “I may be considered for promotion immediately without holding the DPC” as holding the DPC will take some time because however I am very senior in the said Department in terms of age and years of service.

#### **SUGGESTED DRAFT OF NOTING:**

Shri Prasad has vide his representation dated 27.1.2018 informed that he is not considered to the post of Accountant inspite of his seniority and depriving him of the benefits of pay commission.

He has also informed that Shri Shah is a late comer, he consumes alcohol and his superiors have accepted gifts from him and given him good CRs.

Rule 13 of CCS Conduct Rules (14/C) prohibits Govt. servants from accepting gifts.

He concludes that the promotion granted to Shri Prasad should be withdrawn and he should be considered for promotion.

The contents of the representation have been examined and the service records of Shri Shah including the seniority list, muster roll, etc. have been checked. The allegations made by Shri Prasad are baseless and without any evidence. His representation does not merit any consideration. Moreover, the DPC has recommended Shri Shah for promotion.

We may inform the applicant accordingly.

## **I. DRAFTING**

**EXAMPLE 3: Draft a letter from the Dy. Director of Panchayats to the Inspector General of Police, Panaji requesting to conduct night patrolling around the Department building.**

No.  
Government of Goa,  
Directorate of Panchayats,  
Near 4 pillars, Panaji-Goa.  
Date:

To  
The Inspector General of Police,  
Opp. Azad Maidan,  
Panaji-Goa.

Subject: Request for night patrolling.

Sir,

I am to inform you that the Department is situated on the outskirts of Panaji city. The Department has recently purchased a fleet of ten new cars for its use. A few computers have also been added.

Recently a spate of robberies have been reported in the local newspapers in the vicinity of building which houses our offices. It is learnt that cash and valuables have been stolen from the neighbouring houses. Some shops and Offices have been broke opened and cash, valuables and computers have been stolen.

It is in this connection that I am writing to you to request you to kindly order night patrolling to cover our Department building lest our Department falls prey to the spate of robberies. The night patrolling will ensure security of our office cars and computers. Your timely action will go a long way in averting the losses not only to the Department but also to the State exchequer.

Yours faithfully,

Sd/-

(T.R. Prasad)  
Dy. Director of Panchayats  
Tele.No  
e-mail:

Endorsement

No.

Copy forwarded for information and follow up action to:

1.Asstt. Director of Panchayats.

(T.R. Prasad)  
Dy. Director of Panchayats

**EXAMPLE 4:** The OSD (Health) had issued a Circular dated 2.8.2018 which is reproduced below. Based on the Circular, draft a letter from OSD to the Director of Health Services to strictly implement the conditions laid out in the said Circular.

**CIRCULAR**

**Date: 2.8.2018.**

**It is brought to the attention that no fish trader shall function in Goa without a valid licence or registration issued by the FDA under the Food Safety and Standard Regulations.**

**Goa Police and Transport Department shall ensure that all vehicles transporting fish and entering the State for domestic market shall be carrying a transporter's licence for the vehicle in which the fish is transported.**

**The above instructions may be strictly adhered to and all concerned are required to obtain the necessary licence from FDA within 15 days from the date of issue of this Circular.**

**(Prem Kumar)  
OSD (Health)**

**To  
All concerned ( through publication in the GG)**

**CC to: The Director of Health Services.**

**SUGGESTED DRAFT:**

**To  
The Director of Health Services,  
Govt. of Goa, Campal, Panaji.**

**Ref: Circular dated 2.8.2018.**

**Sir,**

**I am to inform you that as per the above Circular the fish traders were given a time limit of 15 days to obtain a licence or registration from the FDA.**

It is noted that even after the lapse of more than 15 days, the fish traders have not complied with the conditions laid down in the above Circular.

The Government has decided to strictly implement its Circular dated 2.8.2018 and the IGP and Director of Transport are required to ensure that the vehicles transporting fish entering the State have a valid transporter's licence for vehicles from the FDA.

The Departments concerned are also required to submit a compliance report in the matter.

(Prem Kumar)  
OSD (Health).

CC to: 1.The IGP ) for compliance of the above  
2.The Director of Transport ) instructions.

- **D.O. LETTERS**

**EXAMPLE 5:** Draft a D.O. letter from the Joint Secretary to the Hon'ble Chief Minister to the Director of Transport to inform that the Hon'ble CM is very disturbed about the deaths caused by traffic indiscipline in Goa especially overspeeding, violating the traffic rules and asking strict action against the violaters.

**Naguesh Parekh**  
**Jt.Secy. to Hon.CM.**  
**Tele. No.**

**D.O. No.**

**Government of Goa,**  
**Secretariat,**  
**Porvorim,Goa.**

**My dear Nitin,**

**I wish to draw your attention to the alarming rate of deaths on the Goan roads. Most of the deaths, I feel, are due to violation of traffic rules. Four and two wheelers are seen overspeeding in violation of the speed limit specified and displayed at various junctions. They do not even slow down on the pedestrian crossing and don't allow the members of the public especially the senior citizens to cross the road in peace.**

**Most of the two wheelers riders are not wearing the helmet which is mandatory as per the law. In case of accidents, they not only put themselves in danger but also the pillion rider.**

**The signals at various traffic islands are not followed and violation of signals is rampant at all such places. As a results of the criss-crossings, a number of fatal accidents both of two and four wheelers have taken place.**

**I do hope that you will given this matter your top priority and personally look into the matter. May be you could instruct the Director of Transport to hold weekly drives to check all such traffic violaters. All the provisions of the MV Act may be invoked to punish the traffic defaulters.**

**Action taken by you in this regard may be informed to this Office to keep the Hon'ble Chief Minister updated in the matter.**

With kind regards,

Yours sincerely,

( Naguesh Parekh)

Shri Nitin Naik,  
Director of transport  
Government of Goa,  
Panaji – Goa.

**EXAMPLE 6: Draft a D.O. letter from T.R. Prasad, Director of Transport to Shri S. Kumar, Collector, North Goa, Panaji seeking his comments on the Chief Minister's Rojgar Yojana scheme.**

Date:

My dear/Dear Shri Prasad,

We propose to draw up a model scheme for providing employment to the uneducated youth under the Chief Minister's Rojgar Yojana. A copy of the scheme is enclosed.

The Government is very anxious to extend the benefit of this scheme to the intended beneficiaries during the current financial year.

I shall be grateful if you could personally look into the matter and let me have your comments as soon as possible. I may add that we intend circulating the draft scheme formally to the Committee in due course of time for their concurrence.

With warm regards/with regards,

Yours sincerely,

T.R. Prasad

Shri S. Kumar,  
Collector, North Goa,  
Panaji.

- **NOTES**

**EXAMPLE 7 : Draft a Note from the Asstt. Dir, Admn Section to the Accounts Officer of Accounts Section to deduct Rs.50,000/- from the salary of Shri A.T.Mandrekar for the month of February, 2018 in one instalment. Shri Mandrekar had availed LTC advance of Rs.50,000/- for self and family to visit Jammu for the block year 2013-17.**

**He has visited Jammu and reported for duty on 1.12.2017 and has not submitted the LTC bill.**

**N O T E**

**Shri A.T. Mandrekar, Dy. Director who had availed LTC advance has not submitted his LTC bill.**

**An amount of Rs.50,000/- may be deducted from his salary for the month of February, 2018.**

**Asstt. Director-Admn.**

**Accounts Officer,  
Accounts Section.**



**EXAMPLE 8: Draft a Note from the Secretary (Transport) to the Under Secretary (Transport) of the transfer of registration of a particular four wheeler in violation of MV Act and calling for a report.**

**N O T E**

It is reported that the Office of the Asstt. Director of Transport has not scrutinised a particular case as per MV Act and has recommended the transfer of registration of a four wheeler in utter violation of the policy framed by the Government and the directions issued by the higher authorities from time to time.

A report on the alleged violation of MV Act may be obtained from the Directorate and submitted to the undersigned within a week's time.

(P.V. Kumar)  
Secretary (Transport)

Under Secretary (Transport):

**OFFICE MEMORANDUM**

**EXAMPLE 9: Draft an OM seeking a report on the deputation for training.**

- 121 -

No.

Government of Goa

Directorate of Civil Supplies

A.A. Road, Panaji-Goa.

Date:

## OFFICE MEMORANDUM

**Subject: Deputation for training.**

The undersigned is directed to refer to this office letter No.     dated     and also your meeting with the Director on 12<sup>th</sup> of this month on the subject cited above. You are directed to submit the report of your deputation for training to the undersigned within a week's time from the date of issue of this OM.

(T.R. Prasad)

Asstt. Director

Tele.No.

Email:

Shri Shiv Kumar,  
Asstt. Director.

- CIRCULAR

**EXAMPLE 10: Draft a Circular underlining the need to be punctual in attending the Office and to show utmost dedication to work.**

## CIRCULAR

It has been, time and again brought to the attention of the employees through various circulars the need to maintain punctuality and to ensure that the employees put in their best.

Inspite of this, it is observed that the instructions conveyed through various Circulars have not been adhered to.

It is once again instructed that all the employees should attend and leave the Office at the scheduled time. They are also informed that they should attend to the members of the public especially senior citizens with utmost courtesy assisting them to the extent possible.

Non-adherence to the above instructions will be viewed seriously.

(Darshan Singh)  
Director

To:  
All the employees.

#### **EXAMPLE 11: SUBJECT AND REFERENCING:**

With reference to your letter No. dated , letter No. dated and letter No. dtd. and our letters No. dtd. and No. dtd. on the subject matter “beautification of campal garden”, I am to inform you that ....

#### **SUGGESTED DRAFT**

Sub: Beautification of campal garden.

Ref: Your letter Nos.1) 789 dtd ....

2) 657 dtd ....

3) 213 dtd.....

Our letter Nos. i) 24 dtd...

ii) 28 dtd....

This is with reference to your above referred letters in response to our letters cited therein on the quoted subject. In this connection, I am to inform you that .....

OR

While drawing your attention to the reference and subject cited above, I am to inform you that .....

**EXAMPLE 12: INCORRECT DRAFTING-** i) With reference to your letter No. dated      it is to inform you that

**CORRECT DRAFTING:** With reference to your letter No. dated I am to inform you that your matter has been referred to the Registrar.

ii)**INCORRECT DRAFTING:** With reference to your letter No. dated      . I am to inform you that

**CORRECT DRAFTING:** This has ref. to your letter No. dated      . In this connection I am to

### **EXAMPLE 13: CAPITALISATION**

Use of capital letters: Capital letters act as signal to the readers. They are used to **announce new sentences, names of a particular person, place or thing** e.g. Person – Siddesh, Place – Panaji, thing – Caravela.

**EXAMPLE 14: USE OF TENSES.** There are three types of tenses, past, present and future tenses.

Examples of tenses:

Past tense – Siddesh was as student of Don Bosco High School.

Present tense – Siddesh is a student of Don Bosco High School.

Future tense – Siddesh will be joining Don Bosco High School.

**EXAMPLE 15. USE OF VOWELS.** Using of 'an, for all words beginning with vowels

**a, e, i, o, u**

An aeroplane, an egg, an idea, an owl, an umbrella

**EXAMPLE 16: CONSISTENCY IN TYPING OF LETTERS**

If you type “Staff Training Unit” in the first para don’t type “staff Training unit” in the fifth para. If you refer to the newspaper as ‘The Times’ in the fifth para, don’t call it “the times” elsewhere.

**EXAMPLE 17. CONSISTENCY IN TYPING OF NUMBERS.**

Type the numbers as 1, 2, 3 or i), ii) iii) or I, II, III. Don’t use the numbers as 1, II, 3).