



**Parliament of India
Rajya Sabha**

**MANUAL
OF
OFFICE PROCEDURE**

Second Edition



**RAJYA SABHA SECRETARIAT
(O & M Section)
January, 2010**



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FOREWORD

Article 98 of the Constitution mandates each House of Parliament to have a separate secretarial staff. Rajya Sabha Secretariat has been established in terms of that Constitutional provision. This Secretariat is not a public office in the strict sense of the term, but is bestowed with the responsibility of providing secretarial service *inter alia* to the representatives of the public, *i.e.*, Members of Parliament (Rajya Sabha) which puts on it the onus of providing best quality of services within a fair, prompt and transparent manner. To that end, efforts made over a period of time resulted in evolution of certain practices and procedures, which were encapsulated in the Manual of Office Procedure of the Secretariat in 2002 for the first time.

In the light of experience gained since the first publication of the Manual in the year 2002, it was felt that a single Manual for all sections/services makes it not only voluminous but also user-unfriendly. Therefore, it was decided to have a publication in the form of a Manual of Office Procedure of the Secretariat containing only common issues concerning all sections/services. This publication has been brought out consequent to that decision. It would be complemented and supplemented by separate specific manual for various sections/units.

O&M Section had brought the first edition in 2002. Responsibility of bringing out the revised edition of present Manual of Office Procedure of the Secretariat too was bestowed upon that Section. O&M Section has discharged its responsibility commendably under the able guidance of Dr. D. B. Singh, Joint Secretary.

It is hoped that this edition would act as a handbook on standard operating procedure for all inductees in the Secretariat and a reference book for others already working in the Secretariat.

Suggestions for further improvement of the Manual are always welcome.

NEW DELHI;
January, 2010

V. K. AGNIHOTRI
Secretary-General

PREFACE

The first edition of the Manual of Office Procedure was brought out by the Secretariat in the year 2007. In the intervening period, not only several changes in the functioning of the Secretariat in respect of procedure, practices and structure have taken place, but even technology have effected a great deal of change in its working. These changes have necessitated the revision of the Manual.

A major decision, when exercise of Manual's revision started in 2007, taken was that the Manual may be bifurcated viz. one Manual of Office Procedure of the Secretariat (MOPS) containing common issues/subjects for the whole Secretariat and another elaborate one for each section/service containing issues/subjects specific to that Section/Service as Sectional Manual of Office Procedure (SMOP). This bifurcation would make the publications compact and more user-friendly. Another advantage of the bifurcation is that specific changes in any one of these publications may not necessitate revision of all other publications. Since for SMOP, target users are mainly officers and staff working in the Secretariat and new entrants, giving the Secretariat the elaborate separate Manual for each section/service providing a detailed step-by-step procedure for each dealing hand and for other supervisory officers in the hierarchy of that Section, would be more useful.

The present publication of Manual of Office Procedure of the Secretariat (MOPS) contains ten chapters namely, Introduction and Definitions; Secretariat Organisation; Conduct and Discipline; Registration of Receipts; Filing System; Dealing with Receipts, Noting and Drafting; Distribution of Parliamentary and other Dak, Records Management; Efficiency, Order and Methods and Checks on Delays.

Preparation of Manual of Office Procedure is a collective effort, all concerned officers and staff of the Secretariat chipped in the updation of this publication. Their contribution is acknowledged. It would also be not out of place to record special appreciation of the team of officers and staff of O&M and Personnel Section who have exhibited a high degree of commitment and dedication at various stages of updation and revision of this Manual.

Though all efforts have been made to make it as updated and error free as possible, but if inadvertently some errors have crept in, it would be highly appreciated if these are brought to the notice of O&M Section.

NEW DELHI;
January, 2010

D. B. SINGH
Joint Secretary,
Rajya Sabha Secretariat

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CHAPTER-I

INTRODUCTION AND DEFINITIONS

1.1 Introduction — The functioning of Rajya Sabha is regulated under various provisions of the Constitution of India in general and Article 118 in particular, which reads as follows:

Rules of procedure — (1) *Each House of Parliament may make rules for regulating, subject to the provisions of this Constitution, its procedure and the conduct of its business.*

(2) *Until rules are made under clause (i) the rules of procedure and standing orders in force immediately before the commencement of this Constitution with respect to the Legislature of the Dominion of India shall have effect in relation to Parliament subject to such modifications and adaptations as may be made therein by the Chairman of the Council of States or the Speaker of the House of the People, as the case may be.*

(3) *The President, after consultation with the Chairman of the Council of States and the Speaker of the House of the People, may make rules as to the procedure with respect to joint sittings of and communications between the two Houses.*

(4) *At a joint sitting of the two Houses the Speaker of the House of People, or in his absence such person as may be determined by rules of procedure made under clause (3), shall preside.”*

1.2 The Rajya Sabha Secretariat — As early as in January, 1926, the Presiding Officers Conference adopted a resolution proposing the creation of a separate office for the Central Legislative Assembly, independent of and unconnected with the Government. On 22nd September, 1928 Pandit Motilal Nehru moved a resolution in the Central Legislative Assembly to the effect that a separate Assembly Department be constituted. The resolution was adopted unanimously. The Secretary of State for India, having accorded his approval, with certain modifications to the scheme as embodied in the resolution, a separate self-contained department known as the ‘Legislative Assembly Department’ was created on 10th January, 1929 in the portfolio of the Governor General with the Speaker of the Legislative Assembly as its *de facto* Head.

The recruitment and conditions of service of the employees of the Legislative Assembly Department were governed by separate Rules called the Legislative Assembly Department (Conditions of Service) Rules, 1929 made by the Secretary of State in Council on 7th August, 1929. Officers and staff of the Legislative Assembly Department thereafter began to be appointed in accordance with those Rules with the approval of the President (Chairman/Speaker) of the Assembly. The position and authority of the Speaker in the matter of recruitment, terms and conditions of service of the officers and staff of the Central Assembly Department (and its successor Secretariat) have ever since been recognised by Statutory Rules and conventions and finally by the Constitution of India.

Under the provisions of the Indian Independence Act, 1947, the legislative functions of the Central Legislature were taken over by the Constituent Assembly of India. There was, however, no change in the nomenclature of the Legislative Assembly Department. With the coming into force of the Constitution and creation of a provisional Parliament on 26th January, 1950 the name of the Department was changed to ‘Parliament Secretariat’. Article 98 of the Constitution of India made the following specific provision for separate Secretariats for the two Houses of Parliament:

Secretariat of Parliament (1) *Each House of Parliament shall have a separate Secretariat staff: Provided that nothing in this clause shall be construed as preventing the creation of posts common to both Houses of Parliament.*

(2) *Parliament may by law regulate the recruitment and the conditions of service of persons appointed to the secretariat staff of either House of Parliament.*

(3) *Until provision is made by Parliament under clause (2), the President may, after consultation with the Speaker of the House of the People or the Chairman of the Council of States as the case may be make rules regulating the recruitment and the conditions of service of persons appointed to the secretariat staff of the House of the People or the Council of States and any rules so made shall have effect subject to the provisions of any law made under the said clause.”*

Even after the Council of States (Rajya Sabha) and the House of the People (Lok Sabha) came into existence in 1952 the Secretariat of the House of the People continued to be called the ‘Parliament Secretariat’, and a new Secretariat called the ‘Council of States Secretariat’ was set up for the Rajya Sabha. The names of the two Secretariats were changed in 1954 to ‘Rajya Sabha Secretariat’ and ‘Lok Sabha Secretariat’ respectively. The conditions of service of the Officers and Staff of the Secretariats continued to be governed till 30th September, 1955 by the Legislative Assembly Department (Conditions of Service) Rules, 1929, as amended and adapted from time to time. New rules were framed, as given in the next chapter, in 1957.

1.3 Accountability of the Secretariat and the purpose of this Manual — Under Article 122, Courts cannot inquire into the validity of the proceedings in Parliament nor are officers of Parliament subject to jurisdiction of any court in respect of exercise of any powers regulating procedure, or the conduct or for maintaining order. Accountability for the official actions of the officers/officials of Rajya Sabha Secretariat at different levels however exist, and in the administrative hierarchy it is essential, more so when the normal check of judicial scrutiny is not applicable to lay down this accountability so that the responsibility at different levels is known to everybody. Discretion and freedom of action must be well defined and standardised and process of office working must be laid down to establish accountability at all levels.

The present 2nd edition of the Manual of Office Procedures in the Rajya Sabha Secretariat (Office Manual in short) is a compilation of the set and well-established procedures to be followed by different Services/Sections in handling different types of work in the Secretariat and contains various instructions relating to the working of the Secretariat. Its purpose is to lay down benchmarks of performance, assign responsibility and standardise procedures. As such the Manual is expected to be used on a day-to-day basis. It is also a training aid and a reference document for inspection purposes.

1.4 Definitions — In this Manual, unless the context otherwise requires:

- (i) *Bulletin* — means the Bulletin of the Council of States (Rajya Sabha) containing (a) a brief record of the proceedings of the Council at each of its sittings (Part-I Bulletin); and (b) information on any matter relating to or connected with the business of the Council or other matter which in the opinion of the Chairman may be included therein; and (c) information regarding Committee, of the Councils or Select Committees of the Council or Joint Committee of the two Houses (Part-II Bulletin).
- (ii) *Case* — case consists of the file containing the papers under consideration and any other files and papers, books etc. put up for reference to enable the question or questions raised to be disposed of.
- (iii) *Correspondence* — correspondence is the collection of all communications (receipts) received and office copies of out-going communications (issue) consisting of (a) Official correspondence; (b) Demi-official correspondence; and (c) Unofficial correspondence.

Appendix to Correspondence — in relation to a file means lengthy enclosures to a communication (whether receipt or issue) on the file, inclusion of which in the correspondence portion is likely to obstruct smooth reading of the correspondence or make the correspondence portion unwieldy.

- (iv) *Dak* — dak includes every type of written or printed communication such as letter, telegram, savingram e-mail and communications received from Members of Rajya Sabha including notices received under Rules of Procedure and Conduct of Business and others, *Classified dak* means dak bearing security grading and *Urgent dak* means dak marked immediate or priority and includes telegrams, savingrams, wireless messages and telex messages.

- (v) *Demi-official Correspondence* — a communication is demi-official when Secretariat officers correspond with each other, with Government officers or with any member of the public without the formality of the prescribed procedure and with a view to elicit, inter-change or communicate opinion or information before a formal decision is taken.
- (vi) *Departmental Instructions* — departmental instructions mean instructions issued by a department to supplement or alter the provisions of the Manual of Office Procedure.
- (vii) *Distribution Section* — distribution section means a unit consisting of the Central Registry and the Central Issue section and is charged with the responsibility of receiving, registering and distributing dak meant for that department and includes functionaries like resident clerk and night duty clerk.
- (viii) *Docketing* — docketing means making of entries in the notes portion of a file about the serial number and Diary/Despatch number assigned to each item of correspondence (whether receipt or issue) for its identification, along with particulars of date of receipt/issue.
- (ix) *Draft* — draft means a rough copy prepared of a document. The word drafting when used in the Secretariat means composing of official communications, based on officers' notes or orders.
- (x) *Executive/Legislative/Committee Officer* — Executive/Legislative/Committee Officer means an officer supervising a section, designated according to the work performed by the Section.
- (xi) *File* — file means a collection of papers on a specific subject matter and assigned a classified identification number (File No.), consisting of one or more of — (a) correspondence; (b) notes; (c) appendix to correspondence; and (d) appendix to notes. *Current File* - current file means...a file containing a paper or papers on which action has not been finally completed.
- (xii) *Filing* — filing can be defined as placing loose papers in a systematic order in a file relating to the subject, generally in chronological order of receipt so that the papers wanted can be located readily.
- (xiii) *Fresh Receipt* — See 'Paper Under Consideration' below.
- (xiv) *Indexing* — indexing in relation to a file means indicating its title under appropriate catchwords arranged in their alphabetical order with a view to facilitating its location whenever needed. Thus it is a means of tracing records on a particular subject.
- (xv) *Issue* — the term 'Issue' is used to signify the various stages of action after approval of a draft, namely, typing of fair copy, comparison with approved draft, submission of the fair copy for signature and finally the despatch of the communication to the addressee.
- (xvi) *Note* — note means the remarks recorded on a case to facilitate its disposal. It includes a precise of previous papers, a statement or an analysis of questions requiring decision, suggestions regarding the course of action and final orders passed thereon.

Appendix to Notes — in relation to a file, means lengthy document or statement containing detailed information concerning certain aspects of the question discussed on the file, incorporation of which in the main note is likely to obscure the main point or make the main note unnecessarily lengthy.
- (xvii) *Official Correspondence* — means correspondence addressed by or to any Government or Rajya Sabha Secretariat Official, public body or private individual in conformity with the prescribed form and procedure.
- (xviii) *Paper Under Consideration* — the paper under consideration (P.U.C.) is normally a primary receipt, the consideration of which is the subject matter of the file or case. The latest communication or a subsidiary receipt which is to be considered in relation to the subject is termed as 'Fresh Receipt' (F.R.).

- (xix) *Receipts* — all communications whether official, demi-official or unofficial received in the Secretariat or by any officer of the Secretariat in his official capacity are called receipts.
- (xx) *Recording* — recording is the process of closing a file after action on all the issues considered thereon has been completed. It includes operations like completing references, removing routine papers, re-pagination, revising the file title, changing the file cover and stitching the file.
- (xxi) *Referencing* — referencing is the process of putting up and referring to connected records, precedents, rules regulations, books or any other paper having a bearing on the case.
- (xxii) *Section* — Section means the basic work unit within a service responsible for attending to items of work allotted to it. It is generally supervised and controlled by an Executive/Legislative/Committee Officer or by an Assistant Director or by both.
- (xxiii) *Standing Guard File* — Standing Guard File on a subject means a compilation consisting of the following three parts:
- (a) a running summary of the principles and policy relating to the subject with number and date of relevant decisions or orders quoted in margin against each;
 - (b) copies of the decisions or orders referred to, arranged in chronological order; and
 - (c) model forms of communications to be used at different stages.
- (xxiv) *Standing Note* — standing note in relation to a subject means a continuing note explaining, among other things, the history and development of the policy and procedure, designed to serve as a complete background material for review of the existing policy or procedure.
- (xxv) *Standard Process Sheet* — means a standard skeleton note developed for a repetitive item of work, indicating predetermined points of check or aspects to be noted upon.
- (xxvi) *Table* — means the Table of the Council of States (Rajya Sabha).
- (xxvii) *Unofficial Correspondence* — A communication is 'Unofficial' when a paper or a file or a case is forwarded with a note to any other Department(s) for obtaining their concurrence, opinion or remarks.

Words and phrases used in this Manual but not defined here shall have the same meaning as in the 'Rules of Procedure and Conduct of Business in Rajya Sabha,' or in the Central Secretariat Manual of Office Procedure and in respect of matters covered by the Information Technology Act, 2000, the definition given in that Act. In particular except where the context otherwise requires, 'written' or 'document' or 'papers' shall include electronic text; 'record' or 'information' shall include electronic record or information in any form and 'correspondence' or 'letters' or 'communications' shall include e-mail or other forms of electronic transmission, record and receipt of information.

CHAPTER-II

SECRETARIAT ORGANISATION

2.1 Secretariat — Article 98 of the Constitution of India provides as follows:

Secretariat of the Council (1) *Each House of Parliament shall have a separate secretariat staff:*

Provided that nothing in this clause shall be construed as preventing the creation of posts common to both Houses of Parliament.

(2) *Parliament may by law regulate the recruitment and the conditions of service of persons appointed, to the secretariat staff of either House of Parliament.*

(3) *Until provision is made by Parliament under clause (2), the President may, after consultation with the Speaker of the House of the People or the Chairman of the Council of States, as the case may be, make rules regulating the recruitment, and the conditions of service of persons appointed, to the Secretariat staff of the House of the People or the Council of States, and any rules so made shall have effect subject to the provisions of any law made under the said clause”.*

Even after the Council of States (Rajya Sabha) and the House of the People (Lok Sabha) came into existence in 1952, the Secretariat of the House of the People continued to be called the ‘Parliament Secretariat’, and a new Secretariat called the ‘Council of States Secretariat’ was set up for the Rajya Sabha. The names of the two Secretariats were changed in 1954 to Lok Sabha Secretariat and Rajya Sabha Secretariat respectively.

The Vice-President of India is the *ex-officio* Chairman of the Council of States. The administrative control of the Secretariat of Council of States vests with the Chairman and is exercised by him/her either directly or through officers subordinate to him/her.

2.2 Secretary-General —The Secretary-General is the administrative head of the Secretariat of the Council of States. All matters requiring orders of the Chairman are routed through the Secretary-General.

2.3 Recruitment and Conditions of Service Rules — The conditions of service of the officers and staff of the Secretariat were earlier governed by the Legislative Assembly Department (Conditions of Service) Rules, 1929, as amended and adapted from time to time. In exercise of the powers conferred by the Clause (3) of Article 98 of the Constitution, the Rajya Sabha Secretariat (Recruitment and Conditions of Service) Rules, 1957 (herein under referred to as ‘1957 Rules’) were framed and promulgated by the President in consultation with the Chairman to regulate the recruitment and the conditions of service of officers and staff of Rajya Sabha Secretariat *w.e.f.* 15th March, 1957.

2.3.1 Strength and composition of the Secretariat:

- (i) The Secretariat, at present, has:—
 - (a) 377 Group ‘A’ gazetted posts distributed among 8 different services of the Secretariat as detailed In **Annexure-I**.
 - (b) 584 Group ‘B’ non-gazetted posts distributed among 7 different services of the Secretariat as detailed in **Annexure-II**.
 - (c) 456 Group, ‘C’ posts distributed among 6 different services of the Secretariat as detailed in **Annexure-III**.

- (d) 72 Tenure posts in various grades attached to the offices of the Hon'ble Chairman, Rajya Sabha, Hon'ble Deputy Chairman, Rajya Sabha, Leader of Opposition, and Chairpersons of various Committees etc. as at **Annexure-IV**.

- (2) The Chairman, may, from time to time, increase or reduce the number of posts by adding thereto any new category of post or posts.

2.3.2 Appointing Authority: All appointments to the posts shall be made by the Chairman. The Chairman may, by general or special order, delegate to the Secretary-General or any other officer of the Secretariat, power to make appointments to any post or class of posts specified in such order other than posts in Group 'A'.

Appointments and promotions to all Group 'A' gazetted posts are at present, made by the Hon'ble Chairman, Rajya Sabha and the power to make appointments and promotions to Groups 'B' & 'C' posts in the Secretariat have been delegated to Secretary-General, Rajya Sabha.

2.3.3 Pay, Leave, Pension and Age of Compulsory Retirement: Subject to the provisions of Rules 11 and 12 of 1957 Rules, Rule 8 provides that:

- (i) the pay or attached scale of pay to each of the posts specified in Annexures I, II, III & IV in Column 4 shall be as set out against each of the posts in the said Annexures.
- (ii) the Chairman may, from time to time, by general or special order, after consultation with the concerned Ministry, amend any provision regarding Pay, Leave, Pension and Age of Retirement.

2.3.4 Conditions of Service of Officers on deputation to the Secretariat: An officer while on deputation to the Secretariat may be permitted to retain, to such extent and subject to such conditions as may be determined by the Chairman after consultation with the concerned Ministry, the terms and conditions of service which were applicable to him/her immediately before his/her deputation to the Secretariat.

2.4 Consultation with Government and Application of Government Orders — At the time of framing of the Lok Sabha Secretariat (Recruitment and Conditions of Service) Rules, Speaker Mavalankar recorded the following minutes with regard to the use of the term "consultation" in the said Rules:

"I am unable to accept the principle of a compulsory consultation with the Ministry If the Ministry-the Finance Ministry in particular-insist on their concurrence, on the supposition that the Speaker will be unreasonable and that they alone are the guardians of the financial interests of the Government, the Speaker also may be equally allowed to consider that the Finance Ministry will merely have the point of rupees, annas and pies and will not be able to appreciate and understand the requirements and necessities of the Lok Sabha Secretariat.

In my view, therefore, I cannot agree to any provision where the consent of the Ministry is necessary for giving effect to what the Speaker thinks is essential in the Lok Sabha Secretariat and the Lok Sabha.

The only solution to this is the phraseology first suggested namely "after consultation" and not "in consultation". The words "in consultation" mean joint consultation and agreement. The Speaker is more entitled to presume that Ministry of Finance may unreasonably withhold its consent rather than the Speaker doing it himself/herself. In fact, the specified provision of any consultation is unnecessary. It is to be presumed that the Speaker will be functioning according to the previous practice and convention and will not be using his/her power or discretion in an arbitrary or oppressive manner. If this fundamental is borne in mind, there is no scope for any discussion about the phraseology."

Matters regulating service conditions may form the subject matter of discussion with the concerned Ministry in terms of the relevant provisions of the Recruitment and Conditions of Service Rules and if a final settlement at Secretary General's level is not reached, the matter is placed before the Chairman, who records his/her opinion. As

a rule, when the Chairman is satisfied that certain conditions of service are necessary, his/her opinion prevails. It is, of course always open to the concerned Minister to request the Chairman/Speaker to reconsider his/her decision. In actual practice, such cases have been very rare and the experience of operation of the Rules during the last 43 years has shown that generally no major points of difference arose between the Rajya Sabha Secretariat and the Government.

Posts in the Secretariat of the Rajya Sabha are excluded from the purview of the UPSC under the provisions of the UPSC (Exemption from Consultation) Regulations, 1958. The Administrative Tribunal Act, 1985 is also not applicable to persons appointed in the Secretariat.

According to well established conventions in respect of matters for which provision has been made in 1957 Rules, the orders issued by the Government of India for its officers and staff do not *ipso facto or ipso jure*, apply to the officers and Staff of the Secretariats of Parliament, unless explicitly adopted by them. Under the provisions of Rajya Sabha Secretariat (Recruitment and Conditions of Service) Rules, 1957, the orders of Government of India are adopted in the Secretariat subject to such modifications, variations or exceptions, if any, as the Chairman may by order specify. However, in respect of all other matters regulating the conditions of service of officers for which no provision or insufficient provision has been made in these rules, officers are governed by such rules as are applicable to the officers holding corresponding posts in the Central Secretariat, subject to such modifications, variations or exceptions, if any, in such rules, as the Chairman may, after consultation with the concerned Ministry, from time to time, by order specify.

2.5 Recruitment Orders — The Chairman, Rajya Sabha in exercise of the powers conferred by the sub-rule (2) of Rule (4) and Rule (5) of the Recruitment and Conditions of Service Rules, 1957 made an order called the Rajya Sabha Secretariat (Methods of Recruitment and Qualifications for Appointment) Order, 1969 which has since been superseded by a similarly titled Order of August, 2009.

2.6 Parliamentary Committee on structure of pay — The Third Central Pay Commission stated in their report that the employees of Secretariat of Parliament were excluded from their purview in view of the provision of Article 98 of the Constitution. In view of this position, the presiding Officers of the two Houses appoint a Committee of Parliament to report on the structure of pay and allowances etc. after report is submitted by a Central Pay Commission.

2.7 Rajya Sabha Secretariat Staffing — The Rajya Sabha Secretariat (Methods of Recruitment and Qualification for Appointment) Order, 2009 in its schedule specifies that the Secretariat shall comprise of the following Services:

- (i) The Legislative, Financial, Executive and Administrative Service.
- (ii) The Library and Reference, Research, Documentation and Information Service.
- (iii) The Verbatim Reporting Service.
- (iv) Private Secretaries and Stenographic Service.
- (v) The Simultaneous Interpretation Service.
- (vi) The Printing and Publications Service.
- (vii) The Editorial and Translation Service.
- (viii) The Parliament Security Service.
- (ix) The Drivers and Despatch Riders Service.
- (x) The Messenger Service.

The important functions of these Services are as detailed below:

2.8 The Legislative, Financial, Executive and Administrative Service — The offices staffed by this service support the functioning of the Council of States by processing matters relating to the business of the Council, *i.e.*, Questions, Motions, Legislation, etc. The service also provides support for the functioning of the eight Department Related Parliamentary Committees and ten Standing Committees. The Service is also responsible for managing establishment, house keeping, welfare and finance work pertaining to Rajya Sabha Secretariat. The Sections/Branches manned by this Service and their functions are as follows:

Notice Office: This Section is responsible for receiving all notices and papers from Members in connection with the business of the Council, supplying forms for Notices to the Members, Dealing with Members' queries on various matters as a single window, Receipt of TA/DA claims and Distribution of Cheques to the Members, Exchange Order Requisitions, Issue of Passes for Rajya Sabha Galleries, Issue of Central Hall Pass on daily basis and Central Hall Gallery Pass for witnessing President's Address, Entry Pass for PA/PS to Members of Rajya Sabha and Library Pass, Parking Labels (for MPs, Ex-MPs, officials, etc.), Issue of Identity Cards to former Members, Issue of Entry Pass to Member's Spouse, Issue of Identity Cards to officers and staff of the Secretariat and officials of Allied Agencies and Lok Sabha television.

Table Office: The main responsibility of this Section is the preparation of lists of business, making arrangements for oath/affirmation, preparing obituary and other references, election of the President/Vice President and the Deputy Chairman. The other responsibilities include maintenance of Roll of Members and Minutes Book of the Council, preparation of duty roster for the Table for each Session; coordination regarding Laying of Papers, preparation and issue of Bulletins Part I & Part II, servicing Business Advisory Committee, preparation of statement showing party position in Rajya Sabha, allocation of division numbers, preparation and issue of List of Members of Rajya Sabha etc. processing of resignation by Members, vacation of seats and filling up of vacancies, cases under the Anti-Defection Law and preparation of Resume of Business transacted by the Rajya Sabha after each Session.

Legislative Section: The main function of this Section relates to the summoning and prorogation of the House, its sittings, President's address, processing of notices for calling attention, short duration discussion, resolutions, motions, special mentions and Zero Hour submissions, etc. In addition to these, it also deals with matters relating to the Committee on Rules and Committee of Privileges, matters relating to Statutory & Private Members' Resolutions and maintaining Publications Counter.

Bill Office: All legislative work relating to Government and Private Members' Bills including scrutiny, introduction, publication in the Gazette, consideration at all stages, amendments to Bills, passing and preparation of and submission for the President's assent are dealt by this Section. The Section checks the technical requirements of proposed legislation during the various stages for converting a Bill into a law. It is also involved in communication of messages between the Houses and work relating to Ordinances.

Lobby Office: This Section deals with attendance of Members, applications for leave of absence, coordinates Video recording of proceedings and general upkeep of the Rajya Sabha Chamber, rooms of Committee, Chairman and Deputy Chairman in Parliament House. It also looks after arrangements in connection with the President's Address, Farewell function for the retiring Members and preparation of Journals of Rajya Sabha for each Session of Rajya Sabha.

Question Branch: This Section deals with all matters relating to questions, issue of Bulletins and Charts showing dates and programmes of sittings of the Rajya Sabha, supply of printed forms for giving notice of Questions/ Short Notice Questions and Receipt of notices of questions, Diarising and Balloting, processing and examination of notices of questions for admission under the Rules, preparation, finalization and supply of Manuscripts of lists of starred and unstarred questions, preparation of sets of reply, correspondence with the Ministries and Members of Rajya Sabha in relation to questions, etc.

Committee Sections: These Sections are basically responsible for dealing with various Standing Committees, Department-related Committees. The Committees are serviced by Committee Sections headed by Directors/Joint

Directors who report to the Chairman of the concerned Committees through a Joint or Additional Secretary. These Sections may from time to time service Select, or Joint Committees also.

At present, Rajya Sabha Secretariat provides support to the following Committees:~

- (i) **Standing Committees** viz., General Purposes Committee, Business Advisory Committee, Committee on Rules, Committee of Privileges, Committee on Subordinate Legislation, Committee on Petitions, Committee on Government Assurances, Committee on Papers Laid on the Table, House Committee, Ethics Committee.
- (ii) **Department-related Parliamentary Standing Committees** viz., Committee on Commerce, Committee on Home Affairs, Committee on Human Resource Development, Committee on Industry, Committee on Science & Technology, Environment & Forests, Committee on Transport, Tourism & Culture, Committee on Personnel, Public Grievances, Law & Justice and Committee on Health & Family Welfare.
- (iii) **Committees which are currently not in the rules**, viz., Committee on Provision of Computer to Members of Rajya Sabha and Committee on Members of Parliament Local Area Development Scheme.

Conference and Protocol Section: This Section looks after protocol matters including tours of Parliamentary Delegations issuance of Diplomatic Passports and Visa Notes to Members, and release of foreign exchange to Members. This Section also deals with the Presiding Officers' Conferences including Conference of Secretaries of Legislative Bodies in India and abroad. It also looks after the work relating to the Conferences concerning I.P.U., Conferences of Association of Secretaries-General of Parliaments, Conferences of the Society of Clerks at the Table and Commonwealth Conferences.

Members' Amenities Section: The main function of this Section is to ensure provision of amenities and facilities to Members as per norms. These include accommodation, telephones, medical aid and other amenities to Members of Rajya Sabha as may be deemed necessary from time to time. The Section also provides services to the House Committee.

Members' Salaries and Allowances Branch: This Section deals with all matters concerning Salaries and Allowances (including travel and daily allowance) to Members and Pension to Ex-members, Issue of Identity-cum-railway pass to Members, payment of salaries of PAs of Members, issue of Exchange Orders for travel by official airlines, settlement of airline invoices, telephone, water and electricity bills etc. and reimbursement of medical expenses to Members and their dependent family members. It also maintains the records of the usual place of residence of the Members.

Administrative Sections: These Sections include Personnel Section, Establishment (G) Section, Establishment (A/Cs and Budget) Section, General Administration Section, Stores Section, Distribution Branch, Sales and Archives Section, Training Cell, O & M Section, and IT (Hardware) Section, IT (Software) Section, RTI Cell, Recruitment Cell, Finance Cell and Welfare Unit.

2.9 The Library and Reference, Research, Documentation and Information Service — The Service maintains a small Library and prepares research and reference material for the Chairman and Members. This Section also brings out various Publications on behalf of the Secretariat, including biographical sketches of Members every two years, soon after the biennial elections to Rajya Sabha.

The Service has been restructured into the following eight Units:~

- (i) General Research Unit; (ii) Publications and Who's Who Unit; (iii) Library and Reference Unit; (iv) Media Education and Audio-Visual Unit; (v) Research Unit-I; (vi) Research Unit-II; (vii) Research Unit- III and (viii) Research Unit-IV.

2.10 Reporting Service — This service is responsible for the preparation and publication of the verbatim reports of the proceedings of each sitting of the Rajya Sabha and also of the Parliamentary Committees where required.

2.11 Simultaneous Interpretation Service — This service provides the Simultaneous Interpretation during the proceedings of the House and where required, of the Committees. The languages in which services are provided are Assamese, Bengali, Gujarati, Kannada, Malayalam, Marathi, Oriya, Tamil, Telgu, Punjabi and Urdu.

2.12 Editorial and Translation Service — The service is charged with responsibilities of editing and indexing debates in the floor language and in Hindi. In addition, the service looks after the work relating to the translation from English to Hindi or *vice-versa* of Questions, Motions, Resolutions, Bulletins, Lists of Business, Bills, and Committee Reports, etc. The Synopsis Section prepares a Synopsis of the daily proceedings of the House in English and Hindi, which is separately published. A Rajbhasha Prabhag has also been created in this Service to promote the usage of Hindi as official language and implement provisions of Official Language Act.

2.13 Private Secretaries and Stenographic Service — Members of this service provide Secretarial assistance to Chairmen of Parliamentary Committees and Officers of the Secretariat. They also staff the Stenographic Pool available to Members of Rajya Sabha for their official work.

2.14 Printing and Publications Service — This service ensures the printing of Parliamentary papers including Lists of Business, Lists of Members, Bills, Reports and evidence of Committees, WHO'S WHO of Members of Rajya Sabha, Debates and their appendices and indices, etc. and other publications of the Secretariat brought out from time to time. While the actual printing work is done in the Government Printing Press (and where required, privately), all preparatory and coordination work including proof-reading, technical advice, monitoring of progress etc. is done by this Service.

2.15 Parliament Security Service — Parliament Security Service is under the overall control of an Officer of the rank of Joint Secretary or above of Lok Sabha Secretariat who has full operational control regarding the security in the precincts of the entire Parliament House complex. However, the Service cadres are separate for each of the Rajya Sabha Secretariat and Lok Sabha Secretariat and provide personnel for all security related duties within the precincts (or Sectors) for performance of assigned responsibilities. The main functions of this Service are maintenance of access control for vehicles, men and material and maintenance of order within the precincts of the Parliament Estate; co-ordination relating to protection of VVIPs/VIPs and Members of Parliament inside the Parliament precincts in liaison with Delhi Police, CRPF, *etc.*; guarding of Rajya Sabha Chamber, Galleries, Central Hall and other areas of Parliament House/Parliament House Annexe and ensuring thorough anti-sabotage and anti-explosive checks of all vital areas of Parliament House/Parliament House Annexe; fire and sanitation services and supervising the functioning of Centralised Pass Issue Cell (CPIC).

2.16 Drivers and Despatch Riders Service — This Service consists of Drivers and Despatch Riders. Drivers provide transport services to Members of Parliament and officers of the Secretariat. Despatch Riders are responsible for prompt delivery of parliamentary and other papers to Members and Government officers.

2.17 Messenger Service — It consists of Personal Attendants to Hon'ble Chairman, Rajya Sabha, the Chamber Attendants and the Attendants Grade-I, II & III. Chamber Attendants are posted in the Chamber/Lobbies during Session for assisting and attending to the needs of Members such as transmission of communications, messages, etc. The Attendants provide functional support to the officers and sections of the Secretariat.

2.18 Pay and Accounts Office — The Pay and Accounts Office, Rajya Sabha was constituted on 1st October, 1955 under the Scheme of separation of accounts from audit. It functions as a Treasury-cum-Departmental Accounts Office of the Rajya Sabha Secretariat and also as Controller of Exchequer. All payments and accounting of transactions relating to the Rajya Sabha Secretariat and Pay and Accounts Office are made by this Office. The Secretary-General, Rajya Sabha acts as the Chief Accounting Authority and this responsibility is discharged by him/her through and with the assistance of the Pay and Accounts Officer.

CHAPTER-III
CONDUCT AND DISCIPLINE

3.1 Conduct and Discipline Rules — The Rajya Sabha Secretariat (Recruitment and Conditions of Service) Rules, 1957 (hereinafter referred to as “the 1957 Rules”) framed by the President after consultation with the Chairman, Rajya Sabha in the exercise of the powers conferred by clause (3) of Article 98 of the Constitution of India, regulates the recruitment and the conditions of service of persons appointed to the Secretarial staff of the Rajya Sabha. Part-IV of the said Rules consists of provisions pertaining to ‘Control and Discipline’. The relevant Rules briefly stated are as follows:

- (a) **Rule 13 : Control** — All officers shall be subject to the superintendence and control of the Hon’ble Chairman.
- (b) **Under Rule 14 [read with rule 11 of CCS (CCA) Rules, 1965]** the following types of penalties may be imposed on an officer for good and sufficient reasons:

Minor Penalties:—

- (i) censure;
- (ii) withholding of promotion;
- (iii) recovery from his/her pay of the whole or part of any pecuniary loss caused by him/her to the Secretariat by negligence and breach of orders;
- (iv) reduction to a lower stage in the time-scale of pay by one stage for a period not exceeding three years, without cumulative effect and not adversely affecting his/her pension; and
- (v) withholding of increments of pay without cumulative effect.

Major Penalties:—

- (vi) save as provided in clause (iv) reduction to a lower stage in the time-scale of pay for a specified period, with further directions as to whether or not the employee will earn increments of pay during the period of such reduction and whether on the expiry of such period, the reduction will or will not have the effect of postponing the future increments of his/her pay
- (vii) reduction to lower time-scale of pay, grade, post or service which will ordinarily be a bar to the promotion of the employee to the time-scale of pay, grade, post or Service from which he/she was reduced, with or without further directions regarding conditions of restoration to the grade or post or Service from which the employee was reduced and his/her seniority and pay on such restoration to that grade, post or Service;
- (viii) compulsory retirement;
- (ix) removal from service of the Secretariat which shall not be a disqualification for future employment;
- (x) dismissal from service of the Secretariat which shall ordinarily be a disqualification for future employment:

Provided that, in every case in which the charge of possession of assets disproportionate to known sources of income or the charge of acceptance from any person of any gratification, other

than legal remuneration, as a motive of reward for doing or forbearing to do any official act is established, the penalty mentioned in clause (viii) or clause (ix) shall be imposed:

Provided further that in any exceptional case and for special reasons recorded in writing, any other penalty may be imposed.

- (c) **Disciplinary Authorities** — Rule 15 of the 1957 Rules empowers the Hon'ble Chairman to impose any of the penalties specified in Rule 14 on any officer. Under the proviso to Rule 15, the power to impose such penalties on any officer other than a Group 'A' officer has been delegated to the Secretary-General.
- (d) **Procedure for imposing major penalties** — Rule 16 of the 1957 Rules lays down the procedure to be followed before imposing any of the penalties specified in clause (v) to (ix) of para 3.1 (b) on an officer.
- (e) **Procedure for imposing minor penalties** — Rule 17 of the 1957 Rules lays down the procedure to be followed before imposing any of the penalties specified in clauses (i) to (iv) of para. 3.1(b) on an officer.
- (f) **Special procedure in certain cases** — Rule 18 of the 1957 Rules empowers the Disciplinary Authority to dispense with the procedures prescribed in either Rule 16 or 17 in cases:
 - (i) where the penalty is imposed on an officer on the ground of conduct which has led to his/her conviction on a criminal charge;
 - (ii) where for reasons to be recorded in writing it is not reasonably practicable to follow the procedure prescribed in the said rules; or
 - (iii) where the Chairman, Rajya Sabha is satisfied that in the interest of the security of the State it is not expedient to follow such procedure.
- (g) **Suspension pending disciplinary proceedings** — Rule 19 empowers the Disciplinary Authority, who initiates any disciplinary proceedings to place the officer, against whom such proceedings are started, under suspension, if he/she is satisfied that it is necessary or desirable to do so.
- (h) **Disciplinary action against an officer on deputation outside the Secretariat** — Rule 20 provides as under:

“Where the services of an officer of the Secretariat are lent to any other organisation (Central Government, State Government etc.) the borrowing authority shall have the powers of the Disciplinary Authority for the purpose of placing him/her under suspension and for the purpose of initiating disciplinary proceedings against him/her”.

Provided that the borrowing authority shall forthwith inform the Secretariat of the circumstances leading to the suspension or the commencement of the disciplinary proceedings as the case may be.

- (a) If the findings of the disciplinary proceedings establish misconduct for which in the opinion of borrowing authority, a minor penalty needs to be imposed, as at para 3.1(b) then with the concurrence of the Secretariat such penalty may be imposed by the borrowing authority.

Provided that, in the event of difference of opinion between the Secretariat and the borrowing authority on the minor penalty to be imposed, the services of the officer shall be placed back at the disposal of the Secretariat;

- (b) If the borrowing authority is of the opinion that any of the major penalties specified in para 3.1 (b) be imposed on the officer, the service of such officer shall be placed back at the disposal of the Secretariat and the record of inquiry shall be transmitted to this Secretariat for such action as it deems appropriate.

- (i) **Disciplinary Action against an officer on deputation to the Secretariat** — Rule 21 provides as under:

Where an order of suspension is made or a disciplinary proceeding is initiated against an officer whose services have been borrowed from the Central Government, State Government, etc. the authority lending his/her services shall forthwith be informed of the circumstances leading to the order of his/her suspension or the commencement of the disciplinary proceeding against him/her as the case may be.

- (a) If the findings of the disciplinary proceedings against the officer lead to the establishment of misconduct for which, in the opinion of the Secretariat, a minor penalty needs to be imposed, such penalty after concurrence of the lending authority may be imposed on the officer.

Provided that, in the event of difference of opinion between the Secretariat and the lending authority, the services of the officer shall be placed back at the disposal of the lending authority.

- (b) If the Secretariat is of the opinion that any of the major penalties specified in para. 3.1 (b) be imposed on the officer, the service of such officer shall be placed back at the disposal of the lending authority and the record of inquiry shall be transmitted to such authority for such action as it deems appropriate.

Appeal and Review: Part V of the 1957 Rules consists of 8 Rules under the following heads:

Rule 22	—	Right to Appeal
Rule 23	—	Form and Contents of Appeal
Rule 24	—	Submission of Appeals
Rule 25	—	Withholding of Appeals
Rule 26	—	Transmission of Appeals
Rule 27	—	Consideration of Appeals
Rule 28	—	Implementation of Orders in Appeal
Rule 29	—	Review

3.2 Application of CCS Rules — *Rule 10 of the 1957 Rules* states that in respect of all other matters regulating the conditions of service of officers for which no provision or insufficient provision has been made in these rules, officers shall be governed by such rules as are applicable to the officers holding corresponding posts in the Central Secretariat, subject to such modifications, variations or exceptions, if any, in such rules, as the Chairman may, after consultation with the concerned Ministry of Central Government, from time to time, by order specify.

Rule 30 of the Recruitment and Conditions of Service Rules states that “subject to the provisions of these rules, every officer shall be governed by such rules of conduct, discipline and control as the Chairman may, from time to time, by general or special order specify.” The Fundamental Rules, **CCS (Conduct) Rules, 1964**, **CCS (CCA) Rules, 1965** and others Rules framed for Government servants are applicable to the secretarial staff of Rajya Sabha to the extent these have been adopted in the Secretariat. *Important provisions in this regard as applicable to the employees of this Secretariat are detailed below:*

3.3 Fundamental Rules—

- (1) *Fundamental Rule 11* provides that unless in any case it be otherwise distinctly provided, the whole time of a Government servant is at the disposal of the Secretariat which pays him/her and he/she may be employed in any manner required by proper authority without claim for additional remuneration.

(2) Proviso under *Fundamental Rule 17(1)* provides that an officer who is absent from duty without any authority shall not be entitled to any pay and allowances during the period of such absence. Further, *Fundamental Rule 17-A* provides that a period of unauthorised absence:

- (i) in the case of employees working in individual establishments, during a strike which has been declared illegal under the provisions of Industrial Disputes Act, 1947, or any other law for the time being in force;
- (ii) in the case of other employees as a result of acting in combination or in concerted manner, such as during a strike without any authority from, or valid reason to the satisfaction of, the competent authority; and
- (iii) in the case of an individual employee, remaining absent unauthorisedly or deserting the post;

shall be deemed to cause an interruption or break in service of the employee, unless otherwise decided by the competent authority for the purpose of leave travel concession, quasi-permanency and eligibility for appearing in departmental examination for which a minimum period of continuous service is required.

3.4 CCS (Conduct) Rules — The Central Civil Services (Conduct) Rules, 1964 impose various restrictions on the Government servants. Important provisions of the Central Civil Services (Conduct) Rules, 1964, which impose such restrictions and as made applicable to employees of the Secretariat are as given below:

(1) Rule 3. General

- (1) Every employee of the Secretariat shall at all times
 - (i) maintain absolute integrity;
 - (ii) maintain devotion to duty; and
 - (iii) do nothing which is unbecoming of an employee of the Secretariat.
- (2) (i) Every employee of the Secretariat holding a supervisory post shall take all possible steps to ensure the integrity and devotion to duty of all employees of the Secretariat for the time being under his/her control and authority;
- (ii) no employee of the Secretariat shall, in the performance of his/her official duties, or in the exercise of powers conferred on him/her, act otherwise than in his/her best judgment extent when he/she is acting under the direction of his/her 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; and
- (iv) an employee of the Secretariat who has received oral direction from his/her 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.

3-A. Promptness and Courtesy

No employee of the Secretariat shall—

- (a) in the performance of his/her official duties, act in a discourteous manner;
- (b) in his/her official dealing with the public or otherwise adopt dilatory tactics or willfully cause delays in disposal of the work assigned to him/her.

3-B. Observance of Government's policies

Every employee of the Secretariat shall, at all times—

- (a) act in accordance with the Government's policies regarding age of marriage, preservation of environment, protection of wildlife and cultural heritage;
- (b) Observe the Government's policies regarding preventing of crime against women.

3-C. Prohibition of sexual harassment of working women

- (a) No employee of the Secretariat shall indulge in any act of sexual harassment of any woman at her work place.
- (b) Every employee of the Secretariat who is in-charge of a work place shall take appropriate steps to prevent sexual harassment to any woman at such work place.

Explanation. — For the purpose of this rule, “sexual harassment” includes such unwelcome sexually determined behaviour, whether directly or otherwise, as —

- (a) physical contact and advances;
- (b) demand or request for sexual favours;
- (c) sexually coloured remarks;
- (d) showing any pornography; or
- (e) any other unwelcome physical, verbal or non-verbal conduct of a sexual nature.

(2) Rule 4. Employment of near relatives of employee of the Secretariat in companies or firms

- (1) No employee of the Secretariat shall use his/her position or influence directly or indirectly to secure employment for any member of his/her family in any company or firm.
- (2) (i) No Group 'A' officer shall, except with the previous sanction of the Secretariat, permit his/her son, daughter or other dependant, to accept employment in any company or firm with which he/she has official dealings or in any other company or firm having official dealings with the Secretariat:

Provided that where the acceptance of the employment cannot await prior permission of the Secretariat or is otherwise considered urgent, the matter shall be reported to the Secretariat; and the employment may be accepted provisionally subject to the permission of the Secretariat.
- (ii) An employee of the Secretariat shall, as soon as he/she becomes aware of the acceptance by a member of his/her family of an employment in any company or firm, intimate such acceptance to the prescribed authority and shall also intimate whether he/she has or has had any official dealings with that company or firm:

Provided that no such intimation shall be necessary in the case of a Group 'A' officer if he/she has already obtained the sanction of, or sent a report to the Secretariat under Clause (i).
- (3) No employee of the Secretariat shall in the discharge of his/her 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/her family is employed in that company or firm or under that person or he/she or any member of his/her family is interested in such matter or contract in any other manner and the employee of the Secretariat shall refer every such matter or contract to his/her official superior and the matter or contract shall thereafter be disposed of according to the instructions of the authority to whom the reference is made.

(3) Rule 5. Taking part in politics and election

- (1) No employee of the Secretariat shall be a member of, or be otherwise associated with, any political party or any organization which takes part in politics nor shall he/she 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 employee of the Secretariat to endeavour to prevent any member of his/her 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 as by law established and where an employee of the Secretariat is unable to prevent a member of his/her family from taking part in, or subscribing in aid of, or assisting in any other manner, any such movement or activity, he/she shall make a report to that effect to the Secretariat.
- (3) If any question arises whether a party is a political party or whether any organization takes part in politics or whether any movement or activity falls within the scope of sub-rule (2), the decision of the Secretariat thereon shall be final.
- (4) No employee of the Secretariat shall canvass or otherwise interfere with, or use his/her influence in connection with or take part in an election to any Legislature or Local Authority:

Provided, that —

- (i) an employee of the Secretariat qualified to vote at such election may exercise his/her right to vote, but where he/she does so, he/she shall give no indication of the manner in which he/she proposes to vote or has voted;
- (ii) an employee of the Secretariat shall not be deemed to have contravened the provisions of this sub-rule by reason only that he/she assists in the conduct of an election in the due performance of a duty imposed on him/her by or under any law for the time being in force.

Explanation. — The display by an employee of the Secretariat on his/her person, vehicle or residence of any electoral symbol shall amount to using his/her influence in connection with an election within the meaning of this sub-rule.

(4) Rule 6. Joining of associations by employees of the Secretariat

No employee of the Secretariat shall join, or continue to be a member of an association the objects or activities of which are prejudicial to the interests of the sovereignty and integrity of India, or public order or morality.

(5) Rule 7. Demonstration and Strikes

No employee of the Secretariat shall —

- (i) engage himself/herself or participate in any demonstration which is prejudicial to the interests of the sovereignty and integrity of India, the security of the State, friendly relations with foreign States, public order, decency or morality, or which involves contempt of Court, defamation or incitement to an offence, or
- (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/her service or the service of any other employee of the Secretariat.

(6) Rule 8. Connection with press or other media

- (1) No employee of the Secretariat shall, except with the previous sanction of the Secretariat, own wholly or in part, or conduct or participate in the editing or management of, any newspaper or other periodical publication or electronic media.

- (2) Nothing in sub-rule (1) shall apply in case an employee of the Secretariat in the *bona fide* discharge of his/her official duties publishes a book or participates in a public media.
- (3) An employee of the Secretariat publishing a book or participating in a public media shall at all times make it clear that the views expressed by him/her are his/her own and not that of Secretariat.

(7) Rule 9. Criticism of Government

No employee of the Secretariat shall, in any radio broadcast, telecast through any electronic media or in any document published in his/her own name or anonymously, pseudonymously or in the name of any other person or in any public utterance, make any statement of fact or opinion —

- (i) which has the effect of an adverse criticism of any current or recent policy or action of the Central Government or a State Government;
- (ii) which is capable of embarrassing the relations between the Central Government and the Government of any State; or
- (iii) which is capable of embarrassing the relations between the Central Government and the Government of any foreign State.

Provided that nothing in this rule shall apply to any statement made or views expressed by an employee of the Secretariat in his/her official capacity or in the due performance of the duties assigned to him/her.

(8) Rule 10. Evidence before Committee or any other authority

- (1) Save as provided in sub-rule (3), no employee of the Secretariat shall, except with the previous sanction of the Secretariat, give evidence in connection with any enquiry conducted by any person, committee or authority.
- (2) Where any sanction has been accorded under sub-rule (1), no employee of the Secretariat giving such evidence shall criticize the policy or any action of the Central Government or of a State Government.
- (3) Nothing in this rule shall apply to —
 - (a) evidence given at any enquiry before an authority appointed by the Government, Parliament or State Legislatures; or
 - (b) evidence given in any judicial enquiry; or
 - (c) evidence given at any departmental enquiry ordered by authorities subordinate to the Government.

(9) Rule 11. Unauthorized communication of information

No employee of the Secretariat shall, except in accordance with any general or special order of the Secretariat or in the performance in good faith of the duties assigned to him/her, communicate, directly or indirectly, any official document or any part thereof or information to any employee of the Secretariat or any other person to whom he/she is not authorized to communicate such document or information.

Explanation. — Quotation by an employee of the Secretariat (in his/her representation to the Head of Office, or Head of Department or Chairman) of or from any letter, circular or office memorandum or from the notes on any file, to which he/she is not authorized to have access, or which he/she is not authorized to keep in his/her personal custody or for personal purposes, shall amount to unauthorized communication of information within the meaning of this rule,

(10) Rule 12. Subscriptions

No employee of the Secretariat shall, except with the previous sanction of the Secretariat or of the prescribed

authority, ask for or accept contributions to, or otherwise associate himself/herself with the raising of, any funds or other collections in cash or in kind in pursuance of any subject whatsoever.

(11) Rule 13. Gifts

- (1) Save as otherwise provided in these rules, no employee of the Secretariat shall accept, or permit any member of his/her family or any other person acting on his/her 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 other than a near relative or personal friend having no official dealings with the Employee of the Secretariat.

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

NOTE 2. An employee of the Secretariat shall avoid accepting lavish hospitality or frequent hospitality from any individual, industrial or commercial firm, organization, etc., having official dealings with him/her.

- (2) On occasions such as weddings, anniversaries, funerals or religious functions, when the making of gift is in conformity with the prevailing religious and social practice, an employee of the Secretariat may accept gifts from his/her near relatives or from his/her personal friends having no official dealing with him/her, but shall make a report to the Secretariat, if the value of such gift exceeds —
- (i) rupees seven thousand in the case of an employee of the Secretariat holding any Group ‘A’ post;
 - (ii) rupees four thousand in the case of an employee of the Secretariat holding any Group ‘B’ post; and
 - (iii) rupees two thousand in the case of an employee of the Secretariat holding any Group ‘C’ post
- (3) In any other case, an employee of the Secretariat shall not accept any gift without the sanction of the Secretariat, if the value exceeds
- (i) rupees one thousand five hundred in the case of employee of the Secretariat holding any Group ‘A’ or Group ‘B’ post; and
 - (ii) rupees five hundred in the case of employee of the Secretariat holding any Group ‘C’ post.
- (4) Notwithstanding anything contained in sub-rule (2) and (3), an employee of the Secretariat, being a member of the Indian delegation or otherwise, may receive and retain gifts from foreign dignitaries, if the market value of gifts received on one occasion does not exceed rupees one thousand. In all other cases, the acceptance and retention of such gifts shall be regulated by the instructions issued by the Government in this regard from time to time.
- (5) An employee of the Secretariat shall not accept gifts from any foreign firm which is either contracting with the Secretariat or is one with which the employee of the Secretariat had, has or is likely to have official dealings. Acceptance of gifts by an employee of the Secretariat from any other firm shall be subject to the provisions of sub-rule (3).

Rule 13-A. Dowry

No employee of the Secretariat shall —

- (i) give or take or abet in 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).

(12) Rule 14. Public demonstrations in honour of employee of the Secretariat

No employee of the Secretariat shall, except with the previous sanction of the Secretariat, receive any complimentary or valedictory address or accept any testimonial or attend any meeting or entertainment held in his/her honour; or in the honour of any other employee of the Secretariat:

Provided that nothing in this rule shall apply to —

- (i) a farewell entertainment of a substantially private and informal character held in honour of an employee of the Secretariat or any other employee of the Secretariat on the occasion of his/her retirement or transfer or any person who has recently quit the service of any Government; or
- (ii) the acceptance of simple and inexpensive entertainments arranged by public bodies or institutions.

Note. Exercise of pressure or influence of any sort on any employee of the Secretariat to induce him/her to subscribe towards any farewell entertainment if it is of a substantially private or informal character and the collection of subscription from Group 'C' employees under any circumstances for the entertainment of any employee of the Secretariat not belonging to Group 'C', is forbidden.

(13) Rule 15. Private trade or employment

- (1) Subject to the provisions of sub-rule (2), no employee of the Secretariat shall, except with the previous sanction of the Secretariat —
 - (a) engage directly or indirectly in any trade or business; or
 - (b) negotiate for, or undertake, any other employment; or
 - (c) hold an elective office, or canvass for a candidate or candidates for an elective office, in any body, whether incorporated or not; or
 - (d) canvass in support of any business of insurance agency, commission agency, etc., owned or managed by a member of his/her family; or
 - (e) take part except in the discharge of his/her official duties, in the registration, promotion or management of any Bank, or other company registered or required to be registered, under the Companies Act, 1956 (1 of 1956) or any other law for the time being in force, or of any co-operative society for commercial purposes.
 - (f) participate in or associate himself/herself in any manner in the making of —
 - (i) a sponsored media (radio or television) programme; or
 - (ii) a media programme commissioned by Government media but produced by a private agency; or
 - (iii) a privately produced media programme including video magazine;

Provided that no previous permission shall be necessary in case where the employee of the Secretariat participates in a programme produced or commissioned by Government media in his/her official capacity.

- (2) An employee of the Secretariat may, without the previous sanction of the Secretariat —
 - (a) undertake honorary work of a social or charitable nature; or
 - (b) undertake occasional work of a literary, artistic or scientific character; or
 - (c) participate in sports activities as an amateur; or

- (d) take part in the registration, promotion or management (not involving the holding of an elective office) of a literary, scientific or charitable society or a club or similar organisation, the aims or objects of which relate to promotion of sports, cultural or recreational activities, registered under the Societies Registration Act, 1860 (21 of 1860) or any other law for the time being in force; or
- (e) take part in the registration, promotion or management (not involving the holding of elective office) of a co-operative society substantially for the benefit of employee of the Secretariat, registered under the Co-operative Societies Act, 1912 (2 of 1912) or any other law for the time being in force;

Provided that —

- (i) he/she shall discontinue taking part in such activities, if so directed by the Secretariat; and
 - (ii) in a case falling under Clause (d) or Clause (e) of this sub-rule, his/her official duties shall not suffer thereby and he/she shall, within a period of one month of his/her taking part in such activity, report to the Secretariat giving details of the nature of his/her participation.
- (3) Every employee of the Secretariat shall report to the Secretariat if any member of his/her family is engaged in a trade or business or owns or manages any insurance agency or commission agency.
 - (4) Unless otherwise provided by general or special orders of the Secretariat, no employee of the Secretariat may accept any fee for any work done by him/her for any private or public body or any private person without the sanction of the prescribed authority.

Explanation. — The term ‘fee’ used here shall have the meaning assigned to it in Fundamental Rule 9 (6-A).

Rule 15-A. Subletting any vacation of official accommodation

- (1) Save as otherwise provided in any other law for the time being in force, no employee of the Secretariat shall sublet, lease or otherwise allow occupation by any other person of official accommodation which has been allotted to him/her.
- (2) An employee of the Secretariat shall, after the cancellation of his/her allotment of official accommodation vacate the same within the time-limit prescribed by the allotting authority.

(14) Rule 16. Investments, lending and borrowing

- (1) No employee of the Secretariat shall speculate in any stock; share or other investment:

Provided that nothing in this sub-rule shall apply to occasional investments made through stock brokers or other persons duly authorized and licensed or who have obtained a certificate of registration under the relevant law.

Explanation. — Frequent purchase or sale or both, of shares, securities or other investments shall be deemed to be speculation within the meaning of this sub-rule

- (2) No Employee of the Secretariat shall make, or permit any member of his/her family or any person acting on his/her behalf to make, any investment which is likely to embarrass or influence him/her in the discharge of his/her official duties. For this purpose, any purchase of shares out of the quotas reserved for Directors of Companies or their friends and associates shall be deemed to be an investment which is likely to influence the employee of the Secretariat.
- (3) If any question arises whether any transaction is of the nature referred to in sub-rule (1) or sub-rule (2), the decision of the Secretariat thereon shall be final.

- (4) (i) No employee of the Secretariat shall, save in the ordinary course of business with a Bank or a public limited company, either himself/herself or through any member of his/her family or any other person acting on his/her behalf, —
- (a) lend or borrow or deposit money, as a principal or an agent to, or from or with, any person or firm or private limited company within the local limits of his/her authority or with whom he/she is likely to have official dealings or otherwise place himself/herself under any pecuniary obligation to such person or firm or private limited company; or
 - (b) lend money to any person at interest or in a manner whereby return in money or in kind is charged or paid:
- Provided that an employee of the Secretariat may give to, or accept from a relative or a personal friend purely temporary loan of a small amount free of interest, or operate credit account with a *bona fide* tradesman or make an advance of pay to his/her private employee:
- Provided further that nothing in this sub-rule apply in respect of any transaction entered into by an employee of the Secretariat with the previous sanction of the Secretariat.
- (ii) When an employee of the Secretariat is appointed or transferred to a post of such nature as would involve him/her in the breach of any of the provisions of sub-rule (2) or sub-rule (4), he/she shall forthwith report the circumstances to the prescribed authority and shall thereafter act in accordance with such order as may be made by such authority.

(15) Rule 17. Insolvency and habitual indebtedness

An employee of the Secretariat shall so manage his/her private affairs as to avoid habitual indebtedness or insolvency. An employee of the Secretariat against whom any legal proceeding is instituted for the recovery of any debt due from him/her or for adjudging him/her as an insolvent, shall forthwith report the full facts of the legal proceedings to the Secretariat.

NOTE — The burden of proving that the insolvency or indebtedness was the result of circumstances which, with the exercise of ordinary diligence, the employee of the Secretariat could not have foreseen, or over which he/she had no control, and had not proceeded from extravagant or dissipated habits, shall be upon the employee of the Secretariat.

(16) Rule 18. Movable, immovable and valuable property

- (1) (i) Every employee of the Secretariat shall on his/her first appointment to any service or post submit a return of his/her assets and liabilities, in his/her own name or in the name of any member of his/her family or in the name of any other person;
- (a) the immovable property inherited by him/her, or owned or acquired by him/her or held by him/her on lease or mortgage, either in his/her own name or in the name of any member of his/her family or in the name of any other person;
 - (b) shares, debentures and cash including bank deposits inherited by him/her or similarly owned, acquired, or held by him/her;
 - (c) other movable property inherited by him/her or similarly owned, acquired or held by him/her; and
 - (d) debts and other liabilities incurred by him/her directly or indirectly.

NOTE 1. Sub-rule (1) shall not ordinarily apply to Group 'C' employees but the Secretariat may direct that it shall apply to any such employee of the Secretariat or class of such employee of the Secretariat.

NOTE 2. In all returns, the values of items of movable property worth less than Rs. 10,000/- may be added and shown as a lumpsum. The value of article of daily use such as clothes, utensils, crockery, books, etc., need not be included in such return.

NOTE 3. Where an employee of the Secretariat already belonging to a service or holding a post is appointed to any other civil service or post, he/she shall not be required to submit a fresh return under this clause.

(ii) Every employee of Secretariat belonging to any service or holding any post included in Group 'A' and Group 'B' shall submit an annual return in such form as may be prescribed by the Government in this regard giving full particulars regarding the immovable property inherited by him/her or owned or acquired by him/her or held by him/her on lease or mortgage either in his/her name or in the name of any member of his/her family or in the name of the other person.

(2) No employee of Secretariat shall, except with the previous knowledge of the prescribed authority, acquire or dispose of any immovable property by lease, mortgage, purchase, sale, gift or otherwise either in his/her own name or in the name of any member of his/her family.

Provided that the previous sanction of the prescribed authority shall be obtained by the employee of the Secretariat if any such transaction is with a person having official dealings with him/her.

(3) Where an employee of the Secretariat enters into a transaction in respect of movable property either in his/her own name or in the name of the member of his/her family, he/she shall, within one month from the date of such transaction, report the same to the prescribed authority, if the value of such property exceeds twenty thousand rupees in the case of an employee of the Secretariat holding any Group 'A' or Group 'B' post or fifteen thousand rupees in the case of employee of the Secretariat holding any Group 'C' post:

Provided that the previous sanction of the prescribed authority shall be obtained by the employee of the Secretariat if any such transaction is with a person having official dealings with him/her.

(4) The Secretariat or the prescribed authority may, at any time, by general or special order, require an employee of the Secretariat to furnish, within a period specified in the order, a full and complete statement of such movable or immovable property held or acquired by him/her or on his/her behalf by any member of his/her family as may be specified in the order. Such statement shall, if so required by the Secretariat or by the prescribed authority, include the details of the means by which, or the source from which, property was acquired.

(5) The Secretariat may exempt any category of employee of the Secretariat belonging to Group 'C' from any of the provisions of this rule except sub-rule (4). No such exemption shall, however, be made without the concurrence of prescribed Authority.

Explanation 1. — For the purposes of this rule —

(1) the expression "movable property" includes —

- (a) jewellery, insurance policies, the annual premia of which exceeds Rs. 10,000/- or one sixth of the total annual emoluments received from Government, whichever is less, shares, securities and debentures;
- (b) all loans, whether secured or not, advanced or taken by the employee of the Secretariat;
- (c) motor cars, motor cycles, horses or any other means of conveyance; and
- (d) refrigerators, radios [radiograms and television sets].

- (2) (a) “prescribed authority” in respect of an employee of the Secretariat shall mean Hon’ble Chairman, Rajya Sabha for Group ‘A’ employees and Secretary-General, Rajya Sabha for Group ‘B’ & ‘C’ employees.
- (b) “prescribed authority” in respect of an employee of the Secretariat on foreign service or on deputation to any other Ministry or any other Government, means — the parent department on the cadre of which such employee of the Secretariat is borne or the Ministry to which he/she is administratively subordinate as member of that cadre.

Explanation II. — For the purposes of this rule ‘lease’ means, except where it is obtained from, or granted to, a person having official dealings with the employee of the Secretariat, a lease of immovable property from year to year or for any term exceeding one year or reserving a yearly rent.

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

Notwithstanding anything contained in sub-rule (2) of Rule 18, no employee of the Secretariat shall, except with the previous sanction of the prescribed authority —

- (a) acquire, by purchase, mortgage, lease, gift or otherwise; either in his/her own name or in the name of any member of his/her family, any immovable property situated outside India;
- (b) dispose of, by sale, mortgage, gift or otherwise or grant any lease in respect of any immovable property situated outside India which was acquired or is held by him/her either in his/her own name or in the name of any member of his/her family.
- (c) enter into any transaction with any foreigner, foreign Government, foreign organization or concern,—
- (i) for the acquisition, by purchase, mortgage, lease, gift or otherwise, either in his/her own name or in the name of any member of his/her family, or any immovable property;
- (ii) for the disposal of, by sale, mortgage, gift or otherwise, or the grant of any lease in respect of any immovable property which was acquired or is held by him/her either in his/her own name or in the name of any member of his/her family.

Explanation. — In this rule ‘prescribed authority’ has the same meaning as in Rule 18.

(17) Rule 19. Vindication of acts and character of employee of the Secretariat

- (1) No employee of the Secretariat shall, except with the previous sanction of the Secretariat, 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.

Provided that if no such sanction is received by the employee of the Secretariat within a period of three months from the date of receipt of his/her request by the Secretariat, he/she shall be free to assume that the permission as sought for has been granted to him/her.

- (2) Nothing in this rule shall be deemed to prohibit an employee of the Secretariat from vindicating his/her private character or any act done by him/her in his/her private capacity and where any action for vindicating his/her private character or any act done by him/her in private capacity and where any action for vindicating his/her private character or any act done by him/her in private capacity is taken, the employee of the Secretariat shall submit a report to the prescribed authority regarding such action.

(18) Rule 20. Canvassing of non-official or other outside influence

No employee of the Secretariat shall bring or attempt to bring any political or other outside influence to bear

upon any superior authority to further his/her interests in respect of matters pertaining to his/her service under the Secretariat.

(19) Rule 21. Restriction regarding marriage

- (1) No employee of the Secretariat shall enter into, or contract, a marriage with a person having a spouse living; and
- (2) No employee of the Secretariat having a spouse living, shall enter into, or contract, a marriage with any person:

Provided that the Secretariat may permit an employee to enter into, or contract, any such marriage as is referred to in clause (1) or clause (2), if it is satisfied that —

- (a) such marriage is permissible under the personal law applicable to such employee of the Secretariat and the other party to the marriage; and
 - (b) there are other grounds for so doing.
- (3) An employee of the Secretariat who has married or marries a person other than of Indian nationality shall forthwith intimate the fact to the Secretariat.

(20) Rule 22. Consumption of intoxicating drinks and drugs

An employee of the Secretariat shall —

- (a) strictly abide by any law relating to intoxicating drinks or drugs in force in any area in which he/she may happen to be for the time being;
- (b) not be under the influence of any intoxicating drink or drug during the course of his/her duty and shall also take due care that the performance of his/her duties at any time is not affected in any way by the influence of such drink or drug;
- (c) not appear in a public place in a state of intoxication; and
- (d) not use any intoxicating drink or drug to excess.

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

No employee of the Secretariat shall employ to work any child below the age of 14 years.

3.5 Misconduct — The following acts may amount to misconduct —

- (i) if the act or conduct is prejudicial or likely to be prejudicial to the interests of the employer or to the reputation of the employer;
- (ii) if the act or conduct is inconsistent or incompatible with the due or peaceful discharge of his/her duty to his/her employer;
- (iii) if the act or conduct of an employee makes it unsafe for the employer to retain him/her in service;
- (iv) if the act or conduct of the employee is so grossly immoral that a reasonable man will say that the employee cannot be trusted;
- (v) if the act or conduct of the employee is such that the employer cannot rely on the faithfulness of his/her employee;
- (vi) if the act or conduct of the employee is such as to open before him/her temptations for not discharging his/her duties properly;

- (vii) if the employee is abusive or if he/she disturbs the peace at the place of his/her employment;
- (viii) if he/she is insulting and insubordinate to such a degree as to be incompatible with the continuance of the relation of employer and employee;
- (ix) if the employee is habitually negligent in respect of the duties for which he/she is engaged; and
- (x) if the neglect of the employee though isolated, tends to cause serious consequences.

3.6 Acts and omissions amounting to misconduct — The following acts and omissions (not to be taken to be an exhaustive list) may amount to misconduct: —

- (i) Wilful insubordination or disobedience, whether alone or in combination with others, to any lawful and reasonable order of a superior.
- (ii) Infidelity, unfaithfulness, dishonesty, untrustworthiness, theft and fraud, or dishonesty in connection with the employer's business or property.
- (iii) Strike, picketing, *gherao*, striking work or inciting others to strike work in contravention of the provisions of any law, or rule having the force of law.
- (iv) Gross moral misconduct — Acts subversive of discipline — Riotous or disorderly behaviour during office hours at the 'establishment' or any act subversive of discipline.
- (v) Habitual late attendance.
- (vi) Habitual negligence or neglect of work.
- (vii) Habitual absence without permission and over-staying leave.
- (viii) Conviction by a criminal court.

3.7 Serious misconduct meriting major penalty — The procedures for initiating disciplinary action against a Government servant for misconduct are provided under the Central Civil Services (Classification, Control & Appeal) Rules, 1965. These rules broadly correspond to the rules mentioned in part IV and V of the 1957 rules. The Government of India's instructions under Rule 14 of the CCS (CCA) Rules state that the nature of the disciplinary action and quantum of punishment has to commensurate with the gravity of the offence committed. The following types of cases have been indicated as those which may merit imposition of one of the major penalties —

- (i) Cases in which there is a reasonable ground to believe that a penal offence has been committed by a Government servant but the evidence forthcoming is not sufficient for prosecution in a Court of law, e.g.,
 - (a) possession of disproportionate assets;
 - (b) obtaining or attempting to obtain illegal gratification;
 - (c) misappropriation of Government property, money or stores;
 - (d) obtaining or attempting to obtain any valuable thing or pecuniary advantage without consideration or for a consideration which is not adequate;
- (ii) Falsification of Government records
- (iii) Gross irregularity or negligence in the discharge of official duties with a dishonest motive
- (iv) Misuse of official position or power for personal gain
- (v) Disclosure of secret or confidential information even though it did not fall strictly with the scope of the Official Secrets Act
- (vi) False claims on the Secretariat — like T.A. claims, Medical/Tuition fee reimbursement claims, etc.

3.8 Procedure in Disciplinary Cases —The breach of code of conduct and discipline or any errant behaviour by an official of the Secretariat is to be reported to the Personnel Section, by the Officer in charge of the Section/ Unit (through the Joint Director/Director), in case of Section staff and by the appropriate superior officer in other cases. In cases where the gravity of the offence does not demand immediate disciplinary action the concerned officer of the level of Deputy Director may, after calling for written explanation in the matter, issue a written warning to the individual, in the first instance, if felt desirable. Only in the event of repetition of the lapse/misconduct by the same individual, the matter may be referred to the Personnel Section alongwith the earlier/connected papers for suitable action. Similarly, when an official proceeds on leave without prior permission, the concerned officer of the level of Deputy Director should in the first instance, recall the person concerned on duty immediately and in the event of non-compliance of such directions, the matter may be referred to Personnel Section for suitable action. All such reports will be in writing, giving specific details of the misconduct the names of witnesses or documentary evidence etc. On receipt of such information in the Personnel Section, any additional material that may be required for processing the case is sought from the concerned officer/section before the case is submitted to the Joint Director/Director (Admn.) along with proposal for action. (The Section concerned is required to submit the necessary information without delay. Failure to do so will be dealt with seriously.) The nature of disciplinary action against the official would depend on the gravity of offence. After examining all the materials available in case it is felt that the matter is not serious enough to justify the imposition of some formal punishment, but calls for some informal action such as the communication of a written warning, admonition or reprimand, action is taken accordingly under orders of the appropriate authority.

Where the alleged act by an official amounting to misconduct warrants some formal punishment by way of imposition of either a minor or major penalty, the procedures stipulated in the Rajya Sabha Secretariat (Recruitment and Conditions of Service) Rules, 1957 read with CCS (CCA) Rules are followed.

The following table indicates the various stages, channels/levels of decision-making and time-schedule in the procedure followed for the imposition of minor/major penalties:—

Stage:	Time Schedule	Level of Decision-making
Minor Penalties		
1. Intimation to the official of the proposal to take action against him/her alongwith the statement of imputations of misconduct	1 month from the date a report with complete details is received in Personnel Section.	Joint Director/Director (in case of officials upto Group 'B') and Secretary-General in case of Group 'A' Officer.
2. Opportunity to the official for making representation against the proposal	7-10 days	
3. Holding of inquiry, if necessary	2 months	Disciplinary Authority
4. Orders or the case together with reasons therefor	1 month	-do-
Major Penalties		
1. Orders for initiating inquiry proceedings	2 months from the date a report with complete details is received in Personnel Section.	-do-
2. Approval of the charge sheet	2 weeks	-do-

Stage:	Time Schedule	Level of Decision-making
3. Intimation to the official of the proposal to hold inquiry alongwith the distinct articles of charge, statement of imputations of misconduct and list of documents by which and list of witness by whom the charges are proposed to be sustained.	within 7 days thereafter	Joint Director/Director
4. Opportunity to the employee for making a written statement of defence.	10 days	
5. Appointment of Inquiry Officer and Presenting Officer	within 5 days thereafter	Disciplinary Authority
5A. Completion of Inquiry	3 months	
6. Forwarding of Inquiry Officer's report to the charged official	within 5 days of receipt of Report	Joint Director/Director
7. Opportunity for written representation against the inquiry report	15 days	
8. Order of imposition of Penalty	within 1 month thereafter	Disciplinary Authority

The following are the Disciplinary Authorities in respect of various categories of officials:—

- (i) Group 'A'— Chairman
- (ii) Group 'B' & 'C'— Secretary-General

3.9 Expeditious disposal of cases of suspension etc. — As per instructions issued from time to time, under CCS Rules, (applicable *mutatis mutandis* in the case of Rajya Sabha Secretariat) generally suspension should only be resorted to in the following circumstances:—

- (i) where a disciplinary proceeding against a Government servant is contemplated or is pending;
- (ii) where in the opinion of the competent authority a Government servant has engaged himself/herself in activities prejudicial to the interest of the security of the State; and
- (iii) where a case against an employee of the Secretariat in respect of any criminal offence is under investigation, inquiry or trial.

An order of suspension should not be made in a perfunctory or in a routine and casual manner without proper regard to the guiding principles and where no public interest is likely to be served. Suspension should not be resorted to for petty offences unrelated to morality or official duties, Whenever a Secretariat employee continues to remain absent from duty or overstays leave without permission and his/her movements are not known, he/she should not be mechanically placed under suspension, as this would entail payment of subsistence allowance, as against treating the period of absence as *dies non*. But when an official who is under suspension disappears and cannot be contacted, at his/her last known address the suspension order should be lifted and proceedings initiated for his/her removal *in absentia*.

While public interest is to be the guiding factor in deciding to place an employee of the Secretariat under suspension, the competent authority should take all factors into account and exercise his/her discretion, with due

care while taking such action even when the matter is under investigation and before a *prima-facie* case is established. The following circumstances may be considered appropriate to place a Secretariat employee under suspension:

- (i) where his/her continuance in office will prejudice investigation, trial or any inquiry (*e.g.*, apprehended tampering with witnesses or documents);
- (ii) where his/her continuance in office is likely to seriously subvert discipline in the office in which he/she is working;
- (iii) where his/her continuance in office will be against the wider public interest, *e.g.*, if there is a public scandal and it is considered necessary to place the employee under suspension to demonstrate the policy of the Secretariat to sternly deal with officers involved in such scandals, particularly corruption;
- (iv) where a preliminary inquiry revealed a *prima-facie* case justifying criminal or departmental proceedings, which is likely to lead to his/her conviction and/or dismissal; removal of compulsory retirement from service; and
- (v) where he/she is suspected to have engaged himself/herself in activities prejudicial to the interest of the security of the State.

Certain types of misdemeanour where suspension may be desirable in the circumstances mentioned above are indicated below:

- (i) an offence or conduct involving moral turpitude;
- (ii) corruption, embezzlement or misappropriation of public money, possession of disproportionate assets, misuse of official powers for personal gain;
- (iii) serious negligence and dereliction of duty resulting in considerable loss to the Secretariat;
- (iv) desertion of duty; and
- (v) refusal or deliberate failure to carry out written orders of superior officers.

A Secretariat employee is, however, *deemed* to have been placed under suspension from the date of his/her detention if detained in custody for a period exceeding forty eight hours or from the date of conviction if sentenced to a term exceeding forty eight hours. It has been decided that disciplinary cases of Secretariat employees/officials should be finally decided within a period of six months from the date the employee/official was placed under suspension.

3.10 Official and Confidential Documents —

3.10.1 Official information is confidential: Official information acquired by the staff in their capacity as employees must be considered and treated as strictly confidential. No member of staff, except in so far as may be necessary in the discharge of his/her official duties, may take a spare copy of any writing on any official document which comes before him/her in his/her official capacity, or to which he/she is allowed, to have access.

3.10.2 Use of unpublished documents: No member of the staff may make use of any unpublished record or letter for communication to the press, or to unauthorised persons, whether official or not.

3.10.3 Treatment of Office Record: Office notes must be considered to be strictly confidential documents, and must not be removed from the office or be used by anyone outside the office on any pretext whatsoever. If any dealing hand of a Branch/Section wants to take any file or files home for study, the Branch/Sections in Charge can allow him/her to do so if circumstances justify the need, but he/she should keep a note of the file so removed from the office and should ensure that it is brought back to the office by the dealing hand on the following morning in a complete form. The office files taken home by the dealing hand should be carefully guarded by him/her and not shown to anyone.

3.10.4 Movement of Confidential and Secret Cases: In their passage from the office to officers and *vice versa*, confidential and secret papers should either be passed direct from hand-to-hand, or be submitted and returned under sealed cover. It should be ensured that: —

- (i) When a case is sent in a closed cover the date on which it is sent and the diary number of the case should be inserted on the cover or on the label.
- (ii) The officer who sends out the file or papers in a sealed cover should write his/her initials or signatures on the slip in such a way that part-of the signature or initials is on the portion of the slip attached to the flap of the envelope and the rest on the remaining portion of the slip. This will enable detection of efforts to open or tamper with the cover.
- (iii) Where confidential papers have to be sent to officers at their residences, they should invariably be sent in a sealed cover. The messenger/attendant taking the cover to the officers residence should be instructed to obtain the signature (with date and time) of the Officer to whom the papers are addressed if he/she is present, and if not, he/she may obtain the signature (with date and time) of any person of the household in token of having received them.

3.10.5 Confidential reference to Outside Offices: When it is required to consult another organisation in connection with a confidential case, only the papers that are absolutely necessary for the purpose of the reference should be sent with the file, and a list of the papers so sent should be kept on the retained portion.

3.10.6 Treatment of Covers marked 'Secret' or 'Confidential': Covers received, which are marked with the word 'Secret' or 'Confidential' should be sent unopened to the officer to whom they are addressed by his/her personal staff. Covers marked with the word 'Secret' or 'Confidential' only, and without the name or designation of any Officer on either the inner or outer cover should be submitted unopened to the Head of office/Department. Papers received from the Government of India or State Governments and marked 'Top Secret' will be dealt with by the officer concerned and will remain in his/her custody after disposal; on no account must such papers be allowed to be seen by an official lower in status than that of a Section in-Charge.

3.10.7 'Secret' and 'Confidential' references from Government: Secret and confidential information supplied by Ministries of the Government of India in response to notices of Questions etc. or in connection with matter before Parliamentary Committees must be generally treated as such, subject to specific orders with regard to circulation or transmission of the information to any party.

3.11 Handing over Charge on Transfer — Officials on their transfer from one Section or Office to another cannot just leave the Section or Office and join in the new Section or new Office of posting. They are required to first properly handover the pending receipts, all registers and files in their custody or under their charge besides preparing a list of important and time-bound papers/matters so that the records remain in proper custody at all times and no important and time-bound case remains unattended or delayed.

With the above end in view the following procedure is required to be observed when an official is transferred to or out of a Section:—

- (i) The official transferred out of the Section/Cell or from an Office will prepare three lists, consisting respectively of:—
 - (a) all undealt receipt remaining with him/her. The undealt receipts will be tallied with the entries in the Assistant's diary;
 - (b) registers and records and Assistant's diary maintained by him/her; and
 - (c) all files including guard files in his/her custody.

In addition to this, he/she will also separately prepare a list of receipts/files/matters of urgent nature, court cases, and other important matters, which need to be attended to without delay by his/her successor.

- (ii) In case, at the time of his/her transfer his/her replacement/successor has been posted and has joined, he/she will hand over the undealt receipts/all registers and records including Assistant's diary and files according to the three lists prepared as at above under proper signatures of the relieved and relieving official. A copy of each of the three lists will be retained by both the officials and the third copy will be handed over to the Section Officer or senior-most Assistant supervising the work.
- (iii) Where an official is transferred out without his/her replacement/successor having been posted, the official transferred out shall, before leaving for his/her new posting, prepare the three lists of receipts, registers and files as above and hand over the same together with the receipts/files/registers to the Section Officer or Senior Assistant supervising his/her work. He/she will also prepare another list indicating the receipts of urgent nature, court cases, and other important matters needing attention without delay and hand over the same to the supervisory officer supervising his/her work, so that he/she assigns such receipts/matters to some other dealing hand as an interim measure. As and when the replacement/successor joins, he/she shall take over the undealt receipts, files and registers by signing.
- (iv) Where an official posted in a Section or an office is not able to take over the charge because of his/her predecessor being on leave etc. at the time of his/her joining, the official shall prepare lists of pending receipts, registers (including Assistant's diary) and current files, including guards files and hand over a copy of all these lists to the Section's supervisor pointing out the important pending receipts left unattended so that the Section's supervisor may initiate measures for their immediate disposal and if necessary inform the Branch Officer of the position. As and when the official posted out rejoins duty in the office, he/she should be asked by the supervisor of the Section to verify the entries in the lists and sign the lists.

It is the personal responsibility of the official transferred to or from the Section/Office to prepare the lists in the above manner and to hand over the same to the supervisor of the Section/Office personally. A copy of these lists is to be attached with the joining/departure reports by the Supervisor while forwarding the joining/departure reports to the next superior/high authority without which the joining/departure reports will not be deemed to be complete.

The Executive Officer/Senior Assistant supervising the work of the officer concerned will bring to the notice of the Branch Officer in writing both any deviation from this procedure as well as details of important papers and cases left unattended or likely to remain unattended and ensure issue of orders for their prompt disposal. Any lapse in this behalf is the personal responsibility of the supervisor of the Section.

3.12 Representations/applications — Procedure for submission —

3.12.1 Submission of application or representations:

- (i) No member of the staff shall submit on any subject connected with the office his/her application for leave or his/her representation direct to the Chairman/Deputy Chairman/Secretary - General/Secretary/Additional Secretary/Joint Secretary.
- (ii) Representation should not be made jointly. In no case should office forms or papers be used for making personal representation or requests.
- (iii) In making applications, representations, appeals or petitions, the language used should not be improper or offensive. Failure to observe this by the person concerned must be suitably dealt with.

3.12.2 Application for outside posts will ordinarily be forwarded at the discretion of Secretary-General. Such applications should be submitted through the Branch/Section in-Charge in case of non-gazetted staff and through Supervisory Officer in case of Gazetted Officers.

3.13 Attendance and Leave —

3.13.1 Hours of Attendance: Office hours unless otherwise specified are from 10 a.m. to 6 p.m. with a half-an-hour lunch-break from 1.30 p.m. to 2 p.m. Any member of the staff may, however, be required to work beyond office hours or on holidays (except Independence Day and Republic Day), if his/her work is not up-to-date or the business of the Secretariat demands. The order of the Joint Secretary supervising the Section will be obtained on such occasions, in advance.

3.13.2 Attendance Register: An attendance register will be kept in each Branch/Section under the supervision of the Executive Officer/Assistant Director. On arrival in office every official will mark his/her attendance in this register. It will be removed from the office and placed before the Branch Officer at 10.10 a.m. In case any official is on leave, the kind of leave will be mentioned. In case of absence the letter 'A' will be written in pencil. If the absence is regulated as leave, appropriate entry will be substituted. Any member of the staff arriving after 10.10 a.m. will report himself/herself to the Branch Officer and give the reasons for his/her late attendance verbally or in writing. For late attendance or short leaves, the following deductions should be made from the casual leave account of the official:—

Upto 2 hours 1/3rd of a day

Upto 3½ hours 1/2 of a day

3.13.3 Checking of attendance:

- (i) Surprise checks of all Sections are to be conducted by the officers/officials deputed by the Administration Section.
- (ii) The Branch Officers will conduct surprise checks of their Sections once a week for ensuring that officials come to office in time and also remain present in the Sections during working hours.

3.13.4 Leave not to be presumed: Absence without leave is an infringement of discipline, which, unless satisfactory explanation is submitted, will be severely dealt with. Leave must be applied for and sanctioned before it is taken, and it is only in cases of sudden and serious illness, or other exceptional circumstances to be proved to the satisfaction of the officer concerned, that the rule can be relaxed.

Private Secretaries, Personal Assistants, Stenographers and Messengers/Attendants attached to officers should not leave office while the officers are sitting or proceed on leave without personally informing the officer concerned.

Absence of officials from duty or refusal to perform duty assigned is a breach of discipline and will attract disciplinary action. The period in question may also be treated as '*dies non*'.

3.13.5 Casual leave : The following general instructions will apply:

- (i) The maximum amount of casual leave allowed during the calendar year must not exceed the admissible limit of 8 days.
- (ii) Casual leave will not ordinarily be granted for more than 5 days at a time.
- (iii) Casual leave shall not be combined with any other kind of leave. This may, however, be combined with restricted holidays, or gazetted holidays.
- (iv) Casual leave on medical grounds for more than two days will not be allowed without a medical certificate.

- (v) Special casual leave for participating in National Sports Events etc., may be given as per orders by the Government.
- (vi) Casual leave shall not be applied from home except on medical grounds.
- (vii) If any Government servant avails himself/herself of casual leave when it is not admissible, he/she will do so at his/her own risk and ordinarily will be treated as absent on leave without pay.
- (viii) Prior permission for casual leave on account of anticipated causes will be taken through proper channel. Absence in anticipation of sanction will be condoned only if the necessity for the leave could not have been foreseen. In such cases, the nature of sudden emergency should be stated in the application. Failure to obtain prior permission may invite disciplinary action.
- (ix) An official without adequate cause applying for casual leave on account of temporary indisposition may, if considered necessary by the leave sanctioning authority, be required to produce a medical certificate or hospital ticket.
- (x) An application for casual leave submitted from the residence of an applicant should contain his/her residential address. If he/she proposes to leave the headquarters during the leave period, permission to leave the headquarters should be taken and the leave address should also be given.
- (xi) In all cases where prior approval has not been taken, the official shall inform his/her Superior Officer on telephone as soon as possible.

An abstract statement showing casual leave taken and late attendance will be exhibited in the last column of the attendance register and consolidated by the Section in-Charge immediately after a month is over.

3.13.6 Maintenance of Record of Casual Leave/Restricted Holidays:

- (i) Casual leave in respect of Section in-Charge and staff of all Sections will be sanctioned by Deputy Director/Joint Director and the record of casual leave will be maintained by the Section in-Charge.
- (ii) Casual leave of Deputy Director/Joint Director/Director of all the Services will be sanctioned by the Joint Secretary/Additional Secretary concerned and record of casual leave will be maintained by Private Secretary/Personal Assistant to the Joint Secretary/Additional Secretary concerned.

Casual leave in respect of these Deputy Directors/Joint Directors/Directors who report to more than one Joint Secretary/Additional Secretary will be sanctioned by each of the Joint Secretary/Additional Secretary concerned. However casual leave record in respect of such an officer would be maintained by the Private Secretary/Personal Assistant of the superior or senior-most officer amongst them.

- (iii) Casual leave for Joint Secretary/Additional Secretary will be sanctioned by the Secretary-General and Private Secretary to Secretary-General will maintain the record of casual leave.
- (iv) Casual leave in respect of personal staff of officers will be sanctioned by the officer concerned and the register would be maintained by his/her Private Secretary/Personal Assistant.
- (v) Casual leave of personal staff (Gazetted only) attached with Hon'ble Chairman/Deputy Chairman/Leader of Opposition and Chairmen of Parliamentary Committees, Rajya Sabha will be maintained by Establishment (General) Section.

3.13.7 Procedure for grant of regular leave: Regular leave account of all staff is maintained in the Estt. (G) Section and grant of leave is regulated by CCS (Leave) Rules. Sanction of leave is accorded only after verification of title and all officers/officials are expected to apply for leave well in advance, on the prescribed proforma unless the reason is emergent and unforeseen. While applying for leave an official will check that he/she has sufficient leave to his/her credit. Where the official applying for leave has not indicated that he/she has sufficient leave to his/her

credit, the superior officer will not recommend the leave while forwarding it for appropriate action to Estt. (G) Section. Officers recommending or sanctioning leave to staff under their control are expected to exercise judgement regarding the need for the leave in relation to the work pending disposal or requiring the presence of the officer/official. Absence without obtaining sanction of leave will constitute misconduct, entailing disciplinary action.

Under the extant provisions of CCS (Leave) Rules, leave cannot be claimed as a matter of right. When the exigencies of the public service so require, discretion to refuse or revoke leave of any description is reserved to the authority empowered to grant it. However, as emphasized in the instructions issued from time to time, such provisions have been made in the rules because it is not possible to let all those who want leave at a particular time to have it at that time and there is a limit beyond which depletion of staff cannot be permitted without dislocating the working of an establishment. These instructions are not intended to be used as in effect to abridge the leave entitlements of the staff. It is indeed desirable in the interest of the public services that Secretariat employees take leave at suitable intervals and return to work relaxed and refreshed. It has been also laid down that the leave sanctioning authorities may encourage Secretariat employees to take leave periodically, preferably annually; and in case where it is not possible to grant leave to a large number of applicants at the same time, a phased programme for the grant of leave to the applicants by turn be drawn with due regard to the principle enunciated.

The recommending authority for sanction of leave in case of non-gazetted staff is concerned Deputy Director. In case of Assistant Director/Executive Officer, concerned Director/Joint Director and in case of Director/Joint Director/ Deputy Director the recommending authority is concerned Joint Secretary/Director, where post of Joint Secretary is vacant.

3.13.8 Compensatory Leave: Members of the non-gazetted staff would be eligible for Compensatory Leave *in lieu* of attending office on Saturdays/Sundays/holidays with the prior approval of the Joint Secretary. The accumulation of Compensatory Leave *in lieu* of duties performed on Sundays, etc. would not be subject to any limit. The leave so accumulated should be availed of within a period of twelve months from their respective due dates. However, not more than two days' Compensatory Leave would be admissible at a time.

3.13.9 Special Leave: Special Leave will be granted to non-gazetted staff *in lieu* of attending office on Saturdays/ Sundays/holidays, specially declared as 'working days'. Those officers and members of the staff who fail to attend office on that day, specially declared as a 'working day', would be required to apply for leave for that day and such officials would not be entitled to the benefit of Special Leave. The accumulation of Special leave, like Compensatory Leave, would not be subject to any limit, However, the leave should be availed of within a period of twelve months from the day it becomes due.

3.13.10 Holidays:

- (i) The holidays admissible in public offices are notified yearly in the official gazette.
- (ii) The Head of a Division may order in the interest of work that the whole or part of the office shall remain open on any holidays.
- (iii) On holidays, on which the office is closed, one or more members of the office staff may, if necessary, be called by the Branch Officer to attend office to deal with work of urgency. For this purpose, a list of residential address with nearest telephone number of all staff members should be maintained in the Section/Office.

CHAPTER-IV

REGISTRATION OF RECEIPTS

4.1 Receipt of Dak — Distribution Section is charged with the responsibility of receipt, issue and distribution of all incoming and outgoing dak (except Notices received in Notice Office), and it works round the clock during the entire year. The Section (alongwith Notice Office) is also responsible for receiving e-mail addressed to the Secretariat, which will be treated in the same manner as other dak received by the Section.

All letters etc. meant for the Secretariat received in dak are sorted out by the clerk on duty into the following categories:—

- (i) official letters;
- (ii) official letters addressed by name;
- (iii) notices of questions etc. received by post; and
- (iv) personal letters meant for officers/officials.

Notices of Questions/Legislative Business, etc. are also received in Notice Office directly and through Fax and sent directly to the Section concerned unit after diary in Notice Office.

Dak addressed to the officers by name is either directly received by them or their personal staff or if received in Distribution Section, is sent to them through a messenger of the Distribution Section.

Outside office hours, the dak is sent to the addressee at his/her residence, if marked 'immediate' and addressed by name. In such a case, the officer is normally intimated in advance over telephone about the dak being delivered at his/ her residence. In all other cases, dak is received by the clerk performing night duty and the dak is delivered to the officer as per his/her instructions. If advised, the contents of the letter are made known to the concerned officer over the telephone and the clerk then acts according to the instruction received.

Private letters meant for the staff are sorted out and kept in a tray in the Distribution Section and collected by them from there itself.

4.2 Acknowledgement — All registered letters/files/parcels, etc. received in the Distribution Section are acknowledged by the recipient clerk, signing his/her name in full and in ink with date and designation.

4.3 Registration of Dak —

- (i) urgent dak is separated from other dak and is dealt with first.
- (ii) on opening dak, the Distribution Section clerk checks enclosures and make a note of any paper/enclosure found missing.
- (iii) all covers, except those addressed to officers by name or those bearing a security grading are opened by Distribution Section and entered in the register and sent along with the Peon Book to the addressee:
- (iv) all registered dak addressed to the Secretariat received in Distribution Section is immediately sent through Peon Book to the addressee after entry in the Register. The format of the Register and Peon Book are as follows:

RECEIPT REGISTER

Diary No.	Number & Date of document received		From whom received	Brief Subject	Addressed to
	Number	Date			
1	2	3	4	5	6

NOTE: In the margin of the top left side of the letter; a rubber stamp containing the following particulars is affixed on which the Diary No. and date is recorded as under:

<p>RAJYA SABHA SECRETARIAT</p> <p>DISTRIBUTION SECTION</p> <p>Dy. No.</p> <p>Date</p> <p>For Sec.</p>

PEON BOOK

Date	To whom addressed	Contents of cover		Name of Peon	Sig. in ink of the Receiver with date and time of receipt
		No. of Diary Register	Letter No. & Date		

4.4 Internal Distribution — After diarising the dak in the Distribution Section, the process of distribution of dak begins. The papers meant for Ministries are put in the respective pigeonholes provided in the Section from where the Addressees retrieve their papers. All other dak is distributed through the Messengers.

4.5 Circulation — All circulars/office orders/Parliamentary papers meant for Officers/Sections are distributed using E-mail facility directly by the originating Section as far as possible. Where copies are to be distributed, the Originating Section sends the signed copy along with instruction on number of copies to be prepared, circulation list and priority if any. In case there is extreme urgency, this should be indicated specifically. The Distribution Section will arrange to circulate copies through the Messengers from the Distribution Section after getting the required copies xeroxed. The papers also circulated to Chairmen, Standing Committees/Department-related Committees, etc. as and when required.

4.6 Receipts in Notice Office from the Members — The Notice Office of the Rajya Sabha Secretariat also acts as a receipt office in respect of notice received from Members and keeps liaison between the Members and different Sections of the Rajya Sabha/Lok Sabha Secretariats and also with various Ministries/Departments, etc. Notices of Questions, Short Notice Questions, Half-an-Hour Discussions, Special Mentions;, Matters raised with the permission of Chair, Resolutions, Amendments, Calling Attention, Short Duration Discussions and Motion from Members of Rajya Sabha are received by the Notice Office and in turn transmitted immediately to the concerned Officers/Sections after diarising the same in the Computer Diary Software.

Apart from Notices, other papers/communications received by Notice Office from the Members (such as TA Bills, Exchange Orders, etc.) are sent to the concerned Sections/agencies directly. .

Entries are to be made in serial order without leaving gaps. At the end of each day a line will be drawn and the next day, the date given in large letters before beginning entries of the day.

In respect of each receipt, columns (1) to (8) are to be filled in at the time of initial diarisation. Columns (9) and (10) are to be filled in weekly after getting the data from the Assistants concerned.

The Section-in-Charge may mark letters as 'Important' or 'Time bound' (as the case may be) in addition to categorisation as immediate, urgent and ordinary. In case of 'Time bound' references a certain time limit or a deadline is fixed by the higher authority for getting a reply. 'Immediate' receipts are of extraordinary urgency, which require instant attention of the person to whom those are addressed or marked. 'Urgent' receipts require attention without delay. The remaining will fall under category of 'Ordinary'.

To keep a check on immediate, time-bound and other important letters received, a separate register (of immediate references) is maintained by the Section-in-Charge personally called 'Note Book of important receipts' in the following format:

NOTE BOOK OF IMPORTANT RECEIPTS

S.N.	Letter No. & Date	Received from	Marked to	To be put up By (date)	Remarks (file no. and date of putting up and deadline for disposal, if any)	Date of final disposal

The Section-in-Charge shall scrutinize the Note Book daily and direct the Assistants concerned in case the file has not been put up by the date given.

4.10 Document Management Information System (DMIS) — A web based application for tracing the movement of files and receipts has been introduced in some sections of the Secretariat on pilot basis with effect from 1st September, 2008, Application enables the users to maintain a constant watch over the movement of various important documents in the process of decision making. Receipts in sections using the system are diarised on the computer in the prescribed format. Processing of these receipts and disposal thereof are also monitored on the system by the concerned Section and each of the officers in the hierarchy. The Controlling Officer of each Division Section can view the movements of documents and could take appropriate decisions.

4.11 Scrutiny of the Diary Registers —

- (i) The diarist will be responsible for the proper maintenance of the diary registers. The Section in-Charge will scrutinise the Section diary register at least once a week to see that it is properly maintained and the distribution and issue of the receipts is done promptly. The Section-in-Charge will put his/her initial on the diary register with date after each scrutiny, with remarks if any, in the remarks column.
- (ii) The Section-in-Charge will ensure that all cases entered in the Note Book of Important Receipts have been put up by the dealing hands in time are followed up. In case the files have not been received back from the higher authorities by due dates a note should be sent to their personal staff listing the file number and date of submission of the pending cases.
- (iii) It would be primarily the responsibility of the Section-in-Charge concerned to keep track of the disposal of all receipts whether 'Immediate', 'Urgent' or 'Ordinary', in order to ensure that all the receipts have been disposed of by the dealing hands within the time-limits fixed. The Branch Officer is responsible for ensuring that this task is regularly and effectively performed. Any negligence or carelessness on the part of the Section in-Charge in discharging this responsibility should be viewed seriously.

4.12 Movement of Receipts —

- (i) Receipts addressed to officers and opened in their personal offices will be diarised in the personal office on registers similar to the 'Note book of important Receipts', and personal staff should ensure that action taken on the receipts is entered in the registers/DMIS. After the officer has perused the dak, the personal staff after making diary entries, will sort the dak and send it to the officer to whom the dak has been marked.
- (ii) Dak received in the Section will be sorted by the Section-in-Charge and important receipts will be submitted at dak stage itself to Officers. When received back the receipts will again be perused by the Section-in-Charge. In case, a time limit or other urgency marking has been indicated, entry will be made in the Note Book of important receipts.
- (iii) Officers perusing dak will initial it with date, mark it to the concerned officer/Section and indicate the urgency and time limits within which the receipt should be dealt. In as many cases as possible, the line of action, where it is not already clear, will be indicated on the margin, in order to reduce the time and labour of processing at Section level.
- (iv) Receipts submitted to officers move in pads labeled as 'Receipts' or 'Dak Pad'. Their perusal is to receive prompt attention of the officers and their personal staff must ensure the prompt movement of the Dak Pad as soon as it has been perused.
- (v) Section-in-Charge must keep a watch on any hold-up in the movement of receipts put up at dak stage. The diarist must bring to his/her notice any receipt which has not been received back from officers within 24 hours.

CHAPTER - V

FILING SYSTEM

5.1 Introduction — Every office follows a set of rules and regulations for the disposal of its work. Every action of the office should be in consonance with rules, decisions and, therefore, the decision-making process needs to be sufficiently and clearly documented for this purpose. The practice, therefore, is to record the process in writing, in the form of internal notes and correspondence. This record is required to be systematically kept in files as per a prescribed procedure.

5.2 Composition of a file — A file is a systematic arrangement of papers on a specific subject matter, with the following parts:

- (a) Notes;
- (b) Correspondence;
- (c) Appendix to notes; and
- (d) Appendix to correspondence.

“Notes” are generally the views or summary of facts recorded by officials of the office in respect of a Paper Under Consideration (PUC) or a Fresh Receipt (FR).

The ‘Correspondence’ portion contains all communications (Receipts or Issue) received or sent. The correspondence thus consists of the raw data while the notes reveal the ‘thinking process’, which results in a decision.

‘Appendix to Notes’ is a complete summary of the case containing detailed information, the incorporation of which into the main note will obscure the main point or make the main point lengthy. It is usually prepared where a case is likely to be examined several times and in great depth, for instance, in court cases, etc. In such matters, the office note merely gives the latest developments and refers to the ‘Appendix to Notes’ in case details are required.

‘Appendix to Correspondence’ consists of lengthy enclosures to communication, the inclusion of which is likely to obstruct the smooth reading of the correspondence portion.

5.3 Arrangements of papers in a file — A ‘Case’, as explained in the definitions, is a proposal examined on a file relating to that subject. Generally, information required for examination of the case is in the form of letters or notes or other papers. For convenience and easy reference, they are placed in a file cover in the manner described below:

- (i) All papers required to be placed in any part of the file are to be punched on the left corner and tagged in chronological order. The latest paper should be at the bottom. The practice of reverse filing (last paper on top) of papers is not compatible with the system of page numbering, and should be avoided.
- (ii) The Notes portion of the file on blue-green coloured noting paper is paged and tagged separately while the correspondence portion is paged and tagged into a file (on both sides) so that the ends of the tags are secured onto the other side of the file cover.
- (iii) The Notes portion is then loosely placed inside the file cover, on top of the correspondence portion (or, in case of bulky or secret notes, similarly placed inside a separate file cover and tied alongwith the correspondence portion into the same file board).

- (iv) Note sheets should be kept loose within the file cover of the correspondence file and *not* tagged into the file cover containing the correspondence as linking it into the file cover impedes the writing of notes.
- (v) As far as possible notes should be written/typed on both sides of the note sheet, and the first page of the note sheet should indicate the name of the organisation and office, the subject and the file number.
- (vi) Notes of casual discussions on points of secondary importance, routine correspondence like reminders, etc. generated during examination of a case are not to be put in correspondence and can be placed in a separate cover (called 'keepwith' file or K W file) below the file.
- (vii) No file should generally contain more than 200 sheets of notes and correspondence combined. On the maximum limit being reached the file should be closed and a new volume of the same file should be opened *with the same file number*, showing Vol. I, Vol. II and so on, (with entry in the file opening register as well as on the closed volume of the file showing the opening of the new volume).
- (viii) The following arrangement must be utilized, from top downwards, while submitting a case for orders:
 - (a) reference books, if added;
 - (b) notes portion of the current file, ending with the last note for consideration;
 - (c) running summary of the facts, if added;
 - (d) draft for approval, if added;
 - (e) correspondence portion of the current file ending with the latest communication dealt with (i.e. receipt or issue) as the case may be;
 - (f) appendix to notes and appendix to correspondence;
 - (g) standing guard file or precedent register, if added;
 - (h) other papers, if any, referred to e.g. extracts of notes or correspondence from other files, routine notes, copies of orders, gazettes etc. arranged in chronological order; and
 - (i) recorded files, if any, arranged in chronological order.

5.4 Page and Serial Numbering — Page numbering should be done for every page of notes and correspondence in separate series. This should be done at the top right corner *in ink*. Blank intervening pages, if any, should not be numbered. Blank pages, if any, should be marked with 'x' mark in ink. The page numbers once allotted should not be changed without the orders of the Section in-Charge. Fresh receipts should be placed into the file cover in the correspondence portion and page numbered at its proper location.

Serial numbers are to be given in red ink, at the top centre of the first page, of every communication, whether receipt or issue. The communication received (R) or issued (I) are to be marked in serial order e.g. Sl. No. 1(R), 2(R) etc. or Sl.No. 1 (I), 2 (I) etc. This serial numbering ensures that the chain of receipts and issued letters remains unbroken. As will be explained in Chapter 7 on Noting, this serial number is also entered into the note sheet in a process called 'Docketing'.

5.5 Flagging — Paper Under Consideration, which is the first reference and initiation of the case is to be flagged "PUC". A fresh receipt on the same issue, received later, is to be flagged as "FR". In a current file, no other slips or flags are to be attached to a paper. There is a general tendency to flag every paper referred to in a note, instead of referring to it by its page number. This should be avoided as far as possible, as it often results in page number not being recorded on the note portion at the time of referencing. If there is more than one FR, they can be flagged FR-I, FR-II etc.

If use of alphabetical flags on other papers is unavoidable, as in the case of files put up to Chairman, page numbering should still be done, and reference to the paper in the note sheet should be by means of page number and reference to flag 'A' or 'B' etc. made in pencil in the margin. While making reference to the page number of the recorded file on the notes, the file number is invariably required to be mentioned in the notes.

5.6 File Movement Slip — Unlike in some Government Offices where open files are circulated to officers in the hierarchy, in the Secretariat files move from one officer to another in closed form. To facilitate indication of next destination of file without opening it, a slip known as File Movement Slip is used. File movement slip indicates to and fro movement of files from Section to different levels in the hierarchy and movement is indicated by designation of the officers to whom it has been marked on the file movement slip. The file movement slip should be put on the top of the file. This slip indicates the name of the Section to whom the file concerns and below that officer/Section to whom it has been marked. This slip should be stapled in the file.

5.7 Referencing — When reference is made either to a paper in the file to another file or to any other attached document, a note is made in the margin of the note sheet. This process is called referencing.

Thus if page 52 of the file is referred to and for some reason (though the practice is not recommended), the page is flagged as F/A, then on the margin of the note, at the margin of the line where reference is made to 'Page 52', the words 'F/A' are indicated. The same practice is followed if reference is to another file or document flagged for reference. Needless to add, referencing of PUC's and FRs in this way is a must.

Acts, rules, regulations or compilations referred to in a case need not be put up if copies thereof are expected to be available with the officer to whom the case is submitted. The fact of such compilation not having been put up will also be indicated in the margin of the note in pencil, as part of the referencing process.

5.8 Linking of Files — Linking of files is resorted to, if the issues raised in two or more current files are so inter-connected that they need be dealt with together/simultaneously. In such a case, the files are to be linked in such a way that the strings of the file board of the lower file (but not its flaps) are to be tied round the upper file and the upper file's board strings tied underneath it in a bow out of the way so that each file is intact with all connected papers arranged on its file board and the flap. Similar linking might also be required to be made if papers on a current file are required for reference in dealing with another current file unless copies of the papers from the other current file can be conveniently placed on the file to be submitted.

When two files are linked as cited above, a file label is to be attached to the left-hand flap of each of the two files stating that the file is linked with another file. This will ensure that the two files are not inadvertently de-linked.

Linked current files will be flagged LF-I, LF-II etc. and referred to as such in the notes, after mentioning the file numbers of all the linked files in the margin of the note.

After the completion of action, the linked files are to be de-linked, taking relevant extract and placing them on the linked files wherever necessary. The de-linking of the files will be mentioned in the margin of the note sheets of both files with date, in pencil.

5.9 Title of a File — 'Title to a file' means the subject given to a file. It should be very concise and should indicate the contents of the file at a glance. The 'title' consists of:

- (a) Standard-Head
- (b) Sub-Head
- (c) Subject or Contents

The 'Standard-Head' is a single important word, which is placed first in the title. It indicates the main subject heading and helps in identifying files in the Index of the Register.

The 'Standard-Head' is followed by a 'Sub-Head', which should be more indicative of the precise classification of the file than the head. If it is essential to have more than one Sub-Head in the title, the more abstract or general should precede the concrete and specific. Each part will begin with a capital letter and will be separated by a bold-dash.

'Contents' is given after Standard-Head and Sub-Head. It should be brief and clearly indicative of the question or issue in relation to the standard-head and sub-head and where necessary, the specific institution, person, place or thing involved, rather like a newspaper headline. A 'contents' worded in general terms is of little practical use, for, if it does not distinguish a file from others relating to closely similar but not identical subjects, time may be wasted in taking out and examining several files.

5.10. Separate File for each Subject — There should be a separate file for each distinct subject. If the subject of a file is too wide or too general; there will be a tendency to place in it receipts dealing with different aspects of the matter which, apart from making the file unwieldy will impede quick disposal of the business. If the issues raised in a receipt or in the notes or in the orders are beyond the original subject, relevant extracts should be taken and dealt with separately in new files.

Before opening a new file, the Assistant will first find out the Standard-Head to which the PUC relates. He/she can then propose a suitable title of the file for the approval of the Section-in-Charge.

The file number will consist of:

- (i) It will start with R.S., which stands for Rajya Sabha in abbreviated form;
- (ii) after R.S., serial number of the Standard Head;
- (iii) serial no. of the file opened during the year;
- (iv) last two digits of the year in which opened;
- (v) abbreviated symbol identifying the Section; and
- (vi) after R.S., three components of the number will be separated by slant strokes and the last by a hyphen.
Example: R.S.1/2/01-O&M

Illustration:

File opened in O & M Section during the year 1999 under the Standard Head-I:—

“Preparation of a Manual on Rules and Orders of the Secretariat” will be numbered as follows:

Standard-Head I: *“Preparation of a Manual on Rules and Orders of the Secretariat.”*

Sub-Head: 1/1-*Procedure and Practice of Legislative Section.*

1/2- *Procedure and Practice of Question Branch.*

1/3- *Procedure and Practice of Lobby Office, etc.*

After Sub-Heads, a Separate number is given to each file based on the subject in the following manner:—

Standard-Head (1) *(Preparation of a Manual on Rules and Orders of the Secretariat)*

Sub-Head : 1/2-*Procedure and Practice relating to Question Branch.*

Subject: 1/2-(1)-*Work load of the Section during Session period.*

1/2(2)-*Utilisation of manpower during Inter-Session period.*

The full file number of the file which has Standard-Head, 'Preparation of Manual'; Sub-Head as 'Procedure and Practice in Question Branch', and Subject as 'Work load of the Section during Session period is thus: **1/2(1)99-O & M**, where '99' denotes the year in which the file with this subject was opened and 'O&M' the Section opening the file.

A file on a new subject should be opened only if the subject content of the old file is inadequate to deal with a PUC, files are opened year-wise/session-wise only if the title makes it clear that the subject relates to a particular year/session, *e.g.* 'Parking Labels for 1999' or 'Summoning and Proroguing of the 185th Session'. In such a case a file will be opened for each year or session as the case may be. However, if the title of the file is not of this nature, new files should not be opened each year/session but new volume should be created as soon as the requisite numbers of pages have been filed. For the example, '*Purchase of spares for Car No. DEH-81*' will be a single file which will continue from year to year, since otherwise year-wise old files on the same subject may have to be requisitioned and linked each time a paper is received referring to a matter pertaining to that year.

Files on a new subject should be opened by an Assistant only under orders of the Assistant Director/Executive/Legislative/Committee Officer etc. so that file are not opened indiscriminately. It should however be understood that opening of a new volume of an existing file after it has reached 200 pages is a different matter from opening a new file.

5.11 Creation of new Heads and Sub-Heads — Normally the filing system as it has evolved, should be sufficient to cater to all the Heads and Sub-Heads and only new 'subject' files may be required to be opened from time to time.

However in certain cases, new Sub-Heads or even new Heads may be required if a new class of cases is likely to require a separate set of files. For instance 'Office Computerization' as a subject may not be appropriate since below this subject, further sub-headings like 'Purchase of Computers', 'Preparation of Software' etc. may be required, indicating that 'Office Computerization' should be either a new 'Sub-Head, or even, in case of say, the IT Sections (H&S), where a large number of files are required to be maintained, a new 'Standard Head'.

New 'Sub-Heads' should be opened only with the approval of the Branch Officer *i.e.* Deputy Director/Joint Director so that new Heads are not created indiscriminately. New 'Standard-Heads, should be created only with the approval of the Joint Director/Director who should, at such times, review the entire list of Standard-Heads and rationalize the 'Sub-head' and 'Subject' allocations.

5.12 Part File — A part file usually consists of a note and correspondence in order to explain a particular point. It is only used when the main file on a subject is under submission to a higher authority and a Fresh Receipt is required to be dealt without waiting for return of the main file in view of its urgency. The Part File is to be amalgamated to the main file as soon as the main file is returned and action thereon is completed. Part files should be opened sparingly and only in urgent cases. It will be the responsibility of the Section-in-Charge (Assistant Director/Committee/Executive/Legislative Officer) to ensure that the part file is amalgamated into the main file as soon as possible by the dealing hand and all pages of the notes and correspondence are renumbered accordingly, and changes made in the reference numbers by drawing a line below the part file reference number and giving the equivalent number for the main file. Branch Officers and above must be vigilant in ensuring that 'Part Files' are using sparingly and not as a substitute for a bulky main file. In all cases where Part File has to be opened, it must be specified if the Main File is under action and in other cases give reasons why a Part File is being moved.

5.13 File Opening Register — Each Section must maintain a classified list of files opened during the calendar year in a File Opening Register. It is maintained "Head-wise". On the first page of the register, a list of approved Standard-Heads with serial numbers should be written, as an index to the register. The page numbers at which the sub-heads for the Standard. Head are available will be indicated here. Sufficient pages for entering the Sub-Heads and subjects of files likely to be opened in the course of the year should be provided for. One or more pages should be reserved for each Sub-Head, and entry regarding opening of files made therein, in the following format:—

FILE OPENING REGISTER

Section Year

No. & Name of Head

No. & Name of Sub-Head

Sl.No.	File No.	Subject	Date of Opening File	Name of Dealing Hand	Signature of Section-in-Charge

Whenever orders are passed to open a new Head/Sub-Head/File, appropriate entry is to be made in the Register by the dealing hand concerned. The Registers will be kept in the custody of the Assistant Director/Legislative/Executive/ Committee Officer, with a separate register opened each year, to record the file opened during that year.

5.14 Movement and Location of Files — Movement of files will be entered in a File Location Register which will be maintained with the Section Diarist. In Sections where large scale movement of files takes place, individual registers may be maintained by the dealing Assistants themselves. A separate page or pages will be given to each file and the arrangement of the pages will be similar to the file opening register *i.e.* head wise, sub head wise arrangement will be made to enable easy location of the page reserved for a particular file. Adequate space should be provided in the register so that files which are put up frequently have place for the requisite number of entries. The register should be opened afresh each calendar year, with last entry carried forward. The format of the register is as follows:

File No.**Subject (Title)**

Sl.No.	To who sent	Date	Date of Receipt back

On receipt back, of a file, the dealing hand will note the date in the margin of the note sheet opposite the last note.

To easily trace files that are put up to Branch Officers and above, personal staff of the officers are to enter the file as soon as it is received in their File Movement Register maintained date-wise on the following format: —

Date

Sl. No.	File No.	Received from	Sent to	On Date

The entry should be made as soon as file is received and columns completed when the file is to be sent to the officer to whom it is marked.

5.15 Document Management Information System (DMIS) or File Tracking System (FTS) — A web based application for tracking the movement of files, introduced in some sections of the Secretariat on pilot basis with effect from 1st September, 2008, enables the users to maintain a constant watch over the movement of various files. After receipts in sections using the system are diarised on the computer, the processing of these receipts and disposal thereof are also monitored on the system by the concerned Section and each of the officers in the hierarchy. The Controlling Officer of each Division/Section can view the movements of files and could take appropriate decisions.

5.16 Files received and sent unofficially — It is essential that the files received from other organizations, e.g. the Lok Sabha Secretariat unofficially, should be diarised, in a separate Register of Files Received unofficially. Entries regarding movement of these files should also be made in that Register. The Section-in-Charge will examine the register at regular weekly intervals to satisfy himself/herself that return of files received is not delayed. Reminders for return of files, which are held up for more than two weeks should be issued by the Section-in-Charge. A similar practice is required to be followed in respect of files sent unofficially to Lok Sabha Secretariat etc.

5.17 Removal of Papers from a file — Specific written orders of the Section-in-Charge are necessary to remove original pages from a file, either from the correspondence or from the notes portion. A sheet indicating the purpose of removal together with the Section/Office where the same were sent, attested by the Section-in-Charge, should be attached at the relevant place. Where such papers are likely to be required in the interim, photocopies should be retained. When the papers are returned, the same should be replaced properly and the photocopy removed.

5.18 Use of Urgency Labels —

- (i) Normally one of the two urgency labels are to be used when required on cases viz. “*Priority*” or “*Immediate*”. The other labels required to be used where relevant are “*Rajya Sabha Question*”, “*Motion*”, “*Bill*”, or “*Secret*” or “*Confidential*”.
- (ii) The label “*Priority*” is used for cases requiring disposal in precedence to all other cases. The label “*Immediate*” is used only in cases requiring prompt attention.
- (iii) The other labels as indicated in sub para (i) above are to be invariably used for all relevant cases for either prompt attention and disposal or maintaining secrecy.
- (iv) The urgency labels assigned to a case are to be reviewed by all concerned at all different stages of progress of the case and where necessary the urgency label can be revised.
- (v) Files marked ‘*Secret*’ or ‘*Confidential*’ should not be allowed to move in routine but should be sent ‘*by hand*’ or ‘*in a sealed cover*’. While marking the file, the words ‘*by hand*’ or ‘*in cover*’ should be added next to the designation of the officer to whom the file has been marked. It should be ensured that files with urgency labels reach the next level as soon as it is possible and should not be sent in routine.

CHAPTER-VI

DEALING WITH RECEIPTS, NOTING AND DRAFTING

6.1 Dealing — Dak is received in a Section and marked by the Section in-charge to the Assistants (dealing Assistant) in accordance with work distribution order or exigencies of the situation. Dealing of a receipt is the process of taking action on a communication received and includes preliminary action and diarising, noting, drafting, filing, etc.

6.2 Preliminary action on a receipt — As soon as a dealing Assistant receives the dak (receipts) duly diarised, he/she is required to:

- (i) Go through the receipts and to check that:
 - (a) all receipts given to him/her actually pertain to the work assigned to him/her. If any receipt has been erroneously marked to him and does not pertain to his/her seat, he/she will bring the matter to the notice of the Section in-Charge for marking to the concerned dealing Assistant to whom the receipt will be passed on through the section diarist;
 - (b) all enclosures to the receipts are there and if any enclosure is missing, steps should be taken to ask for it from the sender and in case the matter is of importance, the sender should be contacted telephonically as well;
 - (c) the communications are duly signed and if any letter is unsigned, it should be sent to the sender for proper signatures; and
 - (d) all the communications and their enclosures are legible and in case any page is illegible, then a legible copy of the page should be asked for immediately.
- (ii) Enter all receipts in the Assistant's Diary Register, maintained year-wise on the following proforma:—

Date	Dy. No	Subject	Sender	Letter No.& Date	File No.	Date of Dealing	Date of Final Disposal	Remarks

- (iii) Separate the Immediate/Urgent receipts from the ordinary receipts for being dealt with in accordance with the priority assigned to them.
- (iv) Bring the receipts on the current file on the subject if one already exists and if not, open a new file in the file opening register with the approval of the Section in-Charge. Due care has to be exercised to ensure that new files are not opened unnecessarily. At the same time the practice of dealing all kinds of receipts on 'miscellaneous' files is to be avoided. 'FRs' will obviously be dealt on the file on which the original PUC was dealt. Whether a PUC requires the opening of a new file or whether there exists a current file on the subject should be considered carefully.
- (v) See whether any other Section is concerned with any part or aspect of a receipt. A copy of relevant extract is to be immediately sent to the concerned Section for necessary action through a U.O. reference under signatures of the Section-in-Charge/Branch Officer.
- (vi) Place in the current/new file the receipts in accordance with the procedure prescribed in paras 5.2 and 5.3 of Chapter-V. *All receipts will be placed inside the file cover.*

- (vii) Assign the receipt numbers and page numbers to the receipts in the current/new file in accordance with para 5.4 of Chapter-V. While doing so he/she should check and ensure that the page numbering and serial numbers of earlier receipts are complete and proper referencing has been done.
- (viii) Mark all relevant references (including the page number of the original letter to which this may be a reply) referred to in the receipt. He/she will also, in case the receipt is in reply to an earlier letter issued from the Section, write on that earlier letter '*reply received on (date)—at p—/c*'. This cross-referencing will facilitate the linking of the various items of correspondence relating to the case.
- (ix) Trace and locate all other relevant files required for dealing the receipt, whether current or recorded, with the help of the file opening register and register of recorded files.
- (x) Collect all relevant reference books, Acts, Rules, Regulations and instructions required for dealing the receipt; and finally
- (xi) Arrange, reference and flag the papers in accordance with paras 5.4 and 5.5 and attach label of urgency, as per para 5.18 of Chapter V, wherever required.

6.3 Docketing of receipts — Before the initiation of any note by the dealing Assistant it has to be ensured that the filing of papers, arrangement of papers in a case, referencing and linking of files are in order. The dealing Assistant will note all particulars of a receipt on the noting portion in red ink in the following format:

Sl. No. (R) Dy. No.DatePage Nos.PUC/FR
(as the case may be) *Letter No.Dated From*

If a senior officer has written an observation on the PUC/FR, this shall be copied out in full with designation and date within quotation marks before initiating the note. For example:

'Please discuss with Director (R) and put up file by 15th sd/- S.G 12.1.99'

If the submission of a receipt has been delayed inordinately, the dealing Assistant should furnish an explanation for the delay in the note itself.

It is the duty of all senior officers from Section-in-Charge upwards to ensure that every file put up is properly paged and docketed, and they must at all times make efforts to guide subordinate staff in the proper procedure.

6.4 Noting — "Noting is the process of providing remarks on a Paper Under Consideration (PUC) or Fresh Receipt (FR) to facilitate' the decision making authority to arrive at a decision. It reduces the time and effort required at higher levels. when one is to refer voluminous material. It also gives an indication of the reasoning process involved. A "Note" includes the precis of a PUC or FR, a statement or analysis of the questions requiring decision, reasoned suggestions on the course of action, or orders passed on the file.

In cases where detailed noting is not necessary, the dealing Assistant will write a brief note in a line or two about the receipt. For example, in cases here a PUC is to be circulated, dealing Assistant will write:

"PUC may be circulated to all concerned, as per draft placed below"

When writing notes it should be assumed that the PUC/FR and the previous notes will be read by the concerned superior officers. The dealing Assistant or higher officials, therefore, need only refer to para no. of the PUC/FR or the serial number or page of previous notes, rather than reproduce them *in extenso* unless it is absolutely necessary. The verbatim reproduction of extracts from or paraphrasing of the PUC, FR or any other part of correspondence or notes on the same file should not be given just to give an impression of contributing to a file.

All notes should be concise and to the point. Excessive noting describing lengthy facts and figures should be avoided. Lengthy notes, if necessary, should be prepared, but with proper paragraphing and in clear language.

If, a running summary of facts is available on the file, this should not be reproduced in one's own note, If the last note on the file is itself a summary and if some additional point is to be made, a self contained summary should be prepared.

6.5 Noting and responsibilities of Branch/Section — When the line of action on a receipt is clear, or it is based on precedents or the approval of the Section in-Charge has already been obtained on the line of action on a receipt, a draft reply, where necessary, should be put up for approval without much noting. In other cases, the Section shall put up a note.

As far as possible, one note should emanate from the Section. If there is difference of opinion between different sections/dealing hands and head of the branch, it should be settled by personal discussion.

The following points should be ensured by the section with respect to noting:

- (i) facts under consideration should be correct to the best of one's knowledge;
- (ii) mistakes or mis-statements of facts should be pointed out;
- (iii) the correct procedure, statutory or customary, the law and rules, should be pointed out;
- (iv) other relevant facts and figures available in the Secretariat should be provided alongwith precedents containing previous decisions on a similar issue;
- (v) questions for consideration should be stated to bring out clearly the points requiring decision; and
- (vi) a course of action, wherever possible, should be suggested.

In matters pertaining to policy decisions, or complex matters requiring thorough consideration, the note should consist of the following:

- (i) brief background of the case on the noting portion itself or in the form of an Appendix to Notes, but duly referred to in the note;
- (ii) factual position;
- (iii) issues involved or points for consideration;
- (iv) factual position about the 'issues/points with reference to Acts, Rules, Manuals and instructions;
- (v) all possible alternative solutions;
- (vi) what solution seems to be the most appropriate with reasons for such a choice with reference to reasons for rejection of other alternatives;
- (vii) the suggested course of action for the proposed solution and the method/procedure required to be followed for finalisation of the said course of action.

6.6 Use and computerization of Standard Process Sheets — In some Sections including Bill Office, Personnel Section, Establishment (A/Cs) and Budget Section and Establishment (G) Section, etc. where some of the file work is of a routine and repetitive nature and the office note can be formulated into a standard text where only a few blanks have to be filled for dealing with a case. This procedure should be used to save time and ensure comprehensive examination. Such 'standard process sheets' can incorporate 'Check Lists', where appropriate, to ensure that all papers relevant to the case are available. Section-in-charge must identify applications for standard process sheets and encourage their use. 'Templates' containing these sheets should be stored on the computer, data input in each case, and print out taken and used in the file.

6.7 Action by Head of Section — The Section-in-Charge will scrutinise the note of the Assistant/Clerks. In-Charge of Section is authorised to dispose of the following items of work without referring the matter to their divisional officers:

- (i) Grant of casual leave upto three days.
- (ii) Issue of reminders and acknowledgements.
- (iii) Recording of Files
- (iv) Issue of office orders, routine orders and circulars of ephemeral nature.
- (v) Any other case, which by a general or specific office order, Section in-Charge is authorised to dispose of independently.

The Section in-Charge may use his/her name and designation, while signing official communications relating to matters within his/her power. Notwithstanding the power delegated to In-charge of Section for disposal of certain cases and issuing of communications over their signatures, all orders passed by or made in the name of Chairman, Rajya Sabha shall be authenticated by the signature of an officer not below the rank of Deputy Director.

6.8 Scrutiny by Section in-Charge — Excepting cases of secret, confidential or urgent nature which the supervisory officer (*i.e.* Deputy Director/Joint Director) may like to deal himself/herself, all other cases are processed initially by the dealing hands and submitted to the Section-in-Charge. On receiving the file, the Section-in-Charge is required to go through the contents of the receipts, all communications referred to therein and all other linked papers, Acts. Rules. Manuals and instructions added with the case. Thereafter, the Section-in-Charge has to see the following aspects in all cases submitted to him:—

- (i) The dealing Assistant has taken all preliminary steps on the receipt as detailed in para 6.2, completed the short comings and placed the receipt(s) in the correct and relevant file and extracts of relevant paras requiring action by another Section/dealing hand have been given to the concerned Section/dealing hand for further action;
- (ii) The receipt has been duly diarised, placed at its proper place duly serial numbered and page numbered, all communications referred to in the receipt have been referenced and flagged and the other relevant files, if any, have been linked;
- (iii) All data/information required for proper submission of the case has been collected;
- (iv) The file (correspondence portion and the noting portion combined) has not become unwieldy *i.e.*, exceeded 200 pages and if so, the case should be transferred to a new volume;
- (v) Relevant Acts/Rules/Manuals/Regulations or instructions have been added with the case or relevant extracts of the same are added, duly flagged;
- (vi) The note prepared by the dealing hand is in accordance with the instructions on the subject and the draft has been added in fair or in draft form wherever considered proper;
- (vii) The note contains all essential features of the case *i.e.* the issues involved, factual position supported with essential data/information, provisions of Acts/Rules/Regulations/Manuals/instructions/precedents, all viable solutions/suggestions practicable and the best possible course of action/solution with reasons and the procedure for its adoption;
- (viii) In cases where consultation with any other Section/organisation is essential, the note contains complete information;
- (ix) The concluding portion contains complete particulars of the authority whose approval/orders are solicited;
- (x) The dealing hand has put his/her signatures in full, with date, on the left side at the end of the note leaving the sufficient blank margin;

- (xi) The noting portion is page-numbered, all paragraphs in the noting are serially numbered and all the communications referred to in the note are properly referenced; and
- (xii) The File Movement Slip is stapled to the outside of the file, indicating the Section name and designation of person to whom marked.

The Section-in-Charge, after checking the above aspects and finding the case to be in accordance with the Rules, instructions, past precedents and in order can sign in full with date and mark the case/file to the Branch Officer. The marking to the Branch Officer has to be on the left-hand side below the signatures of the Section-in-Charge, leaving the margin blank. The signatures of the Section in-Charge after the note and signatures of the dealing hand imply his/her complete agreement with the viewpoint and suggestions of the dealing hand. It is unnecessary for the Section-in-Charge to give a gist or summary of the case with proposed suggestions in case the note of dealing hand is self-explanatory and nothing new is to be added.

In cases where the Section in-Charge finds that the note of the dealing hand on a case is incomplete or wanting in certain aspects or the suggestion of the dealing hand is not in order and he/she has different ideas/proposals/suggestions to make, then the Section in-Charge may write his/her detailed note below the dealing hand's note, justifying his/her views. At the end of the note the Section in-Charge has to submit alternative solutions with his/her particular suggestion for the best course of action and also indicate the level of the authority whose approval/orders are solicited. The Section-in-Charge has then to affix signatures in full with date and the end of the note, leaving the margin blank. The designation of the Branch Officer to whom the case is to be submitted is to be indicated on the left-hand side of the note-sheet below the signatures of the Section in-Charge.

After the Section-in-Charge has seen and signed the case in accordance with the above, he/she has to complete the File movement slip and affix the urgency label on the case in accordance with the procedure laid down in para 5.18 and then send the file to the diarist for entry both in the Section diary register as also the file movement register (so that the dealing of the receipt on a particular file as well as the movement of the file are recorded). The Section-in-Charge has to ensure that the file is promptly sent to the Branch Officer by the diarist. The Section-in-Charge has to send the files of secret/confidential nature to the Branch Officer in a sealed cover and in all such cases the Section-in-Charge is required to inform the diarist to make the entry in the diary and file movement registers, since the file will not go to the diarist.

The secret/confidential/urgent matters desired to be handled by the Section-in-Charge himself/herself are to be processed, dealt with and submitted to the Branch Officer in the same manner as above on the relevant file, duly referenced flagged and properly arranged with detailed/short notes as the case may be. The signature of the Section-in-Charge, marking to the Branch Officer has also to be on the same pattern as given above, but such cases have to be submitted in sealed covers.

The Section in-Charge has also to see that the type of cases for which powers have been delegated to him/her are finally disposed of by him/her at his/her own level, unless he/she considers that the matter is of such nature as should, be brought to the notice of the Branch Officer.

6.9 Scrutiny and submission of cases by the Branch Officer

6.9.1. Basic Consideration : The Branch Officer (*i.e.* the Deputy Director or equivalent) too is supposed to go through the receipt(s), all communications referred to therein, linked files, Acts/Rules/Manuals/regulations and instructions as are added with the case received by him/her. Normally the cases are received by the Branch Officer duly processed by the dealing hand and scrutinised by the Section-in-Charge except those cases, which the Branch Officer may like to deal himself/herself. At the level of the Branch Officer, the cases need consideration from the following angles:-

- (i) whether the case has been presented in its complete form with all connected papers, files, reference books duly referenced and flagged and whether all the issues involved have been discussed;

- (ii) whether of the various alternative courses of action, the best one has been suggested in the prevalent circumstances and is in order;
- (iii) repercussions of the suggested course of action in the Section itself and other Sections; and
- (iv) in case the proposed course of action/solution is not the best one, keeping in view the legal position or the earlier decisions or the likely repercussions, what in his/her opinion is the best course of action, with detailed justification.

6.9.2 Action by the Branch Officer : After scrutiny/consideration of the case from the above angles, the Branch Officer has to take the following action:

- (i) If the case is complete in all respects and the suggested course of action is also in order, then the Branch Officer should either approve the action and send down the file with his/her dated signatures thereon, provided he/she is empowered to dispose of that case at his/her level or endorse the proposed course of action by affixing his/her dated signatures and mark the file, to the next higher authorities whose approval/orders are to be obtained. In either case the Branch Officer has to sign the noting portion towards the right hand side of the page and mark the file downwards or upwards on the extreme left hand of the note, after cutting the marking to him/her and writing the designation of the lower or higher authority. The margin is, however, to be left blank.
- (ii) If the Branch Officer finds certain deficiencies or inconsistencies in the case or suggestions, he/she can either point out the same with directions to resubmit the case after removing the deficiencies/inconsistencies or discuss the matter with the Section in-Charge and ask him/her to resubmit the case after supplying the missing material or removing the deficiencies/inconsistencies. .
- (iii) If the Branch Officer holds the view that the course of action suggested is not proper and a different course of action suggested is more appropriate, then he/she may either discuss the proposed course of action with the Section in-Charge and ask him/her to write the proposed suggestion on the note if so agreed or alternatively dictate/write his/her note giving reasons for taking a different view. In the first alternative, the Branch Officer will cross the marking to him/her and write on the note sheet "*Discussed with... Please add the suggestions as discussed*" and mark the file to the Section in-Charge. In the second alternative, the Branch Officer will cross the marking to him/her and dictate or write his/her note, marking it down to the Section in-Charge in case he/she is authorised to decide the case, or to mark the file to the next higher authorities whose approval/ orders are to be obtained.
- (iv) Before submitting the case upwards the Branch Officer is also required to check the urgency labels or add the labels, if not found in the file. He/she has also to ensure that the arrangement of papers in the case is in the correct manner especially if additional papers have been referred to in his/her own note.
- (v) Secret/confidential cases are to be submitted/sent in a sealed cover.
- (vi) The Branch Officer while dealing secret/confidential or urgent cases himself/herself is required to follow the same procedure as is followed for dealing files/cases by the Sections. Without disclosing contents of the receipt, the Branch Officer should get the receipt diarised in the concerned Section by sending a slip containing the subject and other minimal details, and the papers should be dealt at his/her own level by asking for the concerned file from the Section.

6.9.3 Disposal by the Branch Officer : As far as possible, a Branch Officer will dispose of as many cases as possible on his/her own responsibility, if necessary, taking verbal advice. In cases, which are of sufficiently important nature like that of question of policy or where orders of Secretary-General or Chairman, Rajya Sabha are required as per rules, he/she will, of course, put up the cases to the Joint Director and higher officers.

Where he/she has to pass orders or to make recommendations for the consideration of higher officers, he/she will confine his/her note to the factual points that should be dealt with by him/her without attempting to reiterate the ground already covered in the previous notes. When he/she agrees with the recommendations made in the note, he/she will merely put his/her signature and indicate his/her agreement with a particular proposal.

When a note has been written and approved by an officer and sent to another officer or a Section for examination of the proposal or for comments, the officer to whom the file is marked should invariably write the note himself/herself or by an officer *at most* one level below, with his/her approval. The receiving officer may ask the Section to furnish the required information. In such cases, the Section should submit a separate routine note for the information of the Branch Officer, who shall accordingly record his/her note on the file. Courtesy demands that Sections should not write notes on files to dispose of issues pending at the officer level.

Subject to the rules and standing orders, a Joint Director/Director should ordinarily, dispose of the cases coming upto him on his/her own responsibility. However, he/she should use his/her discretion in taking orders of the Joint Secretary/ Additional Secretary/Secretary/Secretary-General on crucial cases, whether orally or by submission of papers.

6.10 Delegation and Issue of Standing Orders ñ Routine files and cases where the Rules and precedents make the course of action clear should be disposed of at the lowest possible level *i.e.* by the Deputy Director or Joint Director. Each Section should draft 'Standing Orders' setting out the class of cases which are of routine or, simple nature and can be disposed of at lower levels. The Director and Joint Secretary/Additional Secretary/Secretary after scrutinising the list and adding classes of cases disposable at their levels will obtain the orders of the Secretary-General on the delegation proposed at various levels.

Normally cases delegated shall be disposed of at the appropriate level unless the officer is of the opinion that it is necessary to obtain the orders of a higher authority for a particular reason or to bring it to his/her notice before initiating a particular course of action.

6.11 Notes based on oral orders ñ Where a note is initiated on the basis of a direction of a higher officer ordering a particular course of action, this shall be mentioned in the note and where the course of action is other than routine the file submitted either for orders or for information of that superior officer as soon as possible.

6.12 Preparation of self-contained notes in cases going up to Hon'ble Chairman ñ Whenever an order has to be obtained from the Chairman, Rajya Sabha on any matter, a self-contained note shall be submitted to him/her. The following instructions shall be observed in the preparation and submission of such self-contained notes:-

- (i) The note will start at the top of the page and be given a heading as follows:

RAJYA SABHA SECRETARIAT

(Section/Branch)

Subject _____

- (ii) The contents of the note should be *self-contained, concise and to the point* and will be divided into paragraphs, each dealing with a particular aspect of the subject and each paragraph duly numbered;
- (iii) The note shall contain a concise background of the case and the orders relevant to the subject matter and reference to the statutory or customary procedure or previous decisions or precedents, if any. If the case is based on the provisions of any rules, regulation, statute, or past precedent, action to be taken will also be suggested;
- (iv) If the inclusion of any information in the note is likely to obscure the main point at issue or makes the note unnecessarily lengthy, a separate statement or appendix giving the information will be placed on the file;

- (v) The last paragraph of the note should invariably state precisely the question or questions for consideration. or point on which the orders of the Chairman are required;
- (vi) The note should be neatly typed in 1.5 spacing with a quarter margin on green note-sheet and should not contain erasures, additions or interpolations;
- (vii) The self-contained note to the Chairman should be submitted through the Joint Secretary/Additional Secretary/Secretary and Secretary-General; and
- (viii) Sufficient blank space (at least 10 cm) will be left at the bottom part of the note sheet to obtain the orders on the same page. In case the note is ending at the bottom of the page, adjustment to margins, fonts or line spacing will be done to either create the space or carry the material over to the next page.

In the files in which the Orders of the Chairman are to be obtained, the last para of the note should clearly bring out the issue on which Hon'ble Chairman's Orders are needed. Thus, this para should be self-contained. For example, in a file relating to obtaining the Orders of Hon'ble Chairman for Field/Study Visit of a Department-related Standing Committee, the last para should read as follows:-

“Accordingly, approval of the Hon'ble Chairman is sought to the request of the Chairman of the Department-related Standing Committee on..... to visit Kolkata, Andaman and Nicobar Islands, Chennai, Mumbai, Dadra and Nagar Haveli and Daman and Diu sometimes between 16th January, 2008 and 8th February, 2008 for on the spot study of may be obtained”.

6.13 General instructions on Noting — The following rules if systematically observed, will ensure that the noting process contributes constructively to decision making:—

- (i) All paragraphs in the note-sheet should be numbered consecutively for easy reference;
- (ii) In the margin, nothing except the identification of flags should be written. Two centimetres of space should be left on the top and at the bottom of the note-sheet. A note continued on to a new leaf/side should mention “*continued on page.... /overleaf*” on the previous leaf/side, and “*continued from page..... /overleaf*” on to the new leaf/side as the case may be, so that the continuity of the note is not lost;
- (iii) The notes should be properly referenced. The number and date of every communication referred to in the notes should be quoted in the notes with file no. and page no. The flags in the linked file(s) should be indicated in the margin, in pencil;
- (iv) Relevant lengthy extracts of a rule or instruction should be added on the file (in the correspondence portion, and page numbered) and attention to it drawn in the note rather than reproducing the provisions in the note, at length;
- (v) If a Paper Under Consideration (PUC) raises several points requiring detailed examination and separate respective orders, then each point or group of related points should be noted upon separately in the note of the dealing Assistant so that clear orders are passed on each point or group of points;
- (vi) All notes should be written in the third person;
- (vii) The language in the note should always be temperate, polite and courteous. It should be free from personal remarks, imputations, sarcasm or innuendoes. In case any contradiction, error or mis-statement is to be pointed out, care should be taken to couch the observations in a respectful manner;
- (viii) The use of abbreviations which are uncommon, should be avoided. In case such an abbreviation has to be used because it occurs several times in a note, the expanded form should be given the first time with the abbreviation in brackets;

- (ix) A simple or short word should be preferred to a long phrase or difficult word. For instance instead of writing the words “make the assessment” we can better use the word “assess” and instead of the words “make enquiries” use the word “enquire” and instead of the words “building purposes” use the words “for building” etc.;
- (x) Short sentences should be preferred to long ones;
- (xi) In all cases where it is anticipated that the file will reach the level of the Secretary-General, the note should always be self-contained avoiding as far as possible references to previous notes or correspondence. In case the previous notes or correspondence is to be referred to, then a summary of the matter should be given for taking a clear and quick decision. Where the file is likely to require the orders of the Chairman, procedure in para 6.12 and 6.13 must be followed;
- (xii) The concluding portion of the note should not end at the bottom of the note sheet. If the dealing Assistant apprehends such a situation, then he/she should take over the last few lines to the next page; and
- (xiii) Two extra blank note-sheets should be added to the noting portion after completing the note.

6.14 Drafting -- Drafting is the process of formulation of decisions and orders in written form for communication to those concerned. When a case comes back from the authorities with decision/order passed upon the notes, the next step generally is to convert the decision/orders into the form of an official communication. This is known as drafting. The importance of drafting lies in the fact that while noting is an internal process of an office (and thus not so open to outside scrutiny) the final draft which is issued is generally a document conveying to others, a decision, views or orders. As such, it must be clear and unambiguous. It must faithfully convey the letter and spirit of the decision taken through the noting process. And finally, the drafting must be in language not capable of misconstruction.

6.15 Stage of preparing a Draft — A Branch Officer, may prepare the draft himself/herself and authorise its issue or submit it to the higher officer for approval. Otherwise, the Section will prepare the draft. If the dealing Assistant thinks that the action proposed is very likely to be approved, he/she may add a draft along with his/her note, for speedy disposal. In routine cases like sanctioning of leave, cancellation of a tour programme, forwarding of a notice to a Ministry, sending a Report or Bill for printing etc. standard forms of communication are to be used, and in such cases fair drafts may be added straightaway.

In cases, where decision is not clearly known, a draft is to be added immediately after the case is received back with the decision. The draft in all such cases should conform strictly to the orders passed on the file. The dealing Assistant should ensure timely re-submission of the case in these circumstances.

The draft will be initiated by the dealing Assistant below the designation of the authority under whose signatures the draft is to issue. When a draft is approved, fair draft will be put up for signatures. The corrected copies will be retained and placed in the file for record.

The officer approving the draft has to put his/her initial with the date on the draft. It is not necessary to put initial on enclosures. The draft approved by the Officer is to be retained on a file along with an office copy of the fair communication.

6.16 Time allowed for Drafting — Generally, *two days* are given for preparing the draft and re-submitting the case file for approval of the draft. The time period is reckoned with reference to the receipt of the file in the Section and the receipt of the files with draft by the Officer competent to approve the draft. However in urgent and immediate cases *only one day* is allowed. If the work is time-bound, a draft is to be prepared *immediately* on receipt of a file.

If a communication being sent requires reply within a time-limit, it should be clearly specified in the draft, preferably by indicating the date rather than the period. The time allowed in this respect will mostly depend upon the nature of the communication and the nature of information sought.

6.17 Flagging, Referencing and Placement of Drafts— When the draft is completed, it is to be flagged at the top with “DFA” or “Draft for Approval” secured with a pin. If printed flags are not available, flags of normal size can be prepared and “DFA” written on it.

All communications/references referred to in the draft are to be referenced in the draft in ink indicating clearly the page number of the current file or the closed files. The page number of current file is to be indicated by the letter “C”. For example, if page 60 of the current file has to be referred in the draft, then the words “p60/C” are to be used. In the case of closed or other linked files, the page no. and file no. are both to be clearly stated.

The draft duly prepared, flagged and referenced is to be placed on the top of the correspondence portion and on the noting portion brief note saying “*DFA added/placed below*” is to be recorded and file submitted to the Section in-Charge for further submission of the case to the Branch Officer. After issue of the fair draft, the office copy together with the draft (and any earlier or corrected drafts) are to be placed inside the current file and serial number (consecutive number) and page number (consecutive number) should be given in ink on the office copy of the draft. Then on the note sheet, below the place where the draft was approved, cross-reference should be made by writing *Sl. No.* _____ *(I) Page Nos.* _____ */issued on* _____.

6.18 General instructions for drafting— The following should generally be kept in view:

- (i) In Simple and straightforward cases or those of repetitive nature, standard forms of communication should be got approved and used rather than attempting a draft in each case. These drafts can be kept in templates on the computer and fair copies prepared by entering data into the blank spaces provided. In all cases where standard forms are used, file may be submitted to the appropriate officer with fair copies of the communication for signature;
- (ii) A draft should carry the message sought to be conveyed in a language which should be clear, concise and incapable of misconstruction;
- (iii) A draft should contain short sentences in simple language. It should be broken up into paragraphs wherever required for easy reading, and the paragraphs should be numbered;
- (iv) Lengthy sentences, abruptness, redundancy, circumlocution, superlatives and repetition whether of words, or observations or ideas should be avoided;
- (v) Use of slovenly or colloquial words in the drafts is strictly forbidden. The language of the draft should be courteous, temperate, polite and free from personal remarks or insinuations;
- (vi) As far as possible, the ‘Subject’ should be mentioned in communications at the top in such a manner as to give the reader an immediate idea of the content of the letter;
- (vii) Communications of some length or complexity should generally conclude with a summary and/or one or two examples. Such communications should invariably be broken up into convenient paragraphs each dealing with one point of the issue;
- (viii) The number and date of the last communication in the series and if this is not from the addressee, his/her last communication on the subject should always be referred to. This is essential so that the addressee can locate his/her case file easily. Where it is necessary to refer to more than one communication, this should be done in the margin of the draft;

- (ix) In the reply letter in addition to giving the subject, the reference such as ‘*Ref: Your letter No. _____ dated _____*’ is also given at the top, just below the subject. This makes it easy for all concerned to locate the previous papers;
- (x) All drafts to be put up on a file should bear the file number which will ultimately be the number of the communication followed by Despatch number of the Section;
- (xi) The draft should clearly indicate the enclosures, which are to accompany the fair copy. Short oblique lines should be drawn in the margin at appropriate places of the draft where the enclosures are referred to be sent with the communication. This serves as a guide to the typist and the comparer who will also mark short oblique on the fair copy so that the despatcher does not omit to send the enclosures. The number of enclosures is also to be indicated at the end of the draft on the bottom left of the page as for example “*Encl.- 4;*”
- (xii) If copies of the enclosures referred to in the draft are available and are, therefore, not to be typed, an indication to that effect should be given in the margin of the draft below the relevant oblique line;
- (xiii) The nature of urgency such as ‘Urgent’, ‘Immediate’, ‘Most Immediate’ etc. is to be indicated in the draft at the top right, in bold letters. If the letter is to be delivered by special messenger, this should be indicated. In case, it is to be delivered the same day, this should be clearly specified on the letter/its cover along with other dispatch instructions, if any;
- (xiv) If the communication to be sent by post is important then instructions as to whether it should be sent through speed post, registered post, in an insured cover or under a certificate of posting should be given on the draft in bold, on the top right below the urgency marking, if any;
- (xv) The name, designation and telephone/fax number and E-mail address of the officer, over whose signature the communication is to issue, should invariably be indicated in the draft. In case of extremely important communications, where immediate reply is required or a telephonic discussion is expected, residence phone number should also be given;
- (xvi) While writing or typing a draft, sufficient space should be left in the margin and between successive lines to facilitate corrections/additions or interpolation of words, if any, by higher authorities;
- (xvii) The draft should be as brief as is consistent with clearness and completeness. As a rule, the notes will show the outline of the reply and to what extent it is intended that a detailed discussion of reasons or of the history of the case should be embodied in the draft. Where such details are given, the draft should adhere as far as possible, to the actual wording of the note, but while preparing the draft, extracts as such of the notes leading to a decision are not to be reproduced in the draft. The practice of forwarding a copy of the relevant portion of the note-sheet with a covering letter as a substitute for drafting a communication is totally forbidden as it indicates lack of application of mind; and
- (xviii) The draft is to be approved by the authority competent and authorised to issue the draft under his/her signature and in token of his/her approval the concerned officer has to append his/her dated initial on the draft.

6.19 Use of different forms of Communications – Different forms of communications are to be used for correspondence with different offices/organizations, etc. as detailed below:

(1) **Letter:** This form is used for correspondence with Foreign Governments, Government of India, State Governments, Public Service Commissions, Directorates, Collectorates, Public Enterprises, Statutory Authorities, Public Bodies and members of the public generally. A letter begins with the salutation “Sir”, “Sirs” or “Dear Sir(s)” as may be appropriate and ends with “Yours faithfully”. If the letter contains any decision/directions in continuation

of or in supersession of earlier similar communication(s), it is essential to write in the margin below the main letter the reference of all such communications by writing —

“In this context also read/refer to the earlier communications as under:

- (i) Reference No. _____ Dated _____
- (ii) Reference No. _____ Dated _____ etc.”

(2) **Office Memorandum :** This form is generally used for correspondence with other Divisions of the Secretariat or in calling for information from or conveying information to employees. This is also used in communicating instructions/decisions in certain cases. It is written in the third person and bears no salutation except the name and designation of the officer signing it.

If the Office Memorandum conveys any decision in continuation of or in supersession of an earlier similar communication, then it is essential to mention in the margin below the main Office Memorandum the reference of all such communications by writing:

“In this context also read/refer to the earlier communications as under:

- (i) Reference No. _____ Dated _____
- (ii) Reference No. _____ Dated _____ etc.”

(3) **Demi-Official Letter:**

- (a) This form is generally used in correspondence between Officers to supplement or explain matter which has been referred officially or is proposed to be referred officially. Demi-official correspondence may also be used not merely to supplement, but in place of official correspondence, in cases of extreme secrecy, where it is considered necessary to run no risk and in certain classes of personal questions, and occasionally in cases of urgency or importance for inviting the personal attention of the Officer concerned.
- (b) It is to be written in the first person in a personal and friendly tone and it should be addressed by an Officer who is ordinarily not more than one or two levels below the Officer to whom such communication is addressed. Such letters should not be more than a page or two in 1.5 space. If detailed facts and figures are required to be communicated, it should be sent as an annexure to the D. O. letter.
- (c) When instructions, which should be on record have been given in the first instance demi-officially, they should be supplemented by an official letter. Similarly, when a demi-official letter has been used instead of an official letter because of urgency, a supplementary official communication should be sent if the information is ought to be an official record. This procedure must invariably be complied with.
- (d) Demi-official correspondence should not be quoted in official communications or be noticed officially in any way.
- (e) No demi-official letter or demi-official telegram to, or from the Secretariat should be quoted in any official paper or publication without previous reference to the Secretariat. It should be understood that such demi-official communications, unless they have been brought on, record, cannot be considered as being official orders of the Secretariat.
- (f) Demi-official letters should be drafted by Branch Officers and above only and drafts should not be put up by the Section.

(4) **Inter-departmental note:** This form is generally used for obtaining advice, views, concurrence or comments of other Divisions/Sections or Departments/Ministries of Government on a proposal or in seeking clarification of the existing rules, instructions, etc. This form can be used in either of the following ways:

- (a) by sending the file itself with a note recorded thereon; or
- (b) by sending a self-contained note or memorandum.

(5) **Memorandum :** This is used for conveying information, calling for explanation, etc. not amounting to an order to subordinate authorities. This system is particularly applicable to urgent cases. Where the information conveyed is in continuation/supersession of earlier information, such previous memoranda may be referred to in the margin under the heading. "In this context also read the earlier communications as under:

- (i) Ref. No. _____ Dated _____
- (ii) Ref. No. _____ Dated _____ etc."

This will ensure that these earlier communications are also read, if required by those concerned.

(6) **Office order :** This form is normally used for issuing instructions meant for internal administration e.g. grant of regular leave, distribution of work among officers and sections, holidays and other orders of general nature.

(7) **Order :** This form is generally used for issuing certain types of financial sanctions and for communicating Orders in disciplinary cases, etc., to the officials concerned.

(8) **Notification :** This form is mostly used in notifying the promulgation of statutory Rules and Orders, election of Members, vacation of seats, appointments and promotions of Gazetted Officers, etc., through publication in the official Gazette of India. A legible and signed copy of the Notification should be sent to the Director/Jt. Director, Printing for Publication. Where the Notification is in continuation/supersession of an earlier communication on the subject, especially Statutory Rules and Orders, reference should be made to all earlier relevant Rules/Orders giving their number and date in the margin. This will ensure that these earlier communications are also referred to by those concerned. The notification to be published in a Gazette Extraordinary should invariably be signed in ink by an officer not lower in rank than a Joint Secretary. The name, designation and telephone No. of the Officer, signing the notification should invariably be mentioned to enable the Press to contact the Officer concerned in case of any doubt. This reference can be in the margin under the title, "In this context also read the earlier Notification(s) as under:

- (i) Ref. No. _____ Dated _____
- (ii) Ref. No. _____ Dated _____ etc."

(9) **Endorsement :**

- (a) This form is made use of when a paper is returned in original to the sender or is referred to another department or subordinate office for information, remarks or disposal, or where a copy of a communication is to be forwarded to others in addition to the original addressee.
- (b) Copies of financial sanctions where required to be communicated to the audit authorities are also sent by means of an endorsement.
- (c) This form should not, however, be used in communicating copies to Governments, which should generally be done in the form of a letter.

(10) **Telegram :** This form is used for communicating with out-station offices/parties in matters of urgency demanding prompt attention. As fast airmail, speedpost, telex and E-mail services exist, no telegram should be sent when a letter with appropriate urgency marking can serve the purpose. Where only a telegram can serve the purpose, the text of the telegram should be as brief as possible. While drafting telegrams, unnecessary use of articles and punctuation marks like "(?)" and "(.)" should be avoided. If marks like "stop" are to be used the words "stop" be used instead of "(.)".

Grading of urgency in telegrams should also be used carefully. Only in cases of exceptional urgency should, “Immediate” and “Most Immediate” telegrams be sent. In all cases, post-copy of the telegram duly signed by the sender should be sent by post.

(11) **Express letters/savingram:** This form is used in communicating with out-station offices and parties in matters warranting urgent attention at the receiving end but not justifying the expense of a telegram. It is worded exactly like a telegram but transmitted through a post office instead of a telegraph office.

(12) **Fax message:** This mode of communication is used when a copy of the signed communication is required to be sent so urgently that it cannot await postal service. This facility is available only for addresses who have fax facilities and it enables transmission of the letter/communication like a photocopy at the other end. It is particularly useful in conveying drawings, diagrams, etc. or where an individual’s writing or signatures needs to be transmitted. It is also now increasingly being used in order to reduce the typing work involved in telex/E-mail but this should not be encouraged when Telex or E-mail is possible as fax to out-station locations uses STD lines and is a comparatively expensive mode of communication.

(13) **E-mail:** E-mail facility uses computers and the users are linked through satellite. Transmission is instantaneous and NIC’s E-mail facility is free of cost. E-mail of routine communication should be encouraged as a replacement for written communication. E-mail on important matters received from outside should, however, be confirmed unless it contains authenticated digital signatures.

(14) **Telephonic Communication:**

- (a) Appropriate use of telephone facilities may be made by departments for intra and inter-departmental consultation and for communication of information between offices and parties situated locally.
- (b) In matters of urgency, one may communicate with out-station Offices/Organisation also over the telephone.
- (c) Telephonic communications, wherever necessary, may be followed by written communications by way of confirmation.
- (d) Resort to STD and trunk calls should be restricted and has to be regulated by the instructions issued from time to time.

(15) **Press communique/Note:** This form is used when it is proposed to give wide publicity to a decision or an event. A press communique is more formal in character than a Press note and is expected to be reproduced intact by the Press. A Press Note, on the other hand, is intended to serve as a handout to the Press, which may edit, compress or enlarge it, as deemed fit.

(16) **Circular:** This form is used when important and urgent external communications received or important and urgent decisions taken internally have to be circulated within the Secretariat for information and compliance by employees.

(17) **Advertisement:** This form is used for communicating with public in General.

(18) **Notice:** This form is used for communicating to Members regarding meetings of the Committees.

(19) **Summons:** This form is used by Secretary-General for informing Members about the summoning of the House by the President under Article 85(1) of the Constitution.

6.20 Addressing of Communication to appropriate levels – The following instructions are relevant while addressing letters to various authorities:

- (i) *Correspondence with Government of India:*
 - (a) official correspondence with Ministries of Government of India is to be by official letter, over the signature of the Deputy Director/Joint Director/Director;

- (b) in routine matters, generally where some factual information is to be conveyed or asked for, communication may be undertaken through Office Memoranda over the signatures of the Deputy Director;
 - (c) demi-official correspondence, if required, will be at the level of atleast the Joint Secretary of the Secretariat; and
 - (d) no direct correspondence will normally be done with attached and subordinate offices or public undertakings, and all correspondence will be with the Administrative Ministry (as per allocation of Business Rules). In emergent cases, a copy may be endorsed to the office directly but replies will be entertained only from the Administrative Ministry.
- (ii) *Reference to the Attorney General of India* : References to the Attorney General will be made only with the approval of Secretary-General and under his/her signatures.
 - (iii) *Reference to the Comptroller and Auditor General of India*: References to the Comptroller and Auditor General for his/her views or advice are made only by or through the Ministry of Finance.
 - (iv) *References to the Union Public Service Commission*: References to the Union Public Service Commission will normally be made in the form of letters addressed to the Secretary.
 - (v) *Correspondence with Union Territory Administrations*: All communications of a routine nature, which are clearly relatable to the business of a particular department, will ordinarily be addressed to the Secretary in the appropriate department. Other communications may be addressed to the Chief Secretary or the Administrator depending upon the importance of the matter.
 - (vi) *Correspondence with State Government*:
 - (a) Communications on the subjects clearly relatable to the business of a particular department will normally be addressed to the Secretary of that department. Other communications including those of Special nature or importance warranting attention at higher levels may be addressed to the Chief Secretary. Demi-official letters can also be sent to officers of State Governments. Since a demi-official letter is written in the first person in a personal and friendly tone, it should be addressed by an Officer who is not more than one or two levels below the Officer to whom such a communication is addressed. In case of a demi-official communications to the Chief Secretary of a State, this level will not be below the level of Joint Secretary.
 - (b) Correspondence with bodies under the control of or responsible to State Governments will not normally be done directly, but will be routed through the Administrative Department of the State Government.
 - (c) Communications other than those of a purely routine nature, *e.g.* acknowledgements, will not ordinarily be addressed to State Governments except with the prior approval and over the signature of the Branch Officer. Purely routine communications can, however, be signed by a Section in-charge.
 - (vii) *Correspondence with Foreign Governments and International Organisations*: Correspondence with Foreign Governments and their missions in India, Heads of Indian diplomatic missions and posts abroad and United Nations and its specialised agencies will normally be channelised through the Ministry of External Affairs. The cases in which and the conditions subject to which direct correspondence may be resorted to are indicated in the instructions entitled '*Channel of communication between the Government of India and State Governments or their Missions in India, Heads of Indian Diplomatic Missions and posts abroad and United Nations and its specialised agencies on the other*' issued by the Ministry of External Affairs, and may be consulted.

6.21 Issue and Despatch – The term ‘Issue’ is used to signify the different stages of action after approval of a draft ending with despatch of a signed communication to the addressee namely, typing of a fair copy, the examination of the typed material, attaching enclosures, submission of the fair copy for signatures and the despatch of the communication to the addressee. The procedure given in this para relates only to the issue of files and papers other than those bearing security markings.

To expedite issue of urgent dak, the officer may issue it directly from his/her personal office through a Peon Book. It is important, however, that whenever such direct issue by the officer is made, a proper record is maintained so that the movement of the dak can be traced out easily. The record of such issue should be maintained in a Peon Book, and a copy of the receipt sent back along with the office copy to the section for placing in the file.

Where a letter is sent to Distribution Section for despatch, fair letter along with office copy (with special instructions on delivery, if any) will be sent after marking entry in the register above. Distribution Section will make entries in their register (*see* Chapter-VII) and return the office copy after recording Despatch no(s) and date thereon. This will be entered in the last column before papers are sent to the Assistant to place into the file. The Section Diarist/Clerk will each day peruse the register to check whether any papers sent to Despatch Section are outstanding and in case of delay he/she, will bring this to the notice of the officer-in-charge of the section.

In sending letter to Distribution Section care should be taken to indicate priority:—

- (i) ‘To be delivered today’ or ‘by special messenger’ indicates that the delivery must be completed the same day whether at office or residence,
- (ii) ‘Immediate’ or ‘Urgent’ papers are sent the same day if received in Distribution Section during office hours, and on first priority the next morning if received thereafter.

As far as possible, papers should be sent so as to reach Distribution Section during office hours so that adequate arrangements are made. In case same day delivery or special messenger delivery papers are likely to take time, advance intimation should be sent to Distribution Section by 4.30 p.m. so that they can make arrangements.

The Section should telephonically ascertain completion of delivery of ‘same day’ papers before leaving for the day. In case of immediate/urgent cases, delivery should be ascertained by the next morning. In both cases care should be taken to receive back the office copy with despatch numbers and proof of delivery latest by the next day and it will be the personal responsibility of issuing Section to ensure that the delivery has been made as per instructions.

In respect of secret letters, the letters will be sent to Distribution Section in sealed envelopes bearing the file no. Office copies will not be sent, instead a plain receipt will be obtained giving the despatch no. and date which will be placed on the section file after entering the details in the section despatch register. In all such cases, proof of delivery will be asked for from Distribution Section and placed on the file.

6.22 Action after Issue – After the fair copies are made over to the Diarist for despatch, the dealing hand will replace the draft on the file in the appropriate place i.e., end of the correspondence part of the file and assign it serial number and page numbers. The dealing Assistant will record the following entry in the noting portion:—

"Sl. No. _____ (I) page(s) _____ Issued on _____"

The dealing Assistant will thereafter take the following action as appropriate:—

- (a) cases which should be seen by higher officers for information or for confirmation of the action taken will be sent to them.
- (b) cases on which further action is necessary in continuation of the action taken (for example, on side issues etc.) will be resubmitted to the officer concerned.

- (c) cases in which replies are expected to the communications/issues or in which action is to be taken after a certain period will be arranged in the racks or almirahs at one place marked "Suspense". Entry will also be made in the reminder register (*see* para 6.23 below).
- (d) the copy with despatch no. received from Distribution Section and receipts for acknowledgement due will be filed in properly.
- (e) when a communication is required to be printed in the gazette or in a newspaper, track will be kept to ensure that a printed copy is received, the printed copy indicating the date and number of issue in which it has been printed will be placed on the file with proper referencing on the office copy of the communication.

6.23 Reminders — In order to ensure that information or decision requested in correspondence is not delayed at the other end, it may become necessary to issue reminders. Reasonable time, based on the nature of the case has to be given before issuing a reminder, but, cases should not be neglected or unduly prolonged by failing to issue a reminder.

To keep track of such cases, every Assistant must maintain a reminder diary in the following format:

Reminder Due for _____ (Date)

Sl. No.	File No.	Brief Subject	Addressed to	Date of issue of letter/previous reminder

As soon as an important letter is issued, the Assistant should enter the details in the page reserved for reminders of that particular day. Each day he/she should inspect his/her diary in order to be able to locate cases where a reminder is to be issued on that day, and put up a draft reminder for approval. On issue of the reminder, he/she will again make an entry for the next appropriate date for issue of the subsequent reminder.

6.24 Secret and Confidential Documents — Public Officials are prohibited under the Conduct Rules from communicating any information to which access is obtained by them in the course of their official duties to any-one without the requisite authority. This applies equally to indiscreet conversation, correspondence or communication within or outside the office, in connection with official secrets. It cannot be over-emphasised that any infringement must be dealt with severely.

The following instructions should be particularly observed:

- (i) *Handling of Secret Matters*— Secret and confidential papers (whether originating within the Secretariat or emanating from the Government) should pass through as few hands as possible in the office. They should be dealt with only by selected and responsible officials and special arrangements should be made for their typing and despatch and safe custody after disposal.
- (ii) *Access*— The personnel who deal with "Secret" or "Confidential" papers should be thoroughly reliable from security point of view and their workplace should, as far as possible, be segregated from the rest of the office. Other officials should not have access to the secret and confidential files and papers.
- (iii) *Dealing*— In all Sections, the Section-in-charge should himself/herself deal with confidential cases. They should not be sent to Clerks for putting up papers. Senior Assistants in case the situation requires, may be asked to deal with such papers.
- (iv) *Confidential Register*— For the purpose of registering and making separate files of confidential correspondence, a separate register will be maintained in each section where such cases arise. The

pages of the register should be numbered and a full or half page should be allotted to each case according to whether it is likely to consist of few or several papers. The register should be prefaced with a rough abstract or index of its contents, and this should invariably be posted up immediately a fresh case is entered. The register may run on from year to year until it is filled up, a proper break being observed at the end of each year.

- (v) *Orders to be taken before registering confidential papers in doubtful cases*—When a Section in-charge thinks that a paper marked “Confidential” is not of a sufficiently confidential character to merit special treatment, he/she should ask for orders of the Branch Officer before bringing it on the confidential register. If it is decided to register the papers in the office diary, the official who is to deal with it should himself/herself make the entry in the diary, noting the subject merely by the word “Confidential”. For purpose of diary marking, a slip should be sent to the Diarist to mark off the ‘file number on which dealt with’ and ‘designation of the officer addressed.’ With a view to preventing a large accumulation of confidential papers in the several sections of the office, orders should be taken at the end of each year as to whether some of the papers may not be placed with the recorded cases to which they relate.
- (vi) *Paging of papers placed in sealed covers by Officers*—If a case is so confidential that an Officer sends it in a sealed cover not to be opened in the office, that officer should himself/herself see to the arrangement and numbering of the pages of the papers. He/she should also note the last diary number on the cover.
- (vii) *Typing of confidential letters*—When a confidential or secret letter is to be issued, it is incumbent on the Section in-charge or the Assistant concerned, unless directed by an officer to copy it himself/herself, to have it typed and despatched under his/her personal supervision. The Section-in-charge or the Assistant should in every case examine the work himself/herself. Only the work to be typed (i.e. without the main file) should be given to the Steno/Typist and if it is not finished by the time of office closes, it should be taken back and locked up for the night. The Steno/Typist should be cautioned against talking about the work in hand and his/her name should invariably be noted on the manuscript or on the typed copy of the draft if the manuscript is to be destroyed.
- (viii) *Despatching of Confidential and Secret Correspondence*—When a despatch number is asked for from the Distribution Section, the only information to be given to that section is the word “Confidential”.
- (ix) *Duplicating of “Top Secret” and “Secret” papers*—The number of copies made should be carefully recorded and each copy serially numbered and identified by number in the distribution or despatch list. Spare copies should be strictly limited and held in the custody of the official in-charge of the section dealing with the case. All drafts and rough notes and other routine papers of secret nature must invariably be destroyed as soon as the fair copies of the letter, note, etc. have been prepared. Extra, pages or spoilt pages produced during printing or photo copying should likewise be destroyed immediately.
- (x) *Used Stencils of Secret and Confidential letters*—Used stencils of secret and confidential letters whose retention for further use is considered necessary, must be kept separate from the file, and in the personal custody of the section in-charge of the section concerned. He/she will be responsible for checking and weeding out his/her stock of used stencils regularly and at frequent intervals. All used stencils marked for weeding out should be destroyed by burning.
- (xi) *Short-hand note book*—Short-hand notebooks should be numbered and dated before issue. Stenographers should keep them under lock and key. The books should be burnt after six months in the presence of an officer. The Storekeeper should maintain a register showing the receipt and issue of notebooks from time to time.
- (xii) *Disposal of Waste Papers*—Great care should be taken both in officers' and section rooms in disposing of waste papers of all kinds. ‘Top Secret’ papers must be destroyed by shredding.

- (xiii) *Custody of Confidential Registers and Confidential Files:* The Confidential Register and all secret and confidential papers should be kept under lock and key. For this purpose, each Section in-charge should keep an almirah or box, as circumstances may require. The key (a duplicate to be with the Branch Officer in case papers are required in the absence of the Section in-charge) should be kept in the personal custody of the Section in-charge who should allow no one but himself/herself to have access of the confidential almirah or box in his/her charge. Section in-charges will ordinarily keep in their almirahs the disposed off confidential cases for three years. Confidential cases of older date will be made over to the General Records to be kept confidentially with the same precautions.
- (xiv) *Removal of files from the Office—* Secret papers must not, in any circumstances, be removed by any official.
- (xv) *Special Labels:—*A “Confidential”, “Secret” or “Top Secret” slip depending on the nature of secrecy of the case, should be fixed on every case as also its cover.
- (xvi) *Custody of Secret Electronic Documents—* Secret documents word processed on computers should not be left on the computer unless its safety and security can be ensured against unauthorized access. Such documents should be kept on removable storage media only, under lock and key.

6.25 Movement of confidential and secret cases— In their passage from the officers and *vice versa*, confidential and secret papers should either be passed direct from hand to hand, or be submitted and returned under sealed cover. It should be ensured that:

- (i) When a case is sent in a closed cover, the date on which it is sent and the diary number of the case should be inserted on the cover or on the economy label.
- (ii) The officer who sends out the file or papers in a sealed cover should write his/her initials or signatures on the economy slip in such a way that part of the signatures or initials is on the portion of the slip attached to the flap of the envelope and the rest on the remaining portion of the slip. This will enable detection of efforts to open or tamper with the cover.
- (iii) Where confidential papers have to be sent to officers at their residences, they should invariably be sent in a sealed cover. The messenger/attendant taking the cover to the officers’ residence should be instructed to obtain the signature of the officer to whom the papers are addressed if he/she is present, and if not, he/she may obtain the signature of any person of the household in token of having received them.
- (iv) Confidential documents requiring to be sent by mail should only be sent in encrypted form.

When it is required to consult another outside department, in connection with a confidential case, only the papers that are absolutely necessary for the purpose of the reference should be sent with the file and a list of the papers so sent should be kept on the retained portion.

Covers received, which are marked with the word ‘Secret’ or ‘Confidential’ should be sent unopened to the officer to whom they are addressed. Covers marked with the word ‘Secret’ or ‘Confidential’ only, and without the name or designation of any officer on either the inner or outer cover, should be submitted unopened to the Head of the Office. Papers received from the Government of India or State Governments and marked ‘Top Secret’ will be dealt with by Joint Secretary or Joint Director or Deputy Director concerned and will remain in his/her custody after disposal; on no account must such papers be allowed to be seen by an official lower in status than that of a Section in-charge.

CHAPTER-VII

DISTRIBUTION OF PARLIAMENTARY AND OTHER DAK

7.1 Despatch of Letters – All communications issuing from the Rajya Sabha Secretariat shall be sent to the Distribution Section for despatch by post or by hand. The Distribution Section is required to issue all papers on the same day if received by 2.30 p.m. and the next day in case papers are received thereafter. In no case can any outgoing communication be detained for more than a day without prior permission. The despatch clerk is required to ensure that:

- (i) ordinarily covers are not used for inter-departmental communication unless they are to be despatched by post or are marked “Secret” or are addressed to an officer by name;
- (ii) as far as possible, all communications intended for the same addressee are placed in a single cover;
- (iii) covers of suitable size only are used;
- (iv) the number and date of the communications are written on each cover; and
- (v) the address is the latest available address.

7.2 Despatch by Post – Distribution Section maintains a Despatch Register and the communications to be sent by post are entered in it after giving the despatch numbers. The format of the Despatch Register is as follows:

DESPATCH REGISTER FOR POSTAL DAK

Sl. No. (Despatch No.)	Particulars of the Communication	Name/Designation of the addressee	Value of stamps, if any
1	2	3	4

Date Rs.Ps.

NOTE : (i) Telegrams are entered in red ink and the time of despatch noted against each entry below serial number.

- (ii) Receipts for telegrams, registered, speed post and insured letters are required to be checked carefully by the despatch clerk and kept in day-wise or week-wise folders, properly arranged for future checking. Receipts for acknowledgement due letters are returned to the section concerned.

7.3 Despatch of Dak by hand – Peon/Messenger Books shall be maintained by the Distribution Section for each beat on the following proforma:—

PEON/MESSENGER BOOK

SI. No.	Date	Letter No.	Name of Messenger	Addressee	Date & Time of Delivery	Signature of Receiver

It must be ensured that:—

- (i) All the dak meant to be delivered by hand is at 11.00 a.m. and again at 2.30 p.m. daily through messenger after entry into Peon Book. A special delivery of dak at 5.00 p.m. is made during the Session period.

- (ii) The dak for local delivery is normally divided into various beats and is sent through Despatch Riders/Messengers in three wheelers, and in urgent cases, by motorcycles. The Despatch Riders/Messenger shall obtain the signature of the person receiving the dak along with date and time.
- (iii) After the dak has been delivered, the peon book has to be deposited back with the Distribution Section by the D.R./Messenger. The despatch clerk shall examine the Peon Books to see that all the communications entered there have been duly acknowledged by the addressees with their dated signatures. In case of non-delivered dak the despatcher shall arrange to deliver it again the next day. In case of priority dak, he/she shall inform the Section concerned and seek fresh directions for their delivery.

7.4 Despatch of Priority Dak – It must be ensured that:

- (i) Dak received bearing priority markings ‘To be delivered today’ or ‘By Special Messenger’ are sent to the addressees by D.R./Messenger immediately after entry in the Peon book. Delivery is to be undertaken at office or residence address, as required.
- (ii) Dak bearing priority markings ‘Immediate’ or ‘Urgent’ received during office hours are sent during the same.
- (iii) Urgent/Immediate dak or files addressed by name to an Officer of a Ministry/Department required to be delivered even after office hours are sent at the residence of addressee only if specific instructions to this effect are given in writing.
- (iv) Dak bearing priority markings ‘Immediate’, ‘Urgent’ received in Distribution Branch after office hours are to be delivered at the earliest possible time the next morning.

7.5 Despatch of Non-priority Dak — Non-priority dak will be despatched by post by the Distribution Section atleast thrice a day. The local non-priority dak will be cleared atleast twice a day. Communications received after the despatch of the last batch are held over till the next working day.

7.6 Despatch of Secret Papers — Secret papers addressed to an officer are to be opened by the addressee only and should be sealed in such a way that there is no fear of leakage of information at any stage. In the despatch of such papers, double covers should be used. The inner cover or envelope containing the document should be properly sealed with the security marking or seal of the Secretariat and this marking should be affixed on the original document. The number and date of the letter and secrecy marking should also be indicated on the inner cover. The inner cover should then be placed in another cover (outer cover) on which only the name and address of the officer to whom it is being sent should be indicated. It should then again be sealed before despatch. There should be no indication on the outer cover of the nature or contents of the inner cover. In all such cases office copies of the letter will not be sent by the Section but only a receipt on which the despatch no. and date will be entered before sending it. Proof of delivery will be communicated to the Section in every such case.

7.7 Despatch of files — Routine files from the Officers/Sections in Parliament House Annexe meant for Secretary-General’s Office/Officers/Sections in Parliament House are sent to the Distribution Section, which in turn sends the files to the Publications Counter in Parliament House twice daily. The files are collected by the different Sections from the Publications Counter. On return the files are sent back to Publications Counter and are brought back to Parliament House Annexe in the Distribution Section where the respective Sections collect the files.

In case of urgency however, individual Section/personal staff of Officers should sent the files directly through messenger, after making an entry in their file movement register to this effect.

7.8 Franking Machine — The Printing of service stamps was discontinued by the Postal authorities *vide* their circular dated 27.9.2001. As an alternative offices using service stamps were requested to switch over to Franking machines. Accordingly, Rajya Sabha Secretariat is using Franking machine licensed by Postal authorities, for posting/

delivering letters, communications and postal articles. Chief Post Master General, G.P.O., New Delhi *vide* its letter dated 16.1.2003 has permitted the Secretariat to send postal articles through Post Office situated at Parliament House Annexe, New Delhi. A register is maintained by the Section containing details of number of letters/articles and value of postage amount used therein for postage. Rs. Ninety thousand is filled up in one go in the Franking machine. Postage amount of the Franking machine is refilled when the amount comes to less than ten thousand.

7.9 Distribution to Chairman's Office – Communications/Files meant for Chairman's Office are sent immediately on being received from Secretary-General's Office, Deputy Chairman's Office or any other office. The Messenger shall deliver the papers at the designated location and obtain signatures with date and time. In case this is not possible, he/she shall himself record the date and time and circumstances of delivery in the Peon Book. All files to be delivered at the residence of Hon'ble Chairman should be delivered between 0900 hrs and 1800 hrs on all working days. There shall be no delivery of files on holidays. The folders relating to 'Memorandum of Business' and 'Notices' if required to be delivered at the residence of the Hon'ble Chairman, may be delivered as soon as they are ready. Urgent files requiring delivery at the residence of the Hon'ble Chairman after 1800 hrs on working days or at any time on holidays, shall be so delivered after obtaining specific orders of Secretary-General or Secretary. During the Inter-session period, all files marked to Hon'ble Chairman should be delivered at his/her residence, that is, 6 Maulana Azad Road. During the Inter-session period, therefore, no file should be sent to the office of Hon'ble Chairman in Parliament House.

7.10 Communications during Session period meant for Ministries/Departments – U.O. notes, Office Memoranda and letters for Ministries relating to Questions, including advance copies of notices will be sent to the Ministries through the Messengers during the inter-session. However, the papers will be collected by the Ministries along with their Parliamentary papers from Distribution Section during the Session period.

7.11 Xeroxing – All the Sanction Orders/Circulars/Notices/Office Orders/Notification or any other communication for circulation to Sections/Members/Ministries/Departments, as the case may be, are Xeroxed by Distribution Section before issue. Before circulation it must be ensured that the copies are legible and arranged in the right pagination.

7.12 Circulation of Notices, Reports, etc. of Committees – Sections servicing various Committees will ensure that as soon as report(s) of the Committee is/are approved/finalized/translated the same is got photocopied from Distribution Section and they should not wait till the last day of circulation. Handwritten reports should be sent to Distribution Section in stencil form, *i.e.* one photocopied set on normal photocopier paper. Intimation regarding circulation of reports and other papers, etc. required to be circulated the same day should invariably be given to Distribution Section latest by 4.00 P.M.

7.13 Telephone Inquiry Counter – An Inquiry counter in the Distribution Section works round the clock to cater to any inquiry regarding addresses and telephone Nos. of Members of Parliament, Officers and Officials of the Secretariat/Ministries. Assistant Director/Executive Officer will ensure that at the start of each Session, updated lists of names, office and residential addresses and telephone numbers of Members, Ministers, Secretaries to Govt. and others frequently required are prepared and kept for reference.

7.14 Issue of Telegrams – No local telegram shall be issued except with the orders of the Branch Officer. Telegrams other than local ones received for issue are not required to be pre-paid in cash or in service stamps and they are to issue in the credit account system. The Bill for these telegrams is received in the Secretariat for payment from BSNL on monthly basis.

7.15 Printing of Parliamentary Papers for distribution to Members during Session – The Distribution Section receives the Camera Ready Copy (CRC) of papers for over night printing in the Govt. Press from the Sections concerned, *i.e.* English copies of List of Business, Bulletin Part-I and Part-II from Table Office, Hindi version from Translation Sections and Hindi and English Synopsis from Synopsis Branch. These are transmitted to

the Press as soon as they are received, after making entry in the Overnight Printing Log Book maintained in the following format:

Date _____

SI. No.	Item of Work	No. of Pages	Time of receipt from Branch	Time of receipt back of printed copies from Press	Remarks

All material in CRC form must be sent to the Press latest by 2 A.M. and printed copies received back latest by 5 A.M. In case there is any delay the Section concerned/Press must be contacted. If it is anticipated that papers may be delayed, Joint Director in-charge of Distribution and Deputy Director (Printing) must be informed on telephone forthwith so that alternative arrangement can be made to obtain copies for circulation to Members.

7.16 Circulation of Sessional Parliamentary Papers — Master Distribution Lists will be maintained by Distribution Section for various purposes, including delivery of sessional papers. Addressee wise bundles of all Parliamentary papers meant for distribution to Members are made as soon as copies are received, keeping in view language preferences – (*See* para 7.21), and put into envelopes for delivery. No material other than communications authorized by general or special orders of the senior-most in-charge of Distribution shall be placed in these envelopes.

During Session period, sessional papers such as List of Business, Bulletins, Bill, Synopsis, Lists of Questions, etc. are to be circulated to all Members and others as per approved List. The circulation must be completed by 7 A.M. and rosters and beats will be prepared so as to ensure this. In case due to non-receipt of any sessional material or any other reason delivery is likely to be delayed, the senior-most in-charge of Distribution Section will be informed on telephone to make alternative arrangements. Joint Secretary and Secretary-General will be informed in case delivery is likely to be delayed beyond 8 A.M.

In all cases of delay a written report will be submitted by the senior most in-charge of Distribution Section to the Secretary-General by 11 A.M. detailing the reasons for the delay, and entry will be made in the remarks column of the Overnight Printing Log Book. Receipt of delivery of sessional papers are not taken on Peon Books but in case of complaint of non receipt of sessional papers received from a Member either orally or in writing, entry is made in the Complaints Register (*See* para 7.22) and inquiries made into the matter. In case of a written complaint the Member is informed in writing of the result of the inquiry within 2 days, and further remedial action taken as necessary in the circumstances of the case. To ensure effective supervision during session period particularly in the early morning when Parliamentary Papers are circulated and during late evening when these papers are received from concerned Sections, the AD/EO of Distribution Section shall attend office in rotation one from 8 A.M. to 4 P.M. and second one from 2 P.M. to 10 P.M.

7.17 Despatch Address of Parliamentary Papers — If a communication is received from a Member regarding the delivery of his/her parliamentary papers at some specified place for a specified period, an entry to this effect is made in the Master copy kept in Distribution Section containing the addresses. All communications meant for the Member are sent accordingly. If a communication is received from Table Office for change in style of name, address, etc. of a Member the same is entered in the Master copy.

The Master list on the address writer computer machine containing the names & local and permanent addresses of the Members is updated on the basis of information received from the Members. The list of Members is also updated from time to time whenever a Bulletin/Notification/Circular is received from Table Office regarding the resignation, retirement, demise or election of a Member. Name and address of Members, Ministers, Ministries, Officers etc. are printed on the envelopes by the address writer machine.

7.18 Despatch of Miscellaneous Communications (other than Sessional papers) to Members -- As soon as any communication meant for the Members either of Lok Sabha or Rajya Sabha is received from Branches in the Secretariat, Master copy of the List of Members is consulted to see if the Member concerned has given any specific instructions with regard to the despatch of his/her communications. In the case of Lok Sabha Members, the position is ascertained from the Lok Sabha Secretariat.

Dak meant for despatch at local addresses is entered in the Messenger Books of the relevant beats and serially numbered. The Serial numbers shall be indicated on the covers to enable the Messengers to locate the entries and obtain the signatures of the recipients in the Messenger Books quickly. Before the Messenger Books are handed over to the messengers for delivery an entry shall be made in the Despatch Register. If any communication remains undelivered the reasons for its non-delivery shall be recorded in the relevant column of the Register, which shall be submitted to head of the Branch every morning.

7.19 Despatch of Cheques and Demand Drafts -- On receipt of the Cheques or Demand Drafts from a Section for delivery to a Member, the despatcher on duty shall in the first instance ensure:

- (i) that the cheques have been attached to the correct forwarding letters;
- (ii) that the amount of the cheque is the same as mentioned in the forwarding letter;
- (iii) that the address of the Member has been correctly given as intimated by him/her;
- (iv) that the covers are not mixed up while despatching. Just before an envelope is pasted, the contents shall be verified to ensure accuracy;
- (v) that the envelopes meant for outstation Members are sent by 'Registered A.D.' Post;
- (vi) that the covers containing the cheques meant for local delivery are pasted before despatch and the messengers are instructed to deliver the cheques only to the Member concerned or in his/her absence to some other responsible person. Messengers shall also be instructed to get full signatures and the time of the delivery in the Messenger Books; and
- (vii) while franking envelope, special care should be taken to see that the contents are not mixed up.

During the Inter-session period, the cheques shall be despatched according to the instructions of the Members. Where there are no instructions from Members, the cheques shall be despatched at the permanent addresses of Members by Registered A.D. Post.

7.20 Distribution of Invitation Cards ó

- (i) On receipt of the Invitation Cards for the President's "At Home" on Republic Day and Independence Day, the forwarding communication thereof shall invariably be put up by the Distribution Section for the information of the Branch Officer at the receipt stage.
- (ii) The Invitation Cards shall be handed over to Distribution Section for proper check to see whether the cards have been received for all the sitting Members and no Member has been omitted. If any discrepancy is noticed, it shall be brought to the notice of the Head of the Branch who shall contact the President's Secretariat and have the position clarified. The names of Members for whom the Invitation Cards have been received shall then be tick-marked in the Master List of Members.
- (iii) The Invitation Cards duly counted and marked in the Master List of Members shall be immediately forwarded to the Notice Office together with a forwarding note for distribution to Members.
- (iv) Undistributed Cards are returned to the Distribution Branch by the Notice Office. Distribution Section takes action separately for delivery of such cards to the extent possible.

- (v) Invitation Cards to official functions held by Chairman, Deputy Chairman, Secretary-General meant for distribution to Members and Officers are distributed by the Section concerned directly.
- (vi) Invitation Cards to official and other functions hosted by Ministers of Govt. of India meant for distribution to Members and Officers are Distributed by Section with approval of the Secretary-General.
- (vii) Other Invitation Cards and papers of a non-official nature are not entertained for distribution and if received, orders of Joint Secretary, Incharge of Distribution Section shall be obtained for their circulation/non-circulation.

7.21 Delivery of Papers to Members of Lok Sabha – When any letter is received for despatch to a Member of Lok Sabha, as per arrangement agreed upon, a proforma with the name, etc. of the Member to whom the papers are to be sent be filled in and sent to the Lok Sabha Secretariat through a messenger. The Lok Sabha Secretariat checks the address and returns the same duly signed through the same messenger, after indicating the address where the papers should be sent. The papers shall then be despatched to the address as indicated by the Lok Sabha Secretariat in the proforma. In no case shall the papers be sent to an address not verified from the Lok Sabha Secretariat.

7.22 Distribution of Parliamentary Papers in English/Hindi – Most Parliamentary papers viz. Bulletins, List of Business, Bills, Lists of Questions, Synopsis of Debates etc. are printed in English as well as in Hindi. Members on their election are requested to indicate their choice as to which particular version of papers they would like to have. The information thus furnished by the Member shall be maintained in separate Lists to ensure despatch of correct version of papers respective pigeonholes of the Members shall be accordingly marked. For instance, for the Member desiring 'Hindi' version of papers the pigeonholes shall be marked 'H' and those desiring English and Hindi versions shall be marked as 'B'. In the case of Members who require their papers in English version only, their pigeonholes need not be marked with any sign.

7.23 Register of Complaints of non-receipt of Papers – The register will be maintained in the following format and put up daily to the Joint Director in-charge.

Sl. No.	Date of Complaint	Name of Complainant	Details of Complaint	Action taken	Final Status

The Joint Director shall bring to the notice of the Joint Secretary any serious complaint and conduct a preliminary enquiry straightaway.

CHAPTER-VIII

RECORDS MANAGEMENT

8.1 Introduction — Decision-making is a complex process, which involves a series of procedures. It is sometimes difficult to arrive at an accurate decision without consulting old records or without having thorough knowledge of precedents. Records thus constitute an important part of any office and it is essential that they are to be retained for certain periods and managed properly so as to be quickly retrieved whenever required.

The main objectives of Record Management are to:

- (i) speed up the location of and reference to record for speedy disposal of business;
- (ii) ensure rationality and continuity in decision-making;
- (iii) fulfil legal requirements and provide the requisite evidence in case of disputes;
- (iv) preserve records of historical and research value;
- (v) retain only the necessary and essential records; and
- (vi) effect savings in the cost of creating, locating, using and preserving records.

8.2 Closing, Recording and Classification of Records — After action on all the issues under consideration has been completed and no further correspondence is anticipated, a file is closed through an order recorded on the note portion of the file by the Branch Officer. Before taking the order the Section in-Charge will ensure that all part files are merged into the main file and will personally verify that all orders passed on the file have been complied with and no action is pending. He/she will record his/her finding to this effect while taking order for closure of the file. Thereafter the dealing hand will put up the case to the Section in-Charge for approval of the Branch Officer to the file being closed and recorded under one of the following classes:

- Class I* to be retained for one year.
Class II to be retained upto 3 years.
Class III to be retained upto 8 years.
Class IV to be retained upto 15 years.
Class V to be retained permanently.

The Branch Officer will exercise his/her discretion as to the period of retention of the files in any of the categories cited above, according to the importance of the subject dealt within the file and material contained therein.

The following illustration of different classes will provide a guide, as it is difficult to provide an exhaustive list:—

- (i) **Class I:** includes cases such as miscellaneous circulars, applications for copies of papers, petitions of a petty nature, informatory statements, returns of temporary interest, ordinary accident reports, casual leave, files on functions, meetings, conferences etc. files regarding allotment of roster duties, etc.
- (ii) **Class II:** includes cases such as suits, audit and inspection reports finally settled, retention or retirement of officers; result of departmental examination, leave, postings, resignation and transfers of Officers other than those which form part of the personal file of the Officers maintained by the appointing authority.

- (iii) **Class III:** includes cases such as appeals against disciplinary action, corrections and amendments in manuals and service rules, sale of movable property, OTA, TA, contingent Bills, cases, training programmes and annual reports, etc.
- (iv) **Class IV:** includes cases such as alteration in the dates of birth of officers, special reports relating to the conduct and work of Officers and acquisitions of immovable property.
- (v) **Class V:** includes all cases of such importance where permanent preservation of records is considered necessary.

It may include:

- (i) file of historical importance such as papers relating to origin of Secretariat;
- (ii) policy decisions;
- (iii) important aspects of scientific or technical research and development;
- (iv) lasting precedents for important procedures;
- (v) files containing rules and regulations, department instructions or guidelines of general application;
- (vi) litigation files of important nature;
- (vii) rulings/decisions of Chairman or the Secretary-General; and
- (viii) material likely to be required frequently for reference in future.

All files to be included in Class V will require approval of Secretary-General, for further classification as to whether it should be classified as V-A or V-B (preservation only). Files classified as –category V.A. may be micro-filmed if they contain material of historical, administrative or research value, which may be required for reference frequently in future or if they contain material of such importance and value as necessitates micro-filming. As microfilming is a costly option, a decision to micro-film any file should be taken with due caution and only after obtaining the approval of the Secretary-General. Files classified as V-A and not micro-filmed may be optically scanned in two CDs, one of which may be kept for storage and the other CD may be used for reference. Arrangement for micro-filming or scanning of Category V-A files will be made by the Record Room (Sales & Archives Section) in consultation with National Archives of India, New Delhi. The CDs meant for storage and micro-films are to be kept in the Record Room. The CD for reference purpose will be maintained by the concerned Section.

8.3 Preparing of File for Record – After a file has been ordered to be closed and marked for record, proper arrangement for recording becomes necessary. This will involve the following action:

- (i) amendment or revision, if necessary, of the title of the file in order to describe adequately its contents;
- (ii) completing references *i.e.* paging of notes and correspondence, removal of alphabetical slips and giving permanent identification marks to the references quoted in the notes and correspondence;
- (iii) incorporating all the papers relevant to the file, including separated part files;
- (iv) removal of routine notes and papers from the file which are to be weeded out;
- (v) marking of numbers of previous and later files; and
- (vi) noting the date of recording, classification and the year of destruction, etc. in the file register.

After action as above is completed, the files classified in categories I, II, III, IV and V shall be entered in the Register of Files for Record and the classification will be recorded on the top left corner of the file cover in bold red ink. The Section Register of Files for Record will be maintained in the proforma with a separate page for each minor

head, as given in **Annexure-V**. To make it easy to locate a file on a given subject sent to the record room, the record room serial no. (written by the record keeper on the copy of the challan of files sent for Record) will be entered in the register on receipt of the challan book.

8.4 Record Room — The Rajya Sabha Secretariat will maintain a Record Room and all records which are required to be retained must be consigned to the Record Room. The following instructions must be followed:—

- (i) at the end of each month, all files/records which have been recorded and given classification shall be consigned to the Record Room;
- (ii) records will be accompanied by lists (challan), in duplicate, containing the particulars of record viz. Serial number, file numbers under each subject-head, date of disposal and total number of files pertaining to each category;
- (iii) records will be kept subject-wise in order of date of disposal, etc. in the Record Room.

8.5 Procedure for consigning of Files to Record Room — The Consigning Section should ensure the following:

- (i) Before sending files to the Record Room they should be sorted out and arranged year and number-wise by the consigning Section. Files of the same year should be arranged and entered in the list (challan) serially and according to the ascending order of their file numbers.
- (ii) Old files and new files should be entered in separate lists, in duplicate. Old files are those which were once requisitioned from the Record Room for reference purpose and new files are those which are being consigned to the Record Room for the first time.
- (iii) Files should be sent to the Record Room only after they have been finally closed and ordered to be recorded.
- (iv) Similar files opened on the same subject in the same year through an over-sight or for dealing urgent papers in the event of main file being under action/submission should be amalgamated into one file before consigning to the Record Room.
- (v) No loose papers etc. will be sent to the Record Room until they are made into files and given a regular file number. Part files will not be sent for consigning.
- (vi) The following papers should be removed from files being prepared for consignment:
 - (a) Unnecessary covers.
 - (b) Reminders and explanations for delay if the required answer has been received or sent, if they do not bear serial numbers.
 - (c) Rough copies of initialled faired drafts.
 - (d) Proofs of finally printed papers.
 - (e) Office Slips.
- (vii) Where the note portion is separate, it should be stitched at the end of the correspondence portion of the file. The order for recording the file should be the last proceeding on the note portion. The Section in-Charge will sign the order for recording the file.
- (viii) Files 'that are to be retained permanently should not be mixed up with other files in the same list nor should the files that are returned from the Record Room for correction be sent back to the Record Room entered in the same list under which new files are being consigned. Such files should be returned

to the Record Room within a week after necessary corrections, through the list under which they were sent by the Record Room.

- (ix) Before files are consigned to the Record room the threads binding the file should be given a double knot and the remaining portions of both the ends of the threads should be clipped so that the recorded files cannot be re-opened.

The files along with the challan list in duplicate (one copy to be returned by Record Room) are then sent to the Record Room. If the files are not received in accordance with the above procedure, the in-charge of the Record Room should not accept them.

8.6 Transfer and Storage of Records – Generally records can be segregated into two categories *viz.* ‘active’ and ‘inactive’ records, and transfer of records takes place from active to inactive files and from inactive files to a low cost storage. In each case the transfer may also lead to a decision for the destruction of records should they be considered worthless at that stage.

A Record Room is mainly set up to maintain inactive records. The record maintenance should ensure maximum utilisation of space and easy retrieval at minimum cost. With advancement in technology, for records where the content rather than the need for original copy is important, micro-film and optical disc storage are feasible low cost options.

Longevity of records depends upon the storage environment. Proper storage will require removal of dust, fumigation, anti- rodent action, etc. proper records should be stored on steel racks, and should never be kept on the floor. The record room should be free from seepage of water from the floor, walls and ceiling. Suitable Fire-fighting equipment should be installed and record room staff given periodic training. All records selected for permanent preservation should be transferred to the National Archives 25 years after being closed or recorded.

8.7 Review and Weeding Out – In order to ascertain how much of the records that have been stored have lost their relevance or utility, it is essential that records be systematically and regularly reviewed. For this purpose, each year, after the Monsoon Session, records whose retention period has elapsed shall be sent by the Record Room to the originating (consigning) Section for review, and weeding out along with the following form; with entry made in columns 1,2 and 3.

Form for Review and Weeding out of Records

Sl. No.	File No.	Class	Instructions of Reviewing Authority
1	2	3	4

Ephemeral records will be weeded out without any further review, while other records will be required to be reviewed before being weeded out. Records already classified, especially, Class II and III will be reviewed after the expiry of the specified retention period and will be:—

- (i) either weeded out; or
- (ii) retained for a further specified period from the year of closing, at the end of which it will be weeded out without any further review; or
- (iii) upgraded to higher class with the approval of the Branch Officer of the consigning Section for reasons to be stated.

While reviewing files, great care should be taken by the consigning Section to ensure that the following type of cases are not destroyed:-

- (i) Important decisions of the Chairman or the Secretary-General.
- (ii) Decisions relating to service conditions of the staff which are not embodied in any Rules etc.
- (iii) Precedents relating to the position of the Secretariat *vis-a-vis* the Executive/Government.
- (iv) Files containing papers which are important or are likely to become important in future, as source of information on any aspect of history, whether political, military, social, economic, etc., or which are, or may in future prove to be of biographical or antiquarian interest.

While reviewing the recorded files for weeding out purposes, the following instructions should be observed:—

- (i) References to earlier and later files should be indicated on the covers of the relevant files, if they are not already there.
- (ii) If the covers of files, which are to be retained, are found to be spoiled or torn they should be replaced by new ones and torn pages should be carefully pasted.
- (iii) Each category should be listed and the lists submitted to the Branch Officer with recommendations for preserving or weeding out, as the case may be.
- (iv) Thereafter, indication whether the file should be 'retained' or 'destroyed' should be given on the Cover of the file and initialled by the Section in-Charge.
- (v) After marking in the file Register the disposal regarding files to be destroyed, the files should be returned to the Record Room, after making entries in the 4th column of the form given above.

The In-charge of the Record Room will see that the work of checking and weeding of files is done regularly. He/ she should in particular ensure that files along with the form are sent to the originating Section regularly and received back within 15 days. All forms on receipt will be filed in Section-wise folders for easy reference. The following instructions should be observed in weeding out and destruction of files so ordered:—

- (i) The periods prescribed for destruction should be from the date of final order on the file.
- (ii) After a new non-permanent file is accepted in the Record Room an entry in this regard to be made in the Destruction Register (**Annexure-VI**) under the year in which the file is to be weeded out, and columns 1 to 5 filled in. Columns 6 to 9 will be filled at the time of actual destruction. A glance of the Register will thus give an immediate picture of the actual status of a majority of files due for destruction.
- (iii) The weeder will carefully examine the classification marked on the left hand top corner of each file and check that each of the files is due for destruction. He/she will also mark under his/her signatures in the Destruction Register as well as the form for review and weeding, the dates on which the files are physically destroyed.
- (iv) The In-charge of Record Room, will check and authenticate the entries in the Destruction Register, after comparing the entries with the relevant form for review & weeding.
- (v) Files of confidential nature will be burnt after they are weeded out. Other files will be torn into small bits or shredded.
- (vi) File boards, covers and laces etc. should be removed and used again.

8.8 Retention Period for various types of files — Retention periods of records connected with Accounts, Stores and Personnel will be as given in Appendix 13 to **General Financial Rules**.

Suggested retention period for Section-specific files and other records are as given in **Annexure-VII**. However in all cases Appendix 13 to General Financial Rules should also be consulted and retention period determined keeping in view the principles given in Appendix 13.

8.9 Requisition of Records — No file or paper in file should be removed from the Record Room without a requisition slip signed by the Section in-charge of the Section making the requisition and indicating the purpose for which records are required. Requisition slips will be serially numbered and filed year-wise in folders opened in respect of files of each consigning Section, even though the name of the requisitioning Section may be different.

All requisitions will be entered in the requisition register maintained in the following format:

Regn. No.	Date	Consigning Section Name	Requisitioning Section Name	File No.	Subject	Date of Handing Over of File	(Dated-Signature of receiver)	Date of receipt back

The Sections requisitioning old files from the Record Room shall follow the following instructions:—

- (i) Sections should return the files obtained on requisition to the Record Room immediately after purpose is served, and obtain the signatures of the record clerk on the copy of the forwarding note.
- (ii) Recorded files, requisitioned from the Record Room for reference purpose, should never be reopened to deal with fresh receipts.

Records requisitioned from the Record Room can be kept for 3 months while in case of records obtained from the National Archives should not normally be retained for more than 6 months. The requisition register should be reviewed each week and reminders sent in respect of overdue files. The old files requisitioned and returned to the Record Room in which no alteration in the period of retention is made should be restored to their proper places after these have been thoroughly checked to ensure that they are intact.

8.10 Retrieval and Indexing of Records — The utility of records to an organisation depends upon as to how best and how quickly the information could be retrieved from them. For efficient retrieval of information an 'Index' to records is prepared wherein index slips are made in the first instance under the subject *i.e.* standards heads which may serve as catch-word or by name, place, etc. giving cross-references. Thereafter, these index slips have to be arranged alphabetically. The process can also be computerised. Only those records/files which are categorised as III, IV and V will be indexed.

The Index, sometimes called a schedule, abstract or docket, is usually a tabulated statement arranged in chronological order of the documents, briefly showing the important features of each document and mentioning the names of the parties between whom the correspondence has passed.

8.11 Recommended Practices to ensure Longevity of Records — The following points may be observed:-

- (i) Good quality paper and ink should be used, especially in files likely to be of value.
- (ii) Documents should be kept flat and not in folded shape.
- (iii) Documents should not be kept loose and use of metal pins and clips should be avoided while keeping it.
- (iv) Steel racks or steel almirahs are preferable to wooden ones for storage of files.
- (v) Indirect diffused lighting is preferable in a record room.

- (vi) Atmospheric pollution, excessive heat, humidity and dryness are harmful to records.
- (vii) Naphthalene bricks or balls (wrapped in tissue paper) should be used to act as an insect repellent; the use of insecticidal sprays directly on the records is to be avoided.
- (viii) Smoking and eating in the stack area should not be allowed.
- (ix) Carbon dioxide type fire extinguishers should be provided in the Record Room.
- (x) Repairs of brittle and damaged manuscript or books should be undertaken under the guidance of experts.
- (xi) Periodic fumigation and use of vacuum cleaner machine.

CHAPTER - IX

EFFICIENCY, ORDER AND METHODS

9.1 Introduction – Every organisation, more particularly a bureaucratic set up should continuously strive to improve efficiency in order to provide optimum performance at all times. In order to do so, it should undertake:

- constant review of procedures to make improvements;
- improving human resources through capacity building and skill upgradation; and
- harnessing of new and improved technologies to enhance productivity.

The following are the main O & M (Organisation & Methods) practices that all Sections should adopt (to the extent feasible): —

9.2 Standing Guard Files – Very often important instructions or orders issued over a period of time on a subject are required to be consulted and at other times, the sequence in which orders were issued, or the dates of their applicability may be needed to dispose of a matter. Guard Files, maintained subject-wise ensure that a copy of important orders/instructions is kept separately and can be consulted with ease.

A Standing Guard File consists of major decisions on a particular subject collected at one place. In order to prepare such files, wherever an important decision is taken, a copy should be endorsed to the Guard File on that subject. The Guard Files will be prepared in each Section and will be maintained subject-wise. The subjects which will be included for the purpose of preparation of Standing Guard Files will be determined by the Branch Officer or higher officers. Each Guard File on a given subject will consist of three Sections, namely:—

- Section I* : An Index containing sub-head-wise names of subject of the file and the date and number of decisions or orders.
- Section II* : Full copies of the decision or orders referred to be placed in chronological order.
- Section III* : Model forms to be used in the issue of orders, notifications, etc.

Whenever any new decision is taken on the subject, it will be suitably incorporated in the relevant Sections of the Guard File by the Section in-Charge or under his/her direction by a dealing Assistant. The Branch Officer or Section in-Charge will indicate the circulars and decisions to be placed in the Guard File by giving initials “GF” on it. Sections which regularly issue instructions of wide applicability and require reference thereto, may directly endorse a copy of such instructions to the Guard File.

Whenever an important decision is to be taken on a subject, it is advisable to consult the Guard File on the subject to ensure that the decision is in conformity with earlier decisions and departure, if contemplated, is a conscious one. As soon as new officer joins a Section, it will be the duty of the Section in-Charge to bring the Standing Guard File of the Section to the notice of the officer concerned, so that he/she is properly apprised of the history of decisions taken on the subject. This will ensure that decision-making is quick and logical.

9.3 Precedent Register – Not all decisions are taken by issue of orders or circulars. Often-internal decisions may be recorded on the notes portion for applicability within the Section concerned. Such decisions or precedents need to be properly identified and indexed for ready reference in future. For this purpose, a Precedent Register will be maintained in every Section where decisions of this nature are taken. A note of all important decisions and rulings made in the Section will be made in it. The Precedent Register is a guide to find out important decisions taken in the

past in the Section, especially where the decision is not issued as a formal communication and therefore does not find place in a Guard File. A decision which is not recorded in the Precedent Register should not be quoted as a precedent. The Branch Officer or the Section in-Charge will mark the words “**P.R.**” on the file or receipt if the decision taken in it is to be incorporated in the Precedent Register. The register will be maintained by the Section in-Charge or by an Assistant under his/her directions. The register is an absolute must in all advisory and regulatory Sections to ensure continuity and consistency of decision-making. The following should be kept in view for maintaining the Precedent Register:

- (i) the register should start with an index containing subject-wise details of decisions forming precedents;
- (ii) the decision should be classified by identifying one or more ‘*key-words*’ which describe the decision and its context;
- (iii) the key word is the most important word that is placed first in the title of the subject and on it primarily depends the possibility of finding a file on the subject. This must be a word or words which will normally occur to anyone who is in search of the decision. Sometimes it may be necessary to enter a decision under two or three key words to facilitate quick search;
- (iv) the subject should be filled up in alphabetical order of the key-words where more than one key-word is used;
- (v) the Section in-Charge will ensure that an entry in the Precedent Register is made correctly soon after an important decision is taken; and
- (vi) the register should not be relegated to the position of a file Register by entering each and every case, nor should it be made a compendium of decisions by entering the decisions made in the other Sections.

Precedents Registers are useful in almost all Sections. In Sections dealing with the House, *i.e.* Table Office, Notice Office, Bill Office, Lobby Office, Legislative Section and Question Branch, proper maintenance and updating of precedents is essential and would be the personal responsibility of the Executive Officer/Legislative Officer/Assistant Director.

9.4. Reports, Returns and their Analysis and Review – Correct and quick decision-making depends on the accuracy of the information on which the decision is based. Accordingly, it is important to identify the information that is often required, the sources and the frequency with which the information must be updated. For this purpose reports and returns are specified with proforma giving the specification of each item of data. Systematic decision-making is possible only if the reports and returns are properly specified, they are obtained or sent as required, and are compiled and interpreted efficiently.

To monitor this, each Section should maintain a printed calendar of all reports and returns due from, and to it. Copies should be hung up in the rooms of Branch Officers and of Section in-Charge and, a copy supplied to each dealing Assistant. Section in-Charge and concerned dealing Assistants should study their calendars and, before a report or return is due, submit for approval a reminder calling the attention of the officer concerned to the fact that the report is due on a particular date. If the report is not received by the date fixed, the matter should be brought to the notice of the Branch Officer by submitting a draft reminder for approval. The dealing Assistant should start compilation of the report/return immediately on receipt of information in case the same is to be received from several offices. Where possible, compilation of statistical reports/returns should be computerised for easy compilation and retrieval.

In every case where a report is received or return is prepared, a periodic analysis of the compiled data should be carried out on file, interpreting the data, drawing conclusion and taking remedial action or initiating policy changes, as the case may be. The periodicity of the analysis should be specified in respect of each report/return.

The existence of unnecessary reports and returns and other paperwork not only causes infructuous work at all levels but also diverts the time and energy of staff from more important items of work. Reports which have outlived their utility need to be discontinued and other returns rationalised and simplified, wherever needed or found feasible. In the process it may also be necessary to re-design the existing forms or introduce new ones so as to make the reports more purposeful and adequate as aids to policy-making and evaluation.

A periodical review of reports and returns should, therefore, be conducted at the time of inspection of the Section. An inventory of all daily, weekly, fortnightly, monthly, quarterly, half-yearly and yearly reports and returns should be drawn up by each Section and thereafter the review should be carried out by the Inspecting Officer, and the results recorded in the Inspection Note.

CHAPTER-X

CHECKS ON DELAYS

10.1 Time Limit for Disposal of References – Besides matters related to the Business of the House (like Question, Notices for Motions, etc.) and required to be disposed off within the time limits specified in the Rules, Directions of Chairman or exigencies of the case, processing of the other cases needs to be monitored.

10.1.1 The work of the Secretariat at all levels involves processing of papers containing information, instructions or decisions. Their quick and efficient processing is therefore the first step towards improving office efficiency. According to their nature and importance all fresh receipts are generally divisible into three categories viz '*Immediate*', '*Urgent*' and '*Ordinary*'. The time limits for the disposal of references in each of these three categories at various level are as follows:

Nature of the Reference	Time Allowed for Dealing	Time Allowed for Disposal at the Level of the Section in-Charge and Branch Officer
1	2	3
<i>Immediate</i>	2 days	1 day at each level
<i>Urgent</i>	4 days	2 days at each level
<i>Ordinary</i>	6 days	3 days at each level

10.1.2 A reference that remains undisposed off at the end of the above time limits will be considered as delayed. The time allowed to the dealing Assistant includes the time for which the papers are held up by the reference clerk. If any attached to the dealing Assistant and the time required for tracing/opening file, referencing and linking, etc. The time limit for the disposal of the cases at the level of officers higher than the Branch Officer will be one week from the date of receipt of a reference/case by them.

10.2 Final Disposal –

10.2.1 At present, there is no check on the final disposal of references. It is possible that in many cases back references may have to be made from time to time delaying the final disposal of a case. It is essential that whatever information is wanting in a case should be asked for in the first back reference and there should normally be no need to make further back reference. To check this tendency of repeated back references and to ensure prompt disposal of references, it has been decided to lay down the time limits for final disposal of references. These time limits for the three categories of references are as follows:

<i>Immediate</i>	1 month
<i>Urgent</i>	2 months
<i>Ordinary</i>	3 months

These time limits are to be reckoned from the date of receipt of the first or original reference. It is made clear that the final disposal does not mean disposal by interim replies, etc. and final disposal means disposal of the case by finally deciding on the issues raised in the original reference and sending reply/clarification/orders, etc. Till then the

receipt is to be shown as pending and this pendency has to be mentioned in the statements of cases pending over three months from the months that the receipt of the original reference has become over three months old.

10.2.2 The above periods are the maximum limits within which the cases should be finally-disposed off. However, every efforts should be made to finalise the cases in the shortest time possible.

10.3 Disposal of Immediate/Important Receipts – A Register in the format shown at the end of the paragraph will be separately maintained for immediate/important receipts (in the proforma given below) and will be put up by the Diarists to the Section in-Charge daily. The Section in-Charge will ensure that all such cases have been duly put up by the dealing Assistants in time. In cases where the files have not been received back from the higher authorities by due dates, the Officers or their personal staff should be reminded by him/her to expedite action.

Date _____

Sl. No.	Dy.No.	Receipt From	Subject in brief	Remarks including deadline fixed by superior officers at dak stage

10.4 Weekly Arrears Statement – The Weekly Arrears Statement is intended to give a statistical picture of the number of receipts and cases received and dealt with by each dealing hand posted in an Office during a particular week. This Statement also exhibits a detailed analysis of undisposed references pending with the dealing hands. It enables the Officer Incharge to keep a watch on the progress of work of each dealing hand and to take suitable remedial measures by giving proper guidance for disposal of pending papers and preventing accumulation of arrears.

The format for the weekly arrears statement is given below:

Weekly Arrear Report for the Week ending _____

Name of Dealing Hand	Pendency at start of week	Receipts during week	Proposals during week	Pending at end of week		
				Less than 1 week old	1-2 week old	Over 2 weeks old

The report will be prepared by the Section Diarist on the basis of the Section Diary. The report will be checked by the Section in-Charge and put up to the Deputy Director/Joint Director/Director on each Monday.

The following Sections need not prepare weekly reports during Session period:

- (i) Table Office
- (ii) Bill Office
- (iii) Notice Office
- (iv) Legislative Section
- (v) Question Branch
- (vi) Reporters Branch
- (vii) Synopsis & Editorial and Translation Branches

10.5 Arrears Clearance Campaign — It has been observed that despite the best of efforts, sometimes arrears in the Section do accumulate. Accordingly, it is necessary to organise Arrears Clearance Campaigns to liquidate all pending cases by passing final orders, the word 'Final' meaning final decision by the authority competent to pass final orders. Whenever such campaigns are organised, it is essential that a nodal officer is designated for the purpose, who should be responsible for:

- (i) taking a stock of all pending undecided work;
- (ii) gearing up the machinery for the execution of the programme and, if necessary, organising meetings at periodical intervals to identify and remove bottlenecks and procedural problems; and augmenting resources;
- (iii) issuing detailed directions to all the concerned staff; prescribing a method for the disposal of cases;
- (iv) personal daily check of disposal by all concerned and specially by the Officer in-charge;
- (v) drawing up a well planned calendar of operation for attending to old cases on priority basis, without letting the urgent current cases suffer; and
- (vi) monitoring progress and reporting to the Head of the Service/Joint Secretary.

These are not rigid guidelines and the Section in-charge/Branch Officer can amplify or add to these guidelines depending upon their own peculiar circumstances, keeping in view the objective to be achieved. It must, however, be kept in view that final disposal of cases is a joint responsibility and has to be shared all along the line.

10.6 Assistant's Diary —

10.6.1 After a case has left the Section, sometimes it remains undisposed off at higher levels and it becomes necessary to pursue it personally. This can be done if up-to-date movement of the cases is known to the dealing officials. Every Assistant or dealing hand is, therefore, required to maintain a running record of the papers received and dealt with by him/her in the Assistant's Diary Register in the form given below. Besides the fresh receipts, the cases coming back for re-examination or further action, must also be noted in the register. The proper maintenance of this register will help the dealing hands in keeping a track of all cases besides helping in the completion of the registers of the ordinary and important references. Final disposal of receipts should be recorded against every receipt.

FORM OF ASSISTANT'S DIARY

Sl. N.	Dy. No.	Letter from	Subject	Dealt on File No.	Date of dealing	Date of Final disposal	Sign. of Section in-Charge

10.6.2 The dealing hand should submit the Assistant's Diary for inspection of the Branch Officer through the Section in-Charge, on the first working day of every week alongwith the arrears statement. The Branch Officer should record, briefly, his/her remarks on the Assistant's Diary in token of his/her inspection and in evaluating quantitative output of work. For proper checking the Branch Officer should also occasionally glance through the files claimed to have been dealt in the diary on particular dates.

NOTE: Keeping in view the practice prevailing in some Sections, notices for Questions, Calling Attention/Zero Hour/Special Mention need not be entered into Assistants Diaries.

10.7 Reminder Diary –

10.7.1 Every dealing hand will maintain a Reminder Diary in which he/she will enter date-wise:

- (a) all cases which have-been marked for re-submission on a particular date;
- (b) cases on which reminders are to be issued on specified dates; and
- (c) cases which have been referred un-officially to other departments and the return of which is awaited.

The dealing hand will examine the Reminder Diary every morning and will take necessary action in the relevant file. If a file is not available, the dealing hand will consider whether he/she can send a reminder or take any other action without the file or with the orders of the Branch Officer mark the file to be brought forward to a subsequent date. The Section-in-charge will check the reminder diaries from time to time to ensure that timely action is taken by the dealing hand. In important cases, he/she will himself/herself keep a note in his/her reminder diary.

10.7.2 Reminder Diaries of Officers: A Reminder Diary in a suitable form will also be maintained by every officer to make a note of important cases required to be submitted by or to him/her on a particular date.

10.8 Handbook for Monitoring Disposal of Receipts and Files – A mechanism for monitoring disposal of receipts and files is at **Annexure-VIII** of this Manual.

10.9 Document Management Information System (DMIS) is a web based application which enables tracking the movement of files and receipts. The system facilitate users to maintain a constant watch over the movement of receipts/ files in the process of decision-making. It requires minimal inputs and has a user-friendly interface. The system has been designed in such a manner that the controlling officer of an organization/division/ section can view the movement of the documents and can take appropriate decisions.

10.9.1 DMIS has three modules:

- (a) Diary
- (b) File
- (c) Dispatch

10.9.1.1 Diary Module: The following options are available in the Diary Module:

- Create Receipt
- Edit Receipt
- Forward Receipt
- Multiple Forwarding
- Merge Receipt in a File
- Get Receipt Sent Outside
- Receipts from CRU
- Close Receipt
- Open Receipt
- De Merge Receipt
- Cancel Last Movement
- Physically Receive Receipt
- Physically Un-Receive Receipt
- Query
- Reports

Date is entered in the above-mentioned fields by the Junior/Senior Clerk operating the software in the Section. Query, History, Reports can be viewed on the basis of data so entered.

10.9 1.2 File Module: The following options are available in the File Module:

- Create Main File
- Create Part File
- Edit File
- De-Link File
- Merge Part File
- Cancel Last Movement
- Open File
- Record File
- Un-Record File

- Forward File
- Receive File Sent Outside
- Link File
- Physically Receive a File
- Physically Un-Receive a File
- Close File
- Query
- Reports

A file is opened/created in the Section and is forwarded by each dealing official to the next official in the hierarchy. File movement and current location of each file can be viewed with the help of this module.

10.9.1.3 Dispatch Module: The following options are available in the Dispatch Module:

- Add
- Edit
- Query
- Reports

10.9.2 This application is developed in ASP as front-end with MS-SQL as back-end. The DMIS can be used by any machine in LAN and having Internet browser software like Internet Explorer, Mozilla or Opera. Each user has been provided with USER ID and PASSWORD to login. Password can be changed by the user whenever desired.

10.9.3 Other Important Features of DMIS:

- (a) **File Query:** File query is an important feature of DMIS. It provides the details of the desired file of a Section. Desired fields which are required to be displayed need to be selected. Whenever a file number is clicked/ selected, the entire history of the file *i.e.* the date on which it was opened, name of the dealing hand, current status, current location, file movement can be viewed by every official in the hierarchy of that Section. Information about existence of pan file, if any, is also reflected in the file query.
- (b) **Receipt Query:** This feature provides the details of the receipts of a Section on the basis of data entered while opening, forwarding a receipt. Desired fields about a receipt which are required to be displayed need to be selected, Diary number of each receipt, subject of the receipt, sender's name, present position, current status of each receipt, dealing hand can be viewed through receipt query. Total number of receipts during a year can also be viewed through receipt query.
- (c) **Status Reports on:**
 - Files Inflow/Outflow status;
 - Receipts Inflow/Outflow status;
 - Files Pendency status; and
 - Receipts Pendency status of each section can be generated on the basis of data entered in diary module, file module, dispatch module.
 - (a) Files Inflow/Outflow status of a particular Section may be seen after entering the period for which data is required, file category *viz.* Budget, Court cases, Financial matter, General, Medical, Personal file, VIP reference.
 - (b) Inflow/Outflow status of receipts of Division/Section may be obtained after selecting Section's name, period of the data, receipt category *viz.* Confidential, Court summons, General, MP reference, PMO reference, Public grievances, VIP reference.
 - (c) Status of files pending in a Division/Section may be viewed by selecting a Division, section/officer and file category *viz.* Budget, Court cases, Financial matters, General, Medical, Personal file, VIP reference.

- (d) Status of receipts pending in a Division/Section can be obtained by selecting a Division, Section/Officer and receipt category *viz.* Confidential, Court summons, General, MP reference, PMO reference, Public grievances, VIP reference.

10.9.4 As on 31.03.2009 DMIS Software is operational in the complete hierarchy (upto Secretary-General level) of the following Sections (and their hierarchy) of the Rajya Sabha Secretariat:

- (i) I.T. Sections (H&S)
- (ii) Personnel Section
- (iii) Committee Section (MPLADS)
- (iv) Estt. (General) Section
- (v) Stores Section
- (vi) Committee Section (S&T)
- (vii) O&M Section
- (viii) Distribution Section
- (ix) Training Cell
- (x) Committee Section (Commerce)
- (xi) Committee Section (Industry)
- (xii) Pay & Accounts Office
- (xiii) Estt. (Accounts) & Budget Section

LIST OF GAZETTED OFFICERS OF THE RAJYA SABHA SECRETARIAT

<i>Sl. No.</i>	<i>Designation</i>	<i>No. of Posts</i>	<i>Pay Scale</i>	<i>Group</i>
1.	Secretary-General	1	Rs. 90000 (Fixed)	A
2.	Secretary	1	Rs. 80000 (Fixed)	A
3.	Additional Secretary	2	Rs. 67000-79000	A
(I) LEGISLATIVE, FINANCIAL, EXECUTIVE & ADMINISTRATIVE SERVICE				
4.	Joint Secretary	8	Rs. 37400-67000+10000	A
5.	Director	15	Rs. 37400-67000+8700	A
6.	Director (Finance)	1	Rs. 37400-67000+8700	A
7.	Joint Director and Deputy Director	38	Rs. 15600-39100+8000 Rs. 15600-39100+7600	A A
8.	Assistant Director and Executive Officer	56	Rs. 15600-39100+6600 Rs. 15600-39100+5400	A A
(II) LIBRARY, REFERENCE, RESEARCH, DOCUMENTATION & INFORMATION SERVICE				
9.	Joint Secretary	1	Rs. 37400-67000+10000	A
10.	Director (R & L)	3	Rs. 37400-67000+8700	A
11.	Joint Director and Deputy Director	9	Rs. 15600-39100+8000 Rs. 15600-39100+7600	A A
12.	Assistant Director and Research Officer	8	Rs. 15600-39100+6600 Rs. 15600-39100+5400	A A
(III) VERBATIM REPORTING SERVICE				
13.	Joint Secretary	1	Rs. 37400-67000+ 10000	A
14.	Director (Reporting)	2	Rs. 37400-67000+8700	A
15.	Joint Director (Reporting)	10	Rs. 15600-39100+8000	A
16.	Deputy Director (Reporting)	21	Rs.15600-39100+7600	A
17.	Parliamentary Reporter	5	Rs. 15600-39100+6600	A
18.	Junior Parliamentary Reporter	9	Rs. 15600-39100+5400	A
(IV) PRIVATE SECRETARIES AND STENOGRAPHIC SERVICE				
19.	Director (PSS)	1	Rs. 37400-67000+8700	A
20.	Joint Director (PSS) and Deputy Director (PSS)	14	Rs. 15600-39100+8000 Rs. 15600-39100+7600	A A

<i>Sl. No.</i>	<i>Designation</i>	<i>No. of Posts</i>	<i>Pay Scale</i>	<i>Group</i>
21.	Senior Private Secretary and Private Secretary	27	Rs. 15600-39100+6600 Rs. 15600-39100+5400	A A
(V) SIMULTANEOUS INTERPRETATION SERVICE				
22.	Joint Secretary	1	Rs. 37400-67000+10000	A
23.	Director (Interpretation)	2	Rs. 37400-67000+8700	A
24.	Joint Director (Interpretation)	6	Rs. 15600-39100+8000	A
25.	Deputy Director (Interpretation)	13	Rs. 15600-39100+7600	A
26.	Parliamentary Interpreter	4	Rs. 15600-39100+6600	A
27.	Junior Parliamentary Interpreter	5	Rs. 15600-39100+5400	A
(VI) PRINTING & PUBLICATIONS SERVICE				
28.	Director (P&P)	1	Rs. 37400-67000+8700	A
29.	Joint Director (P&P) and Deputy Director (P&P)	3	Rs. 15600-39100+8000 Rs. 15600-39100+7600	A A
30.	Assistant Director (P&P) and Printing Officer	5	Rs. 15600-39100+6600 Rs. 15600-39100+5400	A A
(VII) EDITORIAL AND TRANSLATION SERVICE				
31.	Joint Secretary	1	Rs. 37400-67000+10000	A
32.	Director (E & T) Joint Director (E&T) and Deputy Director (E&T)	2 11	Rs. 37400-67000+8700 Rs. 15600-39100+8000 Rs. 15600-39100+7600	A A A
34.	Assistant Director (E&T) and Editor	52	Rs. 15600-39100+6600 Rs. 15600-39100+5400	A A
(VIII) PARLIAMENT SECURITY SERVICE				
Non-Technical Wing				
35.	Director (S)	1	Rs. 37400-67000+8700	A
36.	Joint Director (S) and Deputy Director (S)	12	Rs. 15600-39100+8000 Rs. 15600-39100+7600	A A
37.	Assistant Director (S) and Security Officer	23	Rs. 15600-39100+6600 Rs. 15600-39100+5400	A A
Technical Wing				
38.	Deputy Director (Technical)	1	Rs. 15600-39100+7600	A
39.	Security Officer (Technical)	1	Rs. 15600-39100+5400	A
TOTAL:		377		

LIST OF NON-GAZETTED (GROUP B) STAFF OF THE RAJYA SABHA SECRETARIAT

<i>Sl. No.</i>	<i>Designation</i>	<i>No. of Posts</i>	<i>Pay Scale</i>	<i>Group</i>
(I) LEGISLATIVE, FINANCIAL, EXECUTIVE & ADMINISTRATIVE SERVICE				
1.	Senior Legislative/Executive/Committee/ Protocol Assistant and	155	Rs. 9300-34800+ 4800	B
	Legislative/Executive/Committee/Protocol Assistant		Rs. 9300-34800+4600	B
2.	Senior Clerk	96	Rs. 9300-34800+4200	B
(II) LIBRARY, REFERENCE, RESEARCH, DOCUMENTATION & INFORMATION SERVICE				
3.	Research Assistant	14	Rs. 9300-34800+4800	B
4.	Junior Library Assistant	2	Rs. 9300-34800+4200	B
5.	Cameraman	1	Rs. 9300-34800+4200	B
(III) PRIVATE SECRETARIES AND STENOGRAPHIC SERVICE				
6.	Personal Assistant	34	Rs. 9300-34800+4600	B
7.	Stenographer	36	Rs. 9300-34800+4200	B
(IV) PRINTING & PUBLICATIONS SERVICE				
8.	Senior Printing Assistant and Printing Assistant	24	Rs. 9300-34800+4800 Rs. 9300-34800+4600	B B
9.	Proof Reader	10	Rs. 9300-34800+4200	B
10.	IBM Operator	2	Rs. 9300-34800+4200	B
(V) EDITORIAL AND TRANSLATION SERVICE				
11.	Translator	45	Rs. 9300-34800+4800	B
(VI) PARLIAMENT SECURITY SERVICE				
Non-Technical Wing				
12.	Senior Security Assistant, Security Assistant Grade-I and Security Assistant Grade-II	146	Rs. 9300-34800+4800 Rs. 9300-34800+4600 Rs. 9300-34800+4200	B B B
Technical Wing				
13.	Senior Security Assistant (Technical)	7	Rs. 9300-34800+4800	B
14.	Security Assistant Grade-I (Technical)	7	Rs. 9300-34800+4600	B
(VII) DRIVERS & DESPATCH RIDERS SERVICE				
15.	Staff Car Driver (Special Grade)	3	Rs. 9300-34800+4600	B
16.	Staff Car Driver Grade-I	2	Rs. 9300-34800+4200	B
TOTAL:		584		

LIST OF NON-GAZETTED (GROUP C) STAFF OF THE RAJYA SABHA SECRETARIAT

<i>Sl. No.</i>	<i>Designation</i>	<i>No. of Posts</i>	<i>Pay Scale</i>	<i>Group</i>
(I) LEGISLATIVE, FINANCIAL, EXECUTIVE & ADMINISTRATIVE SERVICE				
1.	Junior Clerk	92	Rs. 5200-20200+2400	C
(II) LIBRARY, REFERENCE, RESEARCH, DOCUMENTATION & INFORMATION SERVICE				
2.	Light Assistant	1	Rs. 5200-20200+2400	C
(III) PRINTING & PUBLICATIONS SERVICE				
3.	Junior Proof Reader	10	Rs. 5200-20200+2800	C
4.	Reprographer	12	Rs. 5200-20200+2800	C
5.	Binder Grade-I	1	Rs. 5200-20200+2800	C
6.	Resograph Operator	5	Rs. 5200-20200+2400	C
7.	Adrema Operator	1	Rs. 5200-20200+2400	C
8.	Binder Grade-II	1	Rs. 5200-20200+2400	C
(IV) PARLIAMENT SECURITY SERVICE				
Non-Technical Wing				
9.	Sanitary Attendant Grade-I	51	Rs. 5200-20200+2200	C
	Sanitary Attendant Grade-II		Rs. 5200-20200+2000	C
	Farash and		Rs. 5200-20200+1900	C
	Sanitary Attendant Grade-III		Rs. 5200-20200+1900	C
(V) DRIVERS & DESPATCH RIDERS SERVICE				
10.	Staff Car Driver Grade-II and Staff Car Driver (Ordinary Grade)	29	Rs. 5200-20200+2800 Rs. 5200-20200+2400	C C
11.	Despatch Rider	9	Rs. 5200-20200+2400	C
12.	Cleaner-cum-Helper	4	Rs. 5200-20200+1900	C
(VI) MESSENGER SERVICE				
13.	Personal Attendant to Chairman/Sr. Chamber Attendant	9	Rs. 5200-20200+2400	C
14.	Attendant Grade-I/Chamber Attendant	227	Rs. 5200-20200+2200	C
	Attendant Grade-II and		Rs. 5200-20200+2000	C
	Attendant Grade-III		Rs. 5200-20200+1900	C
15.	Attendant Grade-III (ex-cadre)	1	Rs. 5200-20200+1900	C
16.	Bearer	3	Rs. 5200-20200+1900	C
TOTAL:		456		

LIST OF TENURE POSTS

<i>Sl. No.</i>	<i>Designation</i>	<i>No. of Posts</i>	<i>Pay Scale</i>	<i>Group</i>
1.	Secretary to Leader of Opposition	1	Rs. 37400-67000+10000	A
2.	Officer on Special Duty-I	1	Rs. 37400-67000+10000	A
3.	Officer on Special Duty-II	1	Rs. 15600-39100+8700	A
4.	Senior Private Secretary	21	Rs. 15600-39100+6600	A
5.	Private Secretary	7	Rs. 15600-39100+5400	A
6.	Personal Assistant	5	Rs. 9300-34800+4600	B
7.	Legislative/Executive/Committee/ Protocol Assistant	1	Rs. 9300-34800+4600	B
8.	Senior Clerk	1	Rs. 9300-34800+4200	B
9.	Junior Clerk	3	Rs. 5200-20200+2400	C
10.	Staff Car Driver (Ord. Grade)	1	Rs. 5200-20200+2400	C
11.	Personal Attendant to Chairman	2	Rs. 5200-20200+2400	C
12.	Attendant Grade-II	1	Rs. 5200-20200+2000	C
13.	Attendant Grade-III	27	Rs. 5200-20200+1900	C
TOTAL :		72		

REGISTER OF FILES FOR RECORD

NO. & NAME OF HEAD

NO. & NAME OF SUB-HEAD _____

Sl. No.	File No. & Year	Subject	Date of Closing File	Retention Category	Date of Sending to Record Room	Record Room S. No.

DESTRUCTION REGISTER
DUE YEAR OF
DESTRUCTION _____

Sl. No.	Number of Pages			Signature of Clerk	Date of destruction	Signature of weeder	Signature of in-charge record room	Remarks
	File No.	Correspondence	Notes					
1	2	3	4	5	6	7	8	9

RETENTION PERIODS FOR RECORDS

Sl. No.	Description of Record	Retention Period (After Current Year)	Remarks
1	2	3	4

1. VARIOUS TYPES OF COMMON RECORDS

Registers: Books/Registers/Diaries/Reports

1.	File Opening Register	15 years	
2.	File Movement Register	2 years	
3.	Leave Register	- do -	
4.	Attendance Register	- do -	
5.	Stationery & Inventory Control Register	1 year	
6.	Record Transfer Register	Permanent	
7.	Stock Register	5 years	
8.	Section Diary	- do -	
9.	Assistant's Diary	2 years	
10.	Typist's Diary	1 year	
11.	Standing Guard File	Permanent	Permanent
12.	Inspection Report	One year after the date of next Inspection	
13.	Reminder Diary	1 year	
14.	Register for Communications received from Members	2 years	
15.	Reference Folders	Permanent	
16.	Reference Book	- do -	
17.	Precedent Books	- do -	
18.	Messenger Book	2 years	
19.	Budget Estimates Book	- do -	
Files: Folders & Files			
20.	Requisitions for printing & binding	3 years	
21.	Check List for Periodical Reports	1 year	Two check lists, one for incoming reports and other for outgoing reports

1	2	3	4
22.	Annual Report	3 years	
23.	Computerisation (misc. correspondence)	2 years	
24.	Recording of files/records review & weeding out	Permanent	
25.	Work allocation of staff	5 years	
26.	OTA/Honorarium	2 years	
27.	Circulars (misc.)	1 years	Circulars of permanent or long term applicability, are also to be kept in files
28.	Action Plan	3 years	
2. ESTABLISHMENT (G) SECTION RECORDS			
1.	Increment Register	5 years	Necessary entries should invariably be made in service books
2.	HBA Register	Permanent	May be reviewed after all loan recoveries are complete
3.	Identity Number Register	- do -	
4.	Pension Register	- do -	
5.	Personal Files	10 years after death or 5 years after retirement	Before actual destruction, however, it should be ensured that Pension/PF Gratuity cases have been finalized
6.	Grant of honorarium or Fee files	3 years	
7.	Pension cases files	Permanent	
8.	Loans and Advance Register	3 years after final recovery of principal and interest	
9.	Audit objection relating to the Section file	5 years	
10.	Adoption of orders of the Government of India/Amendment to rules files	Permanent	
11.	Grant of CL to gazetted officers & their personal staff file	1 year	
12.	Miscellaneous orders/circulars received from Ministries/ Departments	Permanent	May be reviewed after every 3 years
3. G. A. SECTION RECORDS			
1.	Accommodation Allotment Register (Office accommodation in Parliament House & Annexe and accommodation of officers/staff of RSS)	Permanent	

1	2	3	4
2.	Seniority List for allotment of accommodation Register	15 years from date of last entry	It is prepared every 2 years separately for each category
3.	Out of Term allotment of accommodation Register	- do -	
4.	Medical facilities issue of new/ duplicate CGHS cards & surrender thereof Register	- do -	
5.	Medical Claims Register	- do -	To be destroyed only after audit objections are settled
6.	Telephone Register	5 years from date of last entry	To be destroyed only after audit objections are settled
7.	Office accommodation maintenance Register	- do -	
8.	Liveries Register	10 years	
9.	Change of accommodation Register	Permanent	
10.	Eviction Proceedings Register	- do -	
11.	Public Premises Act and Court cases Register	- do -	
12.	Issue of diaries/briefcases to RS Members/Officers Register	10 years	
13.	Validation slips (HM passes) Register	2 years	
14.	Inventories Register	Permanent	
15.	Library membership file	- do -	

4. STORES SECTION RECORDS

(All records to be retained in any case till audit is complete and objections settled)

1.	Stock Register of various items purchased for use of Officers/ Sections	Upto 10 years	
2.	Physical Verification File	5 years	
3.	Bill Register	10 years	To be destroyed after audit objections are settled
4.	Stationery Register:		
	(a) Indents on Stationery Office	2 years	The proposed period of 2 years would suffice particularly as a complete account of receipts and issues of stationery articles will be maintained in the Stock Register, which is proposed to be preserved for 5 years
	(b) Local Purchase	- do -	This period is necessary to facilitate audit of local purchases made during a year

1	2	3	4
5.	Staff Cars, Scooters and Motor Cycles Registers:		
	(a) Purchase	10 years	10 years
	(b) Repairs and Maintenance	- do -	10 years (or till the vehicle is condemned and auction out, whichever is earlier)
	(c) Log Book	5 years or 1 year	5 years or 1 year after their examination in local audit, whichever is earlier (as indicated under Rule 40A of the Staff Car rules)
6.	Furniture, Bicycle, Typewriters, Duplicating Machines and other office equipment Registers:		
	(a) Purchase	5 years	5 years (or till the stocks are condemned and auction out)
	(b) Maintenance/repair	- do -	5 years (or 1 year after their audit is over)
	(c) Stock Register	10 years	10 years
7.	Disposal of surplus, obsolete and un-serviceable stores registers/files	5 years	
8.	Write off of losses File	- do -	To be posted to the concerned register, and destroyed only after audit objections are settled
9.	Contingent Expenditure Register	3 years or 1 year	3 years or 1 year after completion of audit whichever is later (as per revised GFR, 2005)
10.	Tender Register	5 years	
11.	File Movement Register	2 years	
12.	Stamps Register	10 years	

5. ESTABLISHMENT (A/Cs) AND BUDGET SECTION RECORDS

(All records are to be retained in any case till audit is complete and objections settled)

1.	Pay Bill Register	35 years
2.	TA/DA Register	5 years
3.	LTC Register	Block year plus 1 year
4.	GP Fund inward transfer Register	1 year
5.	GP Fund outward transfer cases Register	-do-

1	2	3	4
6.	Conveyance Charges Register	5 years	
7.	Indian Airlines Invoices Register	-do-	
8.	Cheque Register	-do-	
9.	Challan Register	-do-	
10.	Cash Book	10 years	
11.	HBA Register	Permanent	
12.	Expenditure Control Register	-do-	
13.	Children Education Allowance Register	-do-	
14.	Audit objections, notes, reports	5 years	
15.	GPF Membership Register	Permanent	
16.	GPF Annual Statement Register	1 year	
17.	Car/Scooter/Cycle/Computer etc. Advance Register	Permanent	
18.	Monthly Appropriation Register	1 year	
19.	HBA Interest Calculation Register (individuals)	Till recovery is complete	
20.	Annual Appropriation Register	1 year	
21.	Bill Recovery Schedules Register	3 years	
22.	Balances of Outstanding Debit Claims Register	- do -	
23.	Transfer Entry Register	- do -	
24.	Appropriation Accounts Register	- do -	These A/cs are submitted to Parliament by the Ministry of Finance (Department of Expenditure alongwith CAG's report)
25.	Counterfoil of receipts, issue book	5 years	
26.	Annual Report of RS Circle of Accounts File	2 years	
27.	Allotment of Pension Payment order Nos. issued File	- do -	
28.	Misc. Correspondence regarding ex-employees of RSS File	1 year	
29.	Journey Abroad File	- do -	
30.	Expenditure sanctions (including sanctions to grant-in-aid) File	5 years after the sanctions have ceased to be current	

1	2	3	4
31.	Budget Estimates File	3 years	
32.	GP Fund withdrawals/Advances Files	Permanent	These files are to be retained up to 1 year after the retirement of the officials
33.	Income Tax Returns Files	10 years	
34.	Rent Demand Statement File	1 year	The proposed period of 1 year should suffice as the estates organisation maintains a complete record of the rent due from, and paid, in respect of each allottee. Files should be closed only after recoveries have been effected
35.	Recovery of electric and water charges (bills and correspondence regarding) Files	3 years	Files should be closed only after the recoveries have been effected
36.	T A (including leave travel concession) files/related papers	- do -	3 years or 1 year after completion of audit whichever is later
37.	Overtime allowance claim (register and lists received from Sections, etc.) File	5 years	
38.	Contingent bills and register of contingent expenditure	3 years or 1 year after completion of audit whichever is later	
39.	Vouchers of petty value not furnished to Audit File	5 years	
40.	Administrative approval and technical sanctions to new works Files	5 years after the sanctions have ceased to be current	
41.	Acquittance Rolls/Files	3 years or 1 year after completion of audit whichever is later	

6. MEMBERS AMENITIES SECTION RECORDS

1.	Accommodation Application Register	Permanent
2.	Residence Allotment Register	-do-
3.	Application for Allotment of servant quarter and motor garages Register	-do-
4.	Accommodation court cases Register	-do-
5.	Furniture check Register	10-15 years

1	2	3	4
6.	Register of Additions and alterations maintenance of Flats/bungalows/servant quarters and motor garages allotted to the Members)	Permanent	
7.	Complaint Register	6 years	
8.	Booking Register (allotment of accommodation for guest and marriage purposes to Members)	1 year	
9.	Telephone Allotment Register	Permanent	
10.	CGHS Register	- do -	
11.	House Committee Meeting File	10 years	
12.	Reconstitution of House Committee File	6 years	
13.	Budget estimates in respect of House Committee, Rajya Sabha File	1 year	
14.	ITDC accommodation for Members of R S File	1 year	
15.	Estimates received from CPWD File	2 years after completion of work	
16.	Inter-pool transfer between Lok Sabha Pool and Rajya Sabha Pool File	Permanent	
17.	Allotment of vehicles from defence disposal stock to MPs File	1 year	
18.	Files for allotment of electric appliances	- do -	Register to be kept permanently
19.	Model code of conduct for guidance of political parties and candidates File	5 years	
20.	Information supplied to State Legislative Assembly Secretariat File	1 year	
21.	File of information supplied to MS&A Section regarding CGHS/accommodation & telephone facilities to retiring MPs	- do -	
22.	MPLAD Scheme release of funds under MPLADS File	10 years	All files related to MPLADS handed over to MPLADS Committee Section

1	2	3	4
7. MEMBERS SALARIES AND ALLOWANCES BRANCH RECORDS			
(All records to be retained in any case till audit is complete and objections settled)			
1.	Identity Card Register (for Members of Rajya Sabha)	Permanent	
2.	Salary Bill Register	- do -	Salary bills may be weeded out after 2 years after settlement of audit objection.
3.	Salary Register (for Members)	- do -	
4.	Salary of PAs to MPs Register	15 years	
5.	Chairman, Deputy Chairman, Leader of Opposition and Members TA and DA Register and TA/DA bills	10 years	Year-wise register will be retained for 10 years while file of Bills will be weeded out after 2 years after completion of audit and settlement of objections.
6.	TA/DA to Members of Parliament for the postponement/cancellation of Meetings	3 years	
7.	Transit Register	1 year	
8.	Telephone Calls/Bills Register (for Members)	2 years	2 years after telephone is surrendered, and all claims have been settled.
9.	Medical Bill Register	10 years	
10.	Budget Register	5 years	
11.	Indian Parliamentary delegation going abroad - payment register and bill	Permanent	Permanent
12.	Medical reimbursement to Members (individual files)	1 year after retirement of Member	To be destroyed only after audit is complete and objections settled.
13.	Grant of conveyance advance to Members (individual files)	1 year after full repayment	
14.	Joint Committee on Salary and Allowances of Members of Parliament File	10 years	
15.	Recovery of dues from MPs File	Until recovery is complete	
16.	File on Grant of pension to Hon'ble Chairman, Rajya, Sabha	Permanent	
17.	Budget File	5 years	

1	2	3	4
18.	Water and Electricity Bill files of MPs and others	8 years	2 years after retirement of the Member
19.	Court Cases File	3 years after the case is settled	
20.	Exchange Order's Office Copy	3 years	
21.	Notice of Committee Meetings Including Joint Committee	3 years	
22.	Personal file of MPs (including declaration of Usual Place of Residence, Nomination and Change)	7 years	2 years after retirement of MP.
23.	TA/DA Bills (separate) in TA/DA	8 years	2 years after retirement.
24.	Appointment of Controlling Officer	5 years	
25.	Monthly statement from PAO	3 years	
26.	Statement of Cheques passed by PAO	- do -	
27.	Parliamentary Bulletins	- do -	
28.	Minutes of Joint Committee on MS&A	Permanent	
29.	Loss of Identity Card cum Railway Pass by Members of Rajya Sabha	- do -	
30.	Preparation of contingent bills	3 years	
31.	Refreshment of Hon'ble Chairman and Leader of Opposition	- do -	
32.	Quarterly Statement on Refreshment bills of LOP and Hon'ble Chairman	- do -	
33.	Railway Debit claim of MPs & Ex-MPs	- do -	
34.	Issue of Salary/TA/DA Certificate to MPs	- do -	
35.	Updating of MSA Act and Rules	5 years	
36.	Correspondence with M/o Parliamentary Affairs and Other Ministries	- do -	

1	2	3	4
37.	Printing/Specimen of Identity Cards of MPs	Permanent	
38.	Miscellaneous (Medical, Pension, General, Conveyance Advance and Telephone Charges)	10 years	
39.	Audit Objection	2 years after settlement	
40.	Donation by Members towards Welfare fund	3 years	
41.	Payment of TA/DA to non-official witnesses	2 years	
42.	Rajbhasha Patrachar Quarterly Hindi Report	1 year	
43.	Updating of Internet information	3 years	
44.	Quarterly statement of pending Legal Cases	2 years	
45.	Work Study project of MSA Section	5 years	
46.	Training Programmes relating to MSA Section	3 years	
47.	Orientation Programme for newly elected Members	- do -	
48.	Settlement of Indian Airlines Invoices Register	5 years	
8. CONFERENCE AND PROTOCOL SECTION RECORDS			
1.	Gift Stock Register	5 years	After audit and settlement of objection.
2.	Expenditure Register for Other Administrative Expenses and Office Expenses	3 years	After audit and settlement of objections.
3.	Expenditure Register for IPDGA	-do-	-do-
4.	Issue of diplomatic passports/visa notes Register	Permanent	
5.	Visit of Indian Parliamentary Delegations abroad Files	2 years	After audit and settlement of objections.

1	2	3	4
6.	Visit of Foreign Parliamentary Delegations to India Files	1 year	
7.	Conference File	- do -	
8.	IPU/CPA/ASGP/SCAT matters Files	5 years	
9.	Files of dinner/lunch hosted by Hon'ble Chairman, Hon'ble Deputy Chairman and Secretary-General	1 year	
10.	Formation of Parliamentary Friendship Groups Files	Permanent	
11.	Budget Provision File	3 years	
12.	Files for settlement of bills under the budget head "Other Administrative Expenses" and "Office Expenses"	2 years	After audit and settlement of objections.
13.	Celebrations/Functions-Bulletin Part-II Files	1 year	
14.	Liaison with Ministries/Departments/Indian Missions Abroad Files	- do -	
15.	Issue of diplomatic passports and visa notes to Members of Rajya Sabha and their spouses, File	6 years	

9. NOTICE OFFICE RECORDS

1.	DVG/PG Cards Diary Register	2 years	
2.	Official Gallery Card Register	- do -	
3.	Card for PAs/PSs of Members of the House Register	6-10 years	
4.	Parking Labels Register	2 years	
5.	Laminated Photo Identity Cards to Officers & Staff Album	15 years	
6.	Temporary General Pass Register	1 year	
7.	General Diary and TA/DA Register	- do -	

1	2	3	4
8.	Issue of Parliamentary Bulletin Part-II File	2 years	
9.	Dish Antenna/Cable System File	Permanent	
10.	Colour TVs/CCTV System/BIID System File	- do -	
11.	Bar coded Passes Register	1 year	
12.	Diplomatic Passes (DVG) Register	2 years	
13.	Ex-MP's Identity Card Register	Permanent	
14.	Ex-MP's spouse Identity Card Register	- do -	
15.	Question forms issuance Register	2 years	
16.	Pensioner I-Cards Album	15 years	
17.	Allied Agencies I-Cards Album	10 years	
10. TABLE OFFICE RECORDS			
1.	Precedents Register	Permanent	
2.	Vacation of Seats Register	- do -	
3.	Term of Office Register	- do -	
4.	Register for nomination of Members to the Committee	- do -	
5.	Register of Roll of Members	- do -	
6.	Obituary References Register/File	10 years	Register is permanent; however, the file is retained for 10 years.
7.	Preparation of list of business Folder	Permanent	
8.	Minutes Books of the Proceedings of the House	- do -	
9.	Parliamentary Bulletin Part-I & II Folder	- do -	
10.	Directions by the Chairman Folder	- do -	
11.	Oath/Affirmation by Members File	- do -	

1	2	3	4
12.	Constitution/Reconstitution of Business Advisory Committee File	Permanent	
13.	Changes in the style of name of Members File	6 years	
14.	Statements by Ministers (made/laid in the House) File	Permanent	
15.	Membership Certificates to ex-Members of RSS	- do -	
16.	Election of Deputy Chairman File	- do -	
17.	Expenditure on Elections of President/Vice-President File	6 years	
18.	Cases of Disqualifications of Members File	Permanent	
19.	Allocation of seats in the Chamber File	6 years	
20.	Recognition of Leaders and Chief Whips of recognized parties/groups in Parliament File	Permanent	
21.	Preparation of List of Members	6 years	
22.	Consolidated Who's Who	Permanent	
23.	Register of Papers Laid on the Table	3 years	
24.	Congratulatory letters to newly elected/re-elected/nominated Members File	6 years	

11. LEGISLATIVE SECTION RECORDS

I.	Special Mentions Register	Permanent	
2.	Calling Attention Register	- do -	
3.	Short Duration Discussion Register	- do -	
4.	Statutory, Government and Private Member Resolutions Register	- do -	

1	2	3	4
5.	Government and Private Member Resolutions (no-day-yet-named) Motions Register	- do -	
6.	Preparation of Provisional Calendar of Sittings for each Session File	2 years	
7.	Matters connected with Motion of Thanks to President's Address at the Budget Session File	Permanent	
8.	Issue of Orders Summoning and Prorogation File	- do -	
9.	Issue of Summons to Members for each Session File	- do -	
10.	Arrest and Detention of Members File	3 years	
11.	Government Legislative and other Business File	2 years	
12.	Rules Committee File	- do -	
13.	Laying of Budgets, Supplementary Demands for Grants File	1 year	
14.	Laying of Reports of CAG File	- do -	
15.	Books, Reports and Documents in Publication Counter	- do -	All papers left over for circulation to be reviewed and destroyed.
12. BILL OFFICE RECORDS			
1.	Central Bill Register	Permanent	
2.	Bill Register (Bills passed by the Lok Sabha)	- do -	
3.	Detailed Bill Register	- do -	
4.	File of preparation of List of Pending Bills and Bills passed during the session and assented to	3-5 years	
5.	Matters relating to Govt. Bills File	8 years	Files of precedents kept permanently.
6.	Private Members' Bills File	3-8 years	- do -

1	2	3	4
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13. LOBBY OFFICE RECORDS

1.	Issue of Bulletins in connection with Session	2 years	
2.	Supply & Dubbing of CDs for Members of RS	6 years	
3.	Leave of Absence of the Members File	- do -	
4.	Farewell functions in honour of the retiring Members of RS File	- do -	
5.	Changes in the seating arrangement of AVR System File	Permanent	
6.	Installation of Portrait in Parliament House File	- do -	
7.	Preparation of Journal	2 years	
8.	Chamber Rehearsal	- do -	
9.	Members Attendance Register	Permanent	

14. QUESTION BRANCH RECORDS

1.	Diary Register (Registration & Diarisation of Notices of Questions)	Computerised	Opened session-wise. Since the 196th Session the data is available in the Question Software.
2.	Register for Admitted Questions (Starred/Unstarred)	Permanent	Opened Session-wise.
3.	Receipt of notices of questions, HADs, and SNQs from Notice Office Register	—	Computerised Permanent
4.	Starred and Unstarred Questions and Answers Folder	5 years	Kept Session-wise, Ministry-wise.
5.	Issue of Bulletin containing grouping of Ministries/Departments for answering questions file	1 year	
6.	Preparation of Chart showing dates of sittings etc. File	- do -	The data is also available in the Questions Software.
7.	Correspondence relating to questions with Members, Ministries and other outside bodies File	1 year - 5 years	
8.	Disallowed intimation of Questions File	1 year	

1	2	3	4
9.	Lapsed Questions File	—	Lapsed questions are sent to the concerned members on prorogation of the House.
10.	Index of Questions book	—	Not in practice after computerization.
11.	Compilation and printing of subject pamphlet containing various subjects/business for which respective ministries/departments are responsible book	1 year after the new pamphlet is printed	Updated every 2 years on the basis of various notifications received from the Cabinet Secretariat.
12.	Statistical information book	Permanent	

15. COMMON RECORDS OF DEPARTMENT RELATED COMMITTEE SECTIONS

(Commerce, H & FW, PPG, Industry, S & T, T & T, HRD, HA)

1.	Constitution of Parliamentary Standing Committee	5 years	
2.	Formation of Sub Committee	- do -	
3.	Policy matters and important decisions	Permanent	
4.	Notices for the Meetings	2 years	
5.	Minutes of the Meetings	5 years	
6.	Room Bookings	1 year	
7.	Correspondence with Ministries/ Departments and other outside agencies	3 years	
8.	Demands for Grants	5 years	
9.	Routine correspondence with MS&A Section Lok Sabha	1 year	
10.	Presentation and laying-of the Committee Reports	3 years	
11.	Printing/presentation/circulation of reports	1 year	
12.	Action Taken Reports	Permanent	
13.	Visits/Tours of the Committee	2 years	
14.	Folder of Annual Reports and other policy documents	5 years	To be maintained Ministry-wise
15.	Presentation of Reports to the Hon'ble Chairman Rajya Sabha	8 years	

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**16. COMMON RECORDS OF PARLIAMENTARY COMMITTEES
SECTION**

**(Subordinate Legislation, Petitions, Govt. Assurances, COPLOT, Ethics,
MPLADS, JPC on Wakf)**

1.	Memorandum Register	2 years
2.	Implementation Register	5 years
3.	Evidence Register	5 years
4.	Discussion Register	2 years
5.	Index of subjects included in the Report Register	-do-
6.	Laying Register	Permanent
7.	Contingency Register	1 year
8.	Room Booking Register	-do-
9.	Register of Subordinate Legislation (Ministry-wise)	Permanent
10.	Register of Assurances	- do -
11.	Register of Papers Laid	- do -
12.	Register of Petitions	- do -
13.	Register of Breach of Privilege Notices	- do -
14.	Register of Privilege Cases	- do -
15.	Register of Members' Interests	- do -
16.	Register of Declaration of Assets and Liabilities of Members	- do -
17.	Monthly/quarterly returns	5 years
18.	Allotment of Committee Rooms Register	1 year
19.	Procurement of Rules/Regulations Folder	Permanent
20.	Representations received folder	2 years
21.	Compilation & Presentation of Reports of the Committee	2 years
22.	Notices & Minutes	10 years
23.	Issue of Bulletin-II	2 years

1	2	3	4
24.	Information regarding Ministries/ Departments concerned which oversee the work of coordination of action on recommendations of general applications made by Parliamentary Committees	2 years	
25.	Visits/Tours of the Committee	1 year	
26.	Reminder notes	- do -	
27.	Constitution of Committees/ Sub-committee	5 years	
28.	Assurances	2 years	2 years after the assurance has been accepted as fulfilled or allowed to be dropped.
29.	Routine nature matters	1 year	
30.	Parliamentary Bulletins and Circulars	Permanent	
31.	Reports and files pertaining to examination of rules	- do -	
32.	Framing of rules	3 years	
33.	Laying of notifications on the Table of the House by the Ministries/ Departments	10 years	
34.	Policy matters and important decision	Permanent	
35.	Correspondence with Ministries/ State Governments/Other Agencies	- do -	
36.	Presentation and Laying of the Committee Reports	- do -	
37.	Action Taken Report	- do -	
38.	Routine correspondence with R&L, MS&A and other Sections of Rajya Sabha and Lok Sabha	2 years	
39.	Manuscript/CRC of the Committee Reports	Till the Reports are printed and circulated	
40.	Refreshment Bills of the Committee/Chairman	2 years	

1	2	3	4
41.	Folder of Agenda for the Meetings	Permanent	
42.	Amendments in the Guidelines to MPLAD Scheme	- do -	
43.	Folder of Minutes	- do -	
44.	Correspondence with MPs/ Ministries/State Governments/ Other agencies	3 years	
45.	Suggestions/Representations received	- do -	
46.	List of Nodal Districts of Members of Rajya Sabha	7 years	

17. PRINTING SECTION RECORDS

1.	Daily Register of Printing Work	2 years	
2.	Monitoring of Printing Progress Register (Monthly return)	1 year	
3.	Quarterly Return (occasional publications) Register	-do-	
4.	Printing of Materials Recording, classification and indexing of files Register	1 year	
5.	Rota Print folder	1 year	
6.	Publications printed by Govt. Press	3 years	
7.	Press Dispatch Vouchers Folder	2 years	
8.	Expenditure of publications File	5 to 10 years	
9.	Correspondence with Press File	1 year	
10.	Contingency vouchers	-do-	
11.	List of approved private printers File	5-10 years	

18. SALES & ARCHIVES SECTION RECORDS

1.	Stock Register	Permanent	
2.	Stock Register for Souvenirs	10-15 years	Till audit is complete and objections settled.
3.	Cash Sale Register	5 years	- do -
4.	Register for Parliamentary Debates	Permanent	
5.	Issue Register	5-10 years	

1	2	3	4
6.	Statement of Pending Debates Register	10 years	
7.	Contract for binding of printed debates & official records File	2 years	Till audit is complete and objections settled.
8.	Trade discount to agents/book-sellers File	- do -	- do -
9.	File of issue of no demand certificate for Members of Rajya Sabha	Permanent	
10.	Participation in Book-fair File	2 years	
11.	Printing of New Year Greeting cards File	- do -	
12.	Purchase/sale of gift items File	- do -	
13.	Records relating to Record Room	Permanent	

19. DISTRIBUTION SECTION RECORDS

1.	Despatch Register for Postal and other Dak	2 years	
2.	Peon/Messenger Book (Despatch of Dak by hand)	- do -	
3.	Maintenance of Machines Register	- do -	
4.	List of Addresses Register	6 years	

20. PERSONNEL SECTION RECORDS

1.	Establishment Register or Sanction Register	5 years	
2.	Roster Register for reservations for persons belonging to SC/ST & OBC	Permanent	
3.	Recruitment Rules Book	- do -	
4.	Departmental Promotion Committee File: (a) Constitution of Selection Committee (b) Proceedings	3 years after Committee has been reconstituted 10 years	
5.	Verification of character and antecedents File	1 year after retirement	To be kept in the ACR files.
6.	Medical Examination File	-do-	-do-

1	2	3	4
7.	Register of Oath/affirmation of allegiance to the Constitution	35 years after it has ceased to be used	
8.	Gradation Lists, etc. book	Permanent	
9.	Arbitration and litigation cases File/Register	3 years after the 'Final Judgement' under the normal course of law	
10.	Creation of posts file (including extention of terms of temporary Posts and conversion of temporary posts into Permanent ones)	Permanent	
11.	Recruitment, appointment, promotion, reversion and confirmation File	- do -	
12.	Individual representations on above File	3- 5 years depending upon the nature of each case	
13.	Review of probationer's case File	8 years	
14.	Posting & Transfer (other than transfer on foreign service) of officers & staff File	Not exceeding 3 years depending upon the nature of the cases	
15.	Deputation File	3 years after the completion of the period of deputation.	
16.	Fixation of Seniority List File	5 years from publication of Gradation list	
17.	Representations regarding seniority File	- do -	
18.	Confidential Reports/character rolls folders	3 years after death/retirement	
19.	Intimation regarding various direct and departmental examinations to JRC File	2-3 years	
20.	Compassionate Appointments File	Permanent	
21.	Retirement in the Secretariat File	- do -	

1	2	3	4
22.	Amendment to Recruitment Rules File	Permanent	
23.	Representation against adverse remarks File	3 years after Death/retirement	
24.	Action on representation against adverse remarks File	- do -	
25.	Results of departmental tests File	5 years	
26.	Parliamentary Pay Committee File	Permanent	
27.	Delegation of Financial Powers File	- do -	
21. RECORDS OF LIBRARY, REFERENCE, RESEARCH, DOCUMENTATION AND INFORMATION SERVICE			
1.	Accession Register of Library Books/Publications etc.	Permanent	
2.	Journals received in the Library Register	2 years	
3.	Issue of Books (on long term Register)	Permanent	
4.	Issue/Return Register	- do -	
5.	Diary Register (Publications)	5 years	
6.	Diarised Publications	- do -	
7.	Distribution of R. S. Publications Register	Permanent	
8.	Press Clippings	1 year	
9.	Reference Material folder	5 years	
10.	Who's Who Rajya Sabha	Permanent	10 copies to be kept in archives.
11.	India Reference Annual File	2 years	
12.	Reminders issued File	1 year	
13.	Circular regarding list of additions to the R.S. Secretariat Library File	2 years	
14.	Messages File	- do -	
15.	Reimbursement of Newspapers/Magazine bills File	- do -	Till audit is complete.
16.	Journals/Magazines	- do -	

1	2	3	4
17.	Draft Speech File	2 years	
18.	'Writing Off' of Publications file/register.	Permanent	
19.	Purchase of Publications File	5 years	Till audit is complete.
20.	'No Objection Certificate' issued File	2 years	
21.	Subscription of Journals File	5 years	Till audit is complete.
22.	Correspondence with Other Sections File		Till the publication is brought out.
23.	Preparation of replies to questionnaires File	1 year	
24.	Letters/Notes File	- do -	
25.	Visits File	2 years	
26.	Culling out of Humour from RS Debates File		To be retained till published.
27.	Ruling from the Chair	Permanent	
28.	Manuscript/CRC of publications		Till it is printed.
22. TRAINING CELL RECORDS			
1.	Compilation of Publications Register	Permanent	
2.	Computer Training Programme Register	—	
3.	Preparation of list of staff members for training programmes in different areas File	2 years	
4.	Orientation programme on Admn. & Estt. Rules File	- do -	
5.	Orientation programme for newly elected Members of RS File	- do -	
6.	Training programme by ISTM File	- do -	
7.	Training programme for Security staff of RSS File	- do -	
23. COMMITTEE CO-ORDINATION SECTION RECORDS			
1.	Constitution/Reconstitution of Department-related Parliamentary Standing Committees	5 years	Files of Precedent Value are to be retained permanently.

1	2	3	4
2.	Constitution/Reconstitution of Standing Committees (House Committees) and other Parliamentary Committees	5 years	Files of Precedent Value are to be retained permanently.
3.	Direction by Hon'ble Chairman	Permanent	
4.	Study Tours Guidelines Files	-do-	
5.	Nomination/Election of Members to Statutory and other Bodies	5 years	Files of Precedent Value are to be retained permanently.
6.	Nomination of Members to Parliamentary fora	-do-	-do-
7.	Amendments to Third Schedule	Permanent	
8.	File regarding examination of cases pertaining to Offices of Profit	3 years	Files of Precedent value are to be retained permanently
9.	Constitution of new Parliamentary Committees	-do-	-do-
10.	Files relating to various Policy Matters	Permanent	
11.	Committees Software/MIS Software	3 years	Files of Precedent Value are to be retained permanently.
12.	Mailing List	-do-	
13.	Revision of ceiling on refreshments served at the sitting of Parliamentary Committees	Permanent	
14.	Laying of Committee Reports Files	1 year	
15.	Room Booking Files	-do-	Files of Precedent Value are to be retained permanently.
16.	Correspondence with Ministries/ Departments and other outside agencies File	-do-	
17.	Quarterly Statements of functioning of Committees	-do-	Files of Precedent Value are to be retained permanently.
18.	Training Programme for Staff/Officers	2 years	
19.	Files regarding publications brought out by Committee Co-ordination Section	3 years	Files of Precedent Value are to be retained permanently.

1	2	3	4
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| 20. | Miscellaneous Matters relating to co-ordination | 1 year | — |
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24 RTI CELL RECORDS

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|----|----------------------------------|-----------|--|
| 1. | Policy Matters Files | Permanent | |
| 2. | Application under RTI Act, Files | 3 years | |
| 3. | Appeals under RTI Act, Files | 5 years | |
| 4. | Action Plans Files | 3 years | |
| 5. | Annual Report Files | 2 years | |
| 6. | Annual Inspection Files | - do - | |

25. O&M SECTION RECORDS

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|----|--|-----------|--|
| 1. | Annual Action Plan of the Secretariat File | 2 years | |
| 2. | Compiled Annual Action Plan | 5 years | |
| 3. | Annual Report of the Secretariat File | 3 years | |
| 4. | Compiled Annual Report | Permanent | |
| 5. | Annual Office Inspection of the Secretariat File | 3 years | |
| 6. | Work Study Files | 5 years | |
| 7. | Work Study Report | Permanent | |
| 8. | Review of Manual of Office Procedure Files | 5 years | |
| 9. | Office Manual | Permanent | |

26. PAY AND ACCOUNTS OFFICE RECORDS

(All records are to be retained in any case till audit is complete and objections settled)

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|----|---|------------------------|--|
| 1. | Pay Bill Register | 35 years | |
| 2. | LTC Register | Block year plus 1 year | |
| 3. | Cheque Register | 5 years | |
| 4. | Cash Register | 5 years | |
| 5. | HBA Register | Permanent | |
| 6. | Children's Education Allowance Register | - do - | |
| 7. | Audit Objections, Notes, Reports | 5 years | |
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1	2	3	4
8.	GPF Membership Register	Permanent	
9.	GPF Annual Statement Register	1 year	
10.	Car/Scooter/Cycle/Computer etc. Advance Register	Permanent	
11.	Transfer Entry Register	1 year	
12.	Appropriation Audit Register	-do-	
13.	Annual Report of RS Circle of Accounts File	2 years	
14.	Register of P.P.Os maintained in the Office of the P & AO issuing the PPO	35 years from the date of last entry made in the register	
15.	Budget Estimates File	5 years	
16.	Income Tax Returns File	10 years	
17.	T.A. (including LTC) bills and acquittance rolls file	1 year	After audit objections are settled.
18.	Contingent bills and register of contingent expenditure file	3 years	After audit objections are settled.
19.	Vouchers of petty value not furnished to Audit File	5 years	

27. RECRUITMENT CELL RECORDS

1.	Administrative Report Files	3 years	
2.	Policy regarding scheme of examination for various posts	Permanent	
3.	Outsourcing of examination Work	- do -	
4.	Correspondence with other agencies relating to examination	5 years	
5.	Policy regarding Question paper, paper setter, etc.	Permanent	
6.	Conduct of examination	10 years	
7.	Information sought under RTI	5 years	

28. I.T. SECTIONS (HARDWARE & SOFTWARE) RECORDS

1.	Financial Entitlement of Members Register	Permanent	
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1	2	3	4
2.	Member-wise File regarding purchase of computer equipment by him under scheme of financial Entitlement	5 years (after retirement of the Member)	
3.	Procurement of Hardware and Software	10 years	
4.	Sections Files-regarding supply of computer equipment	Permanent	
5.	Officers Files-regarding supply of computer equipment to Deputy Director and above	3 years* (*after retirement of the officer)	
6.	Recovery of dues from Ex- MPs file	5 years	
7.	AMC files	- do -	
8.	Insurance of computer equipment files (old)	3 years	
9.	Supply of computer equipment to HC/HDC/LOP	Permanent	
10.	Project/Software development files	- do -	
11.	Other miscellaneous files such as communication from various organizations, assemblies, companies, etc.	5 years	
12.	Meetings of the Committee on provision of Computer Equipment to Members of Rajya Sabha (Notice, Agenda, Minutes and action on decisions taken etc.)	Permanent	
13.	Meetings of the Computerization Coordination Committee (CCC) (Notice, Agenda, Minutes and action on decisions taken etc.)	5 years	

1	2	3	4
14.	Meetings of the Committee of Officers for Procurement of Computer Equipment for Rajya Sabha Secretariat (COOPCE) (Notice, Agenda, Minutes and action on decisions taken etc.)	5 years	
15.	Meetings of the Obsolescence Declaration Committee (ODC) (Notice, Agenda, Minutes and action on decisions taken etc.)	- do -	
16.	Meetings of the Committee on Provision of Computer Equipment to Officers (Retired) of the Rajya Sabha Secretariat (Notice, Agenda, Minutes and action on decisions taken etc.)	5 years	
17.	Meetings of the Committee for Re-designing the Rajya Sabha Website (Notice, Agenda, Minutes and action on decisions taken etc.)	- do -	
18.	Meetings of the Committee to review the Plan for Information Security (Notice, Agenda Minutes and action on decisions taken etc.)	- do -	
19.	Meetings of the Standing Technical Advisory Committee (STAC) (Notice, Agenda, Minutes and action on decisions taken etc.)	- do -	
20.	Files relating to Guidelines/ Policy in IT Section/Files on policy matters on which orders of Hon'ble Chairman HDC/SG have been obtained	Permanent	
21.	Guard File of Annual Action Plans/Annual Reports of IT Section	- do -	

1	2	3	4
22.	<p>Guard File relating to Constitution of the various Committees serviced by IT Section Committees viz. Committee on Provision of Computer Equipment to Members of Rajya Sabha, Computerization Coordination Committee (CCC), Committee of Officers for Procurement of Computer Equipment for Rajya Sabha Secretariat (COOPCE), Obsolescence Declaration Committee (ODC), Committee for Redesigning the Rajya Sabha Website, Committee on Provision of Computer Equipment to Officers (Retired) of the Rajya Sabha Secretariat, Standing Technical Advisory Committee (STAC), Committee to review the Plan for Information Security.</p>	Permanent	
23.	<p>Guard File/Compiled Minutes of the various Committees services by IT Section Committees viz. Committee on Provision of Computer Equipment to Members of Rajya Sabha, Computerization Coordination Committee (CCC), Committee of Officers for Procurement of Computer Equipment for Rajya Sabha Secretariat (COOPCE), Obsolescence Declaration Committee (ODC), Committee for Redesigning the Rajya Sabha Website, Committee on Provision of Computer Equipment to Officers (Retired) of the Rajya Sabha Secretariat, Standing Technical Advisory Committee (STAC), Committee to review the Plan for Information Security.</p>	-do-	

**MECHANISM FOR MONITORING DISPOSAL OF RECEIPTS AND FILES IN
COUNCIL SECTIONS**

Sl. No.	Name of Section/Unit	RECEIPTS		FILES	
		Scheme for monitoring	Officials Responsible for monitoring	Scheme for monitoring	Officials responsible for monitoring
1	2	3	4	5	6
1.	Bill Office	During Session monitoring is inbuilt in the system. During intersession period monitoring through Monthly Arrear Statement.	Primary Official: Section in-Charge. Secondary Official: Divisional Head.	Same as for receipts.	
2.	Notice Office	Monitoring by the Section in-Charge on daily basis.	Primary Official: Diarist. Secondary Official: Section in-Charge	Monitoring on day-to-day basis.	Primary Official: Diarist. Secondary Official: Section in-Charge.
3.	Legislative Section	During Session monitoring is inbuilt in the system. During intersession period monitoring through Monthly Arrear Statement.	Primary Official: Section in-Charge. Secondary Official: Divisional Head.	Same as for receipts.	
4.	Lobby Office	Monitoring by the Section in-Charge.	Primary Official: Diarist. Secondary Official: Section in-Charge.	Monitoring on day-to-day basis.	Primary Official: Diarist. Secondary Official: Section in-Charge.
5.	Question Branch	Monitoring of disposal of notices of questions on day-to-day basis is inbuilt in the system. For other receipts (excluding notices) monitoring may be done through DMIS.	Primary official: Diarist. Secondary Official: Section in-Charge.	(a) Same as for receipts. (b) Periodic meetings held by Divisional Head with officers act as an effective monitoring mechanism.	

1	2	3	4	5	6
6.	Table Office	Monitoring of House related receipts done at the level of Section in-charge/Deputy Director/Director and Divisional Head. Monitoring of routine receipts by the Section-in-Charge on day-to-day basis.	Primary official: Diarist. Secondary Official: Section in-Charge/ Divisional Head.		Same as for receipts.
7.	Interpreter's Section	Monitoring of diary by Director(I) on monthly basis	Primary official: Diarist. Secondary Official: Director (I).		Same as for receipts.
8.	Reporter's Branch	Nature of job does not call for monitoring system.			Same as for receipts.

MECHANISM FOR MONITORING DISPOSAL OF RECEIPTS AND FILES IN COMMITTEE SECTIONS

1.	Committee Section (Subordinate Legislation)	Monitoring through computerised diary on weekly basis by the Section in-Charge.	Primary Official: Diarist. Secondary Official: Section in-Charge.	An inbuilt system of monitoring of files through quarterly report.	Primary Official: Diarist. Secondary Official: Section-in-Charge.
2.	Committee Section (Petitions)	Computerised diary is being maintained. Weekly, monthly and quarterly arrear statements proposed to be prepared for review by Branch Officer, Divisional Head and Secretary-General respectively.	Primary Official: Dealing Assistant Secondary Official: Branch Officer:	Movement of files is monitored through File Movement Register by Section in-Charge/Branch Officer/Divisional Head.	Primary Official: Dealing Assistant Secondary Official: Section in-Charge.
3.	Committee Section (Govt. Assurances)	Frequent monitoring of Central Diary and Assistant Diaries by Section-in-Charge. Weekly arrear statement submitted to Divisional Head. Monthly Statement submitted to Secretary-General	Primary Official: Diarist. Secondary Official: Section-in-Charge.		Same as for receipts.

1	2	3	4	5	6
4	Committee Section (COPLLOT)	Monitoring through centralise diary on weekly basis by the Section-in-Charge. DMIS may be introduced.	Primary Official: Diarist. Secondary Official: Section-in-Charge.	(a) Same as for receipts (b) Monitoring done through quarterly report also. DMIS may be introduced.	Primary Official: Diarist Secondary Official: Section in-Charge.
5.	Committee Section (Commerce)	Monitoring on fortnightly basis by Section-in-Charge through centralized computerised diary/ Reminder Diary.	Primary Official: Dealing Assistant Secondary Official: Fortnightly: Section-in-Charge. Monthly: DD/JD (Branch Officer) Quarterly: Divisional Head.	Monitoring of files through File Movement Register by Section-in-Charge on fortnightly basis.	Primary Official: Dealing Assistant. Secondary Official: Fortnightly: Section-in-Charge. Monthly: DD/JD (Branch Officer) Quarterly: Divisional Head.
6.	Committee Section (H&FW)	Monitoring through centralised computerised diary by Section-in-Charge on regular basis. Regular meetings by Divisional Head with officers also help in monitoring. DMIS also proposed to be introduced.	Primary Official: Diarist. Secondary Official: Section-in-Charge.	Monitoring through Centralised File Movement Register by Section-in-Charge on regular basis. DMIS also proposed to be introduced.	Primary Official: Diarist. Secondary Official: Section-in-Charge.
7.	Committee Section (HA)	Monitoring through computerised diary by Branch Officer. Assistant and Reminder Diary also proposed to be maintained.	Primary Official: Dealing Assistant. Secondary Official: Branch Officer.	Monitoring of files through a diary for file movement. DMIS may be introduced.	Primary Official: Dealing Assitant Secondary Official: Section-in-Charge.
8.	Committee Section (HRD)	Monitoring through Computerised as well as manual diary and regular meetings by Divisional Head with officers.	Primary Official: Diarist. Secondary Official: Divisional Head.	Monitoring through File Movement Register by Section-in-Charge. DMIS may be introduced.	Primary Official: Diarist. Secondary Official: Section-in-Charge.

1	2	3	4	5	6
9.	Committee Section (Industry)	Monitoring through computerised diary by Section-in-Charge.	Primary Official: Diarist. Secondary Official: Section-in-Charge.	Monitoring through File Movement Register by Section-in-Charge.	Primary Official: Diarist. Secondary Official: Section-in-charge.
10.	Committee Section (PPG)	Monitoring through manual as well as computerised diaries and regular meetings held by Divisional Head with officers.	Primary Official: Diarist. Secondary official: Section-in-Charge.	Weekly appraisal by DD/JD. Monitoring by Sction-in-Charge on day-to-day basis.	Primary Official: Section-in-Charge. Secondary Official: Branch Officer.
11.	Committee Section (S&T)	Monitoring through computerised diary by Section-in-Charge on weekly basis. DMIS has been introduced.	Primary Official: Diarist. Secondary Official: Section-in-Charge.	Same as for receipts.	
12.	Committee Section (T &T)	Monitoring through computerised diary by Section-in-Charge on daily basis.	Primary Official: Diarist. Secondary Official: Section-in-Charge.	Monitoring of files by dealing Assistants. Maintenance of Assistant Diary and its regular checking by Section in-Charge once in two days proposed.	Primary Official: Dealing Assistant Secondary Official: Section-in-Charge
13.	Committee Coordination Section	Monitoring through diary register and computerised diary by Section-in-Charge. DD/JD also proposed to be involved in monitoring. DD/JD to report to the Divisional Head the receipts pending for more than two weeks.	Primary Official: Section-in-Charge. Secondary Official: DD/JD.	Monitoring through File Movement Register and Assistant Diaries.	Primary Official: Section-in-Charge. Secondary Official: DD/JD.
14.	Committee Section (Ethics)	Monitoring through centralised computerised diary on day-to-day basis by the Section-in-Charge. Manual diary register proposed to be maintained.	Primary Official: Diarist. Secondary Official: Section-in-Charge.	Same as for receipts.	

1	2	3	4	5	6
15.	Committee Section (MPLADS)	Monitoring through DMIS. However, monitoring through DMIS on weekly, monthly and quarterly basis by, the Section in-Charge, Joint Director and Divisional Head respectively proposed.	Primary official: Diarist. Secondary Official: Section in-Charge		Same as for receipts

MECHANISM FOR MONITORING DISPOSAL OF RECEIPTS AND FILES IN MEMBERS SERVICES SECTIONS

1.	Conference & Protocol Section	All receipts are diarised and the Section in-Charge monitors timely disposal of all receipts.	Primary official: Dealing Assistant Secondary Official: Section in-Charge		Same as for receipts
2.	M.A. Section	Monitoring through computerised as well as manual diary and at Assistant level through Assistant's Diary. New Software developed by NIC for electronic movement of receipts & files.	Primary Official: Dealing Assistant Secondary Official: Fortnightly: Section in-Charge. Monthly: DD/JD (Branch Officer) Quarterly: Divisional Head.	Monitoring of files through File Movement Register	Primary Official: Dealing Assistant Secondary Official: Fortnightly: Section in-Charge. Monthly : DD/JD (Branch Officer) Quarterly: Divisional Head
2.	M.S. & A. Branch	All receipts are diarised in Central/General/Assistant Diary Register. Weekly and monthly reports prepared and submitted to Divisional Head and Secretary. General respectively. Reminder Diary also maintained.	Primary Official: Diarist. Secondary Official: Section in-Charge.		Same as for receipts.

1	2	3	4	5	6
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MECHANISM FOR MONITORING DISPOSAL OF RECEIPTS AND FILES IN ADMINISTRATION AND ESTABLISHMENT SECTIONS

1.	Establishment (A/Cs) & Budget Section	Monitoring through the Computerised Diary/ Reminder Diary.	Primary Official: Dealing Assistant Secondary Official: Fortnightly: Section in-Charge. Monthly: DD/JD (Branch Officer) Quarterly: Divisional Head.	Monitoring through a File Movement Register.	Primary Official: Dealing Assistant Secondary Official: Fortnightly: Section in-Charge. Monthly: DD/JD (Branch Officer) Quarterly: Divisional Head.
2.	Establishment (G) Section	Monitoring through Computerised/ Assistants Diary and through weekly/fortnightly arrear statements. DMIS started in the Section.	Primary Official: Diarist. Secondary Official: Section in-Charge/ JD/Divisional Head.	Monitoring through DMIS/File Movement Register on weekly, monthly, and quarterly basis by Section in-Charge, JD and Divisional Head respectively.	Primary Official: Section in-Charge Secondary Official: JD/Divisional Head
3.	G. A. Section	Monitoring through manual diary by Section in-Charge on the basis of Arrear Reports submitted to Divisional Head.	Primary Official: Section in-Charge. Secondary Official: Divisional Head.	File movement register maintained in Office of the Divisional Head.	Primary Official: Section in-Charge. Secondary Official: Divisional Head.
4.	Pay & Accounts Office (Accounts Section)	Monitoring through Computerised Diary as well as COMPACT Software.	Primary Official: Dealing Assistant Secondary Official: Fortnightly: Section in-Charge. Monthly: DD/JD (Branch Officer) Quarterly: Divisional Head.	Time frame prescribed for disposal of files.	Primary Official: Dealing Assistant Secondary Official: Fortnightly: Section in-Charge. Monthly: DD/JD (Branch Officer) Quarterly: Divisional Head.
5.	Audit Section (P & AO)	Monitoring through Computerised Diary/ Assistant Diary as well as COMPACT Software. Time	Primary Official: Dealing Assistant Secondary Official: Fortnightly: Section in-Charge	Monitoring through Asstts. Diary. Time frame also prescribed for Certain cases.	Primary Official: Dealing Assistant Secondary Official: Fortnightly: Section in-Charge.

1	2	3	4	5	6
		norms also prescribed for disposal.	Monthly: DD/JD (Branch Officer) Quarterly: Divisional Head.		Monthly: DD/JD (Branch Officer) Quarterly: Divisional Head.
6.	Personnel Section	Monitoring through weekly/Fortnightly and monthly arrear statements submitted to the Section in-Charge, Branch Officer and Divisional Head respectively. Submission of pendency status on fortnightly, monthly and quarterly basis to Section in-Charge, Director (P) and Divisional Head respectively also proposed.	Primary Official: Diarist/Section in-Charge. Secondary Official: Divisional Head	Monitoring through DMIS.	Primary Official: Diarist/Section in-Charge. Secondary Official: Divisional Head.
7.	Sales & Archives Section	Monitoring through Computerised Dairy/Assistants' Diaries and Arrear Reports submitted on monthly basis to Divisional Head. Besides, submission of weekly arrear reports and daily monitoring by Section in-Charge is also proposed to be introduced.	Primary Official: Diarist. Secondary Official: Section in-Charge JD/Divisional Head.	Monitoring through File Movement Register/ computerised diary and Assistants' Diaries.	Primary Official: Diarist. Secondary Official: Section in-Charge.
8.	Stores Section	Monitoring by Section in-Charge through Diary Register as well as Assistant	Primary Official: Diarist. Secondary	Monitoring through File Movement Register by the Section	Primary Official: Diarist. Secondary

1	2	3	4	5	6
		Diary and Arrear Reports submitted to Branch Officer/Director.	Official: Branch Officer.	in-Charge.	Official: Section in-Charge.
MECHANISM FOR MONITORING DISPOSAL OF RECEIPTS AND FILES IN OTHER SECTIONS					
1.	Distribution Section	Monitoring of delivery of dak through peon book/dispatch register. DMIS is also operationalised. Monthly arrear statements to be monitored by Branch Officer. Besides, Dak delivery relating to M.P. and general Dispatch to be monitored by Section in-Charge twice daily—in the forenoon and afternoon.	Primary Official: Diarist/Dispatch Clerk. Secondary Official: Branch Officer.	Monitoring done by Officers in hierarchy through DMIS. Monthly Arrear Statement to be monitored by Branch Officer.	Primary Official: Diarist. Secondary Official: Branch Officer.
2.	I.T. Sections (H & S)	Monitoring through Section in-Charge, Branch Officer, Director/ Divisional Head through regular periodic interactions. DMIS also operational in the Section.	Primary Official: Dealing Assistant Secondary Official: Fortnightly: Section in-Charge Monthly: DD/JD (Branch Officer) Quarterly: Divisional Head.		Same as for receipts.

1	2	3	4	5	6
3.	O & M Section	Monitoring through Computerised Diary/Assistant Diary by Section in-Charge. DMIS also introduced.	Primary Official: Diarist. Secondary Official: Section in-Charge.	DMIS operationalised Monitoring introduced on weekly monthly and quarterly basis at the level of Section in-Charge, JD and Divisional Head respectively.	Primary Official: Diarist. Secondary Official: Branch Officer/J.D./ Divisional Head.
4.	Printing Section-I & II	Registers maintained for different types of jobs and monitored almost on daily basis.	Primary Official: Section in-Charge. Secondary Official: Branch Officer.	Monitoring through File Register.	Primary Official: Section in-Charge Secondary Official: Branch Officer.
5.	RTI Cell	Monitoring through computerised diary system for which in-house and voluntarily developed net based software is being used.	Primary Official: Cell in-Charge Secondary Official: CPIO.	No need for any file tracking system.	
6.	Training Cell	Monitoring through manual as well as Computerised Diary system. DMIS System also operationalized.	Primary Official: Dealing Assistant Secondary Official: Fortnightly: Section in-Charge Monthly: DD/JD (Branch Officer) Quarterly: Divisional Head.	Same as for receipts.	

MECHANISM FOR MONITORING DISPOSAL OF RECEIPTS AND FILES IN EDITORIAL & TRANSLATION SERVICE

1.	Editing (English) Section	Monitoring through Diary and Registers maintained for the job and also through fortnightly reports.	Primary Official: Section in-Charge. Secondary Official: JD/Director/ Divisional Head.	Same as for receipts.	
2.	Editing (Hindi) Section	Monitoring through Diary and Registers maintained for the job and also through fortnightly reports.	Primary Official: Section in-Charge. Secondary official: JD/Director/ Divisional Head.	Same as for receipts.	
3.	English Debates Section	Monitoring through distribution chart and Registers.	Primary Official: Section in-Charge. Secondary Official: J.D./Director/ Divisional Head.	Same as for receipts.	

1	2	3	4	5	6
4.	Rajbhasha Prabhag	Monitoring through Diary and Registers maintained for the job and also through fortnightly reports.	Primary Official: Section in-Charge. Secondary Official: J D/Director/ Divisional Head.		Same as for receipts.
5.	Synopsis Section	Monitoring through Diary and Registers maintained for the job and also through fortnightly reports.	Primary Official: Section in-Charge. Secondary Official: J D /Director/ Divisional Head.		Same as for receipts.
6.	Translation Section-I	Monitoring through Diary and Registers maintained for the job and also through fortnightly reports.	Primary Official: Section in-Charge. Secondary Official: J D/ Director/ Divisional Head.		Same as for receipts.
7.	Translation Section-II	Monitoring of disposal of receipts mainly relating to Question List provided by Question Branch is done by Section in-Charge.	Primary Official: Section in-Charge. Secondary official: J D/ Director/ Divisional Head.		Same as for receipts.
8.	Translation (Com.-I) Section	Monitoring through Receipts and Dispatch Register and also through fortnightly reports.	Primary Official: Section in-Charge. Secondary Official: J D/ Director/ Divisional Head.		Same as for receipts.
9.	Translation (Com.-II) Section	Monitoring through Receipts and Dispatch Register and also through fortnightly reports.	Primary Official: Section in-Charge. Secondary Official: J D/ Director/ Divisional Head.		Same as for receipts.
10.	Translation (OIH) Section	Monitoring of disposal of receipts mainly relates to Translation of notices as originally received in Hindi for translation into English is done through diary and Distribution Register.	Primary Official: Section in-Charge. Secondary Official: J D/ Director/ Divisional Head.		Same as for receipts.

1	2	3	4	5	6
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MECHANISM FOR MONITORING DISPOSAL OF RECEIPTS AND FILES IN LIBRARY, REFERENCE, RESEARCH, DOCUMENTATIONS AND INFORMATION SERVICES

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| 1. | Media, Education and Audio-Visual Unit | Monitoring through Registers maintained for the purpose. | Primary Official: Section in-Charge.

Secondary Official: J D /Director. | Same as for receipts. |
| 2. | R&L Section | Monitoring through Computerised Diary, Assistant's Diary and File Register. | Primary Official: Section in-Charge.

Secondary Official: DD /JD /Director | Same as for receipts. |

MECHANISM FOR MONITORING DISPOSAL OF RECEIPTS AND FILES IN WATCH & WARD SERVICE

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|----|---------------------|---|---|-----------------------|
| 1. | Watch & Ward Office | Monitoring through Diary Register maintained by all wings except Administration wing which maintains Computerised Diary and disposal of dak through Peon Book Register. | Primary Official: Wing in-Charge.

Secondary Official JD/ Director. | Same as for receipts. |
|----|---------------------|---|---|-----------------------|
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