

**GOVERNMENT OF KARNATAKA**

**KARNATAKA GOVERNMENT  
SECRETARIAT MANUAL  
OF  
OFFICE PROCEDURE  
(REVISED)**

**2005**

**DEPARTMENT OF PERSONNEL AND  
ADMINISTRATIVE REFORMS  
(ADMINISTRATIVE REFORMS -TRAINING)**

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## **PREFACE TO 2005 EDITION**

The first edition of the Secretariat Manual was issued in 1904. The same has been reviewed during 1915, 1925, 1947 and 1956. Consequent on the formation of the enlarged State of Mysore on November 1, 1956, a Manual of Office Procedure for the Secretariat providing for a uniform Secretariat procedure was brought out in 1958. That has been revised and published during 1967. Further revision was taken up during 1985. During 2005, latest revision has been completed and the present edition brought out.

Sri.A.V.Ramamurthy, Joint Secretary (Retd.) Karnataka Government Secretariat was entrusted with the work of revision of Secretariat Manual. This work has been completed with the able guidance of Hon'ble Chief Secretary Sri.K.K.Mishra and Sriyuths Usha Ganesh, A.K.M.Nayak, Santhanu Kansul, and C.S.Kedar all Principal Secretaries to Government who were a part of the core group in the revision work. Smt.Sathyavathi, Deputy Secretary to Government, DPAR(e-Governance) and Sri.Venktaramaiah, Deputy Director, Translation Department have also lent their valuable service in completion of this work. I acknowledge their whole hearted support in completion of revision work.

It is hoped that the revised Manual will help to provide clear guidance to the new entrants to the Secretariat and will be equally useful as a book of reference to the old Secretariat hands. While it sets out to update the process and principles of working, it is also designed to be a book of guidance, and instruction to help the functionaries of the Secretariat.

The Secretariat Manual is a dynamic instrument. Excellence and efficiency in administration being the purpose of Karnataka's governance, the Manual will need constant improvement, alteration to incorporate use of new techniques and technologies. Suggestions, advice and even ideas on superior processes would be invaluable. When sufficient numbers of these are received from perceptive contributors, they can be incorporated in the subsequent editions of the Manual.

**S.M.ACHARYA**  
Principal Secretary,  
DPAR (AR)

## **PREFACE TO 1969 EDITION**

The first edition of the Secretariat Manual was issued in 1904. It underwent revision in 1915, 1925 and 1947. After the coming into force of the Constitution of India in January 1950 several changes in rules and procedure were introduced. These were embodied in a revised and enlarged edition issued in 1956. Consequent on the formation of the enlarged State of Mysore on November 1, 1956, a Manual of Office Procedure for the Secretariat providing for a uniform Secretariat procedure was brought out in 1958. Subsequently, a revised edition was published in 1967.

The present revision was undertaken in the context of a drive launched by Government recently to speed up the disposal of Government business and clear the back-log of a large number of long-pending cases. This necessitated a thorough stock-taking and examination of the current methods and procedures of work. A comprehensive review was undertaken to locate the points of delay in the flow and processing of communications addressed to and the formulations of decisions thereon by Government. Some of the age-old procedures for such routine mechanical tasks as diarising and despatch of incoming and outgoing letters, has over the time become otiose and needed simplification. The hierarchical set-up in the Secretariat had given rise to a multiplicity of levels through which a paper was routed as a matter of necessary routine regardless of the hold-up of files and resultant delays. In the light of this diagnosis, the relevant provisions of the Secretariat Manual for the transaction of day-to-day business, particularly those which relates to the arrangement of papers in a file, the manner and content of noting, the form and the drafting of Government Order and decisions, delegation of powers and responsibility for decision making have been considerable modified. The main criteria for justification of change are speed of disposal and avoidance of unnecessary clerical tasks and economy of work of all kinds. Every little operation has to be examined analytically to determine whether it serves any essential purpose or the labour involved is commensurate with the value of the results achieved. In any well run efficient organisation, members of the team must have definite assigned tasks. An attempt has, therefore, been made to spell out the duties, functions and powers of Secretariat officers at all levels.

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It is hoped that the revised Manual will held to provide clear guidance to the new entrants to the Secretariat and will be equally useful as a book of reference to the old Secretariat hands. While it sets out the “drill” and rules of working, it is also designed to be a book of instruction.

Efficiency is a matter of continual striving. It will, therefore, be necessary to subject to methods and procedures now being introduced to constant review. We shall be glad to incorporate any further modifications which may become necessary in the light of experience.

R.N. VASUDEVA,  
Chief Secretary to Government.

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## INTRODUCTION

The Secretariat Manual of Office Procedure was last revised during the year 1985. The Manual sets out the structure of the Secretariat organisation, its functionaries with duties and responsibilities, forms and procedures for work processing, disposal, monitoring, etc.

02. Transparency in the management of public affairs, is now an obligation. Therefore improvement in the levels of efficiency of services, concern for just and equitable considerations in matters concerning public and timely disposal of their grievances take on a special significance. The systems and procedures incorporated in the earlier Manual have to be altered suitably in tune with the new requirement having regard to such needs and instruments of change that have come about.

03. The Administrative Reforms Commission appointed by the Karnataka Government has made valuable and specific suggestions to be incorporated in the Manual. They are –

- (a) to incorporate efficient management and secretarial practice to professionalise the Secretariat functioning;
- (b) shift the entire orientation of the Manual to become officer-oriented;
- (c) prescription of time frame for file processing at all levels;
- (d) deletion of references to the use of typewriters, typing pools and Typists;
- (e) to see how information technology can be utilised in the areas of meeting notices, tracking file movement and record management;
- (f) Right to Information Act;
- (g) simplification of procedure in writing performance reports of Section Officers and Under Secretaries and
- (h) attendance.

04. The Karnataka Right to Information Act, 2000 is an effort towards transparency in public administration and this also impacts on the contents of the Manual.

05. The increased provision of computers and printers, introduction of enabling software, the installation of a Secretariat LAN / WAN and the systematic training of Secretariat staff in the use of computers have necessitated a fundamental change in the work processes. An attempt has been made in this

revision to incorporate such technological changes and reforms which have been introduced.

06. The Manual is primarily a functionary's user guide and lays down the methods and procedures for work processing. There are Rules like the Karnataka Government Transaction of Business Rules, the Karnataka Government Allocation of Business Rules and special Rules and directions issued by the Departments of Secretariat under Acts and instruments authorising such issue. The instructions in the Manual have to necessarily be supplemented with such Rules, special Rules, directions, etc., issued by the various Departments in relation to work assignments in those Departments.

07. The Secretariat of e-governance has drawn up programmes of training in computers and their use to facilitate adoption from manual systems to electronic functioning for transaction of Government business in the Secretariat. The provision of hardware, software, training, etc., is a continuous process and the Manual, as revised, presents a blend of manual and electronic operations.



## CHAPTER I

### A. DEFINITIONS

08. In this Manual unless the context otherwise requires:
- (a) “Allocation Rules” means the Karnataka Government (Allocation of Business) Rules, 1977;
  - (b) “Attendance Monitoring System” means a computerized software along with special devices to capture attendance data such as arrival time, duration of absence from Section, leave at credit and availment and monthly aggregate of hours of duty and absence of employees;
  - (c) “Content Management System” means a computerized software for drafting, editing, printing, mailing, recording Government Notifications, orders, circulars, memoranda, etc.
  - (d) “Correspondence portion” in relation to a file means the portion containing receipts and office copies of documents issued pertaining to the subject matter of the file including self-contained briefs and inter-Departmental notes but excluding those recorded on the notes portion of the file itself;
  - (e) “Current file” means a file on which action has not been completed;
  - (f) “Dealing hand” means any functionary such as Assistant or Senior Assistant entrusted with initial examination, noting, drafting and includes such functionary assisting the Desk Officer;
  - (g) “Department” means a Department of the Karnataka Government Secretariat specified in Schedules to the Karnataka Government (Allocation of Business) Rules, 1977;
  - (h) “Desk Officer” means an officer assigned well-defined sub-functions or activities in the charge of desk and includes a SO or Under Secretary;
  - (i) “Desk Officer system” means an officer-oriented work unit within a Department with specific tasks assigned to it;
  - (j) “Docketing” means making of entries in the notes portion of a file about the serial number assigned to each item of correspondence (whether receipt or issue) for its identification;
  - (k) “File” means a collection of papers on a specific subject matter assigned a unique number and consisting of one or more of the following parts;
    - (i) correspondence;
    - (ii) notes;
    - (iii) appendix to correspondence;
    - (iv) appendix to notes;
  - (l) “File Monitoring System” (FMS) means a customised computer application software for creating, monitoring, backing and closing files in the Secretariat.
  - (m) “Final disposal” in relation to a case under consideration means completion of all action thereon culminating where necessary in the issue of final orders or final reply to the party from which the original communication emanated;
  - (n) “Fresh receipt” means any subsequent receipt on a case which brings in Additional information relating to a paper under consideration;
  - (o) “Issue” means a communication issued in a case;
  - (p) “Leave Management System” means a computerised software for sanction and tracking of leave proposals of the employees;

- (q) “Letter Monitoring System”(LMS) means a customised computer application software for receiving, indexing and monitoring receipts received by the concerned Section / establishment;
- (r) “Minute” means a note recorded by the Governor, the Chief Minister, a Minister or a Minister of State;
- (s) “MIS reports” means various reports generated using customised application software such as LMS, FMS etc.;
- (t) “Note” means the remarks recorded on a case to facilitate its disposal and includes a précis of previous papers, a statement or an analysis of the subject requiring decision, suggestions regarding the course of action and final orders passed thereon;
- (u) “Notes portion” in relation to a file means the portion containing notes or minutes recorded on a case;
- (v) “Paper under consideration” (PUC) means a receipt on a case, which is the subject matter of consideration;
- (w) “Personal staff” in relation to a functionary means and includes Private Secretary, personal Assistant, Stenographer, Assistant, or any other staff appointed to assist a functionary
- (x) “Personnel Information System” means authorised computer software for storing and updating of important data of the employees in the Secretariat;
- (y) “Postal communication” means a communication received or despatched by post and includes a telegram;
- (z) “Receipt” means disaggregated tappal after it has been received by the concerned Section/officer;
- (aa) “Recording” means the process of closing a file after action on all the issues considered thereon have been completed and includes operations like completing references, papers, revising the file title, changing the file cover and stitching the file, classifying and sending it to Records Section;
- (ab) “Section” means the basic work unit within a Department, responsible for attending to items of work allotted to it. It is generally headed by a SO and includes ‘Cells’, ‘Unit’ and other like terms;
- (ac) “Section Officer ” means an officer supervising a Section and includes functionaries;
- (ad) “Standing guard file” on a subject means a compilation consisting of the following three parts:
- a running summary of the principles and policy relating to the subject with number and date of relevant decisions or orders quoted in margin against each;
  - (ii) copies of the decisions or orders referred to, arranged in chronological order and
  - (iii) model forms of communication to be used at different stages.
- (ae) “Suspense or sus” means a stage, other than entry in a call book, in which Additional information / clarification has been sought on a proposal and reply is awaited till a given date or where a proposal has been made for action / sanction or information is sought or nominations etc., are invited and the case is reopened on a given date in future;

(af) "Tappal" includes every type of written communication such as letter, telegram, saving gram, downloaded copy of e-mail, interdepartmental note, file, which is received, whether by post or otherwise, in any Department for its consideration;

(ag) "Transaction Rules" means the Karnataka Government (Transaction of Business) Rules, 1977;

(ah) Web Site : A location on the World wide (Internet) designated for the exclusive use of the owner/Department. Such a site is maintained, updated and owned by a Department and is made accessible to the public for information and / or interaction.

Words and expressions used but not defined herein shall have the same meanings assigned to them in the Transaction of Business Rules.

## B. Secretariat Organization

**9. The Karnataka Government:** Executive power of State is vested in the Governor and is exercised by him either directly or through officers subordinate to him in accordance with the provisions of Constitution of India. There is Council of Ministers with the Chief Minister at the head to aid and advise the Governor in the exercise of certain functions except those that he is required to exercise at his discretion by or under the Constitution.

**10. The Council of Ministers:** In exercise of his functions, the Governor is aided and advised by the Council of Ministers headed by the Chief Minister. The Council of Ministers consists of –

- (i) Cabinet Ministers
- (ii) Ministers of state

The Cabinet, consisting of the Cabinet Ministers, is responsible for formulating the overall policies of the Government. This may also be done through its committees.

**11. Transaction of Business:** The Governor of Karnataka, in exercise of the powers conferred by clauses (ii) and (iii) of article 166 of the Constitution of India, has made the following Rules for the smooth conduct of the work of Government:

- (a) The Karnataka Government (Transaction of Business) Rules, 1977 hereinafter referred to as Transaction Rules;
- (b) The Karnataka Government (Allocation of Business) Rules, 1977 hereinafter referred to as Allocation Rules.

**12.** According to Rule 6 of the Transaction Rules, subject to provisions of those Rules in regard to consultation with other Departments, the business allotted to a Department will be disposed of by or under the direction of the Minister in charge, subject to –

- (a) classes of cases which shall be brought before the Cabinet as specified under first schedule to the said Rules;
- (b) the cases which shall be submitted to the Chief Minister according to second schedule; and
- (c) the cases which shall be submitted to the Governor as in third schedule of the said Rules.

**13.** Business of the Government shall be transacted in Departments of the Secretariat specified in the schedules of Allocation Rules. A Department is responsible for formulation of policies of Government in relation to business allocated to it and also for the execution and review of those policies.

**14.** All executive actions of the Government shall be expressed to be taken in the name of the Governor. Orders and other instruments made and executed in the name of the Governor shall be authenticated in such manner as may be specified in the Transaction Rules.

**15. Secretariat:** Each Department of the Secretariat shall generally be under the control of one or more Principal Secretary(ies) / Secretary(ies) to Government. The work of the Department may be divided between two or more Principal Secretaries / Secretaries. More than one Department may also be placed in charge of a single Principal Secretary / Secretary.

**16.** The Principal Secretaries/Secretaries may be assisted in the discharge of their work by such number of Special Secretaries, Additional Secretaries, Joint Secretaries, Internal Financial Advisers, Heads of Legal Cell, Deputy Secretaries, Under Secretaries and Section Officers as may be decided from time to time.

**Note.-** A Special Secretary to Government occupies such position in relation to the Secretary as may be specified.

**17.** For efficient disposal of business, a Department may be divided into Sections, cells or divisions and wings. A list containing the Sections/cells/divisions etc., in each Department together with the subjects dealt with therein will be published by the Department every time a change is made.

**18.** Each Section may be allotted such number of Assistants and/or Senior Assistants, Junior Assistants, Typists and group 'D' staff as the volume of work warrants.

**19.** A Department may be allotted a number of Stenographers/Senior Stenographers, who may be either attached to officers or to Sections or kept in a pool for common use. Stenographers attached to officers will also act as their personal Assistants vide para - 47.

**20.** The general records Section (excepting multi-graph and binding Section), which is the repository of all records to be retained beyond one year, forms part of the Karnataka State Archives and is under the control of the Director of Archives.

**21.** The Secretariat is served by a general receipts and despatch Section. This Section receives all non-electronic communications addressed to officers in the Secretariat and despatches all communications sent out by the Departments of the Secretariat.

**22.** There is a Secretariat library, which contains books and periodicals for the use of the Secretariat personnel, for reference and general study. The library is for the use of members working in the Secretariat and such others as may be specially authorised.

**23.** The multi-graph and binding Section, the general receipts and despatch Section and the library form part of the Department of Personnel and Administrative reforms.

## CHAPTER II

### **Powers and Duties of the officers of Secretariat**

**24. Chief Secretary:** The administrative control of the Karnataka Government Secretariat (service) rests with the Chief Secretary to Government. Subject to such general or special directions as the Chief Secretary may issue from time to time, Additional Chief Secretary / Principal Secretary / Secretary / Additional / Joint / Deputy or Under Secretaries in the Department of personnel and administrative reforms who are assigned the specific responsibilities will attend to matters relating to appointments, postings, leave, retirement and disciplinary action of the Secretariat personnel.

**25.** Chief Secretary has the overall responsibility for efficient functioning of the Secretariat as well as the entire machinery of the Government. For this purpose an Administrative Reforms Division in the DP&AR has been created. It has been entrusted with the responsibility of continuously reviewing the disposal and out put of work of Government and making systematic studies for administrative improvements and reforms. The Administrative Reforms Division will work under the control and direction of the Additional Chief Secretary.

**26.** Chief Secretary exercises, in addition to the duty of a Secretary in respect of the Departments, directly under his control, superintending control over the whole Secretariat administration including the staff attached to the Ministers and is empowered to take all necessary steps for the efficient functioning of the Secretariat. Chief Secretary is also the Secretary to the Cabinet. In order to discharge those functions he may call for any information relating to any case in any Department and ask any concerned Principal Secretary / Secretary / Special Secretary or head of Department to put up any papers, files or records to him.

**27. Additional Chief Secretary:** Additional Chief Secretary will be directly in charge of Administrative Reforms Division of DP&AR responsibilities as those of Chief Secretary. He will be directly in charge of the Administrative Reforms Division of the DP&AR. He will give full attention to the disposal of pending files in the Secretariat as well as in the field subordinate offices. He will supervise the implementation of the arrears clearance drive, collect information about clearance of arrears and issue such follow up instructions as are considered necessary to ensure that all old cases are disposed off and that matters are attended to expeditiously. Additional Chief Secretary will also deal with such items of work as are entrusted to him by Government from time to time.

### **28. Principal Secretaries / Secretaries / Special Secretaries:**

The Principal Secretary/Secretary/ Special Secretary is the head of a Secretariat Department. A Department having a Principal Secretary and a Secretary or a Special Secretary subject to the specific orders of the Government to the contrary, shall be fully responsible for the subjects of the Department entrusted to each officer by the Senior most officer among the three/two. The Senior most of these officers may call for any of the records and attend to the same.

**29.** The Principal Secretary/Secretary/Special Secretary in a Department is a Secretary to Government and not a Secretary to the Minister in charge of the Department. They shall adhere to the Transaction of Business Rules and Allocation of Business Rules. It is their duty to place all the relevant facts relating to a case and advice to enable the Minister to pass final orders on any case going to the Minister for a decision.

**30.** It shall also be the duty of the Principal Secretary/ Secretary to draw the attention of the Minister to the fact that any proposed course of action suggested in the minutes etc., is contrary to the provisions of any Rule or law or is at variance with the policy hitherto adopted by Government. Wherever any course of action decided by the Minister is contrary to the provisions of any Rule or law or is at variance with the policy hitherto adopted by Government, it shall be the duty of the Secretary to draw attention of the Minister to this fact. He shall resubmit the file / papers to the Minister drawing his attention to this fact. In case, the Minister were to reiterate his orders or pass orders which are not in accordance with Rules / laws / policies, the Principal Secretary / Secretary, shall refer the matter to the Chief Secretary. The final decision about the legality or otherwise of a course of action shall thereafter be taken in consultation with law Department.

**31.** The Secretary exercises general supervision and control over the staff under him and is responsible for seeing that the members of the staff do the work allotted to them efficiently and expeditiously.

**32. Additional Secretaries / Joint Secretaries / Deputy Secretaries :**

These are important middle management level officers of the Government in the Secretariat. They will exercise final decision making powers as delegated to them by the Principal Secretary/Secretary from time to time.

This level officers specific inputs in the decision making process are: Examine the case in terms of the priority policy of Government, explain what is sought to be done, decide what facts and figures are needed, obtain and tabulate facts and figures, evaluate alternative courses of action that could be taken, opine on optimal course to be taken giving reasons.

**33. Internal Financial Adviser:** Government may appoint an Internal Financial Advisor for a Department or a Group of Departments. Such an appointment will be made in consultation with the Finance Department. The inputs of the Internal Financial Advisor in the Secretariat's decision making process are: to examine and advice on all issues having an impact on the Department's budget, having a financial implication of a short, medium or long term nature, render advice on financial prudence, preparation of Department Budget tracking Audit Reports and action taken reports and the items covered in the Government of Karnataka (Consultation with FA) Rules and circulars/orders issued from time to time.

**34. Heads of Legal Cells:** The Head of legal cell is generally appointed from the judicial services. He could be of the level of a civil judge where the number of cases in a Department exceeds 2000. In other Departments, the legal cell may be headed by a civil judge (Jr. Division) with a minimum service of five years in that cadre. A legal cell may attend to the work relating to one or more Departments. If

sufficient number of serving judicial officers are not available the Government may appoint retired judicial officers to head the legal cells on contract basis. Legal cells may consist of such supporting staff as may be decided by Government from time to time depending upon the number of cases handled. Government orders laying down the duties and responsibilities of the head of legal cell are given in the **Appendix-II**.

**35. O & M officers:** An Additional Secretary/Joint Secretary/Deputy Secretary who is nominated as organization and methods officer of the Department will discharge the following duties and functions connected with O & M as a part of his responsibilities.

- (i) Liaise with DP&AR (AR) in O & M and other activities for improvement of administration and increasing level of efficiency in the Secretariat and field Departments;
- (ii) Look into the training requirements of the Secretariat Departments and also of subordinate Departments and ensure that adequate measures are taken in this regard;
- (iii) Implementation of the inspection programmes of the Secretariat Department and field Departments under their control;
- (iv) Standardization of forms, delegations of powers, monthly staff meetings, simplification of procedures etc.;
- (v) Enforcement of standing Rules, orders, etc., pertaining to office procedure and other related matters and securing their compliance.

**36. Under Secretaries:** An Under Secretary is the junior most officer on the first rung of the Secretariat hierarchy authorised to issue orders in the name of the Governor of Karnataka under Rule 19 of the Transaction Rules. He exercises control over the Section or Sections placed in his charge both in regard to the conduct of business and in regard to discipline. It is his duty to check delays, control superfluous noting and prolixity of language, whether in notes or drafts, enforce the rigid observance of all Rules in regard to office notes, drafting, referencing, indexing, recording, etc., and to ensure that careless and dilatory subordinates are brought to book.

**37.** In accordance with the recognized practice of delegation of powers and such specific instructions as the Secretary may issue from time to time, the Under Secretary (US) he may pass final orders in cases where powers are delegated. In all other cases, the Under Secretary (US) will see that points on which orders are required, are clearly and concisely asked for. The Under Secretary (US) will ordinarily express his own views. When the Government has passed orders in a case, the US shall see that those orders are conveyed accurately, clearly and in suitable language to those whom they concern and that all relevant points are dealt with in the communication to be issued.

**38. Section Officer s:** The Section Officer (SO) is an officer who is in-charge of



a Section. He is primarily responsible for the general efficiency of the Section in his charge and is directly responsible to the officers under whom he works for the efficient and expeditious dispatch of business at all stages. He has overall responsibility for all files and papers relating to subjects allotted to the Section and maintained by the Senior Assistant/Assistant under him. He must keep a check on prompt action on all papers, communications and files received and ensure that urgent and immediate cases are dealt with in accordance with the assigned priorities. He will ensure that the notes and drafts originating from his Section are accurate. He will guide them and own the ultimate responsibility. He will ensure that files submitted by the dealing hands are strictly in accordance with the provisions of the Manual and exercise a close scrutiny in the matter of submission of files to higher officers. He shall check the inbox and take prompt action on the incoming mail.

**39.** Besides being responsible for the general supervision of work or of the staff in his Section, a SO should also personally handle important and intricate cases where he should, if required, summarize facts of the case and record the appropriate noting, etc., himself. Even in cases, where the dealing hands have been permitted to submit papers direct to Under Secretary, the SO will be responsible for exercising general control and supervision over their working. The details of the duties, responsibilities and powers of the Section Officer with a check list are given in **Appendix- I**.

**40. Single File System (SFS):** (i) The single file system is applicable only to Heads of Departments(HOD) located in Bangalore. The intention of the single file system is that all proposals from heads of Departments should come under the single file system. However, to begin with, Secretaries to Government are authorised to identify the type and nature of issues / subjects which shall be dealt with under the single file system.

(ii) Certain types of cases where legal aspects or where inter-Departmental issues are involved and where Departments feel it necessary, a parallel file may be opened by the concerned Secretariat Department and the specified order / decision recorded in the Department file, be communicated to the Heads of Departments(HOD).

(iii) Before sending a file under the SFS to the Secretariat, the following guide lines should be followed –

(a) the file cover of the SFS should prominently show the name of the field Department and indicate boldly “SFS File”. The SFS file should be complete in all respects so as to enable the Secretariat Department to take an expeditious decision; hence the field Department will ensure that

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i. every point for decision / order is clearly brought out

- ii. all relevant connected papers are placed on the file, properly arranged and referred to. The available funds is certified
- iii. the head of the field Department will mark such files to the officer in the Secretariat Department by name. Policy files, however, will be referred to the Department at the appropriate levels as may be decided by the Secretary to Government and the HOD.

(b) All SFS files will be routed through R&I Section of the Department (R&I Section). Their receipt will be entered in a separate register which will also record against the relevant receipt entry the return of the file to the field Department.

(iv) As a Rule, all notes for the Department will be on the field Departments file. However, where sensitive and delicate matters in the sphere of personnel, policy issues and finance are involved general or special orders may be issued by the Department permitting the opening of a shadow or parallel file to record the decision process after which the final decision being suitably recorded on the SFS file.

(v) The Secretariat notes on a SFS file will start on a new page and the noting done subsequently except in matters referred to in the preceding para.

(vi) Action to implement the Government decision in SFS files will be initiated in and by the field Department on return of the file. Orders so issued should specifically state that they have received the concurrence of the Government in the Department concerned. Copies of every sanction for order so issued by the field Department will be endorsed without fail to the officers concerned in the Department. Where the need arises to issue a G.O., such an order shall be issued by the Secretariat Department and a copy placed in the single file before returning it to the field Departments. If Secretariat Departments consider it necessary it can retain the copies of the important documents for reference before returning the file to the field Department.

(vii) All files originating from the head of the Department need not be examined at all levels in the Secretariat. The Principal Secretary / Secretary to Government shall issue orders or instructions to the head of the Department indicating which type of file should be marked to which officer in the Secretariat and also issue orders indicating the levels through which different types of files will move.

**41. Senior Assistants / Assistants:** A Senior Assistant/Assistant works under the orders of the SO and is responsible for the work entrusted to him. Each Assistant in a Section is allotted a certain number of subject headings. His duties mainly are:

- (i) To acknowledge receipts in the LMS;
- (ii) To segregate receipts according to their priority marking;
- (iii) Where receipts have been disposed of without the need for opening a new file, to update the LMS appropriately;
- (iv) to examine and put up suitable notes and drafts on cases promptly and submit them to the SO after properly referencing and paging them;

(v) to ensure that the notes are submitted on files in such manner that they do not end at the bottom of the note sheet, but are appropriately spilled over on the next page, so as to enable the officers to give their orders below the note and in continuation thereof;

(vi) to ensure that the instructions contained in paras are followed strictly in the matter of noting and drafting;

(vii) To enter movement of existing as also new files in the FMS.

(viii) To maintain the electronic folders created and used by him on the computer, for storing of various standing orders, precedents, etc. using various applications like MS Word, Excel etc. He shall protect them by appropriate use of password. He shall delete unnecessary files from time to time;

(ix) to maintain properly the standing guard files and other necessary registers;

(x) to keep papers and files in tidy condition;

(xi) to ensure that sus files are properly marked using FMS and retrieved on the appropriate future date for issue of reminders or review etc. Files to be entered in call book should also be marked using FMS and revived for action at regular intervals;

(xii) to ensure that reports/returns if any, are received/submitted at the appropriate time;

(xiii) to maintain data on all files created and monitor their disposal using FMS;

(xiv) to maintain the books/publications connected with his work amended and upto-date and

(xv) to generally assist the SO in whatever manner he may desire in the proper functioning of the Section.

**42.** It is the responsibility of Senior Assistants / Assistants to immediately deal with papers / files marked urgent / immediate etc. All other papers / files should be dealt with in the order in which they are received. He must ensure that papers / files do not pile up on his desk and to the extent possible the papers / files are disposed off on day to day basis.

**43. Junior Assistant:** A Junior Assistant is entrusted with the routine duties of maintaining prescribed registers, despatching and recording of cases. In addition, Junior Assistant shall assist in the preparation of statements and periodical returns, issue of reminders and comparing of fair copies. While performing these functions he shall use FMS/LMS.

**44.** Duties and responsibilities of Junior Assistant:

- (i) Receive and acknowledge all receipts sent by R&I Section and receipts / files directly received in the Section using LMS / FMS and maintain a copy of acknowledgment issued.
- (ii) mark the receipts / files as assigned to dealing hands by SO in the computer using LMS / FMS and generate reports.
- (iii) Create and move files using FMS and assist the SO in generating such reports necessary for monitoring work in the Section;
- (iv) Generate MIS reports as and when required in Section and assist in sending fair copies for issue

to R&I Section.

**45. Personal Assistants / Senior Stenographers / Stenographers:** A Stenographer is generally employed on stenographic work. However he may be called upon whenever necessary to assist in word processing and comparing work particularly of confidential papers. He will also be responsible for accuracy and tidiness of documents. A Stenographer attached to officer(s) may also be required to act as personal Assistant. The principal duties and responsibilities of personal Assistant-cum-Stenographers are specified in **Appendix –III** .

**46. Typists:** Typists should generally attend to data entry work in the Section. Should have knowledge of categorization of documents, savings and retrieval for future use. He shall be also responsible for inputting data of drafts of Government orders / circulars / Notifications using document management software. He shall also ensure that once the final order is signed in ink and issued, the same is scanned using the said software.

**47. Personal Secretaries Grade-1 / Personal Secretaries Grade-2 / Gazetted Personal Assistants:** Having regard to the arduous nature of work and higher responsibilities in personal establishments of senior functionaries, certain posts of Gazetted personal Assistant, personal Secretaries grade-2, personal Secretaries grade-1 have been created. In addition to the duties and responsibilities indicated in **Appendix-III**, the holders of these posts shall provide such secretarial assistance as may be required in the personal establishments of senior functionaries.

**48. Group 'D' employees:** The duties and responsibilities of group 'D' employees working in the Karnataka Government Secretariat as -

- (i) Jamedars
- (ii) Dalayats;
- (iii) Daffedars;
- (iv) Cycle orderlies;
- (v) Despatch riders;
- (vi) Watch and ward;
- (vii) Sweepers and Scavengers and
- (viii) Lift attenders, etc., shall be as laid down as in (the Annexure to O.M.No.DPAR 44 AAR 79, dated: 12<sup>th</sup> September 1980) **Appendix-IV** .

**49. Desk Officer System:** All principal Secretaries/Secretaries have been authorised to implement the Desk Officer system in their Departments. The Desk Officer (DO) is appointed in pursuance thereof may be of the cadre of US or Section Officer .

**50.** Normal duties and responsibilities of the officers working under the Desk Officer system and the procedure to be followed in implementing the system will be as follows:-

(a) The subjects dealt with in the Section will be reallocated among the DO(s) (US or SO) and each of these officers will be responsible for initiating action and disposal of all cases / references or receipts pertaining to the subjects allocated to them;

(b) The DO will examine and initiate noting at his level and deal with other cases in accordance with the Transaction Rules and other instructions;

(c) The DO will also prepare replies and issue them as per delegation of powers;

(d) The DO will supervise the work of all the subordinate staff attached to him in his group and will discharge duties and responsibilities as envisaged in the Manual;

(e) The DO(s) will be responsible for keeping the higher officers informed of all important developments, problems or difficulties in the cases dealt with by them;

(f) Dealing hands will help the DO to whom they are attached in quick and efficient disposal of cases allocated to the group. They should show initiative and intelligence in identifying ways to facilitate decisions on cases by collecting and presenting relevant material, maintaining up to date Acts and Rules, instruction, digest of important previous decisions etc.;

(g) Dealing hands shall docket, reference and number the files and also open new files using FMS. The receipts with the material so collected, referenced and arranged should be given to the DO. The work of issuing reminders, getting fair copies, comparing and submitting for signature of DO / higher functionary should also be attended by them. They should also assist the DO in preparation of statements, consolidation and analysis of information etc., besides their present duties;

(h) The DO should see all incoming receipts / files and assign them to the dealing hands concerned for taking necessary action such as taking them on file and updating them in LMS / FMS or opening new file using FMS;

(i) The DO should, after obtaining files from the

dealing hand examine the papers along with relevant material and taking into consideration the existing policy, precedents, standing orders, determine the line of action;

(j) If the line of action proposed is within his delegated powers, the DO should proceed to record his noting and issue appropriate replies or orders;

(k) If DO needs any direction or guidance from higher officer, e.g. on important cases, which as per delegation could be disposed of at his own level (DO) he should take the case personally to that officer and seek guidance;

(l) Where the cases require approval of the higher authorities including Chief Minister / Governor / Cabinet, he should submit such cases to the next higher authority with a self-contained note on the issues involved suggesting the course of action wherever possible having regard to precedents and instructions applicable in such cases. Upward and downward movement of files shall be entered using FMS.

**51.** The DO so appointed can, inter alia, be delegated the following powers:

(a) Authentication of orders or sanctions to be issued in the name of the Governor as per Rule 19 of the Transaction Rules;

(b) Making reference to other Departments, seeking advice, information etc., in accordance with the Allocation Rules;

(c) Writing to heads of Departments and other subordinate officers for data, clarification, factual information, etc.;

(d) Disposal of cases at his own level as per delegation of powers.

## CHAPTER III

**52. Receipt of tappals, their acknowledgment and distribution:** A receipt may be a communication received by hand, through normal postal system, courier, fax, e-mail, etc. The General Receipt and Despatch (**GRD**) Section and the R&I Sections of the various Departments are mainly concerned with the initial receipt and distribution of tappal as indicated in this chapter. The following will be the arrangement with regard to receipt of communications from outside addressed to Ministers and other Secretariat functionaries:

### **General receipt and despatch Section:**

- (i) The general receipt and despatch Section in the DP&AR will collect tappal bags relating to Secretariat Departments from the post office;
- (ii) It shall be sorted out Department-wise and kept in the respective boxes assigned to the Departments and the R&I Section of each Department shall collect the tappals from the box assigned to it. The time of collection and identity of person collecting shall be registered electronically;

### **Tappals, addressed to Chief Secretary:**

- (iii) Receipts addressed to the Chief Secretary by name and those marked 'Secret' and 'Confidential' will be received in the R&I Section of DP&AR and sent unopened to the personal establishment of Chief Secretary;
- (iv) Communication by e-mails / facsimile (fax) addressed to Chief Secretary by name shall be treated at par with DO letters addressed to him;
- (v) Telegrams addressed to Chief Secretary by name or designation will be received in the personal establishment of Chief Secretary;
- (vi) All receipts, including registered/speed post, insured articles, etc., addressed to the Chief Secretary by designation and received in GRD Section will be opened and sent to the R&I Section of DP&AR, which will send them to the concerned officers/Sections;

### **Tappals addressed to other functionaries in the Secretariat:**

- (vii) tappals addressed to Minister / Minister of State / any other official of the Secretariat by name will be received by the GRD Section and passed on unopened to the personal establishment of the Minister / Minister of State / official concerned, as the case may be;
- (viii) envelopes addressed to officials by name and marked 'Secret' or 'Confidential' will also be sent unopened to the addressees direct;
- (ix) tappals meant for Ministers and Secretariat officials can also be directly received by R&I Sections of concerned Departments;
- (x) Secret and confidential covers not addressed by name to an officer of the Department will be received by the US in charge of the R&I Section of

the Department who will open the envelope and mark the receipts to the officers / Sections concerned in sealed covers. Entry of such letters shall also be made in LMS and sent to the officers / Sections concerned with Form 1 in duplicate for purpose of acknowledgment;

- (xi) registered post, insured articles, telegrams and such important / priority tappals addressed by name will be received directly by the officers;
- (xii) all Secretariat officials, Ministers' establishments, etc., can also receive tappals / mails addressed to them directly;
- (xiii) In every case where tappal including a file is hand delivered, its receipt shall be acknowledged by the recipient in the prescribed form with his signature, name and designation in full in ink and affixing office stamp;
- (xiv) Personal Assistants to Ministers, Secretaries, etc., shall acknowledge receipt of files / papers sent by the Sections for orders of Ministers / officers concerned with their signature, name and designation in full.

**53.** R&I Sections / personal establishments of senior functionaries / personal establishments of Ministers / Sections shall enter all incoming receipts/communications in LMS. After entering such receipts/communications using LMS these receipts/communications will be marked in LMS to the concerned Section/establishment. These receipts will be sent physically to the concerned Section/establishment along with copy of the list of letters sent report generated from the computer and obtain due acknowledgement from the concerned Section. Report generated using LMS is illustrated at Illustration No. – 1 below:



**ILLUSTRATION NO. -1**

ಕ್ರಮ ಸಂಖ್ಯೆ	ಸಂಖ್ಯೆ	ಪತ್ರದ ಸಂಖ್ಯೆ, ದಿನಾಂಕ ಮತ್ತು ವರ್ಗ	ವಿಷಯ	ಯಾರಿಂಬ	ಸಹ
<b>ಯಾರಿಗೆ ಕಳುಹಿಸಲಾಯಿತು (ಶಾಖೆ/ಇಲಾಖೆ) Principal Secretary</b>					
1	485 /10/2005	ಎ2/ಎನ್‌ಬಿಆರ್/ಸಿಆರ್‌60/2002-01	ಮೆ: ಸ್ಪೆಷಿಯಲ್ ಪವರ್ ಕನ್ಸರ್ಟ್ ಪ್ರೈವೇಟ್ ಲಿ., ಟೆಂಗಲೂರು ಇವರು ಭದ್ರತಾ ತೇವಣಿಯ ಮೊತ್ತವನ್ನು ಹಿ	ಮುಖ್ಯ ಅರಣ್ಯ ಸಂರಕ್ಷಣಾಧಿಕಾರಿ	ಸಾಮಾಜಿಕ ಅರಣ್ಯ ಟೆಂಗಲೂರು.
		11/01/200			
2	604 /10/2005	ಬಿ5/ಡಿಆರ್/ಪಿಆರ್-17/2004-05	ಕೂಲಿಗಾಗಿ ಹಳು ಕಾರ್ಯಕ್ರಮದಡಿಯಲ್ಲಿ ಅಪಾರ ಧಾನ್ಯಗಳ ವಿತರಣೆಯ ಬಗ್ಗೆ ಪ್ರಗತಿ ವರದಿ.	ಮು. ಅ. ಸಂ(ಅಭಿವೃದ್ಧಿ) ಅರಣ್ಯ ಭವನ,	ಟೆಂಗಲೂರು
		12/01/200			
<b>ಯಾರಿಗೆ ಕಳುಹಿಸಲಾಯಿತು (ಶಾಖೆ/ಇಲಾಖೆ) Secretary-Environment</b>					
3	3 /10/2005	ಎಂಎನ್‌ಆರ್(1)ಇಎನ್‌ಬಿ.ವಿಪ.7/2003-04	ಡಿ.ಪಿ.ಸಂ: 860/1991 ಪ.ವ.ಸಂ ಕುರಿತು ಸಿವಿಮಾ ಸ್ಕೆಡುಗಳ	ಜಿಲ್ಲಾಧಿಕಾರಿಗಳು	ಶಿವಮೊಗ್ಗ
		14/10/200			

Similarly, when the files are sent to various Section by personal establishment of senior functionaries/personal establishments of Ministers using FMS, a report as illustrated at Illustration NO-2 below shall be generated from the computer and along with a copy of such report, the files would be physically sent to the concerned Section. Due acknowledgements shall be obtained on the copy of report

**ILLUSTRATION NO -2**

**Files sent by Sections:**

FMS - [files\_sent\_reg]

File Window Help

**ಶಾಖೆಯಿಂದ ರವಾನೆಯಾದ ಕಡತಗಳ ಪಟ್ಟಿ**

**ಇಲಾಖೆ** Forest, Ecology and Environment  
**ಶಾಖೆ** SO-ENV-B  
**ಒಟ್ಟು** 211 **ಇಂದ** 01/01/2005 **ವರೆಗೆ** 22/01/2005

ಕ್ರಮ ಸಂಖ್ಯೆ	ಕಂ.ಕ್ರಮ ಸಂಖ್ಯೆ	ಕಡತ ಸಂಖ್ಯೆ ವಿವರ	ರವಾನೆ ದಿವಾಂಕ	ಹೊರಡಿಸಿದ ಕಡತಗಳ
ಎಲ್ಲೆಗೆ ರವಾನೆ Forest, Ecology and Environment Secretary-Environment				
1	7612	fee117eco2002 ENVIS programme under environment managment capacity building	01/01/2005	
2	8615	FEE107ENVB2002 regarding problems in bangalore city	01/01/2005	
3	12102	FEE125ENV2003 The Biological diversity Act 2002	06/01/2005	
4	13530	FEE196ENV2003 RG.THE POLLUTION BY DISSOLVING GANESHA IDOLS	03/01/2005	

Page: 1

start | Ims | SQL S... | SQL ... | Docu... | 2 Mi... | 5:52 PM

**54. Receipt of Tappals outside office hours on working days and on Sundays and Holidays:** Telegrams and other Tappals which are marked immediate will be received by the resident clerk on duty who will make a note of the time and date of receipt on the telegram / tappal and sign in full in ink below the note. He will send them to the concerned officers at their residences and obtain acknowledgments.

**55. Opening of tappal:** All covers unless specified otherwise should be opened by Junior Assistant/Assistant in the R&I Section and stamped with the date of receipt in the presence of the SO in charge of the Section. The Junior Assistant / Assistant should verify the enclosures, if any, on the tappal and make a note about missing enclosures.

**56. Numbering and distribution of tappal by R&I Section of the Departments:** Telegrams, secret and confidential covers, other communications marked 'Immediate' and 'Priority' will be separated from tappal, entered using LMS and dealt with first and delivered to the concerned officers immediately after obtaining their acknowledgement

**57.** Tappals will then be sorted out Section-wise by the SO in charge of the Section who would also indicate the Section (generally using trilateral heading). Thereafter, all the tappals should be handed over to the Junior Assistants / data entry operators.

**58.** The essential index data such as letter number, date of letter, subject, sender, nature of letter etc., will be entered in LMS. A report will then be

generated using LMS for the tappals received during the day. As far as possible all the tappals received on a day shall be sorted out on the same day, entered into computer and sent to the Sections concerned along with the report generated as illustrated at Illustration –1 (Para 53) .

The concerned Junior Assistant in each Section will receive the tappal, check them with the entries in the report and acknowledge the same on LMS, sign duplicate copy of the report and return it to R&I Section. If there are some tappals even if wrongly marked to the Section, they should be still received and marked to the concerned Section through LMS. R&I Section shall maintain all such signed copies of the list of letters sent report month wise and get them bound from time to time.

**59.** To help proper allocation of tappals, a complete list of subjects dealt with in each Section will be supplied to the R&I Section and kept up to date. In case of any difficulty or doubt about the proper allocation of a receipt, R&I Section should consult the US in charge of the Section. The receipts received from the Government of India and other State Governments, shall be entered in italics so as to draw pointed attention to such receipts. The LMS software would have the provision to generate the entries in respect of receipts received from Government of India and other State Governments, Chief Minister's office in italics in all relevant reports.

**60.** Papers of ephemeral nature such as post copies of fax messages, telephone message, tour programmes of Ministers, printed copies of indices or Government orders need not be numbered.

**61.** Files/UO notes passed from one Department to another and notes or letters from Ministers will not be routed through the R&I Section but will be sent direct to the Section concerned in the Department. Files received from field Departments under the single file system will also be directly received by the designated officers / their personal establishments and will not be routed through the R&I Section.

**62.** R&I Section will collect incoming tappals from the General Receipt Department Section at regular intervals, twice or thrice during the day say at 11.00 a.m., 2.30 p.m., and 4.00 p.m., and similarly distribute tappals including tappals directly received by it to Sections in the Departments' at the said intervals. Telegrams and other tappals marked 'Immediate' or 'Priority' will however, be sent to Sections as and when received. Tappals, except those marked 'Immediate' or 'Priority' received after 4.00 p.m. may be held over for distribution by the R&I Section on the next working day.

**63.** The functions and responsibilities of the Section Officer s in charge of R&I Sections are enumerated in **Appendix-V**.

## CHAPTER IV

### 64. Outline process chart of a paper from receipt to disposal

## **CHAPTER V**

### **Marking of tappals in Section**

**65.** The Junior Assistant will put up all tappals received from the R&I Section along with any other communications received directly in the Section to SO. The SO will select and hand back to the Junior Assistant, tappals of an ephemeral nature which need not be put up to the DO / US, after marking them to dealing hand or noting instructions for their disposal; select those tappals which do not pertain to his Section and indicate thereon the Sections to which they pertain; mark the other 'tappals' to the dealing hand and put up the tappal to the branch officer in special tappal pads. SO will enter in his computer action taken on important receipts to monitor their progress.

**66. Perusal by Under Secretary:** The Under Secretary will -

(i) go through the tappals sent to him and give directions for disposal, wherever necessary;

(ii) mark those tappals, which should be seen by higher functionaries at the tappal stage and indicate the designation of the functionary to whom they should be submitted for perusal (tappals which disclose existing or likely audit objections will be shown to the Secretary at this stage);

(iii) mark important tappals from Government of India or other State Governments or tappals of the nature indicated below where copies of communication have to be sent to the Governor, Chief Minister, Minister(s) concerned and to Chief Secretary for information at the earliest:

(a) riots which involve serious breach of public peace;

(b) outrages which have political significance;

(c) calamities such as floods or earthquakes which cause serious damage to life or property and

(d) any other important political or administrative events.

Note: It is the responsibility of the branch officer to see that copies of such communications are prepared and sent to all concerned with the least possible delay. Immediate action should be taken on the subject of communication and advance circulation of copies shall not be a plea for withholding or delaying action on such communications.

(iv) make over the entire tappals to the SO. The SO has to satisfy himself that all tappals put up to the branch officer for perusal have been returned to him and in case any paper is missing, it will be his duty to trace or locate it. Upward movement to branch officer and downward to Section shall be through LMS to help ascertain status and retrieval.

## 67. Distribution of tappals.

(i) After the receipt of the tappals by the Section the same shall be marked to the concerned case worker or dealing hand using LMS and acknowledgement obtained from them in the copy of the report generated from computer as shown at **Illustration No.3** below:

### ILLUSTRATION NO. 3:

ಕ್ರಮ ಸಂಖ್ಯೆ	ಸಂಸ್ಕೃತ ಕ್ರಮ ಸಂಖ್ಯೆ	ಪತ್ರದ ಸಂಖ್ಯೆ ಮತ್ತು ದಿನಾಂಕ	ವಿಷಯ	ಯಾರಿಗೆ	ಸಹಿ
1	18/FE/2003	ಎಡಿಎಂ-1: ಸಿಆರ್-158: ಬ್ಯಾಕಲಾನ್: 02-01/01/2003	ನೇರ ನೇಮಕಾತಿ ಹಾಗೂ ಮುಂಬಡ್ತಿಯಲ್ಲಿ ಇರುವ ಬ್ಯಾಕಲಾನ್ ಕುಡ್ಡೆಗಳ ಬಗ್ಗೆ ಮಾಹಿತಿ.	M.V. PRAKASH RAO	

(ii) Tappals received direct by the Section from Ministers, officers, other Sections in the Department or other Departments will be entered in the computer through LMS. While entering receipts received direct in the Section, copies of circulars, official memoranda / Government orders / notice of holidays / tour programmes and similar receipts of ephemeral nature need not be entered in computer.

(iii) Where Desk Officer system is introduced, the DO should see all incoming tappals and pass them on to dealing hands attached to him for taking necessary action. DO will send only receipts of important nature which have to be seen by US / DS or higher functionaries, as the case may be, after marking in the LMS.

## 68. Inter-Sectional Movement of files and un-official, demi official, references.

Movement of files and papers within each Department from one Section to another need not be routed through R&I Section, but may be sent direct to the officers/Sections in the Department concerned. Similarly, unofficial, demi official references from one

Department to another need not be routed through R&I Sections of either sending or receiving Department. Such references should be sent directly from one Section to another Section. All unofficial / demi official references, either on file or separately will be marked by name / designation to an officer in the Department to which it is sent or to a specified Section in that Department and received by that officer/Section direct. Files/UO notes etc., marked by name or by designation should be accepted and acknowledged by the personal establishment of the officers concerned. A file, which is referred to another Department will on its return, be submitted in tappal to the branch officer who will ordinarily deal with it himself.

**69. Instructions by officers for line of action: (i)** Branch officer, i.e., US, in charge of the branch, DS or any other higher functionary to whom tappals are submitted should give directions, wherever necessary, as to the line of action which he would like the Section to take. In important cases where he is expected to deal with a tappal himself, he should ask for the file to be put up to him with relevant papers. DS will personally deal with as many of the receipts submitted to him as may be possible. Receipts on which no special instructions are necessary will be merely initialed in token of the officer having seen them.

(ii) The SO will see whether any of the receipts are of a difficult nature or present any special features, which require his personal attention. He will deal with such receipt himself or give special instructions to the dealing hand, as may be necessary.

**70. Priority in the movement of tappal:** All officers must accord highest priority to the perusal of tappal. Personal Assistants and Stenographers should treat the tappals moving up and down as 'Immediate'. Every SO shall keep a careful watch on any hold-up in the movement of receipts. The Junior Assistant will bring to his notice any papers, which are not received back from officers within 24 hours.

## CHAPTER VI

### Action on Receipts: Notes and orders

**71. Initial examination of receipts by dealing hand.** (i) The dealing hand shall acknowledge the receipts marked and handed over to him as illustrated in Para 44 . He will scrutinise all receipts one by one and sort them according to their priority rating by higher functionaries. 'Immediate' and 'Priority' receipts shall be taken up first, care being taken at the same time that ordinary receipts are not left unattended. The ordinary receipts should be dealt with in the order in which they are received. He must ensure that papers / files do not pile up on his desk and to the extent possible, the papers / files are disposed off on day to day basis.

(i) The dealing hand shall acknowledge the receipt marked and handed over using LMS and also affix his/her signature in the report generated by the Junior Assistant as indicated at illustration No.3 Para 67(i)

(ii) The dealing hand will check whether all enclosures mentioned in the covering letters received by him are found intact and if any enclosure(s) is/are found missing he should bring the fact to the notice of the SO and also suggest action for obtaining them. Similar action should be taken to ensure that file is intact when returned to him.

(iii) If any other Section(s) is/are concerned with any part or aspect of a receipt, the dealing hand will send relevant extracts through the SO / US to the Section/s concerned for remarks or necessary action.

**72. Collection of relevant material.** (i) The next stage of action by dealing hand is to collect material required for taking action on a receipt. This will ordinarily consist of obtaining (a) the relevant file on the subject, if one already exists and (b) other connected files, papers, Acts, Rules, etc., which may be necessary to deal with the matter. He will also point out the provisions of law/Rules and orders and circular instructions, cite facts and figures and highlight precedents relevant to the case before submitting the case to higher functionaries.

(ii) For this purpose, dealing hand will access information from FMS, Section note book of important decisions, standing guard files on the subject and relevant Acts, Rules, regulations. Where such information is available on web site(s), it should also be obtained.

**73. Bringing a receipt on file.** A receipt will be processed in a current file if it pertains to a subject on which a file already exists. If not, a new file will be opened using FMS to generate the file number. While opening a new file it shall be docketed and referenced in the manner prescribed in paragraphs 161 & 176.

**74. No new file will be opened on a subject having an existing file or on receipts of an ephemeral nature.** Where the receipt relates to an existing file on the subject, but such file has been moved upwards, a part file could be opened. A part file should be merged with the main file as soon as the main file is returned to the Section. Care should be taken not to place a receipt in an unrelated file.



Entries regarding part file shall also be made in the computer using FMS. A receipt in which general information is sought on a subject in a current file but it does not contribute materially to disposal of the case and not required for reference at a future date may be disposed in the normal course by furnishing such information available in the Section on computer number and after such disposal filed in monthly filing folders separately maintained for each month. Such folders may be treated as 'D' disposed.

**75. Noting on the file:** (i) A note is a record of comments or observations on salient features of a proposal contained in the paper under reference. All notes should be concise, brief and to the point. The language of notes should be factual and civil, particular care being taken to avoid innuendoes and sarcasm of any kind. The purpose of recording a note is to facilitate the formulation of a decision and conveying such decision in appropriate form or issue of orders on the proposal. According to the importance of a case, a note may consist of a brief resume of its background history as disclosed by the previous papers on the subject, an analysis or statement of the issues involved in the proposal under consideration and also the views or suggestions regarding the course of action to be adopted with a view to taking a decision and passing of final orders. A mechanical reproduction or repetition of the contents of an incoming receipt in the body of a note should be scrupulously avoided. Important points should, however, not be omitted.

(ii) When it is proposed to record a note on a file on which a running summary of facts is available it is enough if, for the purpose of citing the relevant facts wherever necessary, a reference is made to summary of facts, or more precisely to appropriate portions of the summary, without reproducing or attempting another narration of facts of the case;

(iii) If there are factual errors in the note of another Department which need to be pointed out or if the opinion expressed therein is to be commented upon, care should be taken that the observations are couched in courteous and temperate language free from acrimonious remarks;

(iv) If the US or higher functionary has made any remarks on a receipt, such remarks should first be copied out on the note sheet. A formal note should be recorded only after the remarks on the receipt has been transposed to the note portion of the file. As far as possible, no note should be recorded on the receipt;

(v) When a receipt refers to several points relating to a number of subjects, an appropriate extract from the receipt concerning each point should be taken to separate files, an appropriate endorsement being recorded in the main file in which the original communication has been received and docketed;

(vi) Obliteration of notes by pasting over the notes or to make them unreadable is not permissible. If a note, once recorded, is sought to be further modified or changed, the correct method would be to score it out and record another note.

(vii) If the case presents any difficulty or abnormal features, the dealing hand should obtain instructions from the SO, who shall guide him in the disposal of the

case.

(viii) The dealing hand shall append his initials with date on the left hand side below his note. If the SO fully agrees with the note of the dealing hand and has nothing to add or subtract then he shall sign his name in full with the date on the right hand side of the note-sheet, immediately below the note written by dealing hand. If, however, he does not fully agree with the note of dealing hand he will record his own note below the note of dealing hand;

(ix) The SO / DO / branch officer shall:

(a) ensure the contents of the note of the dealing hand are factually correct;

(b) ensure that the points regarding provisions of law, Rules, orders, circular instructions, facts and figures and precedents are valid and to highlight if there should be any variance/distinction in any of these aspects;

(c) ensure that the precedent files, standing guard file and other referenced information are available with the file;

(d) state the issue(s) for consideration and to bring out clearly the points requiring decision;

(e) suggest a course of action, wherever possible and in such cases to put up a draft reply for approval along with the note and

(f) ensure that sufficient blank note sheets, with file number and subject duly noted are available for notes / orders of higher functionaries.

(x) No official shall note upon a case in which he is personally interested;

(xi) The officer who records a note should append his signature with date below the note towards right hand side of the sheet. Rubber stamp indicating his name and designation should be affixed below his signature. When the name of the officer is typed below his signature it would not be necessary to affix the rubber stamp since the purpose in view is already served.

**76. Scope and purpose of Noting by office:** When a line of action on a receipt is obvious or is based on a clear precedent or practice or has been indicated by the US or DS in the directions given by him on a receipt and the said line of action is correct and acceptable in the case, a draft reply, where necessary, should be put up for approval inviting reference to such precedent or the instructions on the receipt by higher functionary, as the case may be.

**77. Noting by the Under Secretary:** (i) It will be the responsibility of US to scrutinize and see for himself that any case which is submitted or put up to him by the Section is complete in all respects and contains all necessary material relevant to the subject matter of the case. It will be his duty to carefully study the issues involved and make suggestions (save in exceptional cases which may be beyond

his competence) regarding the course of action to be adopted.

(ii) Subject to delegation of powers, US will dispose of as many cases as possible on his own responsibility, but will take the orders of DS or higher functionaries on important cases or those involving questions of policy or where the course of action to be followed is not clear or where there is a departure from any precedent. It will be his endeavor to see that the number of cases to be submitted formally to the DS and above is reduced to the essential minimum.

(iii) Under Secretaries and Deputy Secretaries should add a note to what has been said before only when they have to make a new point or highlight a point mentioned but not clearly brought out in the notes of dealing hand or Section Officer or Under Secretary, as the case may be. However, where it is considered necessary a summary of facts / précis could be made seeking orders. It is a serious reflection on the competence of an officer if the facts as contained in the note submitted or countersigned by him are found to be inaccurate.

**78. Timely disposal and spotlighting delays:** Dealing hands shall dispose of receipts / files as expeditiously as possible. Papers / files marked immediate / urgent shall be attended and submitted by the dealing hands on the same day. According to current norms, a dealing hand shall attend and submit a minimum of eight effective receipts / files in a day in addition to routine matters, including issue of reminders and disposing ordinary receipts. The Section Officer s / higher functionaries shall endeavor to dispose of all the receipts / files received by them within one working day. Non-compliance of the time limit shall be explained to the next higher functionary. In case an officer desires to discuss a case with his subordinate(s) in person (speak file / papers), he must fix a date and time for discussion and indicate it in the file lest the file / paper is inordinately delayed.

**79. Channel for submission of cases:** (i) Depending upon the level at which a decision has to be taken or orders have to be passed, a case may be routed through the following stages -

Section Officer -Under Secretary-Deputy Secretary-Joint Secretary-Additional Secretary-Secretary-Minister.

But in actual practice, a case need not pass through all these stages before it is finally disposed. In order to achieve higher levels of efficiency normally a case should not pass through more than two levels before reaching Secretary. The following level jumping could be adopted for this purpose:

(a) dealing hands may be authorised to submit cases direct to USs;

(b) Section Officer s may be permitted to submit certain types of cases direct to Deputy Secretary and the Under Secretary to the Joint Secretary/ Additional Secretary or Secretary;

(c) after orders have been passed by a competent officer the file shall be routed

through all intermediary stages through which it is required to pass as per work distribution to keep them informed of the decision taken;

(d) files should move directly from stage to stage without coming back to Section concerned for noting their movement since file movement is tracked through FMS;

(ii) Principal Secretaries / Secretaries in the Departments shall issue appropriate orders to ensure that the number of levels through which a file passes is restricted to as few levels as possible and in any case not more than three levels before a decision is taken. The subjects and the three or fewer levels at which they may be examined should be identified while issuing the orders for level jumping.

**80. Consultation with other Departments:** (i) Inter-Departmental consultation may take place in the form of inter-Departmental notes on file or by way of a UO Note, inter-Departmental meetings or oral discussions. While making inter-Departmental references, the following points should be observed:-

- (a) inter-Departmental references will, normally, be made under the directions of an officer not below the rank of DS;
- (b) the points on which the opinion of the other Department are required or which it is desired to bring to its notice, should be clearly stated;
- (c) generally, drafts of orders proposed to be issued may also be sent to the consultant Departments while seeking their opinion;
- (d) where it is necessary to consult more than one Department, such consultation may be done simultaneously by self contained inter-Departmental notes.

(ii) Consultation with Finance Department (FD).- The Governor, in exercise of powers conferred by clause (3) of Article 166 of the Constitution of India, has made the Government of Karnataka (Consultation with Financial Adviser) Rules in respect of consultation with the Financial Adviser for convenient transaction of business of the Government in financial matters. The duties and responsibilities of the Financial Adviser are given in Appendix-VI. Certain Additional duties prescribed in circular No.FD 16 BUD 2003 dated 09.07.2003 may also be found in **Appendix-VI**.

(iii) All financial powers delegated to the Departments in Secretariat shall be exercised in consultation with the internal financial adviser (IFA). The Secretary, however, may in emergent cases and in exercise of financial powers delegated to him, pass orders in a case without prior reference to IFA. The Secretary may also, for reasons to be recorded, over rule advice of IFA in respect of powers delegated to him. Where FD has to be consulted, such files should also be initially scrutinized by the IFA before being referred to FD. Following procedure has been

prescribed for consultation with FD in matters beyond the powers delegated in respect of orders to be communicated to the Accountant General for action:-

(a) Even at the stage of sending files to FD for obtaining its concurrence to a particular item of expenditure or sanction under the Transaction Rules, a draft order may be put up along with the UO note for perusal by the FD so that the concurrence / sanction of that Department will be applicable to the proposal as precisely spelt out in the draft order with or without modification;

(b) FD will go through the draft and modify suitably, if required, in accordance with its views;

(c) In cases where the draft has to be substantially modified in accordance with the views of the FD, the administrative Department will put up a revised draft and obtain the approval of the FD thereto;

(d) The orders may be communicated to audit by the administrative Departments themselves indicating that "this order issues with the concurrence of finance Department vide their U.O. No.....dated .....";

(e) In cases of Notification involving financial commitments, the drafts of the Notifications may be put up to FD for perusal at the stage of obtaining their concurrence. Further, when the Notification is endorsed to the Accountant General, there should be a clear indication that "This Notification issues with the concurrence of finance Department vide their U.O. No..... dated ....."

(f) No proposal, which requires previous consultation with the FD under Rule 17(2) of Transaction Rules but in which FD has not concurred, may be proceeded with unless a decision to that effect has been taken by the Cabinet. Provided that where FD has not given its concurrence but the Cabinet has over ruled the opinion of the FD and concurred with the proposal with or without modification, any order issued in pursuance of such concurrence shall indicate the following:

"this order falls within the purview of the proviso to sub-Rule (2) of Rule 17 of the Karnataka Government (Transaction of Business) Rules, 1977 and is issued accordingly."

**81. Oral Consultation:** (i) Consultation should take place orally:

(a) When a preliminary discussion between the officers of the Department(s) concerned will be of help in the disposal of a case and it is necessary that a preliminary agreement should be reached before the case is dealt with;

(b) When there is a difference of opinion between the consulting Department and the Department or Departments consulted and

(c) When it is proposed to seek only information or advice of the Department to be consulted.

(ii) Salient points and result of such oral consultation shall be recorded on the file by the officer of the Department to which the case belongs. A copy of the note shall be sent to the Department or Departments consulted in order that they have a record of the conclusions reached.

**82. Procedure in cases of difference of opinion between two or more Departments:** Where there is a difference of opinion between two or more Departments, the case should be put up in the consulting Department to the officer making the reference along with any previous decisions or papers to which a reference may have been made by the Department consulted. The officer, initiating a reference to another Department should take up the matter with the other Department. In case his views are not accepted, the file should be put up to the next higher functionary in the Department for direction or orders. If this functionary also does not agree with the views of other Department, he should take up the matter with his counterpart in that Department to resolve the differences and settle the matter. If the difference still persists, it shall be resolved in the manner specified under Rule 33 of the Transaction Rules.

**83. Inter-Departmental Meetings:** (i) Inter-Departmental meetings of officers may be held in matters involving policy formulation, to resolve complex legal issues, etc., or where issues involved are such that they could be resolved expeditiously only by discussions in a meeting. Such meetings should be convened and attended by officers of the level appropriate to the subjects under discussion. Details regarding the procedure for convening of such meetings, conference, seminars, etc., are given in **Appendix-VII**. Instructions have also been issued in OM No.DPAR 27 BMC 2001 dated 12.12.2001 regarding convening of meetings of Committee of Secretaries (CoS) besides the meetings of Secretaries and the matters which could be brought before it, procedure and manner of preparatory notes therefore etc.;

(ii) A record of the discussions should be prepared immediately after the meeting and circulated to all Departments concerned, specifying the conclusions reached and indicating the Department or Departments responsible for taking further action. When the proceedings are so circulated, it will be the responsibility of the Department, which receives the proceedings to communicate its comments, modifications required, if any, promptly and at the earliest opportunity. It will further be the responsibility of the Secretary of the Department concerned to show the proceedings to the Minister, if any question of policy or other matter requiring Minister's orders thereon, are involved in the conclusions recorded. The proceedings shall be the basis for the administrative Departments to take necessary action and no further consultation with other Departments will be necessary. If the discussions recorded disclose any difference of opinion between the Departments, the case will be processed on the lines of a case where Departments have not been able to come to an agreement, i.e., action may be taken according to Transaction Rules;

(iii) In cases where orders conveying sanction to be enforced in audit are to be issued by administrative Departments, the case papers should, however, be referred to FD for formal concurrence (except to the extent the powers have been delegated to the Departments) as required under the Transaction Rules;

(iv) As far as possible meetings may be arranged in the afternoons. No meetings may be held on Fridays and Saturdays. Chief Secretary /Additional Chief Secretary may, however, convene such meetings to resolve issues of emergent nature. Whenever any Secretariat Department convenes a conference or meeting(s) of DCs and/or CEOs of ZPs which should be done only with the prior approval of Chief Secretary, intimation of the time and date of the meeting may be given sufficiently in advance to other Secretariat Departments so that they may, if necessary, utilise such opportunity for holding discussions and consultations with the officers concerned on subjects pertaining to their Departments.

**84. UO notes between officers in the same Department:** Exchange of UO notes between officers within the Department should be avoided as far as possible. The object of such exchange of note is secured more appropriately by personal discussions between the officers concerned.

**85. Record of verbal orders and instructions:** (i) All verbal orders or instructions given by any authority and where necessary the circumstances leading to such orders/instructions, should be recorded on file;

(ii) Where an officer is giving directions or instructions in any case in respect of matters on which he or his subordinate has powers to decide, he shall ordinarily do so in writing. If, however, the circumstances of the case are such that there is no time for giving instructions in writing, he shall confirm his oral orders / instructions by written communication at the earliest;

(iii) An officer shall, in performance of his official duties or in exercise of powers conferred on him, act in his best judgment except when he is acting under the instructions of an official superior. In the latter case, he shall obtain directions, in writing, wherever practicable before carrying out the instructions and where it is not possible to do so he shall obtain a written confirmation of the directions as soon thereafter as possible. If the officer giving instructions is not his immediate superior but one higher to him in hierarchy he shall bring such instructions to the notice of his immediate superior at the earliest opportunity;

(iv) Oral instructions by Minister, wherever it is not possible to communicate the same in writing, should be communicated by the Minister personally to the officer concerned and should be confirmed by him or by his PS / OSD in writing immediately thereafter. PS / OSD to Minister shall ensure that a record of all promises / undertakings / assurances etc., made by the Ministers during their tours are carefully recorded, submitted to the Minister for confirmation and communicated to the Secretary to Government concerned;

(v) Wherever an officer seeks confirmation of oral instructions given by his superior, the latter shall confirm it by writing whenever such confirmation is sought;

(vi) Receipt of communication from junior officer seeking confirmation of oral instructions should be acknowledged by the senior officers or their personal staff or the personal staff of the Minister, as the case may be.

**86. Running Summary of acts:** (i) Whenever the Secretary so desires or where it

would facilitate consideration or speedy disposal, a running summary of Acts shall be prepared.

(ii) It will be the duty of the DO, SO or US, as the case may be, to see that -

(a) a summary is prepared at the earliest stage in all cases, warranting such summary e.g., those having a complicated history relating to individuals, institutions or transactions and

(b) the summary is kept up-to-date by making suitable additions as and when further developments, if any, occur.

(c) Opinion of individual officers should not be incorporated in the summary, unless they are opinions expressed by experts on the subject. However, when a case is referred to another Department/office for advice or concurrence, the advice or views of the Department / office consulted should be treated as constituting a material part of the Acts of the case and added to the summary.

**87.** Where the subject matter of a case is to be submitted to Cabinet (vide Rule 20 of the Transaction Rules) a DCN shall be prepared. The views of the Departments consulted should be produced verbatim. If these are voluminous, they could be put up as annexure.

**88. Noting on unofficial reference:** (i) Inter-Departmental references broadly fall under two categories, namely-

(a) cases where reference is merely for ascertaining factual information and

(b) cases in which the purpose of reference is to seek concurrence, opinion or a ruling of the Department.

(ii) In cases falling under (a) the dealing hand in the receiving Department may note the required information on the main file itself. In cases falling under (b), it is often necessary that the points under reference should be examined in the Department. The papers of the Departments consulted are internal papers and a number is generated using LMS. The general Rule to be followed in all such cases is that any examination and noting should take place in the internal papers of the Department consulted and only the final result should be recorded on the main file. All the notes off the file will be treated as "routine" notes and the officer to whom such notes are submitted will consider these routine notes and will either accept the position stated in routine notes or record his own views to be reproduced in the main file for communication to the Department concerned. In the latter case, if the final note is written by hand it should be written on the main file itself and a copy thereof kept as a record of the final disposal in the internal papers. The main file should thereafter be returned to the referring Department. The routine notes in the internal papers will serve as a record of the view taken in the Department for future reference.



(iii) Where a note on a file is recorded by an officer after obtaining the orders of a higher functionary, the fact that the views expressed therein have the approval of such officer should be specifically mentioned;

(iv) Whenever a file has been noted upon by the Secretary of the Department and marked to another Department, the noting on the file in the other Department should not be by an officer below the rank of US. Such files should necessarily be put up to the Secretary before they are returned to the Department of origin;

(v) The procedure contained in sub-para (ii) and (iv) shall not apply in respect of cases received from other Departments, where Ministers have passed orders or given certain instructions. The procedure in such cases shall be as laid down in para 83(ii)

### **89. Aids to processing**

(i) Each Section shall develop and maintain the following standing files to assist the Section in processing a case:-

(a) Guard File: This contains relevant provisions of law on a given subject, extract of decisions laying down the policy, course of action and clarifications, etc.

(b) Standing Order File: This will consist of important orders, circulars, Notifications, etc., issued on a given subject both by the Department and other Departments.

(c) Select Files: Select files may be opened for copies of important notes, procedures, legal opinion, data collected for LA/LC questions, supplementary notes, adjournment and other motions of the legislature.

(d) Policy Files: A policy file should be maintained for each of the subjects dealt with in Section. All proposals received from heads of Departments regarding formulation of policy or proposals initiated in the Department for determination of policy should be processed in the policy file for the subject. Policy file on the subject will continue indefinitely. When the bulk of a file increases, Additional volumes may be opened.

(ii) Section guard file shall not be put up with case and they shall be available in the Section for ready reference. Guard files of each calendar year shall be maintained separately. Guard files, select files, policy files should be kept up to date and bear an index page in the beginning giving essential particulars.

## CHAPTER VII

### 'Drafting'

**90. Draft - When to be prepared:** (i) A draft of the communication proposed to be sent out will be prepared after orders have been passed by the competent officer indicating the terms of the reply to be sent. In cases where the line of action is obvious, a draft of communication may be put up along with the note;

(ii) Under Secretary or a higher functionary, who has formulated his ideas on a case, may himself prepare a draft and authorize its issue or submit it to the next higher functionary for approval. Draft of letter to be issued in all important and complicated cases (excluding those of purely formal nature) should be prepared by the US, or even by higher functionary depending upon the degree of importance of the case. In other cases a draft will be prepared by dealing hands. All draft communications shall be approved by US / DO except cases of highly complicated nature which may be sent for approval to the next higher functionary. Drafts of letters to be issued to the Government of India / other State Governments shall be in English.

**91. Wordings of a draft:** A draft should precisely convey the exact intention of orders passed. The language used in the draft should be clear, concise and incapable of alternate or mis-interpretation. Long sentences, abruptness, redundancy, circumlocution, superlatives and repetitions whether of words, expressions or ideas should be avoided. Communications of more than average length or complexity should generally conclude with summary. Various forms of communications and circumstances in which they should be used are described in Chapter-X.

**92. Authentication of Government orders:** (i) All orders and other instruments made and executed in the name of the Governor of Karnataka, should be expressed to be so made and signed by the officer having regular or ex-officio status of and above the same of the rank of DO. In the alternative, the instruments shall be authenticated by such other officer as may be specially empowered by the Governor. Where the power to make order, Notifications, etc., is conferred by statute on the State Government, such orders and Notifications will be expressed to be made in the name of the State Government.

(ii) Copies and extracts of such orders or instruments of Government may be authenticated by the SOs in the Department concerned as follows:

"True Copy" (or extract)

Forwarded to X, Y, Z etc.,  
By Order,  
A, B, C etc.,  
Section Officer ,  
Section  
Department

**93.** All orders/ instruments shall be made or executed in accordance with Rules 18 and 19 of the Transaction Rules.

**94. General instructions:** (i) A draft will be prepared in the prescribed form and written or typed in half margin on both sides of the paper. Sufficient space should be left between successive lines as to admit interlineations of a word or a phrase, if necessary;

(ii) A slip bearing the words 'draft for approval' (DFA) should be attached to the draft. If two or more drafts are put up on a file the draft as well as the DFA slips will be numbered 'DFA-I, DFA-II, DFA-III and so on";

(iii) The DFA put up on a file should be placed on top of the correspondence portion of the file and tagged and reference invited to it in the notes;

(iv) The number and date of the communication replied or the last communication in a series of correspondence should always be referred. Where it is necessary to refer to more than one communication or a series of communications, this should be done in the margin of the draft. The subject should be mentioned invariably in all communications including reminders;

(v) A draft should show clearly the enclosures, which are to accompany the fair copy. To draw the attention of the comparers and the despatchers, a diagonal stroke should be made in the margin of draft where the enclosure has been referred / mentioned;

(vi) All drafts put up in a file should bear the number of the file. When two or more letters, Notifications, etc., are to issue from the same file on the same date the serial number should also be given in addition, in order to avoid confusion in reference e.g. DRAR 25 (i) ASA 69, and DPAR 25 (ii) ASA 69;

(vii) Where Government of India, other State Governments/ Departments of the Secretariat are consulted on any matter, time-limit for expected replies should ordinarily be specified;

(viii) The name and designation of the officer, under whose signature the communication is to issue, should invariably be indicated on the draft. The officer concerned will initial on the draft in token of his approval.

(ix) The terms like "I am directed by the Government" should be reserved for cases where the orders have been passed by the Cabinet or a Minister has given specific directions on file;

(x) The Government of Karnataka or the State Government, as the case may be, should be referred to in plural in all correspondences, proceedings of the Government, office memorandum, etc. The Departments of Government should be referred to in the singular.

(xi) Where a large number of corrections have been made in a draft, a clean copy of the draft corrected may be made and added to the correspondence portion of the file. In such cases, a serial number indicating the sequencing of the correspondence should be given only to the draft as finally issued;

(xii) Correspondence between the State Government and foreign Governments/missions should normally be routed through Government of India in the Ministry of External Affairs and the Indian Diplomatic Post in the Country concerned or where there is no Indian representative channel, as may be deemed appropriate by the Ministry of External Affairs (vide **Appendix -VIII**)

(xiii) Unless specially authorized, heads of Departments should not correspond directly with officers of other State Governments or Government of India on any official matter.

**95. Standard skeleton drafts:** For communications of repetitive nature, templates are available on the MS Word, which should be used. One or more such forms according to the requirements of the case may be submitted to the officer concerned with one or more fair copies for his signature.

**96. Addressing communications to officers by name:** No communication, other than a D.O. letter should be addressed or marked to an officer by name unless it is intended that the matter or contents is / are such that it should receive the personal attention of the officer concerned. A communication could also be marked by name if the subject is of secret nature or urgent/important, or where some ground has already been covered by personal discussions and the officer to whom the paper is being marked would be in a position to record his views or decisions straight away. When a paper is thus marked to an officer by name, subsequent reminders relating to its original communication should also be sent to the same officer (or if he has since been transferred to another charge, to his successor) by name.

**97. Priority marking on drafts:** The drafts of all letters which are to issue as "Immediate" or "Very Urgent" will be so marked under the orders of an officer not lower in rank than US.

**98. Orders in administrative appeals, etc.:** Whenever an appeal or revision is disposed of by Government, a separate Government order in the form of proceedings should be drawn up before endorsing it to the person(s) concerned.

**99.** Consultations with the FD or LD, DPA&L, the DP&AR or the PD are purely internal matters within the Secretariat. The names of Departments offering comments or remarks should not be mentioned in communications sent out to Government officers or others outside the Secretariat. It is enough if the necessary clarifications are obtained by the administrative Secretariat Departments concerned and passed on to the other Departments which had raised the issues.

**100. Title :** Before putting up a draft order communicating any Government decision for approval, the dealing hand / DO or US who prepares the draft should give it a correct "Title" vide Chapter-XIII.

**101. Digital drafting:** In the context of introduction of e-governance initiative in the State, document management software is being introduced in the Secretariat Departments. Dealing hands, SOs, USs or higher functionaries may use this software for the purpose of drafting letters, circulars, official memoranda, Government orders, Notifications and such instruments. Where such drafts are submitted for approval, corrections can be carried out in the computer using the document management software and returned to the Section for the purpose of printing such instruments, issue and posting on the website. Templates of the drafts with header and footer are also available in which the subject and body of the text only need to be filled up to ensure uniformity in drafting.

## CHAPTER VIII

**102. Printing of Notifications, Government Orders, Circulars, etc. and preparation of weekly gazettes, monthly compilations and annual compendia:** The authority approving the draft for issue shall also decide in each case whether after issue, such communication should be treated as standing order, whether copies may be supplied to the Press, whether they should be included in the Department's weekly gazette and also whether they should be published in the State Gazette. An indication about these shall be made at the appropriate place in the addressee portion of the communication. When a large number of copies of a Government communication is required, soft copies of Notifications, proceedings of Government and such other communications which are ordered to be printed will be sent to the Government press for printing. Such printing of orders will be in vogue only till such time as a decision is taken to communicate this information in electronic form, by e-mail, etc.

**103.** Wherever a Notification or other communication has been sent to the Gazette for publication, the dealing hand should examine the relevant Gazette to see whether the Notification or communication sent to the press has been correctly published. The date and page of the Gazette should be entered in the appropriate place in the note sheet as well as on the official copy of the communication in the relevant file. Any omission / correction etc., will be brought to the notice of SO / DO by the dealing hand before he records the paper.

**104.** Copies of Notifications, Government orders, official memoranda, circulars and other communications may be sent to the offices concerned using internet / LAN / WAN facilities. Copies to be printed if necessary, should be restricted to the absolute minimum and for use of offices not provided with computer / net working facilities. Secretariat Departments and heads of Departments may store such copies in electronic form appropriately. Instructions on software support for such storage will be issued by Secretary, e-Governance.

**105 Department's weekly Gazette: (i)** Every Department will arrange to prepare weekly gazette which will include copies of important orders, circulars, official memoranda, letters or any other communications issued during the week. Interim reminders, letters calling for and furnishing factual information, communications of an ephemeral nature or those of secret and top secret nature will not be included in the weekly gazette.

(ii) Copies of such communications to be included in the weekly gazette shall be sent through LAN by all Sections of the Department to the designated US in charge of preparation of weekly gazette. The US shall compile all such communications Department-wise and date-wise under the following headings –

- (a) Establishment and service;
- (b) Enactments;
- (c) Schedule and
- (d) General.

He shall then prepare a table of contents and mail the Department's weekly gazette to the Private Secretary to the Minister / Minister of State in charge of the Department, the Chief Secretary for submission to the Chief Minister and the Governor; to all officers of the Department and to the general records Section.

**106 . Monthly compilation and annual compendia:** (i) Monthly compilation and annual compendium contain –

- a) Orders containing policy decisions of general applicability,
- b) Orders relating to specific cases laying down a course of action which may be followed in other cases of similar type in future and
- c) Any other orders, circulars, decisions of considerable importance.

(ii) Orders or decisions of confidential / secret / top secret or routine nature shall not be included in these compilations. Government orders, OMs, circulars etc., shall be arranged in that order, Department and date-wise, under the following headings:

- a) Establishment and service;
- b) Enactments;
- c) Schedules and
- d) General.

The compilation and the compendium should be necessarily prefaced by the table of contents.

(iii) Monthly compilations shall be published by the 15<sup>th</sup> of the succeeding month. The annual compendium containing communications issued during a year should be brought out within one month of the close of the year;

(iv) Each Section in the Department will send only important orders, circulars, OMs, etc, to the US of the Department in charge of the compilation of monthly compilation and annual compendium. It shall be the duty of the US designated for this purpose to see that the monthly compilation and the annual compendium are brought out within the prescribed time limits. The SOs will send such orders etc., using the LAN facility duly arranged in the manner indicated above and the US shall compile them into monthly compilation and annual compendium and also arrange to post them on the web site of the Department.

## CHAPTER IX

**107 .Issue and action thereafter:** (i) The term 'issue' is used to signify various stages of action after approval of a draft namely, (a) typing of fair copies, (b) comparison with the draft approved, (c) ensuring that enclosures are attached, (d) submission of fair copies for signature and (d) despatch of the communication to the addressee(s);

(ii) A file after it is received with the orders 'issue' is passed on to the Typist or Stenographer for being fair copied. The Typist / Stenographer will prepare fair copies and then compare them with the approved draft with the help of dealing hand and only if dealing hand is not available with the help of Junior Assistant or another Typist / Stenographer;

(iii) The Typist / Stenographer / dealing hand must carefully compare the fair copies with the approved drafts, inter alia, verifying the addresses and other details. They should ensure that the enclosures are indicated by an oblique line (/) in the margin of the fair copy in the paragraph in which they are referred to, and the enclosures are also pinned to the fair copy. They must also independently verify the correctness of the addresses and other details and shall initial the fair copies in token of having compared and ensured accuracy;

(iv) The dealing hand will then place the fair copies in the file and send them for signatures to the officer concerned. Movement of files with fair copies both up and down should be treated as immediate;

(v) In case a communication is to be sent through internet / LAN / WAN the same can be despatched by the officer / Stenographer on whose computer the draft is fair copied;

(vi) Wherever any officer prepares and approves a draft for issue himself on his computer he will take a print out, sign the communication and place it in file. Thereafter, the file is moved to the Section both physically and also on FMS and as soon as the file is received in the Section the communication which is approved shall be issued;

(vii) Once a GO / Notification / OM / circular is signed by the officer concerned, it is the responsibility of the Typist / Stenographer to scan the instrument and save using document management system.

**108.** At the time of submission of fair copies the dealing hand / Stenographer will also obtain instructions of the approving officer for translation, printing and publication of the order under issue, as the circumstances may warrant and take further appropriate action accordingly. Instructions in para 109 may be referred to in this regard.



**109. General Instructions regarding typing:** (i) Drafts marked 'Immediate' or 'very urgent' will be taken up first.

(ii) Fair copies of all communications will be typed in the appropriate prescribed form of suitable size. Standard formats / printed forms should be used as far as possible. If, however plain paper is used, whether for the original communication or for an endorsement, the name of the issuing Department/office should be typed at the appropriate place. The Post Bag number and the delivery post office with PIN should invariably be noted at the appropriate places.

(iii) A margin should be left on the left hand side of the front page and on the right on the reverse.

(iv) Fair copies should generally be typed with single spacing.

(v) No abbreviations should be mentioned in the fair copies except where there are specific instructions given to use them.

(vii) The name of the officer who is to sign the fair copy should be typed in brackets above his designation. His telephone number should also be indicated below the designation. In demi official letters, however, the designation and telephone number will not be given below the name.

(viii) Enclosures to accompany a communication should be indicated by drawing an oblique line(/) in the margin against the paragraph in which the enclosures are referred to. The number of enclosures should be typed at the bottom on the left side of the fair copy (Enclosures-nos.).

(ix) The Typist should type his initials with the date at the left hand bottom corner of the fair copy, e.g. BRR/110903

(x) Further detailed instructions regarding typing, stencil cutting, etc., which should be borne in mind by the Typists / Stenographers are given in **Appendix-IX**.

**110. General instructions regarding issue** -:On return of the fair copies, the dealing hand / Junior Assistant in the Section should check whether all the fair copies have been signed by the officer, and whether enclosures have been correctly attached. He will then pass on the signed fair copies together with office copy/draft to the R&I Section retaining the file(s) with or without draft with him. Where the draft has also been sent with fair signed copies to the R&I Section for issue, he will make a note of the despatch of the draft with fair copies for issue in the margin of the notes portion of the file, and in other cases in the margin of the draft on the file.

**111.** Telegrams to be sent out should be sent to the GDR direct with three copies thereof. Telegrams should be entered in red ink and the time of despatch

noted against each entry below SI. No. Simultaneously, the serial number allotted to the telegram in the despatch register should be noted at a convenient place on the receipt portion of the telegram to facilitate the tracing of the relevant receipt, if necessary.

**112** (i) The SOs should see that very important, confidential and valuable papers such as deeds, agreements and other similar documents to be sent by post are invariably sent by registered post with acknowledgment due. Some of such documents may also need to be insured. For such communications, the Sections themselves will prepare the covers, seal them wherever necessary and send only closed covers or packets to the R&I Section for arranging despatch.

(ii) The number and date of communication should be written on the acknowledgment card so that the card when received can be sent to concerned Section for being kept in the relevant file. Receipts for telegrams, registered and insured letters should be checked carefully in the GDR Section and preserved.

(iii) Top secret, secret and confidential papers when sent by post must invariably be enclosed in double covers, the inner cover being marked 'top secret' or 'secret' or 'confidential' as the case may be superscribed with the name of the addressee only and sealed. Sealing should not be overdone. A few seals on each flap of the cover will suffice. The outer cover should bear only the usual official address and the designation of the addressee.

(iv) The communication required to be sent by speed post should be so authorised by an officer of the rank of US or above and sent to GDR Section for despatch.

**113.** It is the responsibility of the dealing hands and the SOs in charge of Sections to make sure by personal enquiries that there is no delay at any stage in the despatch of urgent cases.

**114. General instructions regarding dispatch:**—i) The Junior Assistant attached to Section / dealing hand will arrange to deliver files and papers meant for higher functionaries or for officers in the Department and obtain the acknowledgement of the concerned. U.O. files / U.O. notes / U.O. memoranda which are to be referred to other Department(s) should invariably be sent by name of the officer(s)/Section of that Department and sent by the Junior Assistant / dealing hand direct to that officer/Section after making proper entries in the delivery book.

(ii) The R&I Section of the Department will arrange to deliver all hand-delivery tappals to be delivered to the several Departments of the Secretariat. Such communications need not be put into covers except when they are of a confidential nature.

(iii) It is essential to see that the covers meant for despatch are sent to the GDR Section in two or three batches so that the work in the latter Section is evenly distributed throughout the day and that registered letters are despatched without delay. Except covers marked 'urgent' and 'immediate', no other covers may be sent to GDR Section after 5.00 p.m. (i.e., half an hour before the office closing time).

(iv) The contents of closed envelopes and parcels should be noted on the cover by the despatcher.

(v) When books, papers or enclosures of any kind are sent independently with the covering letter, they should be accompanied by a slip indicating the letter with which they are connected and the letter itself should bear a note to the effect that the enclosures have been sent separately.

(vi) Papers which on account of their bulk will not go into envelopes should be securely packed in wrapping paper. In the case of parcels they may be covered by thick paper, cloth or gunny.

(vii) When tins or boxes are required for the transmission of articles, they should be obtained on indent from the DP&AR(executive).

(viii) In the GDR Section communications to be delivered by hand and those to be despatched by post will be separated.

(ix) Hand delivery tappals for nearby offices could be got delivered through cycle orderlies or motor cycle riders attached to GDR Section. This Section attends only to the distribution of covers. The writing of covers, putting the fair copies with enclosure, etc., are to be done by the R&I Section concerned.

(x) To ensure a proper record of the delivery of communication / papers, they should be properly entered in delivery books. Sufficient number of delivery books should be available at any given point of time.

(xi) In respect of 'immediate' communications the despatcher will also note in the delivery book the time of despatch against the relevant entry.

(xii) After the dak has been delivered, the despatcher will examine the delivery books to see that all the communications entered therein have been duly acknowledged by the addressees with their dated signature in ink.

(xiii) Communications to be despatched by post will be entered in the despatch register. Each cover will be weighed and with the aid of the franking machine or otherwise the exact stamp will be embossed / affixed and the value also noted in the despatch register in the prescribed column. In no case excess value should be franked nor the envelope under-stamped.

**115** (i) The dispatcher will also stamp the draft/office copy with a rubber stamp as per facsimile noted below and will initial (with date) in the space provided on the stamp in token of his having issued the fair copy

**issued**

**on**

**by**

(ii) As far as possible, the despatcher will send out the fair copies to the addressees on the same day. In no case, will he detain any outgoing communications for more than twenty-four hours without the prior permission of the SO.

(iii) He will write the word 'sent' against the oblique line on the margin of the draft in token of despatch of enclosures. When an enclosure has to be sent separately, a note to that effect should be made on the communication (both fair and office copy) and the enclosures accompanied by a slip indicating the number and date of the communication to which it relates.

**116. Despatch of 'Immediate' and 'Very Urgent' Dak:** (i) Priority communications received for despatch during working hours shall be sent to the addressees at once. However, those which are not likely to reach their destination before the closing hours should be held over for despatch on the next working day.

(ii) If a file or a communication is of such urgency that it should reach the addressee that day itself even after office hours, the officer last dealing with the file or authorizing the issue of the communication will record specific instructions to that effect. Normally, no such instructions will be given except (a) under the specific directions of an officer not below the rank of DS (or in his absence, US) and (b) with the prior consent of the addressee himself. In the absence of such clear instructions, the despatcher will not send any papers to the residence of an officer after office hours. Files and papers of such urgent nature will be marked or addressed to the officer concerned by name.

**117. Despatch of 'Non-Priority' Dak:** Non-priority dank will be cleared at least twice a day at suitable intervals which should be so planned that the last batch of outgoing communications is normally delivered to the addressees as early as possible before the day's closing hours and the rush towards the end of the day avoided. Communications received after the despatch of the last batch should be held over till the next working day.

**118. Return of draft after issue:** (i) After issue of a fair communication, the despatcher in the R&I Section will note 'issued' on the draft/office copy, as the case may be, and return it to the Section, indicating thereon the date of issue;

(ii) The Junior Assistant of the Section will report to the SO every evening the number of drafts/office copies not received back within two days from the dates they were sent to the R&I Section.

**119. Issue of references for consultation / concurrence:** (i) While issuing unofficial references / sending files to other Departments the Junior Assistant will, before despatch, make necessary entries in the computer.

(ii) Provision is made in the FMS to generate reminder if the Department(s) has not replied or the file is not received back by the appointed date from the Department consulted.

**120. Issue of tour programmes of Ministers:** The tour programmes of Ministers will be issued direct by the personal establishments of the Ministers concerned using LAN/WAN. Copies may be sent by post only to those not provided with such networking facility.

**121. Postage requirements:** The US in charge of GDR Section will make an estimate of the postage requirements for a fortnight / month and get the franking machine loaded for appropriate value in the G.P.O. or other post office, as the case may be.

**122. Ordinary postage stamps:** Ordinary postage stamps (and not service postage stamps / franking machine) should be used for official correspondence and articles sent by post to all foreign and commonwealth countries. A separate despatch register will be maintained for keeping a record of such issued and an account of the expenditure incurred thereon. The SO in-charge of GDR Section should inspect this register daily and also exercise a physical check on the balance of stamps available with reference to the entries made in the register.

**123. Action after issue:** The R&I Section will send the drafts/office copies after issue to the respective Sections. The Junior Assistant will place the issued drafts/office copies in the respective files on his table and hand over the files to the concerned dealing hands.

**124.** When files are returned to him by the Junior Assistant after the issue of orders, the dealing hand will immediately examine the files and satisfy himself that the despatch of the concerned papers has been properly attended to, that the relevant enclosures have been sent, and that no further action is necessary or pending in the case.

**125.** He will note thereafter the manner of further disposal on the file viz., whether it should be-

- (i) recorded and sent to the record room;
- (ii) recorded but retained in the Section;
- (iii) kept in suspense;

and submit the file to the SO who will indicate his decision and pass the file on to the Junior Assistant for making the necessary entries in the FMS. Where it is proposed to record any file under 'A' or 'B' classification, the orders of the US must be obtained. When a file is closed, final action should be noted in the FMS.

**126. Suspense and reminder option:** Suspense cases are those in which final disposal has not been made and further action may be necessary. As soon as some preliminary action is over on a file and further action is to be taken, the dealing hand concerned should mark in the margin of the notes portion of the file the next date on which it should be brought forward for further action e.g., "Sus till 20th June 2003". Necessary option is made in FMS to alert the dealing hand to revive the file for action on the appointed day and reminder, where necessary, will be generated by the computer. Templates containing the modes of reminders which could be used for the purpose are available in the computer and the dealing hand / DO / SO may select the appropriate template, edit it suitably before mailing it to the concerned. The following types of cases should be entered under this system:

- (a) cases which have been marked for resubmission on a particular date;
- (b) cases on which reminders are to be issued on specified dates (for brevity, after reminder is issued a note in the note sheet, the capital 'R' and date may be indicated as "R 20<sup>th</sup> November 2003"); and
- (c) Cases which have been referred un-officially to other Departments and the return of which is awaited.

Where reminders issued by the SO do not produce the desired result and further action is called for, US or higher functionaries will address the officers concerned according to the importance and urgency of the subject.

## CHAPTER X

### Forms and guidelines for correspondence

**127. Forms of correspondence:** (i) Written communications issuing from a Secretariat Department/office shall be in one or the other of the following forms -

- (i) letter;
- (ii) proceedings (Government order);
- (iii) official memorandum;
- (iv) circular;
- (v) demi - official letter;
- (vi) un-official Note;
- (vii) press communiqué/Note;
- (viii) Notification;
- (ix) endorsement;
- (x) telegram.

Each one of the above forms has a use and in some instances a phraseology of its own. Specimen of the above forms of communications are given in **Appendix-X**.

(ii) All these communications may, in the usual course, be sent by normal modes like hand delivery / post. Depending upon the availability of facilities and keeping in view the urgency, these communications can be sent / transmitted by speed post / courier / e-mail / fax.

**128. Letter:** (i) "Letter" form is used for all formal communications to such authorities as Government of India, State Governments or their attached or subordinate offices and other offices, such as the High Court, State legislature, Public Service Commission, Lokayukta, Vice Chancellors of Universities, public bodies or associations of the public or class of employees or Government servants. It is not to be used for correspondence between different Departments of the Karnataka Government Secretariat;

(ii) A letter is composed of the following parts:

- (a) letter-head bearing the name of the State Government and that of the Department/office, post bag number, telephone number, fax number.
- (b) number and date of communication.
- (c) designation of the sender.
- (d) designation of the addressee.
- (e) salutation.
- (f) subject.
- (h) subscription and
- (i) signature and designation of sender with telephone / fax numbers.

(iii) Official letters emanating from a Department of the Secretariat and purporting to convey the views or order of the Government must specifically be expressed to have been written under direction of Government. In case of letters by means of which formal sanction of Government is sought to be communicated or issued, it is necessary to invoke the authority of the Governor by prefixing the words 'Governor, is pleased to sanction/authorise/approve, etc., to the main text or contents of the sanction.

(iv) Letters addressed to official authorities should begin with the salutation 'Sir' and those addressed to non-official individuals or groups of individuals with 'Dear Sir/Sirs'. Those addressed to firms should begin with the salutation 'Dear Sirs' or 'Gentlemen'. All official letters should terminate with the subscription 'Yours faithfully' followed by the signature and designation of the person signing the letter.

(v) Ordinarily, the letter to the Government of India is addressed to the Secretary of the appropriate Ministry and if the Ministry has divisions or Departments under it, the name of the division or Department is also written below the name of the Ministry. In the case of other State Governments, the letter is addressed to the Secretary of the Department concerned or to the Chief Secretary, if the name of the Department is not known. Generally, letters to the Government of India or other State Governments are to be signed by officers of the rank of USs and above, depending upon the importance of the communication.

(vi) The subject, wherever necessary, should be indicated clearly in suitable words, which will be in the nature of an index to the contents and reference to previous communication may also be cited after the subject and before the main text of the letter.



**129. Proceedings:** (i) Decisions of Government or orders of general applicability on questions of policy or other important matters should be communicated, issued or promulgated in the form of 'proceedings'. The form of proceedings shall be used in the following cases-

- (a) communication containing financial sanction;
- (b) disciplinary proceedings involving imposition of a penalty on Government servant(s);
- (c) orders or decision of general applicability on important questions of policy and
- (d) any other decision of Government considered sufficiently important to warrant such form of communication.

(ii) The proceedings shall always be drafted in the third person.

(iii) Proceedings generally consist of -

- (a) letter head bearing the name of the State Government and the Department;
- (b) subject matter of the order in suitable words which will be in the nature of an index to the contents of the order;
- (c) number and date of the order;
- (d) "Read" portion giving the number and date of several previous orders or communications which have been taken into account in formulating the present decision;
- (e) "Preamble" portion referring to the circumstances or requirements or reasons which have actuated the formulation of the proposal;
- (f) the order portion which is the most significant part of the proceedings should be self-explanatory and should clearly indicate the final decision of Government in precise and unambiguous terms so that it should not be necessary to make a reference to the introductory preamble to know the importance of the order;
- (g) the signature of the officer authorised to issue the order along with his name and designation, which shall be in the following form.

"By Order and in the name of the Governor of Karnataka,

(Name)

## Designation of the Officer authorised to Sign.

(h) the officer or the persons to whom copies of the proceedings are to be distributed.

(iv) Where an order is to be issued under any article of the constitution or under any enactment which provides expressly that an order or instrument shall be made by the Governor, the expression 'Governor of Karnataka' should be used in the body of the order or instrument, as the case may be.

(v) Where an order is to be issued under any enactment which provides for the making of an order or instrument by the State Government, the expression 'the Government of Karnataka' should be used in the body of the order or the instrument, as the case may be.

**130. Official Memorandum:** This form is used for correspondence between the Departments of the Secretariat or between a Secretariat Department and a Government Department not included in the Secretariat organization or between one Government Department and another. This is written in the third person and bears no salutation or subscription except the signature and designation of the officer signing it. The designation of the addressee is indicated below the signature on the left side of the page.

**131. Circular:** The 'circular' differs from the ordinary letter or memorandum in that it is addressed to several Departments or persons simultaneously. The circular form should be used whenever the substance of the communication does not warrant the formality of the proceedings form or the letter form.

**132. Demi-official letter:** (i) This form is used in correspondence between the Government officers for an interchange of communication of opinion or information without the formality of the prescribed procedure and also when it is desired that a matter should receive the personal attention of the individual addressed or when it is intended to bring to the personal notice of an officer a case in which action has been delayed and official reminders have failed to elicit reply.

(ii) In certain cases communication addressed to non-officials may also be in the form of demi-official letters.

(iii) A demi-official communication is addressed personally to an officer by name. It is written in the first person singular in a personal tone with the salutation 'My dear' or 'Dear' and terminating with 'Yours sincerely'. It is signed by the officer without mentioning his designation.

(iv) The following form of communication may be used by the Private Secretaries to Ministers or correspondence with the deputy commissioners of

districts, heads of Departments, etc., regarding the tour programmes of Ministers/Ministers of State:-

Dear Sir,

I am directed by the Minister for

Yours faithfully,

PS to Minister for

PS to Minister of State for

Sri,

Deputy Commissioner/heads of Department, etc.

**133. Un-official note:** (i) Un-official references can be made in two different ways, namely-

(a) by sending the file itself to the Department/office with a note recorded thereon; or

(b) by sending a self-contained note or memorandum.

(ii) This method is generally employed in Secretariat Departments (or between a Secretariat Department and its attached office) for obtaining the views, comments, etc., of other Secretariat Departments on a proposal, obtaining a clarification, etc., of the existing instructions, of requisitioning papers or information, etc. No salutation or complimentary closing words are used in this form. Use of formal letters for communication in between one Department and another is to be avoided.

**134. Press communique or Press note:** A Press communique or Press note is issued when it is sought to give wide publicity to a decision of Government. Press communique is more formal in character than Press note and will be reproduced intact by the Press. Press note, on the other hand, is intended to serve as a hand-out to the Press, which they may edit, compress or enlarge as they may choose.

**135. Notification:** Notifications are used for publishing Rules and orders passed under legal enactments, for making announcement about appointments, postings, transfers, grant of leave etc., of gazetted officers and publishing any matter required to be published in the Gazette under provisions of any law or order of Government.

**136. Endorsement:** (i) This form is made use of when a paper is returned in original to the sender or is referred to another Department or to an attached or subordinate office (either in original or by sending a copy thereof) for information, remarks or disposal, or where a copy of a communication is to be forwarded to others in addition to the original addressee. In the last case the endorsement may take one or other of the following forms-

"A copy (with a copy of the letter to which it is a reply) is forwarded to ..... for information and guidance/for necessary action/for favour of a reply/for early compliance."

(ii) Copies of financial sanctions issued by administrative Departments, where required to be communicated to the audit authorities through the FD, are also sent by means of an endorsement;

(iii) This form should not, however, be used in communicating copies to Central or other State Governments which should generally be done in the form of a letter.

**137. Telegram:** A 'telegram' should be used only on occasions of urgency and should be concise. Clarity should, however, not be sacrificed for brevity. No telegram should be sent, where e-mail, speed post, fax can serve the purpose.

**138. Communications to Government of India and other State Government:**

All communications to Government of India and other State Governments, except those of a purely routine nature and those furnishing factual data of a non-confidential and non-controversial nature, should ordinarily issue under the orders of an officer not below the rank of DS. Communications of a purely routine nature such as furnishing factual information of non-confidential and non-controversial nature, acknowledgements, routine reminders and forwarding memoranda may be signed by the USs.

**139 . Forms and correspondence between officers and the Ministers:** (i)

Officers in the Secretariat should not write DO letters to Ministers. They may send a note to the Minister through proper channel. If, at any time, an officer is required to bring certain matters to the notice of a Minister with reference to his instructions, etc. he can do so by addressing a communication to the Private Secretary to the Minister concerned.

(ii) In the normal course. all instructions to be given by a Minister to an officer subordinate to Government, should be conveyed through the Secretary of the administrative Department concerned.

(iii) In a case, where for certain reasons, it is felt necessary, to communicate the instructions of the Minister to a subordinate officer directly, the Private Secretary to the Minister may convey them through a DO letter or other suitable form of communication, endorsing copy thereof to the Secretary of the administrative Department concerned under whom the officer functions.

(iv) If the instructions given by the office of the Minister as per item (iii) above require confirmation by the administrative Department, the officer receiving the instructions and the Secretary to the Department concerned may take appropriate further action.

**140. Forms and correspondence between Private Secretaries to Ministers, Ministers of State and Secretariat officer:** (i) In normal course, all important instructions/orders such as instructions for re-examination of case, calling for reports or for taking action on certain lines etc., intended for the Secretaries to Government should be in the form of 'Minutes' signed by the Minister/Minister of State;

(ii) In cases where the Minister/Minister of State has given certain instructions to his Private Secretary for conveying them to the Secretary or any other officer of the Secretariat Department, the Private Secretary may convey them through a note which should clearly indicate that he is conveying the said instructions as desired by the Minister and that the said communication issues with the approval of the Minister. It shall be the responsibility of the Private Secretary to the Minister to obtain the written approval of the Minister to all such notes.

(iii) In routine cases, such as petitions presented to the Ministers/Ministers of State, where no specific directions are given by the Ministers/Ministers of State, Private Secretaries may send them to the authorities concerned for disposal.

**141. Correspondence with the Legislative Assembly and the Legislative Council:** Communications meant for the Legislative Assembly Secretariat or the Legislative Council Secretariat and requiring urgent or high level attention may be addressed to the Secretaries concerned and not to the Speaker or Chairman direct.

**142. Correspondence with Members of Legislatures / Parliament:** (i) Whenever a Member of a Legislature writes to a Minister on any matter concerning the public or a Section thereof or an individual about whom the member thinks injustice has been done, the letter has to be acknowledged by Private Secretary to the Minister and the Minister's office should also watch the final disposal of the case and give a final reply to the Member concerned of the action taken.

(ii) Whenever a Member writes to a Secretary to Government or any senior functionary on matters relating to the public or a Section thereof or an individual, they should give an acknowledgement to the Member concerned. The officer should also examine the matter promptly and send a considered reply.

(iii) Special Registers should be maintained in the office of each Minister and Secretary to Government to follow up all communications received from Members of Parliament / Legislature showing the date of receipt of the letter, date of issue of acknowledgement, further stages of the case and the date of issue of final reply. This register should be reviewed once a month by the Private Secretary to the Minister or the Secretary to Government, as the case may be, with a view to verifying that prompt action has been taken at all stages.

(iv) Normally, information sought by Members of Legislature / Parliament should be supplied unless it is of a such nature that it would have been denied to him even if asked for on the floor of the House.

(v) In case a reference from a former Member of Parliament / former Member of Legislature is addressed to a Minister / Secretary, reply to such reference may be sent by the Secretary to Government of the Department concerned. In case the reference is addressed to a lower level officer, reply to such reference could be sent by the officer on his own in cases not involving any policy and after obtaining the approval of the higher authorities in cases where a policy is involved. However, reply in such cases should be by an officer of the rank of US and in a letter form.

(vi) The letters received from the Members of the Legislature and Members of Parliament should be dealt with expeditiously and final replies should be sent to them within a month, as far as possible. If this is not possible suitable interim replies should be given which should indicate, among other things, the probable date of the final reply. Every attempt should be made to adhere to this date.

**143. Procedures for dealing with letters regarding service conditions of Government servants:** Under Karnataka Civil Services (Conduct) Rules, Government servants are precluded from enlisting support or mediation of Members of the Legislature/Parliament or other similar dignitaries in matters relating to their service conditions. It will, accordingly, be quite in order for Secretaries not to entertain such representation on behalf of individual Government servants. It will also not be necessary to issue a formal acknowledgement or a reply to such communications.

## CHAPTER XI

### **Security of official Documents, Right to Information and Confidentiality:**

144. Security of official Documents: Documents and records generated by Government or given to Government are to be accounted for and kept secure for access by authorized personnel from time to time. Dealing hands are to keep all documents and records assigned to them in the cupboards assigned to them under lock and key. They must maintain a dairy in which all such files, documents, records opened or assigned to them. Each time any item leaves their custody they must note in the dairy the date and destination of the item. The Assistants to senior officers and Ministers must keep documents records or files under lock and key when sent to them. The documents, records and files must be acknowledged on the computer and the computer printout when received. Upon dispatch the fact of dispatch must be done on the computer and at the time of actual physical delivery the set of documents, files and records must be sent with two computer printouts. One to be got back and the other to be given to the official receiving the material.

145. **Right to Information:** The Right to information Act 2000 (Act) has enabled the citizen to demand and obtain information from all Government offices including the Secretariat. For this purpose only competent Authorities identified by Government under the Act are to receive the requests and respond according to the Act and Rules.

146. **Furnishing of Information:** Notified competent Authorities shall examine every request for information within the prescribed time. If request does not come under the exceptions contained in the Act and the subject matter is not already in the public domain, the information shall be furnished. The Act requires the Notification of Appellate Authorities. The Appellate Authorities shall examine and Rule on appeals filed by applicants who feel that the competent Authorities have failed to abide by the Act.

147. **Information to the Media:** Ministers and Ministers of State of the Departments are the Chief spokespersons in respect of matters related to their respective Port-folios. Principal Secretaries of Departments and Secretaries of Departments may be accessible to the media and furnish factual and unclassified information. Opinions and personal views shall not be given to the media.

148. **Application of the official secrets Act 1923:** Apart from the competent Authorities and Appellate Authorities notified under the Right to Information Act 2000 and the Rules there under, all members of the Secretariat establishment are subject to the provisions of the Indian official Secrets Act 1923 and the Karnataka Civil Services (Conduct Rules) 1966. They are precluded from divulging any information to the public. They must ensure that all requests for information are directed to the competent Authorities

**149.** Files being made available to Advocate General and Audit: (i) Whenever a file has to be shown to the Advocate General or any Government pleader outside the Secretariat a responsible gazetted officer should take it personally show the legal officer the necessary papers and bring the file back. On no account, Secretariat notes may be left with the Advocate General or his office or any Government Advocate/Pleader.

(ii) Whenever files relating to transactions that are subject to Audit are needed by the Accountant /Auditor General and the need is communicated in writing. They may be furnished irrespective of whether they are current or closed. Special reasons for refusing to hand over files. Special reasons for refusing to hand over files must be recorded in writing and given to the Auditor General.

(iii) When a demand for any document is received from the Accountant/Auditor General the two points to be examined are:

- (a) Whether the document requested relates to transactions that are subject to audit; and
- (b) Whether the contents of the documents are so secret in nature that it is not in the public interest to send those papers to the Accountant General. In the latter event, a statement of facts certified as correct by a Secretary to Government will have to be furnished to audit.

**150. Confidentiality:** Every head of a Department must decide on the classification of the degree of confidentiality of the issues being dealt with by the Department. Matters of a routine nature which do not prejudice the interest of the State, the Security of the nation, State or any person is not of strategic, scientific or economic interest of the State or Nation, does not affect public safety or order or a fair trial, retard the collection of revenues reveal trade or commercial secrets made available to Government by the public or organs of Government and breaches the privilege of the legislature may be termed as unclassified. The exclusions listed above may be classified as `Confidential` or `Secret` or `Top Secret` as decided by the head of the Department.

**151. Levels Handling Confidential Secret and Top Secret matters:** Only officers above the level of Section Officer s only may handle matters classified “CONFIDENTIAL”.

Only officers above the rank of Under Secretary above should handle matters classified `SECRET`

Only officers above the rank of Deputy Secretary above should handle matters classified as `TOP SECRET`



**152.** Extraction of files from the Secretariat: Files and documents of the Secretariat must not be taken outside the Secretariat. Officers of the rank of Under Secretary and above may take files home and on tour for work at their risk and responsibility. They shall ensure their safety from damage, loss and confidentiality of their contents.

**153. Statutory Display of Information of Departments:** Section 3 of the Right to Information Act mandates the display of information about the Department (office) and its functioning. This information must be made available to the public either by way of prominently displaying the same at the entrance to the Department or by freely provided pamphlets kept at the reception desks at the entrances to the buildings housing the Departments. The information must be up to date, accurate and cover all aspects prescribed by the Act.

**154. Stock-taking of file disposal:** On the last working day of each month, the head of every Department must undertake a stock taking exercise with all the officers of the Sections under him. The exact count of pending files the creation of new files, the closure of old files and the closing balance at the end of the month be arrived at communicated to DPAR(AR).

## CHAPTER XII

### Arrangement and maintenance of files

**155. Arrangement of papers in a file:** (i) All current papers on a case in a Department shall be arranged in a current file. Every file will consist of two parts viz., (a) 'notes' and (b) 'correspondence' placed in a single jacket. The 'notes' portion will be tagged on to the left hand side of the jacket and the 'correspondence' portion to the right hand side of the jacket. Both 'notes' and 'correspondence' will be filed from bottom upwards, chronologically, so that on opening the file, the latest note and communication are on the top left and top right, respectively.

(ii) The 'notes' portion of a file shall consist of all nothings done in a Department or in other Departments of the Secretariat, including those recorded by the officers and Ministers and all paragraphs in the notings shall be numbered continuously. Signature and initials appended by the officers or Ministers need not be given any para number. The notes recorded by Minister will be termed and referred to as 'minutes'.

(iii) The 'correspondence' portion of a file shall contain all communications received from outside and all communications issued from the file including demi-official letters, letters, office memoranda, received from other Secretariat Department(s). Every communication whether receipt or issue, together with its enclosures kept in the 'correspondence', will be given a serial number in red ink in the centre of the top of its first page. The first communication will be marked 'serial no. 1' and the subsequent ones will bear consecutive serial numbers in a single series.

**156. Page numbering:** Every page in the 'notes' portion of the file will be numbered consecutively from top to bottom as in a book. The page numbers will be given on note sheets at the top corner opposite other than the tag end. Blank intervening pages, if any, should not be numbered, but a line should be drawn diagonally from one corner to another of the blank space. All papers placed on the correspondence portion of the file will be assigned consecutive page numbers in a single series beginning with the first sheet at the bottom which will bear page number 1. Thus the consecutive page number assigned to a receipt consisting of a number of pages will be different from its original page numbers. Whenever a clean copy of the draft issued is given a serial number, the corrected copy of the draft which is retained in the 'correspondence' portion need not be given any separate serial number, but may be given appropriate page number(s). Enclosures which have to be returned/forwarded to another authority shall be removed from the file at the time of issue and a slip as indicated below introduced in its place;

Pages to End to SI. No or letter/  
memo No dated from regarding  
Removed and forwarded to on

Date vide SI. No (or endorsement No  
dated ) Date Signature

**157. Punching of papers:** All papers shall be neatly punched at the left-hand top corner to the correct gauge (3/4 of an inch from either side) before it is tagged to the correspondence or notes portion of the file and not pricked through. No pins should be used to join the papers and all pins should be removed.

**158. Appendix to notes or correspondence:** If inclusion of any detailed information in the 'notes' is likely to obscure the main points at issue or make the note un-necessarily long, such information or details will be incorporated in a separate and self-contained summary or a statement which will be placed in a separate cover called 'appendix to notes'. Similarly, if enclosures to a communication received or issued consist of a large mass of material, such papers should be placed in a separate cover called 'appendix to correspondence'.

**159. Parts :** When the 'notes' or 'correspondence' portion of a file becomes bulky (say exceeds about 100 pages on any side), the file should be stitched and marked 'volume I', the 'notes portion of the file being separated from the 'correspondence portion by means of a separate slip or a half sheet prominently marked 'correspondence'.

**160. Opening of a new file:** A new file should be opened as soon as a fresh receipt is received by the Section, which cannot be dealt with on an existing file. The dealing hand concerned will, in the first instance, give a suitable 'title' to the file proposed to be opened with the approval of the SO. In opening a new file, he will bear in mind the instructions contained in para 167. Regarding 'title'. After giving a suitable 'title' to the file, the dealing hand will get a file number allotted to it using the FMS. He will give the allotted file number on the cover of the file in the appropriate space provided for it and also indicate the computer number boldly. He will also give the name of the Department, Section, year and the subject matter (title) of the file on the cover in the space allotted for the purpose. The fresh receipt will then be placed on the correspondence portion of the file, serial numbered and page numbered. It will then be docketed on the 'notes' portion of the file. The subject matter in brief as also the file number should invariably be written on the top of each note sheet in a file or when separate notes are submitted.

**161. Docketing:** (i) Docketing is the process of recording on the note sheet of the fact of the receipt or issue of a communication into or from the Department and shall consist of such relevant particulars as the serial number given to the communication, the number and date of the letter, the name and address of the person, agency or authority from whom it is received or to whom it is issued. (e.g., SI. No. 1 (receipt) No. E. 1200/68-69/PSC, dated 1st March, 1969 from the Secretary, Karnataka Public Service Commission. SI. No. 2 (Issue) dated 10th March, 1966 to the Secretary, Karnataka Public Service Commission). While docketing the necessary particulars should be entered in red ink across the page starting from the margin;

(ii) Immediately after a paper is received which is to form part of the correspondence portion of the file, the paper should be assigned a serial number which should be written at the centre of the top of the page;

(iii) Similarly, out-going communications or letters will be given serial numbers;

(iv) Both 'receipt' and 'issues' will bear consecutive serial numbers.

**162.** Notes should be written on note sheets provided for the purpose. If a note sheet is not readily available, a plain paper may be used but the note will be recorded well beyond a clear margin of one inch. At least an inch of space should invariably be spared at the bottom of the note sheet and the noting continued on the next page so that enough space is available for passing orders by authorities concerned. In no case, files should be submitted without allowing space as stipulated above.

**163.** To ensure neatness in the maintenance of files and aiding quick detection of delays, docket sheets with appropriate columns should be used. The docket sheets are to be placed between the top jacket of the file and the first note sheet. All receipts and movement of file should be noted by means of seals of the Sections or of the officers concerned in the columns provided for the purpose, i.e., the first column under the heading "number and date". Similarly, all routine instructions such as "please speak", "please discuss", etc., should be noted under column 3. The practice of giving such instructions on the note sheet or by means of slips of paper pinned to the note sheet should be avoided.

**164.** When a file is referred to another Department, that Department should, before it starts noting, write across the note-sheet, immediately below the last note the name of that Department and the Section which records the note, e.g.,

"Food and Forest Department"

..... Section'

**165.** Routine notes exchanged between persons in a Section or between officers of a Department, rough work sheet, statements, etc., should not form part of the notes or correspondence portion of the file, but may, if required for reference in near future, kept folded below the file jacket on the file board. Similarly, when the enclosures received with a communication consist of bulky material, pamphlets, brochures, statements, etc., such material should not be filed with the correspondence portion, but kept in the file pad below the file jacket with a suitable indication of the particular communication of which it forms an enclosure.

**166.** Every file shall be given a file number generated by the computer using FMS. This file number shall consist of four parts:

(i) two or three letters indicating the Department to which the file pertains e.g., DP&AR, A&H, H&FW, RD etc.,

(ii) a group of three letters indicating the subject head;

(iii) serial number of the file under the subject head;

(iv) the last two digits of the calendar year, e.g., 01, 02, 03, etc.

Thus, FD 28 BTX 00 means the 28th file under the head BTX (Betting Tax) opened during the year 2000 in the FD.

**167.** In each Department, a number of subjects needs trilateral. Trilateral consist of a group of three distinct letters which will, by themselves give an indication of the subject matter. The subjects allocated to each Department will be broken into smaller units to be identified by a symbol of three letters. The number of such subject heads may be as many as desired, but roughly it should be prepared on the basis that the number of files under a subject head to be opened in a year should not be less than 30.

**168.** Subject heads, once approved, will continue from year to year and new subject heads may be added from time to time with the approval of the US in the Department in consultation with the US in the DP&AR (Training), who may be nominated for the purpose in order to ensure that the same group of three letters are not adopted by different Departments. Though there may be no serious objection to the same trilateral being adopted by two different Departments as each file number is preceded by identifying letters of the Department, it is imperative to avoid confusion, that the same trilateral is not used for more than one subject. The desirability of this suggestion will be appreciated, when it is realised that subjects are likely to be transferred from one Department to another. Besides, if for the same subject, different trilateral are used for different periods by different Sections, the general records Section will find it difficult to locate the previous collections.

**169. Separate file for each distinct subject:** There should be a separate file for each distinct subject. If the scope of the subject of a file is very general and comprehensive in nature, there will be a tendency to put into the file indiscriminately receipts dealing with different aspects of the matter. This will not only make the file bulky but will also militate against speedy and efficient disposal. If the issues raised in a receipt or in the notes or in the orders passed therein extend beyond the original subject, relevant extracts should be taken and dealt with separately on new files.

**170. Subject matter pertaining to more than one file heading:** Where a communication received contains matters pertaining to several files, relevant extracts shall be made and placed in the proper files.

**171.** No file should be opened in respect of a receipt of an ephemeral nature, e.g. applications for casual leave, tour programmes of Ministers, etc., reference to such receipts will be by their subject. In this connection, the instructions contained in para-74. ..shall be borne in mind.

**172. Part file:** (i) Use of part files should be avoided as far as possible. A part file may be opened only when the main file is not likely to be available for some time or when it is desired to consult simultaneously other Sections or officers and it is necessary for them to see the 'paper under disposal' and other connected papers.

(ii) A part file will normally consist of -

(a) the original 'paper under disposal' or its copy and other essential papers on the 'correspondence' portion ; and

(b) the note or notes recorded or to be recorded on the proposal contained in the 'paper under disposal' or a copy thereof on the 'notes' portion.

(iii) A part file should be merged with the main file as soon as the later becomes available. The note portion should be merged with the notes at the appropriate place or at the end of the last noting and the correspondences with the correspondence portion. The 'notes' and 'correspondence' added to the main file should be suitably renumbered.

(iv) When more than one part file is opened, each one of them should be given a distinct number thus, HD 54 PUB (part file) 78, HD 54 PUB (part file II) 78.

**173. File numbering:** A new file will invariably be opened using FMS. The FMS would give appropriate file number based on the trilateral along with a computer number to every file. No file shall be given a number manually.

**174. File movement:** All files should be moved using FMS. All upward and downward movement of a file will be captured using FMS. The FMS software can generate reports such as movement of files, files created / closed, sent to call book, records Section.

**175. Filing of official, demi-official and un-official communications and drafts:** (i) Official and demi-official communications will be included in the 'correspondence' portion of a file.

(ii) Self-contained U.O. reference and replies thereto should be included in the correspondence portion of the file.

(iii) The draft for approval put up with a file should be placed above the correspondence and tagged.

(iv) Drafts submitted for orders should form part of the permanent record and be preserved on the correspondence portion. If the signed draft is heavily corrected, a clear copy of the final draft as issued may, however, be added to the correspondence portion.

**176. Referencing and use of slips:** (i) Referencing is the process of putting up and referring to connected records, precedents, Rules, regulations, books or any other paper having a bearing on a case. Such papers will be flagged with alphabetical slips to facilitate their identification.

(ii) The slip will be pinned neatly on the inside of the page. When a number of files or papers on the case are to be flagged, the slips should be spread over the whole width of the file so that every slip is easily visible.

(iii) The slip "PUD" should be attached to the paper, the disposal of which, is the subject matter of the file. The latest communication which is to be considered in relation to the subject should be flagged 'fresh receipt'.

(iv) (a) No slip other than "PUD" or "FR" or "DFA" will be attached to any paper on a current file. When it is desired to invite a reference to certain papers in the 'correspondence' portion of the file, both the serial number and its corresponding page number should invariably be quoted in the 'notes' portion (e.g. Serial No. 6-p 8 etc).

(b) Notes will be referred to by their para numbers. Concurrently, a reference to the page of the note portion of the file on which the note is recorded could also be given, if necessary (e.g. para 4 page I/notes).

(v) Not more than one alphabetical slip should be attached to a recorded file or paper put up for reference.

(vi) It should be remembered that the slips are merely temporary conveniences for quick identification of papers and have to be removed as soon as they have served their purpose. To facilitate the identification of references after the removal of slips, it is necessary that the number of the file referred to should be quoted in the body of the note and the number of the relevant page together with the letter of the slip attached thereto indicated in the margin. Similarly, a description of the Rules, regulations, Acts, etc., together with the number of the relevant paragraph or clause referred to will always be quoted in the body of the note while in the margin will be indicated the alphabetical letters of the slips and the page number.

(vii) Books or Rules etc., to which reference is made in the file be placed on a file, if copies thereof are available with the officer to whom a case is submitted, brief mention to this effect being made in the margin of the notes in pencil. When, however, books/ Rules are required to be put up with files, such publications

should be placed on top of the flaps of the file board covering the file and then bound neatly and strongly by means of the string attached to the board in a bow-tie.

**177. Linking of files:** (i) Linking of files on which action is in progress will, as far as possible, be avoided. As a general Rule, linking will be resorted to only when the files are inter-connected and orders have to be passed on them simultaneously. If papers on a current file are required for reference only in connection with the disposal of another current case, relevant extracts should be taken from the former and placed on the latter.

(ii) When files are linked, strings of the file board of the lower file, but not its flaps, will be tied round the upper file. The strings of the file board of the upper file will be tied underneath it in a bow out of the way. Each file will thus be intact with all its papers properly arranged on its board.

**178. Arrangement of papers for submission of a case:** A case consists of a current file and any other files and papers, books, etc., put up for reference. The papers on a case will be placed in the following order from top downwards:-

(a) 'notes' ending with the note for consideration;

(b) 'correspondence' containing the 'PUD' and 'FR', if any, and the DFA;

(c) standing guard files;

(d) other papers referred to e.g. extracts from notes or correspondence of other files, resolutions, gazettes, etc., arranged in chronological order, the latest being placed on top;

(e) recorded files arranged in chronological order, the latest being placed on top;

(f) routine notes or papers placed in a cover in a chronological order.

**179.** While submitting the file to officers, it should be placed on a file board and sent with its cover closed, a book-mark being inserted at the particular page where the latest note or minute has been recorded for submission for perusal or orders of appropriate authority.

**180. Priority marking on files:** (i) The two prescribed priority markings to be used on files are 'immediate' and 'priority'.

(ii) Immediate should be used in cases of extraordinary urgency requiring instant attention. Priority should be used where the case should be given precedence over others to which no priority labels have been attached.



(iii) Legislative Assembly or Legislative Council questions, resolutions, assurances, etc., as also papers connected with the preparation and submission of budget estimates, will be assigned suitable priority marking. In order to ensure that the files relating to legislative matter are handled on top priority basis, coloured labels superscribed as LA/LC questions and other priority labels should invariably be attached to files. Labels bearing 'top secret', 'secret', 'confidential', 'PUD', 'DFA', 'DCN', 'FR' may also be used appropriately.

(iv) Different colours may be used for different kinds of labels. Priority labels should be used carefully and with discrimination and removed at the proper stage by the SOs.

**CHAPTER XIII**  
Indexing and Recording  
**A. INDEXING**

**181.** An index of the records of a Department provides a means of tracing previous papers on a particular subject.

**182:Constituents of an index slip:** An index slip is composed of two parts, namely the title and file number and date of order, circular, etc.

(i) Title of file. The subject given to a file is called its 'title'. It should be as brief as possible but should give, at a glance, sufficient indication of the contents of the file so as to serve as an aid to its identification. The 'title' should be divided into (a) 'head', (b) 'sub-head' or 'sub-heads' and (c) 'content' in the following manner-

(a) Head. The important word that is placed first in the title, by which its alphabetical position in the index is determined and on which primarily depends the possibility of finding the title in the index, is called the 'head'. The 'head' must be a word or words that will naturally occur to anyone who wants the papers. It must not be too wide.

(b) Sub-head. The 'Head' will be followed by a 'sub-head' or 'sub-heads', which should be more indicative of the precise subject, of the file than the 'head'. In selecting 'sub-head' the consideration to be borne in mind will be the same as in selecting the 'head' viz., that the word or words selected should be such as are likely to strike anyone in need of the papers contained in the file. Where it is necessary to have more than one sub-head in a title, the wider and more abstract generally come before the narrower and more concrete;

(c) Content. After the 'head' and 'sub-head' will come the 'content'. This must be brief and express clearly the exact subject of the file. A content worded in general terms is of little practical use, for, if it does not distinguish a file from other relating to closely similar but not identical subjects, time may be wasted in taking out and examining several files before what is wanted is found.

(ii) File number and date. The 'title' on an index slip will be followed by a reference to file number and date. The procedure for allotting a number to a new file has been outlined in paragraph **166**

(iii) Standard 'heads' and 'sub-heads'. Consistency is essential in the selection of both heads and sub-heads. For example, files dealing with questions of pay should be indexed always under the head 'pay' and not some times under pay and some times under 'salary or emoluments'. This can be secured by maintaining a list of standard heads and sub-heads for recurring subject and then adhering to them.

(iv) Wording and articulation. The whole title 'head', 'sub head', and 'content' should

consist mainly of substantives, adjectives, where necessary and participles. Minor parts of speech should be excluded, as far as possible, to make a strict alphabetical arrangement practicable. The title should be articulated or broken up into parts, each consisting of as few words as possible, and each expressing an element in the subject matter. Each will begin with a capital letter and separated from the preceding one by a bold dash.

**Example of title.-** A few examples of 'title' are given below-

<b>Subject dealt with</b>		<b>Title Prepared</b>
1.	Question whether it is necessary under the PSC (Consultation) Regulations to consult the PSC.. in proposals regarding extension of service of officers holding tenure posts.	<b>PSC (Consultation) Regulations – Tenure Posts.</b> - Extension of service – Consultation whether necessary.
2.	Question whether merit should be regarded as the sole criterion in making promotions and confirmation in selection posts.	<b>Selection Posts.</b> - <i>Promotions and Confirmations</i> – whether Merit sole criterion.
3.	Enquiry whether it is necessary to communicate adverse remarks in the confidential reports to persons concerned in certain circumstances.	<b>Confidential Reports</b> - Adverse Remarks – Circumstances in which communication necessary.

In each of the above 'titles' the words in block letters are 'heads' those italicised are 'sub-heads' and the rest of the 'title' in normal print is contents.

**183. Index slips, important Government orders, official memoranda, etc. :** (i) Index slips will be prepared for all important orders, circulars, official memoranda, letters, etc., contained in the weekly gazette under orders, circulars, etc., which are required to be indexed. A copy of weekly gazette along with the copies of orders, circulars, etc., to be indexed should be sent to general records Section for the preparation of Departmental indices by the R&I Section of the Department every week. This copy may specifically be indicated as “copy for indexing” in the address portion.

(ii) A soft copy of weekly gazette shall be placed on the web site of the Department.

**184. Format of index slip:** (i) The 'head' and 'sub-heads' will be typed, one below the other, followed by the complete title and number of the file and date, as indicated below-

“Head

(1)

(2)

Sub-Head

- (1)  
 (2)  
 (3)  
 Title  
 (1)

File No. and date"

(ii) Index slips for secret files will be maintained separately and will be kept by the SO.

**Two or more titles when necessary**

**185.** If two aspects of a question are very much inter-connected and are dealt with in the same file, two or more complete titles may be necessary e.g. creation of a post and appointment of particular officer to it. Such cases would require two indices:

(a) Geology Department, Deputy Director, Additional post sanctioned for two years;

(b) Ramaiah H.R. Deputy Director mines and geology appointed against Additional posts for two years.

**186. Indexing of questions, bills, resolutions, etc., in the Legislature:**(i) In indexing questions, bills, resolutions, etc., in the Legislature, the following form of titles should be adopted to facilitate consolidation for purposes of printing:-

Legislative Assembly questions / resolutions  
 Legislative Council questions / resolutions.

(ii) When a question, resolution, etc., in the Legislature results in the issue of a Government order, two independent index slips should be prepared in the manner indicated in the preceding form e.g., one under the 'head' Legislative Assembly/Legislative Council and the other under the subject matter of the order.

**187. Preparation of annual index:** The general record Section after receipt of the weekly gazette along with copies of orders, etc., from the R&I Section every week will prepare index slips under proper heads and sub-heads for each Department separately. The index slip received from the Section **vide para 182** will also be included therein. The SO, general record Section will ensure that the index slips are properly prepared and arranged in an alphabetical order in one series. In editing the index slips for printing, the full 'title' will appear only on the index slips bearing the 'head'. It will not be necessary to repeat the whole title on the subsidiary index slips bearing the 'sub-heads'. Instead, only a cross reference will be made e.g.

<b>Main slip</b>	<b>Subsidiary slips</b>
1	2
PSC (Consultation) Regulations	Tenure posts
Tenure posts-Extension of Service in-consultation necessary.	PSC (Consultation) Regulations
DPAR 12 SSC 78, dated 16-11-78	DPAR 12 SSC Dated 78 dated 16-11-78 Extension of Service See "PSC

(ii) Index slip for confidential files may be incorporated in the general Departmental index. Index slips for secret files, however, should be made over to the compiler of the Department index only if a secret Department index is maintained in the Department.

(iii) The annual index for a particular year of a Department will contain index slips of orders, etc., indexed during that year. The annual index will also be available in electronic data format. Such a format would help locate any communication containing a particular word or Phrase.

## **B. Recording**

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

**189: Classification - general principles:** (i) All recorded files should be classified for the purpose of preservation having regard to their importance and the period up to which they are likely to be required for reference in connection with administrative needs. Every file which is likely to be required must be preserved and every unwanted file destroyed both to save space and to simplify searching. While there may be strong administrative necessity for preservation of a file for a short period, that is a very different thing from preservation forever. It is equally necessary that the minimum period of preservation should be long enough to provide for any revision or reconsideration of the orders issued on a file. Even in respect of files to be preserved, weeding of unnecessary papers there from should be carried out to the full extent.

(ii) Care should be taken to see that files containing papers which are important or are likely to be important in future, however, indirectly, as sources 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, are not destroyed.

**190 (i)** The records shall be classified as A, B, C, D, the features of which are explained hereunder. The officer competent to approve such classification is also specified therein -

'A' class- To be preserved indefinitely. This class will be allotted to files in which important

questions have been discussed or which contain orders establishing important precedents or general instructions or rulings of a permanent / important nature. These files may be printed wherever necessary. Classification should be approved by an officer not below the rank of DS.

'B' class- To be preserved for 30 years. This class will be allotted to files of the same category as above but which are unlikely to be required for reference after a few decades. Classification should be approved by an officer not below the rank of US.

'C' class- To be preserved for 10 years. This class will be allotted to files of secondary importance which are to be preserved for a very limited number of years. SO can approve this classification.

'D' class - To be destroyed one year after the end of the year in which the file was closed. The class will consist of files the contents of which are of a purely temporary nature and which need not be preserved. SO can approve this classification.

(ii) The classification of records into above categories should be facilitated by means of an authorised ABCD classification of subjects dealt with in a Department. The different subjects dealt with in a Department should be grouped into ABCD categories having regard to the nature and importance of each subject from the administrative and historical point of view. The O&M officer of each Department should prepare such a list for the Department and get it approved by the Secretary. It should be reviewed once in three years in consultation with the AR division of the DP&R and kept up to date. A copy of the list should be sent to the director of archives, whose suggestions, if any, for revision of the list from historical view point should be given due weight.

**191. Procedure for making classification:** Classification should be suggested in each case separately by the dealing hand, in accordance with authorised ABCD classification, when no further action is required to be taken on a file. The file will be put up to appropriate officer for his approval for being recorded and classified under ABCD list.

**192. Preparing a file for record:** After a file has been marked for record it should be prepared properly for recording by the Junior Assistant. This would involve the following action:-

(a) Amendment or revision of the title of the file where necessary e.g. development of the subject mater of the case since its start;

(b) Completing references, that is, removing alphabetical slips and giving permanent identification marks to the references quoted in notes and correspondence (where this has not already been done) and noting numbers of previous or later files on the subject on the cover of the file;

(c) Preparing a fresh cover for the file with the revised title and details of previous and later references etc., where necessary;

(d) Noting (a) the classification and date of recording in the file register and the year of destruction in the case of B and C records; and (b) the total number of pages in the notes portion and the correspondence portion in bold type on the inside of the front cover;

(e) Items (a) i.e., change of title shall be done only with the approval of an officer of the rank of DS and above, and preparations contained in item (b) above will be completed by the dealing hand himself. The file will then be passed on to the Junior Assistant who will attend to the remaining items of work. He will also mark on the cover the classification of the file as approved by the DS within the file. In the case of files classified 'B' or 'C', the year in which it will be due for destruction should also be written on the cover thus 'Destroy in 20.....' The Junior Assistant will then submit the file to the SO who will initial the outer cover, below the 'classification' in token of his endorsement / approval. The file will thereafter be stitched neatly in the file jacket and sent to the records.

**193. Destruction of 'D' records:** Files which are classified under 'D' will not be recorded but will be kept in the Sections in bundles arranged 'month wise'. Such files will be destroyed or sent for disposal as 'waste paper' to the general record Section one year after the end of the year in which the file was closed.



## CHAPTER XIV

### Special procedure applicable to certain cases

#### A. Legislature – replies to L.A. / L.C. questions etc.

**194.** It is the responsibility of Secretariat Department concerned to supply Minister with all material necessary for him to discharge his duties in the Legislature efficiently and promptly. Secretaries should make arrangements to ensure that this work is promptly attended. An officer not below the rank of DS shall be entrusted with the task of coordinating all legislative business.

**195(i)** Subject to any specific instructions in this regard, every Department shall arrange to have at least one officer in the official gallery of each of the Houses to take notes of points pertaining to it -

- (a) during the debate on the Governor's address;
- (b) during general discussions on the budget;
- (c) during question time when questions pertaining to their Departments are on the order paper;
- (d) when bills pertaining to their Departments are under discussion;
- (e) when grants pertaining to their Departments are under discussion.

(ii) The officer on such duty shall submit to the Secretary in charge of the Department a note on the day's proceedings in so far as it concerns the subject matters dealt in that Department. Where no point(s) came up for discussion, 'nil' report will be submitted for information of the Secretary;

(iii) Either Secretary or an officer not below the rank of DS from each Secretariat Department should invariably be present in the Assembly/Council for about half an hour at the commencement of each day's session and similarly for a short while towards close of the day's session.

**196.** The following procedure will be adopted in the matter of furnishing replies to LA and LC questions:-

(i) As soon as notice for a question is received by the Secretariat Department action should be initiated to prepare reply without waiting for the orders of the Speaker / Chairman regarding its admissibility.

(ii) The question/notice so received will be entered in the register of LA/LC Question maintained in KGS Form 12.

(iii) If it is felt that the question should be dealt with by any other Department, the opinion of the Secretary to Government concerned of such other Department should be ascertained over telephone or fax / e-mail before transferring the question. Such transfer should be intimated by the Secretary to Government to the Secretary of the LC/LA, as the case may be, by a D.O. letter immediately. In case, Department to which the question is sought to be transferred refuses to accept the same or when a doubt arises as to which Department should handle the question, the Department which proposes the transfer or has a doubt shall seek orders of the Additional Chief Secretary through the DP&AR (AR). The decision of Additional Chief Secretary regarding which Department shall handle the question shall be final and binding.

(iv) The Secretary, or other officer specially authorized by him in this behalf, will scrutinize the question to decide-

(a) whether required material is available in the Department to answer the question or

(b) whether any information will have to be collected from the subordinate offices or from other Departments of the Secretariat.

Where information has got to be collected from other Departments of Secretariat, a copy of the question or relevant extracts thereof should be sent simultaneously to all such Departments from whom the information is required with a request that they should send back the information within a specified time limit. The Department concerned shall treat such requests at the same priority as the LA/LC questions pertaining to their own Departments.

(v) On the basis of the information available in the Department and collected from other sources, a draft reply to the question shall be prepared. If the question is starred, a note for answering supplementaries shall also be prepared.

(vi) On receipt of the admitted question it will be entered in the register mentioned in sub-para (ii) above, unless it has, already been so entered at the notice stage, in which case, only amendments if any, may be entered.

(vii) The draft reply and note for supplementaries prepared by the Department should be amended, wherever necessary, in accordance with the admitted version of the question. If, on account of the amendment to the question, further information is to be gathered from other Departments of the Secretariat or subordinate offices, the procedure prescribed in sub para (iv) above should be followed.

(viii) The note for supplementaries should not be typed on the same sheet of papers as the answer but should be on separate sheet(s) of paper.

(ix) When answers and notes for supplementaries are put up for approval, they should bear the slips 'draft reply', 'draft note for supplementaries'. Printed labels will be generally available; but in cases where they are not available, manuscript labels should be used.

(x) The draft reply both in Kannada and English and a note for supplementaries in the final form should be submitted for approval of the Minister-in-charge. No answer should be sent to the legislature unless it is approved by the Minister-in charge.

(xi) After approval by the Minister, the Secretariat Department shall prepare sufficient number of copies of the reply; and send to the legislative Secretaries concerned such number of copies as may be specified by them. The number of copies to be sent in Kannada / English are also specified by the Legislature Secretariats. However to the extent possible the same sheet(s) of paper may contain Kannada reply on one side and English reply on the reverse.

(xii) The Secretariat Department shall:

(a) keep one copy on the file for record and use by the Minister when answering

the question.

(b) get the note for supplementaries fair copied and place it in the file immediately below the answer along with all relevant documents properly referenced.

(xiii) After action as in para (xii) above, the file should be sent by the administrative Department to the Private Secretary of the Minister-in-charge of the question for submission to the Minister on the day the question is put on the list of business of LA/LC concerned for being answered. Copies of the reply and note for supplementaries shall also be sent to the Secretary of the Department concerned and other officers, who are required to brief the Minister for oral replies.

(xiv) Immediately after the question has been answered on the floor of the House, the relevant file should be returned to the Secretariat. In case any assurance has been given while answering supplementaries, the fact shall be noted on the file by the Minister. Further action on the assurance may be initiated on receipt of information from the Legislature Secretariat. If the action to be taken on the assurance is not sufficiently clear, transcripts of the proceedings may be obtained from the Legislature Secretariat by the Department concerned.

(xv) If, in spite of the best efforts, it is not possible to furnish a reply of the admitted question within the time available, the Secretary of the Department concerned shall request Minister-in-charge to, in turn request the Speaker/Chairman that the question be listed for answer on a subsequent day. This procedure should be resorted to only in exceptional cases.

(xvi) All letter heads as well as envelopes used for correspondence regarding legislature business must be superscribed 'Immediate – legislature business'.

(xvii) It is impressed on all officers, both in the Secretariat and outside, that particular care and attention is necessary in dealing with the business of the Legislature. In particular, the Secretaries to Government will be primarily responsible for prompt action to deal with legislature work.

**197.** The procedure mentioned above will apply mutatis mutandis to questions in Parliament in respect of which information is sought for from the State. But, quite often, the information sought for may pertain only to collection of data, in which case, it may not be necessary for every such reply to be shown to the Minister concerned before despatch. Where, however, the information sought relates to substantive issues, the draft answers must be shown to the Minister concerned

before being forwarded to the Government of India.

**198(i)** Whether a question should or should not be allowed is a matter for the Speaker/Chairman to decide. But the preparation of reply to a question should not be delayed on the ground that the question is inadmissible in the opinion of the Secretariat Department.

(ii) In case the Secretariat Department wants a question to be disallowed on the ground of inadmissibility, the request shall be sent by the Minister concerned to the Speaker / Chairman.

(iii) Where issues raised in a question are sub-judice, it may not be proper to furnish replies to sub- judice issues. The reply in such cases may be confined only to the issues which are not sub -judice.

**199.** Every effort should be made to answer the questions promptly. A question which involves compilation of detailed statistics involving considerable labour cannot be declined to be answered on that ground. But, where the Secretary is of the view that it is not possible to collect the information without spending time and effort not commensurate with the data collected, he may bring this to the notice of the Minister to decide whether a reply could be given stating that the information is not readily available and the time and effort involved in collecting it may not be commensurate with the likely utility of the data. Further where the data will take considerable time to collect, an interim reply may be given that the information asked for will be placed on the table of the House when it is ready.

**200(i)** Under the Transaction Rules, the response of Government to a resolution is to be decided by the Cabinet. Hence, as soon as a notice of a resolution is received, a Cabinet note should be prepared and the case put up to the Cabinet for deciding the response of Government. In case of majority of the resolutions, no noting may be necessary in the Department except the draft Cabinet note itself, which may also serve as a brief to the Minister while replying to the debate;

(ii) Non-official resolutions are taken up on days allotted for non-official business in the order in which the resolution appears in the list of business. Secretaries should check up the list of resolutions as soon as the results of the ballot are announced and, having regard to the days allotted to non-official business, see that the Cabinet decisions as to the response of the Government to be adopted in respect of the resolutions that are likely to be taken up for discussion, are available to the Minister in time.

**201(i)** The Secretary of the administrative Department and the Secretary of the Department of parliamentary affairs and legislation will be present in the official gallery during the discussion on Government Bills and they will be responsible for advising the Ministers on any points that may arise during discussion. Any amendments to the bills, suggested by the members while the bills are under discussion, have to be dealt with promptly.

(ii) The procedure for drafting the bills is dealt in Rules 47 to 65 of Transaction Rules.

**202.** Cut-Motions are received usually at very short notice. As soon as a cut motion is received, a suitable brief should be prepared and submitted to the Minister-in-charge by the Secretary of the Department concerned.

**203. Implementation of assurances:** As soon as statement of assurance made on the floor of the Legislature is received from the Legislature Secretariat, extracts thereof shall be forwarded to the Sections concerned. Each Section shall maintain a register of such assurances in K.G.S. Form-1. The Department shall initiate necessary action on the assurance in consultation with the Minister. The action taken on the assurance shall be communicated to the Secretary, Karnataka Legislative Assembly/Council. The register of assurances shall be submitted to the Secretary of the Department every month, who will sign it in token of having examined it and also record any instructions he may consider necessary.

## **B. Cabinet cases**

**204.** According to Rule 12 of the Transaction Rules, all matters referred to in the First Schedule thereof shall be considered at a meeting of the Cabinet. Rule 20 said Rules specifies the procedure to be adopted in such cases. As soon as it becomes clear that a case will have to be placed before the Cabinet, whether a formal decision to place the case before the Cabinet is taken or not, the Department concerned shall prepare a draft Cabinet note, setting out the facts relating to the case, the points for decision, the views of the various administrative Departments and the final recommendations of the administrative Department.

**205.** Before a case is included in the agenda, the Departments concerned must be consulted and their views obtained and included in the Cabinet note. Attention is invited to Rules 13 and 17 of the Transaction Rules, and in particular to the need for

consulting the FD in matters which affect the finances of the State.

**206.** It will be advantageous to send copies of the draft Cabinet note to the Departments concerned simultaneously requesting them to indicate their views. These shall be incorporated in the final draft before it is submitted to the Cabinet. In such cases, the draft Cabinet note and the views of the Departments thereon, may be filed in the correspondence Section with proper referencing.

**207(i)** While submitting a case for the Cabinet the Department to which the case relates should prepare and forward a memorandum setting out with sufficient precision, the points in the case which require decision to the Secretary to the Cabinet. In particular, the memorandum shall state concisely-

(a) In a case which concerns more than one Department, the joint recommendation of the Ministers or the points of difference between them, with the recommendations of each of the Ministers concerned;

(b) If it has not been possible to consult any Department concerned, the reasons therefore;

(c) Advice, if any, tendered by the Departments such as FD, DP&AR (SR), DPA&L, LD, PD under Transaction Rules;

(ii) When the subject of the case concerns more than one Department, the case shall not be submitted for being placed before the Cabinet until it has been considered by all the Departments concerned, unless the case is one of extreme urgency.

**208.** The following instructions shall also be borne in mind while drafting Cabinet notes-

(a) the draft Cabinet note should be marked secret, and it should bear the number of the file on the top;

(b) a brief subject heading should be given in all cases;

(c) the paragraphs and pages in the Cabinet notes should always be numbered to facilitate reference during discussion in the Cabinet;

(d) a Cabinet note should set out the main points at issue and for consideration in a series of short, crisp paragraphs setting forth the essential points;

(e) if a Cabinet note relies on detailed analysis of some complicated factors, or on statistics, this should invariably be set out in the form of an appendix for reference;

(f) the fact of having consulted other Department(s) concerned in the matter should be indicated in the note, giving in brief either their agreement to the proposal, or in case of any difference of opinion, the point or points on which such difference(s) of opinion(s) have been expressed by them;

(g) if the proposal(s) made in a Cabinet note involve(s) any financial commitment, the fact of having consulted the FD and their agreement to the commitment involved should clearly be indicated in the note;

(h) in cases, where FD has not agreed to a proposal and the administrative Department wishes to take it up before the Cabinet, the following procedure may be adopted:-

- (i) the file need not be shown to FD again, if the FD had given its views with the approval of Finance Minister; (The level at which the decision has been taken in FD shall be indicated so that no back reference would be necessary to ascertain whether Finance Minister had seen the file)
- (ii) in all other cases, the Departments may show the papers along with the draft Cabinet note to Finance Minister before it is sent to Chief Secretary.

(i) the draft Cabinet note should be approved by the Secretary of the Department. The fair copy could be signed either by the Secretary or DS as "for Secretary" with the name of the Department indicated below. The draft Cabinet note, when ready, should be sent to the Minister-in-charge of the Department through the Chief Secretary.

**209.** The Cabinet note should contain the specific point or points on which the decision of the Cabinet is sought, together with the recommendations of the Department.



**210.** A Cabinet note as well as decisions of the Cabinet thereon, should be placed in the 'notes' portion of the file. A copy of the order(s) issued by Government on the basis of the decisions of the Cabinet, should invariably be marked to the Cabinet Section with reference to the Cabinet note. Such orders will form part of the 'correspondence' portion of the file.

### **C. Submission of files to the Governor:**

**211.** In cases which have to be submitted to the Governor either for approval or signature, a short and clear summary should be prepared by the Secretary of the administrative Department concerned. The Secretary should clearly bring out, in the summary, that the requisite formalities have been completed, that the proposal has the approval of the Minister-in-charge and/or Chief Minister and/or Cabinet, as the case may be, and indicate the action required on the part of the Governor. The note should be on a separate thick sheet of paper that should form part of the note file, should be signed by the Secretary of the Department concerned and forwarded to Secretary to Governor for obtaining the approval or signature of the Governor, as the case may be. The DS in the FD may sign the summary note in respect of amendments to K.C.S.Rs., finance and other codes.

### **D. Consultation with the Public Service Commission**

**212.** Whenever the opinion of the Public Service Commission is required on a disciplinary matter, the Secretariat files should not be referred un-officially to the Public Service Commission for their advice / opinion. Instead, a self-contained letter should be sent together with all papers relating to the Departmental enquiry, viz., the charge sheet, the proceedings before the enquiry officer including the findings recorded, the documents filed and the report of the enquiry officer.

**213.** Reference to the Commission may be made directly by the administrative Department concerned and need not be routed through the DP&AR except in cases where general principles or methods of recruitment, promotion and transfer from one service to another are involved. Under no circumstances, should any Secretariat file containing Departmental notes/minutes/orders of Ministers, forming part of the records, sent to the Commission for advice/opinion.

**214.** After the Department concerned has received the Commission's recommendation/advice and has arrived at its own conclusion as to the orders which should be issued, it shall, before issuing the order, consult the DP&AR (Service Rules) in cases where general principles are to be decided. When the Department feels that the recommendations/advice of the Public Service Commission need not be accepted, the case should be put up by the Secretary of the administrative Department concerned to the Minister-in-charge and the Chief Minister through the Chief Secretary. If it is decided not to accept the advice of the Commission, a second reference to the Public Service Commission may be made explaining the circumstances in which it is considered necessary to differ from the Commission. Such communication may be signed by an officer of the rank of DS or above. If, in any case, it becomes necessary eventually not to accept the advice of the Commission, the case has to be brought before the Cabinet as per item No.20, First Schedule to the Transaction Rules.

**215.** If the Cabinet decides not to accept the advice/ recommendation of the Public Service Commission then the reasons for non-acceptance must be communicated to the Public Service Commission.

**216.** The Commission shall be informed of the action taken on its recommendations by the administrative Department concerned in all cases (including those relating to the recruitment) which have been referred to the Commission for advice. Ordinarily and so also in cases where the advice of Commission has been accepted, an endorsement forwarding copies of orders issued by the Government in such cases will suffice.

## CHAPTER XV

### Checks on delays

**217. Weekly monitoring reports** (i) The weekly monitoring report is intended to give a statistical picture of the total number of receipts and cases received and dealt with by each dealing hand during a week, together with a detailed analysis of the number of the receipts and cases left over with him and the Section as a whole. The weekly monitoring report gives an idea of the distribution of work among the dealing hands and the load on each individual. The statement also enables the SO, the US and the DS concerned to keep a watch over the progress of work of each dealing hand and to take suitable steps to expedite action on delayed cases and prevent the Section from running into large arrears.

(ii) The LMS and FMS enables generation of MIS report which will indicate the number of receipts received by the dealing hand and their disposal in a week. FMS & LMS systems enables generation of MIS reports for checking pendency of files and letters. Reports can be generated to indicate the number of receipts received by a dealing hand and their disposal in a week. The following Illustration No. 4 indicates the weekly statistical pendency statement for any week which can be generated using LMS .

## ILLUSTRATION NO. 4

**ಪತ್ರಗಳ ಅಂಕಿಅಂಶ ವರದಿ**  
**ಇಲಾಖೆ Forest, Ecology and Environment Department**  
**ಶಾಖೆ SO-RI** ಅವಧಿ 24/11/2003

ಶಾಖೆ	ಪ್ರಾರಂಭದ ಸಂಖ್ಯೆ	ಬೇರೆ ಶಾಖೆಯಿಂದ ಬಂದ ಪತ್ರಗಳು	ಬೇರೆ ಇಲಾಖೆಯಿಂದ ಬಂದ ಪತ್ರಗಳು	ಒಟ್ಟು (೧+೨+೩)	ಕ್ರಮ ತೆಗೆದುಕೊಂಡ ಪತ್ರಗಳ ಸಂಖ್ಯೆ	ಬಾಕಿ ಯಿರುವ ಪತ್ರಗಳ ಸಂಖ್ಯೆ (೪-೫)
	1	2	3	4	5	6
SO-RI	454	0	0	454	0	454
ASST-R&I	0	0	0	0	0	0
AST-SO-R&I	1	0	0	1	0	1

Page: 1

Similarly, using FMS, it is possible to generate weekly pendency report by giving specific dates as indicated at Illustration NO. 5 below:

**ILLUSTRATION NO. 5**

ಇಲಾಖೆ Forest, Ecology and Environment		ಜಾಕಿ ಕಡತಗಳ ವಿವರ										ತಾರೀಖು 01/11/2000		ವರದಿ 20/11/2000				
ಅಧಿಕಾರಿ ಹುದ್ದೆ	ಅಧಿಕಾರಿ ಹುದ್ದೆ	ಮಾನ್ಯ ಸಚಿವರು				ಮಾನ್ಯ ಮಂತ್ರಿ				ಮಾನ್ಯ ಸಹಾಯಕ ಮಂತ್ರಿ				ಮಾನ್ಯ ಸಚಿವರು	ಮಾನ್ಯ ಮಂತ್ರಿ	ಮಾನ್ಯ ಸಹಾಯಕ ಮಂತ್ರಿ	ಮಾನ್ಯ ಸಹಾಯಕ ಮಂತ್ರಿ	
		ಮಾನ್ಯ ಸಚಿವರು	ಮಾನ್ಯ ಮಂತ್ರಿ	ಮಾನ್ಯ ಸಹಾಯಕ ಮಂತ್ರಿ	ಮಾನ್ಯ ಸಹಾಯಕ ಮಂತ್ರಿ	ಮಾನ್ಯ ಸಚಿವರು	ಮಾನ್ಯ ಮಂತ್ರಿ	ಮಾನ್ಯ ಸಹಾಯಕ ಮಂತ್ರಿ	ಮಾನ್ಯ ಸಹಾಯಕ ಮಂತ್ರಿ	ಮಾನ್ಯ ಸಚಿವರು	ಮಾನ್ಯ ಮಂತ್ರಿ	ಮಾನ್ಯ ಸಹಾಯಕ ಮಂತ್ರಿ	ಮಾನ್ಯ ಸಹಾಯಕ ಮಂತ್ರಿ					
Principal Secretary	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Secretary-Forest	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Secretary-Environment	1	0	1	0	0	0	1	0	0	1	0	0	0	0	0	0	0	1
Deputy Secretary-Forest	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
IFA	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Head of Legal Cell	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Director, Tech Cell	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Under Secretary-A and B	2	0	2	0	0	2	1	0	1	0	2	0	0	0	0	0	0	2
Under Secretary-C	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Under Secretary-D	47	16	63	5	0	88	43	9	4	2	97	0	0	0	1	82	7.94	
Under Secretary-E&F	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Under Secretary-G&H	1	0	1	0	0	1	0	0	1	0	0	0	0	0	0	0	1	0
US-Engg	79	0	79	6	62	5	1	3	0	1	5	0	0	0	0	0	5	50.7
SO -A	352	34	416	56	1	380	216	73	26	46	273	2	0	27	83	300	13.6	
SO -B	709	30	739	16	6	745	370	94	44	210	492	0	0	163	80	666	2.84	
SO -C	569	26	594	44	2	646	437	226	82	194	676	0	14	7	341	941	4.63	
SO -D	336	27	412	46	21	346	218	77	0	34	230	0	20	10	74	336	16.0	

The weekly monitoring report shall be generated by SO every Monday in respect of the preceding week or on the next working day, if Monday or subsequent day(s) happens to be a holiday(s). The report so generated shall be moved to the US, who will enter his instructions and mark the report to the SO for necessary compliance. Higher functionaries may also, if they so want, monitor the progress of work through this report, give instructions and mail it to the US / SO.

**218. Monthly statement of cases pending disposal for over a month** (i) As opposed to the disposal of mere receipts at the dealing hands level, which is reflected in the weekly arrear statement, the monthly statement of cases pending disposal will, as its name implies deal with cases which are pending disposal for over a month, and as indicated in the file registers of the Sections.

(ii) The purpose of the monthly statement of cases pending disposal is to bring to the notice of officers that cases have been pending in the Sections under their charge for over a month, and where and why. The statement will indicate particulars of all live cases pending disposal for over a month. A case will be treated as a live case until it has been 'finally disposed'. The monthly statement will give an opportunity to officers to review the pending cases and also provide them an occasion to give instructions to the subordinate staff to take special action, or to obtain specific orders with a view to expedite the disposal of such cases.

(iii).Such reports can be generated using FMS for a particular month as illustrated at Illustration No. 6 below. The Junior Assistant will initiate action by giving the numbers of all files/ receipts (not taken on files) remaining and disposed of up to the end of the month preceding that to which the return relates. Receipts like unofficial references belonging to other Departments on which action is usually taken without their being brought on to a file will be included in these lists. The Junior Assistant will prepare these lists by the 3<sup>rd</sup> working day of every month in respect of the previous month.

The MIS report available under FMS indicates the file pendency in the Section, with officers, Department-wise. The various reports that can be generated to view the statistical pendency are illustrated as below:

**ILLUSTRATION NO. 6 – FILE PENDENCY IN THE SECTION**

**KADATHA 2.0.4 - [MONTH\_DISP]**

File Window Help

Forest, Ecology and Environment **ಜಾರಿ ಕಡತಗಳ ವಿವರ - ಶಾಖೆಗಲು ಮಾಹಿತಿ** ಸಹಿ 01/11/2003 ಏರಿಗೆ 20/11/2003

ಪ್ರಾಧಿಕಾರ ಸಂಖ್ಯೆ	ಪ್ರಾಧಿಕಾರ ಸಂಖ್ಯೆ					ಪ್ರಾಧಿಕಾರ ಸಂಖ್ಯೆ					ಪ್ರಾಧಿಕಾರ ಸಂಖ್ಯೆ					ಒಟ್ಟು	ಶೇಕಡೆ
	ಒಟ್ಟು	ಒಟ್ಟು	ಒಟ್ಟು	ಒಟ್ಟು	ಒಟ್ಟು	ಒಟ್ಟು	ಒಟ್ಟು	ಒಟ್ಟು	ಒಟ್ಟು	ಒಟ್ಟು	ಒಟ್ಟು	ಒಟ್ಟು	ಒಟ್ಟು	ಒಟ್ಟು			
90-A	382	34	416	56	1	380	216	73	26	46	273	2	0	27	58	330	13.6
90-B	709	30	739	16	6	703	370	94	44	210	452	0	0	163	50	556	2.84
90-C	599	26	625	44	2	597	437	226	92	194	576	0	14	7	341	941	4.63
90-D	386	27	412	46	21	346	218	77	17	34	230	0	20	10	74	336	16.0
90-E&T	1118	81	1199	47	0	1152	597	196	117	242	848	42	0	88	174	1064	3.92
90-E&V-A	43	30	73	8	23	43	177	218	4	7	347	4	0	18	37	382	7.09
90-E&V-B	589	54	643	76	0	567	320	239	6	3	489	6	1	0	72	567	11.8
90-RI	8	3	11	0	0	21	11	8	1	1	21	0	0	0	0	21	0
90-IFA-A	6	0	6	0	0	6	3	2	0	0	6	0	0	0	0	6	0
90-IFA-B	186	3	189	1	0	188	99	43	8	47	96	0	0	0	103	188	0.99
90-PS	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
90-g1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
90-tech	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
90-techg1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
90-techg2	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
90-POF	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
<b>ಒಟ್ಟು</b>	<b>4748</b>	<b>227</b>	<b>5136</b>	<b>251</b>	<b>53</b>	<b>4991</b>	<b>2408</b>	<b>1176</b>	<b>324</b>	<b>784</b>	<b>3346</b>	<b>88</b>	<b>36</b>	<b>313</b>	<b>509</b>	<b>4376</b>	<b>6.2322</b>

Thursday, November 27, 2003 Page 1 of 1

Page: 1

**ILLUSTRATION NO. 7 – FILE PENDENCY IN THE DEPARTMENT**

Forest, Ecology and Environment										ಮೂಲ ಕಡತಗಳ ವಿವರ		01/11/2003		20/11/2003		
ವರ್ಗೀಕರಣ	ಮಾನ್ಯ ಸಚಿವರ ಕಛೇರಿ	ಮಾನ್ಯ ಸಚಿವರ ಕಛೇರಿ	ಮಾನ್ಯ ಸಚಿವರ ಕಛೇರಿ	ಮಾನ್ಯ ಸಚಿವರ ಕಛೇರಿ	ಮಾನ್ಯ ಸಚಿವರ ಕಛೇರಿ	ಮಾನ್ಯ ಸಚಿವರ ಕಛೇರಿ			ಮಾನ್ಯ ಸಚಿವರ ಕಛೇರಿ	ಮಾನ್ಯ ಸಚಿವರ ಕಛೇರಿ	ಮಾನ್ಯ ಸಚಿವರ ಕಛೇರಿ	ಮಾನ್ಯ ಸಚಿವರ ಕಛೇರಿ	ಮಾನ್ಯ ಸಚಿವರ ಕಛೇರಿ	ಮಾನ್ಯ ಸಚಿವರ ಕಛೇರಿ	ಮಾನ್ಯ ಸಚಿವರ ಕಛೇರಿ	
						< 1	1-2	2-3								> 3
Principal Secretary	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Secretary-Forest	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Secretary-Burument	1	0	1	0	0	1	0	0	1	0	0	0	0	0	0	1
Deputy Secretary-Forest	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
IFA	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Head of Legal Cell	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Director, Technical	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Under Secretary-A and B	2	0	2	0	0	2	1	1	0	2	0	0	0	0	0	2
Under Secretary-C	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Under Secretary-D	4	16	63	5	0	58	43	9	4	2	57	0	0	1	58	7.94
Under Secretary-EH1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Under Secretary-Bu	1	0	1	0	0	1	0	1	0	1	0	0	0	0	1	0
US-Regal	79	0	79	6	68	5	1	3	0	1	5	0	0	0	5	50.7
SO-A	382	34	416	56	1	380	216	73	26	46	273	2	0	27	58	33.0
SO-B	709	30	739	15	6	710	370	94	44	210	482	0	0	163	80	56.6
SO-C	598	26	624	44	2	596	437	225	82	194	576	0	14	7	341	54.1
SO-D	388	27	415	46	21	346	218	77	17	34	230	12	20	10	74	30.6

219. In order to reduce the delay in the disposal of business in the Secretariat, the following steps are suggested:

(i) Secretaries to Government should devote one day every month to review and discuss long pending files which are more than four years old with the officers in their respective Departments. AS / JS / DS will similarly review cases pending between 2-4 years and U.S. less than 2 years old;

(ii) Where cases are held up for comments or views with Departments other than their own Secretaries should contact their counterparts in the other Departments and arrange personal discussions with a view to disposal or settlement of points at issue.

(iii) In respect of files for which replies or comments are due from the lower formations or subordinate offices for a long time, similar discussion would be held with the heads of Departments with a view to secure speedy disposal. For this purpose, one of the Under Secretaries of the Secretariat Department may be deputed once a month to office of the heads of Departments under its control after sending the list of pending cases in advance, and with the due intimation to the concerned heads of Department;

(iv) The heads of Departments are required to send to the personal address of the Secretary of the administrative Department a complete list of all cases pending for orders for over three months in the Secretariat. Thereafter, the Secretary or his deputy will find out the reasons for pendency and initiate action required for issue of final orders.

(v) The Secretariat officers at the level of DS and above will arrange to prepare a list of cases pending with them for over a month and submit to the Secretary of the Department concerned. Similarly, Secretaries to Government are also required to send such a list of cases pending with them to the Chief Secretary every month for his perusal and orders. Further action on such lists should be taken up as per the orders of the Chief Secretary thereon;

(vi) The Private Secretaries to Ministers and Ministers of State are required to prepare a list of cases pending with the Ministers/ Ministers of State for every month within the first week of the succeeding month in the Proforma and submit the same to the Chief Minister through the Chief Secretary

(vii) To watch the timely disposal of the references received from the Ministers/Ministers of State, particularly where the Ministers desire to have reports or indicate the specific action to be taken etc. and to review the position once a fortnight or earlier, the following procedure shall be adopted.

- (a) every SO should maintain a register for watching the disposal of cases referred to the Department by the Ministers and Ministers of state in so far as his Section is concerned;
- (b) at the end of every week the US concerned should review the disposal of such cases; and
- (c) once a fortnight, a statement should be sent to the establishment of the Secretary indicating the action taken on each reference for being put up to the Secretary and for transmission of the statement to the Minister concerned, after compilation of all such references.



(viii) In order to avoid delays and to ensure that prompt action is taken on all the files submitted by the Departments to Ministers concerned, the Secretaries shall issue suitable instructions to the officers of their Departments to review the pendency of such cases periodically and ensure that the orders of the Ministers concerned are obtained in time. The Secretaries may also inform the officers working under them that it would be their personal responsibility to secure prompt disposal of all cases and particularly of cases which are of an urgent or immediate nature.

(ix) The Secretary to the Chief Minister and Private Secretaries to the Ministers and Ministers of state are also required to take appropriate action for early return of the files submitted to the Ministers with necessary orders.

**220. Call book :** (i) Cases which have reached a stage when no steps can be taken by way of expediting action for a long time (e.g., cases held up before law courts or tribunals, land acquisition cases etc.) may be excluded from the monthly statement of pending cases prescribed in para-218 and their progress watched through a call book. These cases should however be shown separately in the break up of balance in the monthly statements of pending cases.

The cases will be entered using call book option in the FMS

(ii) The following procedure should be followed for maintaining the call book:

(a) As soon as the dealing hand finds that no action whatsoever can or need be taken on an outstanding case for expediting disposal (not even by issuing a reminder) for a period of at least six months he will put it up to the US through the SO for orders whether the case may be transferred to the 'call book' suggesting a date on which action on it should be restarted.

(b) The US will examine the case carefully and satisfy himself that the inclusion of the case in the 'call book' is justified and pass orders accordingly.

(c) All such cases will be entered using FMS by invoking call book option by clearly indicating the date on which the file needs to be recalled. FMS will generate alerts on the day on which the case is to be recalled. Where, on the happening of an event, it is necessary to recall the file earlier than anticipated, necessary entries will be made using FMS. Reports can also be generated to monitor the status of files pending in call book as illustrated at illustration No.8 below:

## ILLUSTRATION NO. 8

FMS - [CALL\_BOOK\_LIST]

File Window Help

### ಕರೆ ಪುಸ್ತಕದಲ್ಲಿರುವ ಕಡತಗಳ ವಿವರ

ಇಲಾಖೆ RDPR  
ಒಟ್ಟು 147

ಕ್ರಮ ಸಂಖ್ಯೆ	ಕಂ.ಕ್ರಮ ಸಂಖ್ಯೆ	ಕಡತ ಸಂಖ್ಯೆ	ವಿಷಯ	ಕಡತ ತೆರೆದ ದಿನಾಂಕ	ಕಡತವನ್ನು ಕರೆ ಪುಸ್ತಕಕ್ಕೆ ಕಳುಹಿಸಿದ ದಿನಾಂಕ
<b>ಶಾಖೆ Section Officer B</b>					
<b>ಒಟ್ಟು 147</b>					
1	3943	RDPಂಭPBV೨೦೦೨	Publishing of Provisional Seniority list of Eos(Asst. Dev. Commr.) as on ೦.೦.೨೦೦೦.	02/01/2002	08/07/2003
2	3961	RDP೨೦೦೮PBV೨೦೦೦	ಸಾರ್ವಜನಿಕ ಲೆಕ್ಕಪತ್ರ ಸಮಿತಿಯ ಸಭೆಯಲ್ಲಿ ಉಳಿಸಿ-ಉಳಿಸಿ ಸಾಲಿನ ಮಗವಿ ಎ.ಜಿ. ರವರ ಚರ್ಚೆಗೆ ಬರಲಿರುವುದರಿಂದ ಮಾಹಿತಿ ನೀಡುವ ಬಗ್ಗೆ.	11/03/2001	02/08/2003
3	3980	RDP೨೦೦೮PBV೨೦೦೦	Sanction of Medical Leave to Sri N.D. Prakash, EO, Pandupura.	10/12/2000	12/08/2003
4	2980	RDP೨೦೦೮PRV೨೦೦೦	ಶ್ರೀ I.T. ಕುಂಜಪ್ಪ ಕ್ಷೇತ್ರಾಭಿವೃದ್ಧಿ ಅಧಿಕಾರಿ ಮಂಡಳಿ ಇವರಿಗೆ ನಿವೃತ್ತಿ ಸವಲತ್ತುಗಳನ್ನು ವಂಚಿಸಿರುವುದನ್ನು ಬಗ್ಗೆ.	03/01/2003	29/08/2003
5	610	RDP೨೦೦೮PBV೨೦೦೦	Consolidated list of Candidates for the post of 25/09/2002	25/09/2002	29/08/2003

Page: 1 of 1

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## **Register of periodical returns**

**221.** Each Section should maintain a register of periodical returns showing the periodicity of the return date on which due, the authority from whom it is to be received or to whom it has to be sent, and the actual date of receipt / submission. These returns may be weekly, fortnightly, monthly, quarterly, half-yearly or annual (For details regarding the mode of maintaining this register: see **Appendix-XI**).

## CHAPTER XVI

### Inspections

**222. Inspection of Sections:** The inspections are intended to inter-alia (i) verify whether the procedure prescribed in the Manual is being observed in practice and (ii) give suitable guidance to the Section inspected to raise its level of performance and to increase its efficiency. The inspections should not only detect Acts of omissions and commissions but also provide practical guidelines as to how they shall be remedied.

**223. Frequency of inspections:** (i) Inspection of the Section should be carried out by SO. Each SO shall inspect his Section once in three months and make notes and assessment in accordance with KGS Form-3. The US shall inspect each of the Sections under him once in six months in detail, make notes and give instructions where required for improvement in Form-4. The DS concerned shall inspect each of the Sections under him at least once a year and make his assessment and give instructions, if any, for improvement in **Form-5**.

(ii) The Sections shall be inspected by SO, US and DS concerned according to the following schedule.

Sl. No.	Quarter ending	SO	US	DS
1	March	During April		
2	June	During first week of July	II week of July	
3	September	During October		
4	December	During first week of January	Second week of January	January

(iii) In addition, the SO shall also carry out table inspection of dealing hands in the Section every month, make notes and give instructions for remedying defects

or guidelines for improvement in KGS form-5. He should also verify whether action, wherever required, has been taken in accordance with the inspection report(s) of the previous month(s). Such reports in form-5 shall be submitted to the US, who shall ensure that inspection has been accurately carried out. Besides, the US shall also, where necessary, carry out table inspection of dealing hands/SOs review and suggest appropriate action in respect of long pending files. Such reports of review shall be submitted to DS / Secretary concerned. Principal Secretary / Secretary / special Secretary, as the case may be, should ensure that table inspections are carried out in accordance with these instructions.

(iv) Inspection reports. The inspecting officer will submit his report to his immediate superior officer and also endorse a copy to DP&AR (AR).

(v) In addition to routine and table inspection prescribed in the above sub-para by SO/US and DS, senior officers like JS/AS/Secretary should, occasionally carry out the inspection of the Sections with special reference to the question of disposal of delayed cases. Secretaries in charge of the Departments should conduct surprise checks of a few Sections to ensure prompt and efficient disposal of work in the Department.

(vi) Programme of Inspection.- In order to avoid dislocation of work, a programme of inspection of Sections should be drawn by each Department in advance every year after taking into account the period of seasonal rush of work.

(vii) DP&AR (AR) will maintain a check register of inspection conducted by the Secretariat Departments and in the light of the instructions/remedies suggested in the reports of inspection of various Sections, issue, wherever required, common guidelines to prevent recurrence of defects and the maintenance and improvement of levels of efficiency.

(viii) All notes of inspections should carefully be drawn up indicating the defects in the course of inspection and suggestions for the general improvement in the standards of work.

**224. Periodical meetings of Department:** The Secretaries to Government may call for a review to improve the efficient and transparent functioning of the Department.

## CHAPTER XVII

### Secretariat Records

**225.** General record Section is under the control of director, state archives.

**226.** Records of the last 30 years are current records. General record Section is the repository for current records except 'D' records of all Departments of the Secretariat.

**227.** All records which are over 30 years old are defined as non-current and may be thrown open for research purposes by Karnataka State Archives.

**228.** The main functions of the general records Section are:

- (i) receipt and preservation of the records;
- (ii) servicing of the records;
- (iii) transfer of non-current records to State Archives,.
- (iv) destruction of time-barred records; and
- (v) preparation and printing of annual indices.

**229.** All recorded files will be forwarded to the general record Section duly entered in K.G.S. Form No.8 in duplicate. The general record Section will check the recorded files with the entries made in the form and sign acquaintance in the duplicate copy of the form, which would be returned to the Departments concerned.

**230.** The records should be kept in the record room in bundles of convenient size arranged according to Department in annual series in the order of subject headings after entering them in the register (K.G.S. Form No.9). Every bundle should then be provided with a suitable label indicating the contents of the bundle. In respect of 'A' records collections copies should be made unless otherwise ordered, one copy being kept along with the file and the other copies transferred to the spare copies Section to be kept in bundles.

**231.** The registers and returns of Sections should be sent to the general record Section when they are no longer required for current use in the Sections. These registers and returns should also be entered in a register maintained for this purpose and preserved for the specified periods as in **Appendix -XII.**

**232.** The following records are kept in general record Section:-

- (i) originals of A, B, C class files;
- (ii) all registers which are required to be preserved for more than one year;
- (iii) Spare copies of Government orders, circulars, official memoranda, printed reports, etc., (not less than 10 copies and not more than 25 copies);
- (iv) Indices.

### **Servicing of records**

**233** (i) Records of all types will be permitted to be taken out only by the Departments to whom they relate and not by other Departments. Where subjects are transferred from one Department to another Department, the Department to which the subject is transferred may take the records relating to the subject without permission of the former.

(ii) In case one Department requires the current records of another Department for reference purpose, such records can be taken from the general record Section only through the Department concerned.

(iii) Non-current records, however, are permitted to be taken out by Departments other than the Departments concerned.

(iv) 'Top secret', 'secret' and 'confidential' records can be taken out from the general record Section on a requisition by an officer not below the rank of DS of the Department requiring it and only after countersignature of an officer not below the rank of DS of the Department concerned. The requisition should invariably state the purpose for which the record is required.

## **Records other than top secret / secret and confidential**

**234.** Records shall be supplied only on requisition made in the prescribed requisition form (KGS Form No. 6. The requisition slip in K.G.S. Form No. 6 shall be printed. Whenever the request in the requisition slip for 'B' and 'C' files are submitted, the purpose and the file number for which the record is required, name of the person who has requested and his designation should be written clearly together with the name of the Section, signature of the person requisitioning and the countersignature of the higher officer of the Section. For example, the requisition slip of dealing hand should be countersigned by the SO; in the case of SO, the requisition slip should be countersigned by the US and in the case of US the requisition slip should be signed by himself/herself, as the case may be.

**235.** There should be a separate requisition slip for each record requisitioned.

**236.** No requisition slip should be marked 'urgent' or 'immediate' etc., unless they are really so. Such requisitions should be attended to immediately.

**237.** All requisitions, which are in order, shall be entered in the serial order in which they are received in an issue register (**KGS Form No. 7**) maintained for the purpose in the general records Section.

**238.** When any record is taken out from the record bundle in response to a requisition, the requisition slip should be kept in the place of the record removed. When the record is restored to the bundle, the requisition slip should be taken out and returned to the Section concerned after necessary indication. The fact of return and restoration should also be noted in the record issue register.

**239.** If the requisitioned record is not available, the slip should be returned with a note as to where the record is e.g., 'Taken out by for file/diary No.\_\_\_\_ on \_\_\_\_\_' or 'record not received', etc.

**240.** A similar procedure should be adopted in complying with the requisition for supply of spare copies of printed Government orders, circulars, official memoranda, etc.



**241** (i) The officer in charge of the general record Section shall prepare by the 5th of every month in respect of each Section, a list showing the records, lent and outstanding for more than a month, and send it on to the SOs concerned with a request to see that the collections are not unnecessarily retained and that such of those, as are not required, are promptly returned to the general records Section.

(ii) The SOs of the indenting Sections should return records which are no longer required and in respect of those that are retained with them, should endorse that they are still with them.

(iii) The general records Section shall report to the officer-in-charge any undue delay in the return of records as also records which are lost and cases where the records are not traceable.

**242. Security of general record Section:** After the Section is closed for the day, the keys of all the doors, after they are locked and sealed, shall be put in a cover, sealed, signed and handed over by the official of the Section to the security officer on duty and his signature obtained in a book. The security officer shall keep the sealed cover safely and return it to the record official who first attends office the next morning and the record room shall be opened in the presence of an officer / senior official of the Section. An SO of general record Section shall ensure before leaving the office that all the doors and windows are properly closed.

**243. Opening of general record Section after it is closed in case of necessity:**

If any immediate necessity arises to open the general record Section, after it had been closed for the day or on a holiday the indenting officer shall contact director of archives or an officer so authorised in this behalf who may obtain the sealed cover from the security officer and open the record room in the presence of security officer on duty. After the required record has been issued, he shall lock the room, seal it and return the key to the security officer on duty in the same cover resealed with his signature on the cover.

**Note:** The above procedure should not be resorted to except in grave cases of urgency by an officer not below the rank of DS. The nature of urgency shall be indicated in the requisition slip.

**244.** Records, which are yet to be transferred by the Departments to general record Section, should on no account be issued by the Department but should invariably be sent in the first instance to the general record Section. They may be obtained from the general records when required.

**245.** The general record Section will be held responsible for any record found missing after its receipt in the Section. The record issued to Departments should be supported by requisition slip and an entry made in the records issue register. The Departments concerned will be held responsible for any record found missing after it is issued to them.

**246.** Whenever a record is found missing in the bundle and requisition slip is not found in its place or there are no entries in the issue register, a report shall at once be made to the director of archives and action taken to search for the missing record. The officer(s) and staff members of the general records Section will be held responsible for the loss of record(s) in such cases.

**247. Preservation of records:** Preservation of records is the essential feature of the general record Section. They should be protected against deterioration and the following instructions should be observed:-

(i) Immediately after the records are received, they should be dusted by hand or mechanical process and stored or restored to the respective bundles.

(ii) The bundles should be dusted and kept tidy, free from dampness, insects, etc. There should be periodical checks of all records.

(iii) Disinfectants and insecticides such as naphthalene, coal-tar, etc., should frequently be used on all shelves and racks where the records are kept.

(iv) Records which become brittle and worn out through passage of time and which require to be preserved should be reconditioned in time on scientific lines.

(v) Worn-out labels on each bundle should be replaced by fresh ones periodically.

(vi) All the printed volumes and manuscripts should be arranged neatly and methodically in the records.

(vii) The general record Section should be cleaned every day, kept tidy and in good condition.

**248** (i) The Secretariat registers should be preserved either permanently or for particular periods and destroyed thereafter (for details please see **Appendix -XIII**).

(ii) As for the disposal of records which are no longer required to be preserved, normally old records containing manuscript should be torn and disposed of straight away. Secret and confidential records should, however, be torn and burnt.

(iii) Disposal of waste paper is governed by orders issued from time to time.

### **Destruction of Records**

**249**(i) At the beginning of every calendar year (i.e., January), the general records Section should examine and weed out such of the records that have become time-barred and arrange for their destruction. The relevant records which are to be weeded out would be sorted out in the general records Section and kept in Section-wise lots after making entries in K.G.S. Form No.10. Thereafter, the SOs, State archives Department will attend to the destruction of records while weeding out and destroy time-barred records in accordance with the existing procedure and with reference to circular instructions issued in this behalf from time to time, proper care should be taken that current records are not destroyed.

### **250. Annual transfer of records to Karnataka State Archives**

The following instructions regulate the transfer of Secretariat records to Karnataka State archives:-

(i) The general record Section will deposit every year with the Karnataka State archives the following records:-

- (a) Originals of A, B and retained C class files;
- (b) Four copies of indices of all Departments of Secretariat;

(ii) Before transferring the records, the general record Section will examine them in accordance with the provisions of this manual as amended from time to time. It will remove every paper not worthy of preservation.

(iii) The records in each class of files sent by the general record Section for deposit in Karnataka State archives will be accompanied by a covering list for each bundle in duplicate which will show the nature of records, file headings, the

first and the last numbers in each bundle. Records which are not sent along with the bundles because they are issued for reference will be indicated by the word 'slip' in the list against the file number. Departments of the Secretariat which hold 'slip' records for reference in the Section will return them, when no longer required. The general record Section will transmit them to Karnataka State archives after making necessary entries in the covering list of records transferred to State archives.

**251.** The Karnataka State archives will make arrangements to receive the records from general records Section and return the duplicate list, duly checked and acknowledged.

**252.** The Karnataka State archives will comply with the requisitions for records from Sections of Secretariat Departments and obtain acknowledgements for them. The director, Karnataka State archives will remind the Secretariat Departments, if the records are not returned within three months from the date of issue and Secretariat Departments should either return the records or intimate the State archives the need for further retention of records in the Department.

## **Chapter – XVIII**

### **Grievance redressal**

#### **A. Public grievances:**

**253.** During 1983, a public grievances redressal organisation (P.G.R.O) was established in the State for speedy disposal of petitions within a stipulated time frame and in a responsible and effective manner. The Public grievances cell is presently headed by a Principal Secretary to Government. He is assisted by a JS, two USs, six SOs, in addition to other ministerial staff.

#### **Mission of public grievances cell:**

**254.** The mission of the cell is to act as a facilitator for speedy redressal of public grievances. The cell has classified public grievances under 36 heads. Major clients of the cell are various Departments and other organizations of the State Government as well as citizens with grievances against the State Government Departments / organizations.

#### **Services offered by the public grievance cell:**

**255.** The cell receives grievance petitions against public institutions and Government officials from Citizens / organizations / Departments etc. The cell forwards these grievance petitions to the grievance redressal authorities at district level / State level for necessary action and sends the report of action taken to the petitioner. The cell also considers suggestions for speedy disposal of public grievances. The cell may also call for reports and hear petitioners, wherever necessary.

#### **Machinery for redressal of public grievances:**

**256.** (i) Public grievances petitions received by the Chief Minister, public grievances cell or the nodal officers, namely; deputy commissioners, Assistant commissioners and the taluk officers shall be sent to the concerned authorities with instructions that replies shall be sent to the petitioners under “Certificate of posting” within fifteen days positively. A copy of the reply shall also be sent to the office where the grievances petition was received. If for some reasons, it is not possible to send a reply within stipulated time an interim reply shall be sent indicating the reasons for delay and the duration within which a final reply can be expected.

(ii) Interim / final reply will indicate that in case the petitioner is not satisfied with the reply or if no reply is received by him within a stipulated time, he could send a reminder / rejoinder indicating reasons as to why he was not satisfied with the reply, to the next higher officer than the one, to whom the petition was sent in the first instance. The name, telephone number and full official address of the next higher officer will also be indicated in the interim / final reply. The disposal of public grievances petitions would be monitored by public grievances cell for the entire State.

(iii) The stage of pendency of a Public Grievances petition would be informed to the petitioner if he enquires about it. The pendency of the petition shall also be displayed on web-site and accessible through internet. For petitions submitted to public grievances cell, public kiosks would be set-up through which the citizens can check the status of their petitions.

**Empowerment of officers for effective redressal of public grievance:**

257. (i) Since the main objective of the public grievance cell is the effective redressal of public grievances, the Principal Secretary, public grievances cell has been empowered to hear public grievances in any office throughout the State. This will help the public grievances cell to come in direct contact with the public and help speedy redressal of grievances through direct hearing. Similarly, the principal Secretaries / Secretaries in-charge of districts are also empowered to hear public grievances during their tours of the district, and at the end of the review meeting held in the districts. The heads of Departments and deputy commissioners are also required to hear public grievances concerning their Department / jurisdiction and ensure that the petitions received during such meetings are disposed off immediately. Performance of an officer relating to redressal of public grievances may be recorded in performance reports.

(ii) Public grievances cell is also empowered to correspond with any office in the State including boards / corporations etc., and call for reports, wherever necessary. Principal Secretary, public grievance cell may also inspect any office in the State to review disposal of public grievances petitions received by them. During such inspections, Secretary, public grievances cell may also peruse records and record the statements of the petitioners.

(iii) All heads of Departments including principal Secretaries / Secretaries must hold a meeting once in a month to hear grievances and clear grievance related to petitions. One day in every month should be exclusively earmarked for this purpose. Wide publicity in advance should be given to the public through Press and Media about such meetings.

**Monitoring disposal of public grievance petitions:**

258. All public grievance petitions received in the Secretariat shall be entered under a separate head of “Public Grievances” in the LMS / FMS. The Principal Secretary (Public Grievances) will monitor disposal of all the letters / files relating to public grievances. Where the record of files is not maintained on computer, special registers will be opened to enter all public grievance petitions and monitor their disposal.

**Time limit for disposal of petitions:**

259. All grievance petitions received by the concerned officers should be disposed off within 15 days from the date of receipt. The consolidated monthly report about disposal of petitions will be prepared by public grievances cell and submitted to the Chief Secretary. The disposal may also be monitored in MMR meetings. The deputy commissioners / heads of Departments shall review the pendency of petitions every month and submit a detailed report on the pendency by the 10<sup>th</sup> of every month to public grievances cell.

**B. Representations by serving Government servants: -**

260. The procedure regarding representations by serving Government Servants, will be as follows:-

- (i) All representations should be concise and clearly specify the reliefs sought.
- (ii) Government servant seeking such relief must send the representation in his own name and through the proper channel.
- (iii) Joint representations by more than one Government servant will not be considered but this will not apply to representations made by recognized Service Associations.
- (iv) The representation should invariably be accompanied by a copy of the order, if any, appealed against.

- (v) Unless otherwise specified, an appeal or representation should be submitted within 3 months of the issue of orders appealed against. An appeal or representation submitted after that period will be entertained only at the discretion of the Government on being satisfied that there were adequate reasons for not submitting the representation within time.
- (vi) Where Government have already passed an order in a representation, a fresh representation on the same subject will not be entertained unless the representation disclosed new grounds or facts not brought before Government when the previous order was passed and adequate reasons are furnished for not placing these grounds of facts before Government at that time.
- (vii) A superior officer who receives a representation from his subordinate should see to the prompt transmission of the paper to proper authorities with his comments and with relevant records, if any, in his possession within the maximum limit of 14 days. Similarly, a deciding authority will also see that the decision in such cases is taken with the least possible delay.
- (viii) Representations should, however, be withheld in the following cases –
  - (a) If it is time barred and sufficient reasons are not assigned for the delay in submitting the representation; and
  - (b) If a copy of the order appealed against is not annexed to the representation.

The fact that a representation has been with-held and the reasons there for shall be communicated to the Government servant concerned.
- (ix) The representation received from a Government servant should be forwarded by his immediate superior officer to the authority to which it is addressed through the official channel.

The practice some times adopted of handing back the representation to the aggrieved officer himself with the remarks that he should take it personally to the higher authority concerned is incorrect.



- (x) Government servants are permitted to submit advance copies of their representations to the competent authorities directly, originals of which have been submitted through proper channel:
- (xi) Under Rule 27 of the Karnataka Civil Services (Conduct) Rules, 1966, any representation by Government servant shall only be made through proper channel and whenever it is addressed to the Government, the advance copy shall only be submitted to the Secretary to Government of the Department concerned and not to the Minister incharge of that Department.
- (xii) Rule 26 of the KCS (Conduct) Rules, 1966, lays down that no Government servant shall bring or attempt to bring any political or other influence to bear upon any superior authority to further his interests in respect of matter pertaining to his service under the Government. Government will take serious view of the contravention of the above instructions. No action should be taken on letters, representations, etc., which violate either of these two provisions. They should be merely returned to their writers.

## CHAPTER XIX

### Miscellaneous

**261.** Officials are prohibited from removing articles of furniture from one Department to another without the permission of the US, DP&AR (Executive).

**262. Stationery and forms:** R&I Section of each Department should send to the Government press a consolidated stationery indent once a quarter before 5th of each quarter and should maintain an account of stationery received and distributed by preserving duplicate copies of the indents received from the Sections, etc. A similar indent for the stationery required for the use of officers will be drawn by the P.Ss./P.As. attached to them. Secretariat Departments should send their indents according to the calendar drawn by the Government press, which shall arrange to deliver the stationery articles within a week of the receipt of the indent to the respective R&I Section in each Department.

**263.** The SO in charge of R&I Section in each Department will keep the stock of printed forms and stationery and supply them on quarterly indents. He should check all obsolete forms once a month and try to put them to alternative use, as far as possible.

**264.** Stationery and forms supplied to Sections should be kept under lock and key in the Section under the control of the SO. SO is responsible for its distribution in the Section.

**265.** It is the responsibility of the SO of Sections and the US to see that orders regarding economy in the use of stationery articles, forms and registers are followed implicitly by the Sections.

**266. Discipline and attendance:** The prescribed office hours are from 10:00 A.M. to 5:30 P.M. on all working days.

**267(i)** Smart cards have been provided to the officers and other staff members working in the Secretariat. Officers and staff members shall flash the smart cards before the readers located in the entrance and exit gates of the Departments registering their attendance and departure from office.

(ii) The reports of attendance are maintained by the Secretariat of e-Governance and is made available to the respective Secretaries to Government by e-mail twice a day. Secretaries to Government shall monitor the attendance of the staff working under them. The responsibility of retrieving the attendance may be entrusted to the personal staff of the Secretaries to Government. In case the attendance reports are not received by Secretaries to the Government, such non receipt of report shall be brought to the notice of the Secretary to Government, e-Governance.

**268.** No member of the staff should leave the office during office hours without the permission of SO. Officials are allowed to avail themselves of an interval of three-fourth of an hour between 1-30 p.m. and 2-15 p.m. daily for taking lunch or snacks. SOs should see that this period of interval is under no circumstances exceeded.

**269.** Any member of the staff may be required to work beyond the office hours when the business of the office demands it and the SOs are authorised to call upon their officials to so work on such occasions.

**270.** Officials in group D service have different designations such as Dalayats, attenders, etc., and carry different scales of pay. They are duty bound to attend to functions normally attached to group D employees, whenever called upon to do so, regardless of designation.

**271.** No person other than a Secretariat official should be admitted into the Section without a permission from the US concerned.

**272. Visitor regulation:** (i) Officers of and above the rank of US only are to interview visitors to Secretariat.

(ii) The visiting hours shall be between 3.30 PM and 5.30 PM on all working days.

(iii) Officers should not schedule meetings during the visiting hours.

(iv) The visitor should take prior appointment from the officer, whom he proposes to meet.

(v) The receptionist should ascertain from the officer concerned and allow the visitor to meet him.

(vi) Receptionist shall allow visitor on production of (a) a letter from the officer concerned advising to meet him; (b) an appointment card; or by ascertaining from the officer concerned as to whether the visitor may be allowed to meet him.

**273.** The receptionists at various reception counters in the Secretariat should be courteous to the visitors when they ask them to produce identification cards and make necessary enquiries and verification regarding their proposed visit or meeting with officers.

**274. Leave and holidays.-** The consequences of absence from duty without leave are contained in Rules 106A, 106B and 108 of KCSRs. The manner in which such cases should be dealt with are also spelt out in the circular instructions issued by DP&AR (SRs) in the matter.

**275.** The Secretaries to Government may impose any of the penalties mentioned in clauses (ii) to (iv-a) of Rule 8 of the KCS (CC&A) Rules, 1957 on group 'B' officers of Karnataka Government Secretariat working in their Departments. They are also empowered to suspend these officers and to institute disciplinary proceedings against them. The additional/joint/deputy Secretaries of the administrative Department concerned are competent to impose any of the penalties mentioned in clauses (ii) to (iv-a) of Rule 8 of the KCS(CC&A) Rules, 1957 on the group "C" officials working under them. They are also empowered to suspend these group-C officials.

**276.** US of the Department concerned is empowered to impose any of the penalties mentioned in clauses (i) to (iv-a) of the KCS (CC&A) Rules, 1957 on the group "D" officials working in the Department. AS / JS / DS, DP&AR (Administration) can suspend them and also impose any of the penalties under Rule 8 of the KCS (CC&A) Rules, 1957.

**277.** The US, DP&AR (Personnel) will maintain the performance reports of SOs and non-gazetted staff of the Secretariat. It is the responsibility of the supervisory level officers of the Secretariat to ensure that annual performance report of group "B" and group "C" employees under them are written within the period specified in the KCS (Performance Reports) Rules, 2000 and they are forwarded to the US, DP&AR (Personnel).

**278 (i) Performance report and personal records.** According to the Karnataka Civil Services (Performance Reports) Rules, 2000, the performance report shall be initiated in the forms specified by Government from time to time by furnishing the personal data and self-assessment, ordinarily within one month of the end of the year. The report shall be submitted to the reporting authority, who, after recording his report in the appropriate part of the form, forward it to the reviewing authority, ordinarily, within three months of the end of the year. The reviewing authority shall review the report and forward it to the accepting authority within three months from the date of its receipt from the reporting authority.

(ii) The prescribed forms of performance reports contain columns to indicate performance against targets. The reporting authorities shall, therefore, indicate the targets of each employee working under their control in respect of the financial year i.e., by the month of April.

(iii) The DP&AR (Services) shall maintain in respect of each Gazetted Government servant of the Secretariat "Personal File", which should contain the order of his appointment and a complete chronological service record of the officer regarding his postings, promotions, grant of leave, deputation to foreign service, passing of Departmental examinations, etc. This will be in addition to and distinct from the performance reports. Besides, executive records sheets in respect of each officers containing all the necessary particulars including those contained in the personal files shall be maintained.

**279.** The following procedure is prescribed in the matter of preparation of performance reports of employees in the Secretariat:-

(i) The AS, JS, DS, US and SOs should submit the reports with self assessment of the employee concerned to their immediate superior officers within the time limit prescribed in the KCS (Performance Reports) Rules, 2000.

(ii) The performance reports of the group "C" officials working in the Secretariat shall be initiated and put up in the manner indicated hereunder:

(a) The employee concerned should furnish data in the self assessment columns of the prescribed form and submit it to his immediate superior officer.

(b) in respect of Senior Assistants, Assistants, Junior Assistants and Typists the report shall be submitted to the SO concerned, who is the reporting authority and then submitted through the US to the DS/JS/AS concerned.

(c) In respect of group “C” officials working in the personal establishment of Chief Secretary, Additional chief Secretaries, Secretaries, Additional Secretaries, joint Secretaries, deputy Secretaries and under Secretaries, the reports shall be written by the officer, in whose personal establishment the officials are working and they need not be put up to any higher officers.

**280.** Whenever any SO / Senior Assistant, Assistant or Junior Assistant, is transferred, there should be a regular transfer of charge to be recorded in the proforma (KGS Form No.11). A copy of the proforma signed by both officers should be delivered to the US. After checking the same and after verifying that all the files/receipts/reference books, etc., have been properly accounted for, the transfer report is to be preserved in a separate running file for future reference. The relief memo should be issued only after such detailed transfer of charge.

**281.** For SOs, the report mentioned in Para 297 should be prepared in addition to the transfer of charge report prescribed under the Karnataka Financial Code for gazetted officers.

**282. Stores-** The following are the duties of the official in charge of Stores:-

(a) He will work under the general control of the US, DP&AR (Executive).

(b) His duties will be confined to the custody, preservation and issue of stores under his charge and to the due maintenance of accounts relating to them.

(c) Stores will be issued by him on receipt of indents, duly ordered by a competent authority viz., US, DP&AR (Executive) or any person duly authorised by him.

(d) He will also make necessary arrangements for furnishing the Section or offices, etc., of the Secretariat and for the issue and return of articles of furniture.

(e) He shall check periodically the articles supplied by DP&AR (Executive) and make necessary entries, if any, in the appropriate register or list and furnish a report to US, DP&AR (Executive).

**283. Watch and ward:** Watch and ward wing of the Secretariat will be under the supervision of security officer. He shall be under the direct control of US, DP&AR (Executive). The following are the duties and responsibilities of the security officer -

(a) The security officer is personally responsible for making necessary arrangements for the safety of the Secretariat buildings and articles kept and used therein.

(b) He shall allot duties to duty officers and ensure that the watch and ward men perform the duties properly and efficiently, especially during nights and mornings and be responsible for the maintenance of discipline among them.

(c) He shall arrange to hoist and lower National Flag every day.

(d) He shall not allow any unauthorised person to enter Secretariat.

**284. Supervisor:** (a) The Supervisor is primarily responsible for making necessary arrangements for the tidiness and cleanliness of the Secretariat buildings.

(b) He shall allot duties and areas to the sweepers and scavengers and be responsible for the maintenance of hygiene and sanitation in the buildings.

(c) He shall make necessary arrangements for the meetings, conferences, etc., that take place in the Committee Room, Conference Hall, Banquet Hall.

(d) He shall receive furniture and other articles and distribute them to Sections, officers, Ministers' establishments on the basis of indents, duly authorised, by the competent authority viz., US, DP&AR (Executive) or any person duly authorised by him.

(e) He shall work under the control of US, DP&AR (Executive) and report him, wherever there is any shortcomings.

(f) He will also attend to such other work as may be entrusted to him by the US / SO, DP&AR (Executive).

**285. Production of documents before the Committees of the Legislative Assembly:**(a) Where a requisition is received from the Legislature Secretariat that an officer is summoned as a witness, the officer should attend the meetings of the Committee to give evidence individually.

(b) If he has to produce any documents, the summons itself will specify the documents required to be produced. On receipt of such summons, the officer having the custody of the papers will obtain the orders of the Secretary of the Department about the production of the documents.

(c) The Secretary of the Department shall examine the documents summoned and consider, in consultation with the Secretary of the law Department, if they are relevant to the subject matter of such enquiry before permitting the officer to produce them. If not relevant, he may, after obtaining the orders of Government, instruct the officer to raise the issue before the Speaker / Chairman and abide by his decision.

(d) The Secretary shall also examine if the documents are such that their disclosure would be prejudicial to the safety or interest of the State and refuse permission of their disclosure after obtaining orders of the Government.

(e) As far as possible, there should be no refusal to produce documents. Any decision to decline to produce a document should only be taken after consultation with the Law Department and with the approval of the Chief Minister.

**286.** A record of all promises, undertaking, etc., made by the Ministers and Ministers of State during their tour should be kept and submitted to the Ministers on their return from tour. For this purpose, it is necessary that Stenographers attached to the Ministers and Ministers of State should invariably accompany the Ministers and Ministers of State on tour.

**287. Correspondence between heads of Departments and Secretariat Department.-** Correspondence between heads of Departments and the Secretariat Departments should be minimum, as far as possible. To achieve this object, the Secretaries to Government should examine the proposals received from their subordinate Departments with reference to their field activities in the Department and prescribe proforma for such of the subjects where back reference seeking clarifications, etc., are made in order to obtain all the necessary information for early sanction by the Government. He may also direct heads of Departments under his control not to make unnecessary references in routine cases to Government.





**LIST OF FORMS PRESCRIBED IN KARNATAKA  
GOVERNMENT SECRETARIAT MANUAL**

<b><i>Form</i></b>		
<b>No.</b>	<b>Title of the Form</b>	<b>Para</b>
1.	Register of Assurances given in the Legislative Assembly/Council	203
2.	Register of periodical Returns and Reports	221
3.	Quarterly Inspection by the Section Officer	223
4.	Half yearly Inspection by the Under Secretary	223
5.	Annual Inspection by the Deputy Secretary	223
6.	Karnataka Government Secretariat Requisition for Records	234
7.	Record Issue Register	237
8.	List-Register of Record Files (To be prepared in duplicate)	229
9.	Department-wise showing the collections of the several Sections received in the General	130
10.	Register for Destruction-Preservation of Time Barred Records-Registers	249(i)
11.	Pro-forma for transfer of charge for Section Officer s in the Karnataka Government Secretariat	280



**Register of Assurances given in the Legislative Assembly/Council**

SI.	Date of assurance	Question motion, etc. and Leg. Dept.	Subject	Assurance given	Action taken	How fulfilled	Date on which required material
No.	and file number	Ref. No.		in brief	in brief		Sent to Laid on the Leg. Dept. Table of the House
	2	3	4	5	6	7	8 9
<hr/>							
<hr/>							

**Register of Periodical Returns and Reports**

Department of

Year

Section

SI. No.	Description	Authority from whom due-to whom sent	File No. Containing authority and procedure	Current file	Month and date due-to be sent	Remarks (reminders issued, date finally received-sent)
1	2	3	4	5	6	7

**K.G.S. Form No.3**

**Para No. 2 23**

**Quarterly Inspection by the Section Officer**

Department	Branch/Section
Date of Inspection	Date of last Inspection
Name of the Section Officer	
Date of posting to Section	

*Question*

*Answer*

Sanction Existing

Reason for the vacancy

**1. Number of Assistants.-**

Senior Assistants

Assistants

Junior Assistants

**2. Attendance Register.-**

(a) Is it properly maintained

(b) Action taken against last intenders, if any, in the previous quarter

**3. Section diary.**

(1) Neat and tidy

(2) Are columns utilised properly.

(3) Subjects given briefly and clearly

(4) File No. given against each Diary No.

(5) Is date of disposal given against each entry

(6) Is nature of disposal indicated correctly (to be test-checked)

(7) Are receipt made over to Assistants on the same day (to be test-checked)

- (8) Is dairy test-checked by the Under Secretary every month (Initials of the officer in token of check to be seen)..
- (9) Are references from Government of India and other State Government entered in red ink (to be test-checked)..
- (10) Are receipts which are not to be diarised *vide* para 60 of the Manual being diarised (to be test-checked)
- (1i) No. of receipts received in the Section during each of the proceeding three calendar months

4. Assistant's Diary.

- (1) Are all dealing hand's maintaining the Assistant's Dairy
- (2) In proper form
- (3) Neat and Tidy
- (4) Are particulars given in all columns of Diary
- (5) Are references from Government of India and other State Governments entered in red ink (All items above should be test checked).

5. **File Register**

- (1) Maintained neatly
- (2) Are files opened under appropriate subject Symbols (to be test-checked)..
- (3) Are of files precise and expressive of subject matter dealt within the file (to be test checked)

(4) Are Record Classification and date of destruction indicated in the appropriate columns clearly and correctly, (to be test checked)

(5) Are date of opening and closing of files given correctly (to be test checked)

**6. File movement Register-**

(1) Maintained neatly

(2) Are movements of files marked correctly and in time (to be test checked)

(3) Are part files amalgamated with main files at the earliest opportunity and necessary entries made in the register (to be test checked)

(4) In tracing of files easy (to be test checked and results should be recorded in the following form)

<i>To Whom marked in SI. File file movement No.</i>	<i>Whether actually traced from the Remarks Place marked Register</i>
I	
2	
3	
4	
5	

**7. Weekly Arrears Statement-**

(Go through the last weekly arrears statement)

(I) Is it maintained in the appropriate form and submitted regularly



- (2) Are reasons for delay given in the case of over 5 days receipt cases
- (3) Are directions given by S.O./U.S. for quick disposal of delayed receipts
- (4) Are these directions being followed (to be test checked)
- (5) Was the number of receipts/cases in hand with any Assistant unduly heavy last week end.
- (6) Any suggestions by Inspecting Office to improve the state of affairs

**8. Monthly statement of pending cases-**

- (1) Are the statement brought up-to-date and submitted regularly
- (2) Was the last statements submitted in time
- (3) Are they submitted to
  - (a) Deputy Secretary .
  - (b) Secretary .
- (4) Are directions given by Officers for expending delayed cases and whether action is taken thereon (to be test checked)
- (5) Are these statements discussed at the periodical meetings of officers..
- (6) What is the position regarding pending cases at the end of the preceding month Please give details below
 

---

	<i>At the time of last annual inspection</i>	<i>At the time of last quarterly Inspection</i>
	<i>Present position</i>	

---

  - (i) No. of cases pending disposal between  
1 and 3 months
  - (ii) Do 3 and 6 months
  - (iii) Do 6 and 12 months
  - (iv) Do 1 year and 2 years

(v)	Do	over 2 years
		Total

**9. Suspense Diary and Reminder Diary of files**

- (1) What is the system adopted
- (2) Is the procedure said down in the manual followed. If not, is the present system satisfactory
- (3) Are cases brought out on due dates promptly and action taken in due time (to be test checked)
- (4) Are Challans prepared for cases sent out to other Departments and extended in Suspense and Reminder Diary (to be test checked).

**10. Register of Reports>Returns-**

(Go through the Register of Reports and Returns)

- (1) Maintained neat and tidy
- (2) Is it up-to-date
- (3) Any Instance of Reports>Returns not sent/received in time (to be test checked)
- (4) What steps are taken to render reports/ return in time
- (5) Any suggestion to improve state of affairs if not found satisfactory..

**11. Register of Assurance-**

- (1) Maintained neat and tidy

(2) In proper form and up-to-date

(3) Is it submitted to the Secretary every month

## **12. Recording and indexing-**

(Go through the list of records files in the Section) .

**(1) What is the present position regarding recording and indexing; Please obtain the following details:**

(i) No. of files recorded and indexed during File Nos.  
the last 12 months .

(ii) No. of such files sent to General  
Records Section

(iii) No. of closed files pending final recording and indexing

(2) Is the Section in arrears in regard to recording and indexing

(3) Is the position satisfactory

(4) Are all files indexed before stitching where indexing is necessary

(5) Are index slips kept properly arranged.

(6) Get three recently recorded files and verify whether

(i) Papers are properly and neatly arranged

(ii) References are properly given

(iii) Pages are numbered properly

(iv) Properly and safely stitched

(v) Unnecessary papers are weeded out..

- (vi) Previous and later references given on the cover
- (vii) Classification for record is given with due care and in keeping with the importance of the case
- (viii) Whether closure certificate is recorded on the cover
- (ix) The year of destruction is indicated on the cover clearly
- (x) The 'Indexed' certificate has been given on the cover
- (xi) Are index slips prepared properly

### **13. Weeding out of unwanted records/papers-**

- (1) Are the monthly filing folders weeded out in time and destroyed (to be test checked)
- (2) Does the Section give the appearance of being crowded with unwanted papers (to conduct a physical check of the room)
- (3) Are unwanted papers/publications/ books properly weeded out once annually. When was the last weeding conducted. Is there any backing.
- (4) Any suggestion about " scattering " or "dumping " of records/papers/books. If any in the Section.

### **14. Section Note Book**

- (1) Maintained neat and tidy
- (2) Maintained in Alphabetical Order
- (3) is it up-to-date (Pages to be returned over to spot any recent entries. Also think of any important decision recently taken and verify if they are included)
- (4) Are decisions entered

(a) precise

(b) clear

(c) under appropriate heads to be test-checked.

(5) How does the Under Secretary mark decisions for inclusion the Section Note Book

**15. Guard Files:**

(1) How many already exist (List to attached

(2) How many are under preparation or yet to be prepared (attach a list)

(3) Are they well prepared and maintained (to be test-checked)

**16. Reference Books, Rules and Regulations:**

(1) Is the Section furnished with all Rules, Regulations and books required for its proper functions

(2) Are there any deficiencies if so, state what are they

(3) Is a list of books/publications maintained

(4) Are the Rules Regulation, etc., maintained duly corrected up-to-date (to be test-checked)

(5) Are they maintained centrally in one place by the S.O. scattered over the table of each Assistant

- **17. Classified Documents:**

- (1) Are the prescribed security instructions laid down in O.M. No. GAD 9800 P 57 dated 8th August 1957 being straiten followed
- (2) Has the Section a Security Box..
- (3) Are the classified Documents and Confidential and Secret files kept in his confidential Almirah by S.O.2
- (4) Has the Section or any member of the staff been taken to task for violating security instructions during the year 2
- (5) Any suggestions for improvement of the Security arrangements obtaining in the Section at Present 2
- (6) Is the Section in possession of any secret papers at the time of inspection. If so, how is kept safely?

**18. Call Books:**

- (1) Is there are a Call Book in the Section
- (2) Are there any, cases kept in the Call Book right type
- (3) Are there any, cases kept in the Call Book which should not appropriately benefit

**19. Inspection of Table of Assistant:**

- (1) Is it done by the Section Officer .
- (2) If so, at what interval
- (3) Any papers/files on tables of Assistant are accounted for in the:
  - (i) File Register

- (ii) Last Weekly arrears statement
- (iii) Last Monthly statement of pending cases

**20. Rotation of work:**

- (1) Are dealing Assistants rotated to differed items of work or employed on the same work year after year
- (2) Any dealing persons doing the same work for more than 3 years
- (3) If so, (a) give reasons
  - (b) Remarks of inspecting Officer

**21. Level jumping:**

- (1) Are there any Assistants submitting their files direct to Under Secretary If so, is the arrangement working satisfactory
- (2) Can direct submission be extended to other items of work

**22. Disposal by Conduct of S.O.:**

- (1) Types of receipts/cases, if any, dealt with by S.O. himself
- (2) Nature of receipt/cases warranting initial action by S.O. .
- (3) Other items of work, if any, which can be more usefully be dealt with by S.O. himself instead of any dealing persons.
- (4) Classes of cases disposed by S.O. himself
- (5) Does the S.O. guide the staff in putting cases
- (6) What steps are taken by S.O. to train and build up initiative and confidence in the Assistants working in the Section
- (7) If so, is it adequate or needs toning up.

(8) Does the S.O. encourage the Assistants in voicing their views independently on cases, thereby giving an impetus to develop initiative

(9) Any suggestions for further delegation of powers to S.O.

**23. Suggestions, if any for implementation..**

**24. General Assessment**

Date:

Signature of Inspecting Officer.



**ANNEXURE I**

***Statement showing action taken on the Last Annual  
Inspection Report***

Defects pointed out or suggestions made in the previous report	Action already taken or proposed
1.	1
2	2
3.	3
4.	4
5.	5
6 .	6
7.	7
8.	8
<b>9.</b>	<b>9</b>
10 .	10

Date

Signature of  
Section Officer  
..... Section

**K.G.S. Form No. 4**

**Para No. 223**

**Half yearly Inspection by the Under Secretary**

1. Date of Inspection
2. Name of the Section
3. Name of the Section Officer
4. How many posts are vacant. Since when are they vacant? (Please indicate the position category wise)
5. Whether the Section Officer has inspected the Section every month, if so dates of monthly inspections by the Section Officer during the quarter.
6. Have all the defects noticed therein are rectified?
7. Whether the following are maintained properly?
  - (a) Work distribution chart
  - (b) Section Diary
  - (c) Weekly Arrears Statement
  - (d) Register of Assurances
  - (e) Register of L.A. and L.C. Questions
  - (f) Register of Writ Petitions
  - (g) Call Book
  - (h) Section Note Book
  - (i) Standing Guard file

(j) Data Bank

(k) Policy files

8. Are reminders issued periodically :
9. Whether a Register of D.O. letters from the Heads of Departments and others is maintained? :
10. Are D.O. letters replied promptly?
11. Number of cases reviewed where the D.O. reminders have been received but the cases have not been disposed of During the quarter :
12. No. of cases reviewed during the previous quarter but finally disposed of during the subsequent quarter. :
13. Whether such review report for the previous quarter has been submitted to the Deputy Secretary :
14. No. of files pending for want of replied from the Heads of Departments :
15. Number of such files reviewed :
16. What is the number of receipts pending in the Section for more than 5 days :
17. The reasons for the pendency and solutions offered
18. Are unnecessary papers being weeded out periodically and closed files sent to the Records Room?  
(Please indicate the Pendency) :

19. Whether C & R Rules are framed?  
If not, what is the stage? :
20. How many LA/LC Questions are  
pending and since when? :
21. General observations for improvement  
of the working of the Section.  
(Not covered in any of the questions  
mentioned above)

***Name and Designation of the  
Inspecting Officer***

**Annual Inspection by the Deputy Secretary**

1. Name of the Section
2. Date of Inspection
3. Date of Inspection by the Under Secretary
4. Whether the defects pointed out by the Under Secretary in his inspection report are rectified.
5. Are the prescribed registers maintained properly?
6. Are DO. letters replied promptly?
7. Are the cases reviewed by the Under Secretary.
8. No. of such cases yet to be reviewed (Sample survey should be made).
9. Has the list of important references from the Heads of Departments pending in the Secretariat Department been obtained from the concerned and reviewed?  
  
If so, the number of such cases reviewed and decision taken.
10. Is timely action taken to obtain the replies in special cases like references made for remarks/ concurrence of P.S.C., F.D., D.L. and P.A., P.D., and other Departments.

11. Are unnecessary references made to  
FD, DL, and PA? :
12. What is the percentage of disposal of cases for the  
last 3 months, Reasons for the low percentage, if any?:
13. What is the No. of receipts pending in the section  
for more than 5 days :
14. The reasons for the pendency and solution offered :
15. Whether C&R Rules are framed.  
If not what is the stage? :
16. Whether the staff meetings are held regularly to  
sort out the departmental problems? :
17. How many LA/LC Questions are pending  
and since when? :
18. Is delegation of powers administrative and  
financial ordered within the department? :
19. General observations for improvement  
of the working of the section :
- (Not covered in any of the questions mentioned above) :

***Name and Designations of the  
Inspecting Officer***

**A/B/C Spare Copy**

**KARNATAKA GOVERNMENT SECRETARIAT**

**REQUISITION FOR RECORDS**

Bangalore, dated

1. File Number/Order No
2. Serial Number
3. To be put up for Diary or File No
4. Name in Block letter of person requisitioning
5. Signature of person requisitioning
6. Designation
7. Department
8. Section
9. Countersignature \*
10. Designation

In case of 'Secret' 'Top Secret' papers countersignature of Deputy Secretary will be necessary.

*Note.-* The consent of the Department to which the file relates should be obtained if the file indented for belongs to a different Department.

K.G.S.Form NO. 7

Para No.237

**Record Issue Register**

SI. No.	Date of receipt of requisition	Date of issue of record	No. and description of record asked for	Diary No. and officials name requiring the records	Signature of the official delivering taking the records	Signature of official	Date and signature of official returning the record,	Signature of the official receiving the record	Remarks
1	2	3	4	5	6	7	8	9	10





**K.G.S. Form No.9**

**Para No. 230**

**Department wise showing the Collections of the several Sections Received in the General**

**Record Section**

Department	Section	Subject Heading	Bundle number	Rack number
1	2	3	4	5

K.G.S.  
Form No 10

Para No. 249(i)

**Register for Destruction-Preservation of Time Barred Records-  
Registers**

SI. No.	File No.	Year	Subject	Department Section concerned	Destroyed or kept for destruction in year	Initials of Section Officer (Gl. Record Sn.) and date
	2	3	4	5	6	7

**PRO- FORMA FOR TRANSFER OF CHARGE FOR SECTION OFFICERS IN THE KARNATAKA GOVERNMENT SECRETARIAT**

**I. Department and Section**

- 2. Name and Designation of the Officer handing over charge
- 3. Name and Designation of the officer receiving charge
- 4. Reasons for transfer of charge (Quote (!).M. No. or other authority)
- 5. Date and hour of handing over/Receiving charge
- 6. Details of Transfer of charge-
  - (a) 'Receipt' pending with SO, Assistant etc., please mention the number and date
    - (i) .....
    - (ii) .....
    - (iii) .....
  - (b) Files Nos. pending with SO, Assistant, etc
    - (i).....
    - (ii).....
    - (ii') .....
  - (c) Guard Files
  - (d) Registers
  - (e) Reference Books
  - (f) Office Equipment such as Punches Bo stitches. etc.

.f Any other item not mentioned above

Handed over as above  
Signature of the  
Relieved Officer  
Dated

Received correctly as above  
Signature of the  
Relieving Officer  
Dated

## APPENDIX- I

### JOB CHART-SECTION OFFICER

#### *Characteristics*

The Section Officer belongs to the Class-II Gazetted cadre in the Secretariat Service. He is in immediate charge of a Section. He is a first level supervisor with varied assignments which require performance of duties both routine and non-routine, involving application of procedures, Rules and regulations for proper conduct of the business allotted to the Section under his control.

#### *Primary function*

To Supervise, guide and train Assistants in their work and to ensure prompt disposal of business of the Section with due regard to Rules and regulations applicable to the subjects handled in the Section and the instructions contained in the Secretariat Manual of Office Procedure.

#### *Duties and Responsibilities*

1. To maintain neat and clean work environment in the Section for proper and efficient disposal of work.
2. To check the Attendance Register of his Section at 10-40 a.m. every day and put it up to the Under Secretary for his perusal.
3. To maintain order and discipline in the Section.
4. To control the movement of officials in the Section,.
5. To prevent admission of unauthorised persons to the Section and divulgence of official information to outsiders.
6. To maintain general control and supervision over the work of the Section.

7. To ensure that all tappals sent to the Branch Officer for persual and other tappals are properly accounted for.

8. To arrange for proper distribution of work among the Assistants.

9. To ensure efficient and expeditious disposal of work at all stages in the Section.

10. To ensure that the files put up by the Assistants are complete in every respect particularly in regard to arrangement of papers in the file, numbering the paras of note portion, numbering the pages of correspondence Section, referencing, writing of subject matter on the note sheets, priority marking, use of docket sheets, etc.

11. To personally deal with certain important and intricate cases either on his own or at the instance of higher officers.

12. To scrutinise the notes put up by Assistants, modify, add or revise wherever necessary for accuracy in all respects and to submit them to Under Secretary or other officers in a proper and complete form according to standing orders.

13. To see that the draft is put up after the files are returned and issue fair copies without any delay.

14. To keep track of important cases and take necessary action for their expeditious disposal

15. To ensure weekly and monthly arrears lists are reviewed and submitted regularly.

16. To inspect the table and racks of Assistants every month for verification of pending paper cases and prevention of accumulation of papers.

17. To take prompt action on observation in the inspection reports of higher officers.

18. To maintain Standing Guard File, Section Note Book, Reference Books for all the subjects dealt in the Section.

19. To see that all registers, periodicals, diaries and file registers are maintained properly in his Section.

20. To see that all files are recorded promptly and properly by weeding out unnecessary papers with necessary index slips.

21. To classify correctly the recorded files.

22. To review the classification of all time barred files before destruction.

23. To see that the economy in the stationery articles and papers is strictly adhered to.

24. To maintain Circular and Guard file on a ready for reference basis.

25. To use the FMS/LMS Programme for accounting of files and letters, generating file numbers, sending and receiving files and to run monthly review of stagnating files and letters.

### ***Powers***

1. Sign in his own name and designation, communications of the following type:

(a) Acknowledgment of petitions and letters;

(b) Interim replies to the Departments of Secretariat and Heads of Departments and other officers subordinate to the Departments;

(c) Forwarding Additional copies of the confidential letters, orders, etc., to Secretariat Departments and Heads Departments;

(d) Intimation of assumption of charge by Gazetted Officers in the Departments to all Secretariat Departments and subordinate officers;

(e) Letters/Endorsements forwarding petitions for action or report as per orders.

(f) Formal notices of meetings, etc., where the dates have been fixed and the agenda have been approved by the appropriate authority;

(g) Communications conveying dates and time for interviews to members of public and others.

(h) Covering docket form in recorded files. In respect of A and B Records, he may sign the docket forms where the Under Secretary has passed orders on the note;

(j) Routine correspondence between Sections of the Secretariat such as transfer of wrongly sent communications, asking for furnishing copies of Government orders, indents for stationery and furniture articles, correspondence regarding telephones, table equipment, etc.;

(k) Communications calling for usual routine or periodical reports and those calling for Budget, revised estimates, etc.;

(l) All correspondence in DPAR (Accounts Section) regarding passing of Bills, their returns, deposit of mortgage bonds, intimation of deduction, etc.

(m) Fair copies of Telegrams and copies sent by post in confirmation;

(n) First and second reminders to subordinate Departments in the standard form;

(o) Leave eligibility certificate in respect of non-gazetted officers of Secretariat and also sign fair copies of leave sanction memos of Group C and Group D officials. Attestation of entries in the Service Register of Group C and Group D officials (Section Officers in DPAR);

2. Sign/attest fair copies to subordinate Departments involving no-sanctions, but calling for particulars, records, etc., or forwarding copies of Government Orders or other communication, may be approved the Under Secretary or other officer concerned. The fair copy may be typed together with the name and designation of the officer approving the draft and the

Section Officer may attest the fair copy adding words "Authorised for Issue" under his signature.

3. Issue "await instructions" and endorse next reminder in the receipts of an interim or routine nature, calling for no action.



4. Issue orders for lodging of D and C records after action is taken. Before lodging 'C' records, he should satisfy that extracts are taken to the Section Note Book wherever necessary.
5. Issue orders for papers to lie in 'SUS' for valid reasons.
6. All representations from subordinate officials regarding leave or service conditions, Pay Allowances, etc., are to be submitted through the Section Officer .
7. Initiate Confidential Reports of Group C officials under him. The Under Secretary may countersign adding his own remarks wherever necessary and put up to the Deputy Secretary concerned.
8. Sanction Casual Leave to officials working in his Section.

**APPENDIX-II**

**PROCEEDINGS OF THE GOVERNMENT OF KARNATAKA**

Sub: Re-organisation of the Legal Cells in the Karnataka Government Secretariat.

**PREAMBLE:-**

At present there are 7 Legal Cells in the Karnataka Government Secretariat. The responsibilities and functioning of these Legal Cells were enumerated in Government Order dated: 26.2.1990 and the staffing pattern of these Legal Cells are as follows:

1. Under Secretary to Government - one
2. Section Officer - one
3. Senior Assistant - one
4. Assistant - Two
5. Typist - One

A Committee was constituted under the Chairmanship of Additional Chief Secretary for making necessary recommendations regarding the conduct of Government litigation, including prompt implementation of Court orders, procedural safeguards in contempt proceedings, defenses that a Government Officer could take in such proceedings, and such other matters that the Committee may feel necessary to examine and make its recommendations.

The Committee has furnished its report to Government for implementation. The matter was examined in detail and the following orders are passed.

**GOVERNMENT ORDER NO.DPAR 425 SGO 95, BANGALORE DATED:  
01.01.1996.**

Sanction is accorded to the creation of Legal Cells in Karnataka Government Secretariat one each in the Departments shown in Annexure-I to this Order.

The newly created Legal Cells will have the following staffing pattern:

- i) Head of the Legal Cell:  
From the Judicial services of the level of a Civil Judge where the number of cases exceeds 2000. In all other Departments, the Legal Cell may be headed by a Senior Munsiff with a minimum of 5 years experience in the cadre. In sufficient number of serving Judicial officers are not available, Government may appoint retired Judicial Officers to head the Legal Cells on a Contract Basis.

- ii) To Assistant head of the Legal Cell, there will be a Section Officer to be re-designed as Desk Officer.
- iii) The post of Desk Officer should be filled up by deputation of Section Officers from the staff of High Court/ Advocate-General's office. In case of non/availability of the staff from the High Court/Advocate General's office, the posts may be filled up by appointing a Section Officer from the Karnataka Government Secretariat Service.
- iv) 2 Stenographers, 1 Junior Assistant and 2 Dalayats.

The duties and responsibilities of the Legal Cells are as shown in Annexure-II to this Order.

The existing Legal Cells will stand abolished as soon as the newly sanctioned Legal Cells start functioning.

Sanction is accorded for creating a post of Driver and also for purchase of a Mini Van which will be at the disposal of Law Department. The Mini Van should be used for transport system at least twice every working day between Vidhana Soudha/M.S. building and the premises of the Tribunals for the benefit of all officers deputed to attend the Court cases.

This Order issues with the concurrence of Finance Department vide its U.O. Note No. FD 2863 ACS Pr.Secy./95 dated: 15.12.1995.

By Order and in the name of  
Governor of Karnataka,

Sd/-  
(M.R.NEELAKANTA)  
Under Secretary to Government,  
DPAR (Services-2)

## ANNEXURE-I

to GOVERNMENT ORDETR NO.DPAR 425 SGO 95, DT: 01.01.1996.

### DEPARTMENTS:-

- |  |                                   |
|--|-----------------------------------|
| 1. Revenue Department                  | 11. Health and Family Welfare     |
| 2. Education                           | 12. Urban Development             |
| 3. Commerce                            | 13. DP & AR                       |
| 4. Home & Transport                    | 14. Energy                        |
| 5. Co-operation                        | 15. Irrigation                    |
| 6. Public Works                        | 16. Forest, Ecology & Environment |
| 7. Housing                             | 17. Women & Child Welfare         |
| 8. Finance                             |                                   |
| 9. Rural Development and Panchayat Raj |                                   |
| 10. Social Welfare                     |                                   |

Sd/-  
(M.R.NEELAKANTA)  
Under Secretary to Government,  
DPAR (Services-2)

## ANNEXURE-II

to GOVERNMENT ORDETR NO.DPAR 425 SGO 95, DT: 01.01.1996.

### Duties and Responsibilities of Legal Cells:

Legal Cells shall handle the following items of work, in addition to that already assigned the them under the Karnataka Conduct of Government Litigation Rules:

1. Issue of authorization letters
2. Sanction and issue of Government order relating to remuneration of law officers;
3. Examination and approval of parawise remarks;
4. Scrutiny of draft statement of objections/written statements and ensuring that the same reaches the law officer after approval by the Law Department.
5. Monitoring of pending litigation and furnishing the required information and documents to the law officer;
6. Securing copies of judgment from the law officer and forwarding the same to the Law Departments with the recommendation as to whether an appeal should be filed or otherwise. The division to prefer an appeal or not to prefer and appeal will continue to be taken by the Law Department.
7. Filing of suits;
8. Reply to Section CPC Notice
9. To take follow-up action on receipt of files after review by the Law Department.

Sd/-  
(M.R.NEELAKANTA)  
Under Secretary to Government,  
DPAR (Services-2)

**(extract)**

## APPENDIX-III

### ROLE AND DUTIES OF PRIVATE SECRETARIES AND STENOGRAPHERS \*

One who takes up stenography as his profession and starts his carrier as a Stenographer, has to learn the rudiments not only of the techniques of stenography but also the functions of a good Private Secretary which he can normally expect to become in due course.

2. ***Shorthand Speed.*** The training that has already been imparted to you in taking down dictation in shorthand and its transcription, forms the main base on which your career as a Stenographer initially and as a Personal Assistant or Private Secretary at a later date, has to be built. It is therefore of paramount importance for you to keep up your short-hand at all costs. Your speed should be such that your boss can direct freely without fear of interruption, confident that you have the ability to cope with any unusually fast dictation. Develop your short-hand to the highest possible state of efficiency, for it is, after all, your chief asset in your official career. Look upon shorthand as an all round it rather than merely as business proposition.

3. **Importance of legibility** During all your shorthand speed practice, try to form the outlines as legibly and read ably as circumstances will allow. When all is said and done, speed is valueless if your notes defy correct transcription which is the ultimate test. So in your quest for speed don't neglect regular practice in transcribing correctly from your shorthand.

4. ***Requisites for verbatim reporting.:*** Taking of verbatim reporting, you would probably need a short-hand speed of at least 160 words a minute. In order to reach such a speed, you must get yourself gradually, think crisply, speak and act promptly, and be alert.

In your transcription of notes on 'debates' it might be necessary for you to correct little lapses of grammar, to shorten unduly long sentences and to complete unfinished ones. To make an accurate report of words spoken high speed is an indispensable technical requirement for the would be verbatim reporter, but to produce from those notes a correct report-correct in every literary detail-that is the hall-mark of superior professional ability.

By reading and copying printed shorthand, you will acquire a working knowledge of the correct outlines for thousands of words and phrases. So read and copy printed shorthand. 'Miles and miles of it'.

Put yourself at an advantage from the start by providing yourself with the best

materials for your shorthand speed.

Be prepared with a filled pens, or sharpened pencils, and your note book always ready in the same place on your desk, so that your hand will instinctively stray towards them when they are needed. Always keep an extra pencil well and adequately sharpened, as well as an extra note book.

Having equipped yourself with the basic technical skill required of a Private Secretary, you should now plan as to how you would carry out your duties, which would necessarily be multifarious, since you would normally be working with an 'lawfully busy 'boss, be he a Joint. Secretary or Secretary or Minister in the Secretariat or any of their equivalents, elsewhere.

**5. *Helping the boss in various matters:*** Possibly you might have come across standard public. actions by experienced Private Secretaries, particularly from the Leading Commercial and Business House, giving you in a comprehensive manner what your duties would be like, and how best you can perform them.

This is only to remained you. that what might be an appropriate way of doing things in a Commercial concern, need not necessarily be the correct way in the Government set up, with a differently organised and hierarchical form of Secretariat, to assist your boss in the maintenance of papers, arranging of meetings and conferences with its own elaborate system of watching follow up action, on various matters dealt with by your officer. Here your duties in many of these directions will be shared by the Secretariat part of the organisation. Even so, you cannot entirely disassociate yourself from them and should know how to help your officer in various ways such as maintenance in a methodical and orderly manner, of secret papers to be retained by him, maintaining as index of such items, and arranging meetings, particularly of an informal character of which the Secretariat, part may not even be aware.

The various hints given in the succeeding paragraphs of this paper are, therefore, designed to give an overall idea of what your duties would be and how best you can *perform* than by suitably adopting the 'commercial' procedures.

**6. *Planning the work :*** Make yourself more effective by planning. Arrange to confer with your officer for a few minutes preferably at the beginning of each day. Give him an agenda for the day which covers urgent matters and routine appointments, s~ that the day's activities may be planned accordingly. Obtain Instructions at this time on matters to be delegated to other officials.

Take account of the purpose, value- scope and objective of each job. Determine the relative importance of each job so that essential tasks receive priority. See the equipment and supplies are available for each job.

Make provisions for delays and interruptions in so far as they can be foreseen. Check your officer's agenda before leaving at night so that business not transacted may be carried over correctly and attended to early the next day.

**7. Cultivating proper public relations:** Maintain a courteous manner at all times and greet everyone cordially. Find out the purpose of each call and if possible, personally provide the information requested, if it can be so divulged, without offending security requirements.

Permit the caller to see the officer only if it is necessary or desirable to do so. Be able to judge through your knowledge of the organisation, and particularly keeping in mind the general instructions that might have been in this context by your officer which callers he will wish to see and which can be referred to subordinate.

Note the purpose of each appointment so that the officer can be prepared. Get the telephone number of the caller. You may have to change the time of the appointment or the boss may decide to handle matters by telephone. Protect the officer's privacy by keeping the door closed. It is easier then to refer callers to others, or to handle the matter yourself.

Remember that the success of any office depends largely on the friends that are made and the enemies that are not made.

**8. Telephone habits :** Answer calls promptly and pleasantly. Identify the office and yourself. This will prompt the caller to do the same.

Give out information clearly, accurately and tactfully, but use discretion. End a conversation with a promise to follow up • the request, or with an expression of thanks for information received.

Be brief but courteous. Cultivate a good telephone voice. Never express brusqueness or irritation and never slam the receiver.





Do not refer calls indiscriminately to the officer but only when it is necessary to do so. Relay telephone messages promptly. Record while you were out calls for the officer, giving the purpose and time of each call.

Be careful not to interrupt a conversation if several wires can be picked up on one receiver. Listen before you speak.

Keep your personal calls, to a minimum.

Know how to make long distance calls, person to person calls, and glean other general telephone information.

Keep a Special Index of the telephone numbers most frequently required.

Arrange for someone to answer the telephone when you are out.

**9. Dealing with daily work :** Initiate a control system for the officer's mail and for that to be routed to other Sections. Observe care in opening mail. See that personal letters are not opened. Respect the words 'personal' or 'confidential' unless they are an obvious device to get the needless attention of the officer. Familiarity with the mail will provide clues.

Be sure that each envelope is completely emitted. Check for promised enclosures. Make a note of any omission before passing on for the officer.

Know what requires the officer's attention, what you can answer yourself and how the reminder should be allocated. Know • how to handle the mail during the Chiefs. absence, whether it should be retained, forwarded or placed in the hands of another officer in the hierarchy.

Keep a record of the officer's whereabouts when away for quick contact when necessary.

Make a regular check to see that prompt action is taken, especially on important matters.

Check each letter to see that it is signed.

Know who is authorized to sign in the absence of your officer.

Be sure that all promised enclosures are sent.

See that inside address corresponds with that on the envelope.

Keep a record of mail time-tables and postal rates.

Send and receive telegrams, cablegrams, etc., and be familiar with the rates.

**10. Correspondence :** Compose letters accepting or rejecting invitations after consultation with the officer. Know the correct form of social and other forms of communications that you are called upon to write.

Know if your officer wishes to make independent minor charges in his dictation, if they seem warranted. Make notes of special instructions regarding correspondence.

Make sure that the letters are properly set up and that carbon copies are clean.

See that copies have been marked for the persons to whom they should be sent.

Check letters submitted for the officer's signature for style and content and see that they are duly signed.

Sign such correspondence as is specially delegated to you by the officer.

Compile a list of those errors you make most frequently and those your officer is prone to make. It will help you to detect them when checking over dictation and transcriptions.

Make sure that you or your Typist can cut good stencils.

Maintain address books, both personal and official for the officer's correspondence.

**11. Filing :** Maintain effective 'Bring Forward 'system i.e., Suspense Diary.

Arrange files that are required to be maintained by your officer so that documents may be procured quickly and conveniently a good cross reference index may be a help.

Keep files in good order.

Make a periodic clearance of files and transfer or destroy the order and out-of-date after obtaining authority to do so.

Ensure the security of confidential files. before leaving the office.

**12. Keeping abreast of events and times :** Keep on hand up-to-date reference books such as city directories, dictionaries, secretarial guides, Statutes and Codes, Rules and Regulations, rosters of public officials, telephone books, railway, plane and bus schedule.

Bring newsworthy items to the attention of the officer. Scan the content page of booklets and pamphlets and mark or cup items of particular interest for the officer.

**13. Travel Arrangements :** Prepare itinerary for out-of-towns visits in accordance with previously received instructions and submit to the officer for confirmation.

Make arrangements with the persons to be interviewed to officials in charge of institutions to be visited on the trip by letter, wire or telephone as necessary.

Arrange for transportation and hotel accommodation well in advance of journey.

Assemble folder of documentary items pertaining to the business of the visit.

Deliver tickets and acknowledgments of hotel reservations to your officer shortly before the time of departure. together with a copy of the itinerary giving times of arrival and departure.

Maintain correct expense accounts so that traveling allowance bills may be prepared according to Rules and regulations.

**14. Meetings and conferences :** Maintain calendar of forthcoming meetings and conferences.

Assist in the preparation of the agenda and conference programme, if this is not already attended to by the Sections under the charge of your officer.

Collect the material that might be required, and especially on that part which involves your officer.

Ensure that the room is aired, the chairs arranged and supplies provided.

Ascertain definitely which type of report is required, verbatim or otherwise. If a summary report is requested, you need only record the important points. Record minutes in a clear and acceptable form.

Note decision and initiate necessary follow-up action. If this is one of your responsibilities..

List the names of those present at the informal conferences of which a formal record is not made.

Keep an up-to-date list for the distribution of minutes.

Ensure after a meeting that papers or belongings that may have been left are returned to the proper persons.

Know the termination date of Boards and Committees and the procedure to be followed in making new appointments.

**15. Special duties:** See that the Officer's office and desk are neat and furnished with all necessary supplies at all times.

Order repairs for machines and other office equipments as required.

Act as liaison in relaying information to other offices.

Remind the officer of membership fee due.

Assist with business, office and goodwill parties.

**16. Keeping the confidence:** References have already been made to the need for Private Secretary to exercise discretion in giving out information and maintaining security of information. It needs however to be emphasized again that no information that should not normally be divulged except in the course of official business, should be given out to any other person not connected officially with the transaction of that business. While you should always be discreet, see that you are also loyal; keep always a silent tongue and not only must you be able to keep a secret, but you must refrain from even hinting about the secrets you know. When you are asked questions by inquisitive outsiders, it would be better to appear stupid than to give away information. Remember-the word" Secretary has that word 'secret 'for its first two syllabuses .

## APPENDIX-IV

### OFFICIAL MEMORANDUM

*Subject.-* Duties and Responsibilities of Group D Staff in Karnataka Government Secretariat.

The duties and responsibilities of Group D staff working in the Karnataka Government Secretariat are indicated in the Secretariat Manual of Office Procedure and in other Official Memorandum issued from time to time. It is, however, considered necessary to issue a comprehensive list of duties and responsibilities of Group D staff working in the Secretariat for purposes of reference and proper enforcement. Accordingly, in suppression of all previous orders and instructions issued in this behalf, the duties and responsibilities of Group D Staff in the Karnataka Government Secretariat shall be as in the annexure to this Official Memorandum.

While it is the policy of the Government to give due dignity to all types of officials whom Government expect to perform their duties. action should be taken under the Karnataka Civil Services (CCA) Rules, 1957, if any Group 'D' Government Servant refuses to do his duties which he is expected to do. All Group-D Staff in the Karnataka Government Secretariat may be informed by their superior officers/officials that serious notice will be taken in case of their evasion of duties enjoined on them as in the Annexure to this Official Memorandum.

**A.B.C.**

Deputy Secretary to Government,  
Dept. of Personal and Adm. Reforms,  
(Administrative Reforms-I).

## ANNEXURE

### GROUP-D SERVANTS IN THE KARNATAKA GOVERNMENT SECRETARIAT

1. All Group-D Servants irrespective of the designation or the scale of pay attached to their post, shall attend to the following duties
  - (i) Carrying files within a Department of the Secretariat and from one Department of the Secretariat to another.
  - (ii) Stitching closed files.
  - (iii) Arranging files within Sections.
  - (iv) Keeping Sections tidy, sweeping the floor dusting furniture, etc.
  - (v) Carrying and distributing stationeries.
  - (vi) Making envelopes, when necessary.
  - (vii) Any other duty connected with the office work which may be entrusted to them.
2. They should attend office in uniform.
3. They should attend office half an hour before the prescribed hour for the commencement of the office and get the rooms of Sections opened by the watchmen in their presence. In the evening they should leave the office only after the rooms are locked by the watchmen.
- 4 They should work over time when the business of office requires it.
5. They should not absent themselves from duty without previous sanction, except on medical on other justifiable grounds.



6. Those who have been entrusted with the work of operating the duplicating machines should attend to the work as though it is a part of their normal and regular duty.
7. They shall work in the Department or place where they are posted.
8. They shall in general attend to any official duties entrusted to them by their officers or by other officers/officials of the Department or Section of the Minister or the Private Secretary to the Minister.
9. They, Particularly, the Watch and Wardmen, Sweepers, and scavengers, shall deposit the articles whether personal or of Government, if any, inadvertently left by Government servants while leaving office either on the tables or in the room/s or hall/s. which are if subsequently found by them, either with the Security Officer or the Supervisor, DPAR (Executive) or the DPAR (Executive) or with the concerned responsible officer, and report to DPAR (Executive) about such findings.
10. They shall (a) take due care of Government property and (b) behave properly with the other Government servants and the general public.
11. They shall arrange the files and things, within the Sections, officers or Minister's Chambers properly.
12. They shall take records, etc., to the General Records and bring collections, spare copies, etc., required for the Sections or by the offices from there.
13. They shall take to the Multigraphs Section the stencilled sheets and get the cyclostyled copies or other copies and get Government books, registers, records, etc., bound from the said Section for their Sections, etc.

14. They shall assist the Section Officer of the R and I Section of the Department concerned in bringing the stationery and other articles to the Department from the Government Press, etc., and also help in distributing them and such other articles in the Sections or Departments.

15. They shall collect and carry furniture, stationery, typewriter or any other articles from DPAR (Executive) to their Sections or Departments or *vice-versa*.

16. They shall (a) bring paste for the Section Department Establishment from the General Dispatch Section, DPAR during early hours every day and (b) make envelopes whenever necessary.

17. They shall do any other work connected with the office or conducive to the smooth running of official business, which may be entrusted to them by the officers, or officials under whom they are normally working.

Dalayats in the General Despatch Section and Multigraph Section of the DPAR and the Dalayat with the Government Clock Mechanic, DPAR (Executive), in addition to performing and discharging such of the duties which are common to them and those in the Section or in the Establishments of officers and Ministers shall also perform the following duties

#### **Dalayats in tile General Despatch Section of DPAR**

They shall attend to be work of delivering tappals or any such articles in the several Departments and Establishments of Ministers in the Secretariat including the Legislature Secretariat, Police Station, Post Office, Banks, etc., located in the Vidhana Soudha and other organisations like the Karnataka Government Secretariat Dispensary, Karnataka Government Secretariat Departmental Canteen. Secretariat Training Institute, etc., and also in the exigencies of Government duties to the offices. Departments and other organisations situated outside Vidhana Soudha at the instance of the Section Officer or any other official of the General Despatch Section including the Section Officer s or DPAR (Executive A and B) Sections.

### ***Dalavats in Multigraph Section of DPAR***

They shall attend to the duties of Cyclostyling, stitching closed files by wire machine, taking out copies or impressions, binding the books registers, etc.. entrusted to them by the Head of the Multigraph Section regularly.

### ***Dalayat with the Government Clock Mechanic***

He shall attend to the duties during early hours, assist the Government Clock Mechanic in the proper discharge of the duties and also attend to any other duty allocated by DPAR (Executive).

### ***Cycle Orderlies and Despatch Riders General***

Cycle Orderlies shall possess their own cycles while the Despatch riders will be provided with Government vehicles which shall be handled by them with due care and maintained properly.

### ***Cycle Orderlies in the Ministers or Officer's Establishments***

They shall attend to the duties of delivering the tappals etc., of the respective establishments outside Vidhana Soudha in Bangalore and also bringing tappals, etc., from outside offices, etc., to their respective establishments, if necessary even beyond office hours.

### ***Cycle Orderlies and Despatch Riders in the General Despatch Section of DPAR***

They shall attend the work of bringing tappals, etc., meant for the Department and other establishments of the Secretariat from the General Post Office, etc., every day within 10-30 A.M. in the tappal bags provided by Government.

They, particularly, the Despatch Riders shall attend to the work of bringing or carrying tappals or any other articles meant for the Karnataka Government Secretariat from or to the G.P.O., C.T.O., Railway Station, K.S.R.T.C.. Indian Airlines or any other Transport or other organisation in Bangalore.

They shall attend to the work of delivering tappals or other articles from Karnataka Government Secretariat to other Departments both Central and State Government or other offices or organisations situated within the limits of Bangalore City or vice-versa at the instance of the Section Officer or any other official of General Despatch Section or Section Officers of DPAR (Executive-A) and of (Executive-B) Sections.

### ***Cycle Orderlies in the Resident Clerk's office***

They shall attend to the duties of delivering tappals, telegrams, wires, messages, etc., to the residence of Ministers or Officers, etc., in Bangalore as per the instructions of the Resident Clerk.

On a working day the Cycle orderlies of first and second shift duty, shall, in addition to their work attend to any Additional duties that may be entrusted to them by the Section Officers of OPAR (Executive-A) and (Executive-B) Sections.

### ***Watch and Wardmen***

They shall attend to the work of opening the doors on a working day at 7-30 A.M. and closing the doors in the evening in the presence of Group U servants concerned or as such as the officers/officials leave the room, taking care to see that the lights are put off, the other doors, if any and window shutters are closed, the water taps, if Any, are properly closed, etc.

They shall keep a close watch on the sweepers and scavengers of the Karnataka Government Secretariat officials of the Post and Telegraph, Public Works Department or Horticulture Department or any other persons, who are duly authorised to perform their duties in the rooms or halls of the K.G.S. particularly during out of office hours.

During the duty period, they shall be vigilant, attentive and be on their allotted duty spot throughout, taking rounds and enquiring about any unauthorised persons, if any, to be sound in and around the verandahs during office hours in general but in particular during out of office hours, i.e. in the morning and evening and on Sundays and on other general holidays. However, if they want to leave their duty spot during their allotted duty period for coffee break, etc., they shall keep the other watchman on duty on that Floor and also the Security or Duty Officer informed and then leave. But they shall return to duty soon.

If anybody tries to gain entrance into Vidhana Soudha, unauthorisedly by climbing up the verandah on the Ground Floor, it shall be their duty to bring this fact to the notice of the higher authorities particularly the Security Officer, K.G.S., DPAR (Executive) or P.S.I., Vidhana Soudha, Police Station.

It shall be their duty to watch, guard, see and ensure that articles belonging to the K.G.S. Vidhana Soudha are not taken out of Vidhana Soudha premises without proper authority.

It shall be their duty to that the vehicles kept in the Vidhana Soudha garages are taken proper care of and not meddled with by unauthorised persons. Such of them who have been entrusted with the duties in Outside buildings having the Secretariat Departments shall attend to their work properly and effectively.

On working days, they shall accompany and assist the Security Officer or Duty Officer in burning the torn and swept papers of the K.G.S. by the Sweepers.

In case any Government servant of any of the Departments of the Secretariat want to work on Sundays and other General holidays. the concerned Watch and Wardmen shall open the door of the particular room or hall only with the knowledge of the Resident Clerk or the Security or Duty Officer. When the Government servant leaves office, the Watch and Wardmen on duty shall close and lock the door after taking all precautions such as putting off the lights. etc.

They shall attend to any other official duties entrusted by the Security Officer, Duty Officer, higher authorities or even the Resident Clerk in the exigencies of Government duties

### **Sweepers and Scavenger-General duties**

They shall discharge their duties in the presence of the Watch and Wardman concerned.

### **Sweepers**

They shall clearly and properly sweep or wipe with wet cloth or jute cloth (saaf ) the room and verandahs, steps grand steps. stair-cases, Chejjas, etc., allotted to them well before the office starts functioning. Whenever necessary, they shall sweep or clean the rooms, verandahs, etc., even during office hours.

They shall carry swept papers for burning outside Vidhana Soudha every day be 11-00 A.M. under the supervision of the Security Officer or the Duty Officer, and return only when such paper is fully burnt to ashes.

They shall to any other work in the K.G.S: such as shifting and arranging of furniture and other articles either in the Departments or Sections or even outside Vidhana Soudha entrusted to them by the Ministry, Health Inspector, Supervisor or higher authorities.

### ***Scavengers***

They shall attend to the work of washing and keeping clean the latrines, urinals, bathrooms or toilets, water closets, wash basin in the (a) Community bathrooms, (b) anti-chambers of Ministers/Officers, Sections in the allotted area without causing any damage to the fittings or any articles well before the offices start functioning.

They shall attend to the (a) bath-rooms and toilets in the chambers in general and (b) Community bath-rooms in particular at an interval of two hours, by putting water and deodorant, if necessary.

They shall attend to any other work entrusted to them by the Mastery, Health Inspector, Supervisor or Higher authorities in the exigencies of Government Work.

### ***Lift Attenders***

As soon as they come to work in the morning, they shall collect the keys of their respective lifts from the Resident Clerk after noting the time in the Registers maintained in his office and in the evening return the keys to the Resident clerk after noting the time.

They shall attend to the office early or leave late when the Legislature is in Session or whenever there are special functions or occasions in the Vidhana Soudha.

Normally, the Lift shall not be used by the passengers for going upto 1 floor or while coming down. However, if anyone wants to avail these facilities. The Liftman on duty shall oblige.

They shall behave with the passengers whether officials or non-officials or dignitaries courteously and politely without giving room to any controversy. However, in case of any trouble, it shall be their duty to bring it to the notice of higher authorities in DPAR (Executive) at once.

They shall handle the lifts carefully and whenever it gives trouble, it shall be their duty to report the matter at once to the Lift Mechanic or the DPAR (Executive), after phoning to the firm concerned.

Whenever the technician from the concerned firms attend to the lifts either for setting right the defects, servicing or repairing, etc., it shall be the duty and responsibility of the Liftman concerned to make necessary entries in the Lift Register, which shall be scrutinized by the Lift Mechanic and submitted to the Under Secretary, DPAR (Executive) periodically.

**APPENDIX-V**

**THE FUNCTIONS AND RESPONSIBILITIES OF SECTION OFFICERS INCHARGE OF R&I Sections**

1. Receipt, Registration and distribution of tappal to all the Sections of the Department;
2. Control and supervision of Receipt and Issue Section;
3. Sorting out Demi-official and confidential letters and delivering them to the appropriate officers;
4. Putting up important communications to the Under Secretary incharge of the Section at the tappal stage itself so that he can put them up to the Secretary and other officers;
5. Ensuring that telegrams and other important references involving urgency and time limits are brought to the notice of the concerned officers immediately after their receipt;
6. Despatching of fair copies and return of office copies to concerned Sections after affixing 'Issue seal';
7. Receipt and distribution of Legislative Assembly and Legislative Council Questions and Assurances and compilation of periodical returns in respect of these items;
8. Consolidation of monthly arrear statements;
9. Requisition, receipt, distribution and accounting of stationery articles, furniture's, etc., of the Department;
10. Assistance in making arrangements for meetings, conferences interviews for selection of candidates, etc., pertaining to the Department;
11. Convening staff meetings, drawing up agenda therefore and preparing proceedings etc.;
12. Enforcement of standing Rules, orders etc., pertaining to office procedures; inspections and assuring compliance where necessary;

13. Giving suggestions for improvement of work to increase efficiency of the Sections;
14. Collection of material for Governors address, Budget Speech and Annual Report for the Budget Session;
15. They will also exercise such powers as are delegated to other Section Officer s;
16. Follow-up action in respect of proceedings of the meetings of Secretaries to Government;
17. Follow-up action in respect of proceedings of the meetings of O & M Officers;
18. Follow-up action in respect of proceedings of the meetings of Deputy Commissioners etc.;
19. Preparation of Annual Compendium;
20. Preparation of Weekly Gazette/Monthly Compendium;
21. Furnishing replies to LA/LC Questions of general nature pertaining to that Department;
22. Census of Government Employees/Election duties;
23. New policies, programme or procedure of Government furnishing copies of orders to DPAR (AR) to include in the exchange of information;
24. Preparation of turn list of Section Officer s to attend LA! LC sessions;
25. Consolidation of Quarterly Writ Petition Statements;
26. Compilation and printing of Civil List of the Departments;
27. Any other item of work entrusted by the Secretary of the Department.



APPENDIX-VI

GOVERNMENT OF KARNATAKA

NO:DPAR 16 BUD 2003      Karnataka Government Secretariat,  
Vidhana Soudha  
Bangalore, Dated: 09.07.2003.

CIRCULAR

Sub: Duties and functions of Internal Financial Advisors in  
the Secretariat Department – Monitoring and  
Information System.

\*\*\*\*\*

1. The system of Internal Financial Advisors in the Secretariat Departments came into force vide Government of Karnataka (Consultation with Financial Advisors) Rules issued vide Government Notification No. FD 24 BUD 81 dated 15.7.1982. The duties and functions of Internal Financial Advisors in the Departments have been specified in detail in the said Rules.
2. The main object of creating the post of Internal Financial Adviser is more convenient transaction of business in relation to financial matters of administrative Department in the Secretariat. It is envisaged that the Internal Financial Advisor will be in overall charge of work relating to finance, budget and accounts of the Department to which he is appointed and all such work will be performed under his superintendence. Subject to general or special orders, all financial powers delegated to the Departments of the State Government will have to be in consultation with the Internal Financial Advisors.
3. With the enactment of the Karnataka Ceiling on Government Guarantee Act, 1999. Karnataka Fiscal Responsibility Act 2002, the Karnataka Transparency in Public Procurement Act, 1999, formulation of Medium Term Fiscal Plan and various other fiscal reforms measures undertaken by the State Government, it is necessary that Internal Financial Advisors in Secretariat Departments play a major role in the financial administration of the concerned Secretariat Department in which they are working, tender advice to the Secretaries of Departments to which they are attached and comprehensively involve themselves in better fiscal and financial management. This is in tune with the increase delegations of financial powers to Secretaries the fiscal space created by the Budget Control Order and the need for a smooth and well informed monitoring system.

4. Apart from performing the duties and responsibilities already mentioned in the Government of Karnataka (Consultation with Internal Financial Advisors) Rules 1982, the following Additional duties need to be performed by the IFAs.

- b. Awareness of the Fiscal Responsibility Act and Rules and ensuring expenditure, additionally and borrowing proposals are within the ambit of FRA and Rules and providing of data relevant to fiscal management to Finance Department.
- c. Advise on all aspects of the Karnataka Transparency in Public Procurements Act, 1999, and carrying out internal audit of all procurements below Rs.1 crore, and providing requisite data to Finance Department.
- d. Advise on all aspects of Government guarantee and ensuring requisite approvals are taken and data is provided to Finance Department.
- e. Implementation of DMTFP, preparation and updating of DMTFP, and ensuring that the Departments adhere to annual ceilings.
- f. Review of EAPs, CSS, CPS
- g. Review of non-tax collection and monitoring of non-tax rates and provision of regular information to Finance Department.
- h. Review and monitoring of user charges and provision of regular information to Finance Department
- i. Review and monitoring of subsidies and provision of regular information to Finance Department.
- j. Monitoring Expenditure according to Budget Control Order – effective imposition of Revised Estimates.
- k. Treasury Budget Control – ensuring data and releases and information required for Treasury Budget Control is supplied to Treasury. Also ensuring all Controlling Officers/Drawing and Disbursing Officers are informed about the Treasury Budget Control.
- l. Monitoring of Personal Deposits, PD accounts and releases to Boards and Corporations.
- m. Data collection from Departments
- n. Assistance in HRD database creation on the basis of requirements specified by Committee on HRD database from time to time.
- o. Monitoring of Austerity and economy in Government expenditure and provision of quarterly Extravagance Reports. Advise to Departments on control of expenditure wherever requires.

## **5. Fiscal Responsibility**

Whenever there is a prospect of any shortfall in revenue or excess expenditure in the specifies levels for a given year on account of any new policy decisions has to take measures to fully off-set the fiscal impact for the current and future years. Whenever Supplementary Estimates are presented to State Legislature, the State Government has to present an accompanying statement indicating the corresponding curtailment of expenditure and/or augmentation of revenue to fully off-set the fiscal impact in relation to the budget targets of the current year and the Medium Term Fiscal Plan objectives. Internal Financial Advisors have to carefully scrutinize all proposals for supplementary estimates and new policy decisions having fiscal impact. Every proposal for new expenditure and proposals for Additional expenditure have to be scrutinized with reference to the Fiscal Responsibility Act and be reported in the prescribed MIS Format-1.

## **6. Medium Term Fiscal Plan**

Within the overall ceiling fixed by the Mid Term Fiscal Plan of the State, Internal Financial Advisors have to prepare Departmental Mid-terms Fiscal Plans, update them every year and see that it is properly dovetailed to the annual budgetary exercise. The DMTFPs have to be in the format prescribed by Project Monitoring Unit, Finance Department and within ceilings set by MTFP.

## **7. Monitoring, Reconciliation and Control of expenditure:**

Internal Financial Advisors may conduct a meeting of their controlling officers every month and monitor expenditure identify areas where savings are possible and report to Finance Department. They should also keep a close watch and ensure that expenditure are within budget limits./ Reconciliation of expenditure figures within those of the Accountant General figures is absolutely necessary and Finance Department ha issued instructions in this regard. This should be ensured.

## **8. Off-Budget Borrowings and Government Guarantees:**

Government of Karnataka has borrowed funds through special purpose vehicles from the market and from certain financial institutions, for implementation of various State Plan Projects outside the State Budget. The discharge of these liabilities is covered by the guarantees given by the State Government. Borrowings of most of these companies are ultimately the liability of the State Government. The details of Off-budget Borrowings and borrowings with Government Guarantee. Company and Corporation-wise and estimated debt servicing by the State Government should me maintained by the

Internal Financial Advisors in respect of off-budget borrowings by the Institutions coming under their respective Departments in the prescribed MIS Format-2a.

IFAs should ensure timely release of funds for repayment of borrowings/interest payment and ensure that the funds are utilized for the purpose for which they are released. IFAs are also expected to obtain and constantly monitor the loans and advances made by Government on the budget and recoveries thereof. The formats in this regard are being issued separately.

### **9. Transparency in Procurements**

IFAs should ensure all procurement complies with the KTPP Act and Secretaries to Government should see that IFAs are given the responsibility of Internal Audit of procedures of procurement in case of all procurement below Rs.1 crore. The progress should be reported by IFAs in MID Format-2(b).

### **10. Expenditure under CSS/CPS/EAPs**

Progress on expenditure and receipt of reimbursement in CSS/CPS/EAPs and submission of UCs should be monitored and reported in MIS Format-3.

### **11. Non-Tax Revenues and User Charges**

Internal Financial Advisors should review regularly non-tax revenues, user charges and subsidies in their field Departments and suggest to Finance Department measures to augment revenues, recover higher user charges and ultimately phase out all subsidies. Requisite MID for reporting the same is in Format-4.

### **12. Monitoring and Reportage**

Finance Department will conduct regular meetings of Internal Financial Advisors and monitor their performance and give appropriate directions to enable the IFAs to act as representatives of the Finance Department. Other formats including those for reporting on subsidies, PD accounts, economy and austerity measures, file clearance budget compilations and audit paras are in Annexure 5 to 10.

### **13. Training and Capacity Building**

Finance Department will organise a series of training programmes and refresher courses for all IFAs at regular intervals which all IFAs are expected to attend. These would include refresher courses on various Acts, Rules and Codes, Orientation and Training on Computers and occasional sponsored special training.

14. The selection of IFAs will be in consultation with Finance Department and in accordance with the Rule in this regards. Deputy Secretary-1, Finance Department will in consultation with Controller SAD and the concerned in the office of the AG, maintain a list of potential persons taking care to ensure that in case of Secretariat Service officials each should have at least five years of service left and at least five years experience of working in Finance Department in some capacity.

15. IFAs should attend all training programmes refresher and orientation programmes and meetings in Finance Department without fail, All IFAs should ensure timely reportage in the MIS Formats attached herewith. Any difficulties should be informed to Deputy Secretary-I Finance in advance. Deputy Secretary-I will maintain an MIS on the performance of IFAs attached in Annexure-ii. This will be discussed in the IFA meetings in Finance Department.

16. Deputy Secretary-I, Finance Department will draw up a detailed training, orientation and familiarization schedule in consultation with Deputy Secretary (B&R) Deputy Secretary-3, Special Officer, FDCC, Controller, SAD and Director of Treasuries. This will be circulated to all IFAs with a request to indicate preferences and willingness. Once this schedule is frozen, it will be used through out the year.

17. Deputy Secretary-I, Finance Department will prepare standardized but upgradeable training, material information folio and presentations in consultation with Deputy Secretary (B&R), Deputy Secretary-3 and Special Officer, FDCC. These would be circulated to IFAs and training and orientation programmes would be designed around these materials.

18. Secretaries of Departments to whom IFAs are attached are encouraged to ensure the IFAs have requisite IT backup and personnel to assist them. As the various formats and reportage frequencies would require cooperation from Department officials, the Heads of Administrative Departments are requested to give full cooperation to IFAs to strengthen this institution and ensure smooth and improve fiscal and financial management.

Sd/-  
**(B.K.DAS)**  
Additional Chief Secretary and  
Principal Secretary to Government  
Finance Department

To:  
The Accountant General, Karnataka, Bangalore  
All Principal Secretaries/Secretaries to Government  
All Internal Financial Advisers  
All Deputy Secretaries/Under Secretaries and Section Officers to FD  
Weekly Gazette

Copy to:  
The Principal Secretary to Chief Minister and Finance Minister for  
information.

**ANNEXURE-1**

**FORMAT FOR REPORTING ADDITIONALITIES AND SUPPLIEMENTARIES**

**DEPARTMENT**

**FREQUENCY / HALF YEARLY**

**YEAR**

Scheme	Head of A/c(Whether Plan /Non Plan, R/C/Loan State Plan/CSS-CPS/EAPs Dist./State Scheme Salary/Non Salary	Previous 3 years Proviso and Expenditure	Similar Schemes if any with proviso and expenditure in previous 3 years (in case of new proposal)	Whether included in DMTFP	Why not provided in Budget	Additional Sought as percent of Original provision		
						Reimbursable component of CSS/CPS EAP	Net cash outgo	REMARKS
(a)	(b)	(c)	(d)	(e)	(f)	(g)		

Total Demand Excluding Salaries and other Committed Expenditure in Current year.	RE-APPROPRIATION PROPOSED FROM			
	Scheme(Whether Plan/Non-Plan/Revenue/Capital/Loan CSS/CPS/EAP Dist. /State/ Salary/Non-Salary)	Head of Account	Amount Provided in Budget Estimates	Amount sought to be Re-appropriated
(h)	(i)			

**ANNEXURE -2A**

**FORMAT FOR REPORTING GOVERNMENT GUARANTEE  
DEPARTMENT**

**FREQUENCY: Every Quarter**

Corporation/Company-wise Loan details(for all Off-Budget Borrowings and Government Guarantee Loans)				Principal Outstanding as on 1.4.2003	Drawal Schedule in the Current Year		
Agency	Amount	Rat of Interest	Date of Sanction		Agency	Amount	Rate of Interest
(a)	(b)	©	(d)		(a)	(b)	( c )

Repayment Schedule in the Current Year				Estimated Government Guarantee required in the current year(as per drawal schedules)	Interest Payments			
Agency	Amount	Rate of Interest	Balance		Agency	Amount	Rate of Interest	Interest Amount
(a)	(b)	©	(d)		(a)	(b)	( c )	(d)



**ANNEXURE-3**

**FORMAT FOR REPORTING CSS/CPS/EAP**

DEPARTMENT

FREQUENCY:Quarterly

Scheme	CSS/CPS/EAP	Sharing pattern	Project cost (in case of EAP)	Budget provision			
				Central Share	State Share	Reimbursable Component(EAP)	TOTAL
(A)	(B)	(C)	(D)	(E)			

Release				Balance			
Central	State Share	Reimbursable Component(EAP)	TOTAL	Central Share	State Share	Reimbursable Component(EAP)	TOTAL
(F)				(G)			

Progress in Obtaining Reimbursement					
Scheme/Project	Claim Amount Filed	Date of Filing	% Reimbursement Received	Balance to be Received	Period of Claim Pending
(H)					

**ANNEXURE –4**

**FORMAT FOR REVIEW OF NON-TAX, USER CHARGES,**  
**FREQUENCY: QUARTERLY**

**A) DEPARTMENT**

**PERFORMANCE**

B.E. for current Year	B.E. for Previous Year	% Growth	Quarterly								TOTALLY			
			Q1 Current Year	Q1 Pre Year	Q2 CY	Q2 PY	Q3 CY	Q3 PY	QY CY	QY PY	CY	PY		
A	B	C	D								E		F	

**ANALYSIS:**

S.I.No.	Items of Non-Tax Revenue/User Charges	Rate	Previous Rate	Last Enhanced on	Expected Collection in Current year	Actual Collection in Previous Year	REMARKS
A	B	C	D	E	F	G	H

Note Q- Quarter  
 Py – Previous Year  
 CY – Current Year

**ANNEXURE –5**

**FORMAT FOR MONITORING OF SUBSIDIES**

**FREQUENCY/QUARTERLY**

**DEPARTMENT**

Subsidy Item	Rate of Subsidy	Unit of Subsidy	No. of recipients of Subsidy	Current Year B.E.	Previous Year B.E.	Fund Release								Total	
						Q1 CY	Q1 PY	Q2 CY	Q2 PY	Q3 CY	Q3 PY	QY CY	QY PY	CY	PY
A	B	C	D	E	F	G								H	

**ANNEXURE –6**

**FORMAT FOR MONITORING OF PERSONAL DEPOSITS AND P.D.ACCOUNT**

**FREQUENCY/QUARTERLY**

**DEPARTMENT**

Deposit A/c.No.	Purpose	Type(Tr./RBI)	Opened on	Last Reconciled on	OB in Year	Credit/Debit								Remarks on purpose of Cr/D	C B
						Q1		Q2		Q3		Q4			
						D	CR	D	CR	D	CR	D	CR		
A	B	C	D	E	F	G								H	I

Note:Q – Quarter, PY-Previous Year, CY-Current Year, D- Debit and Cr-Credit

**ANNEXURE 7(A)**

**FORMAT FOR MONITORING AUSTERITY AND REPORTING ON  
EXTRAVAGANCE**

**FREQUENCY : HALF YEARLY**

**DEPARTMENT**

**(1) ECONOMY DATABASE:**

**(A) PERSONNEL DATA:**

Sanctioned Posts	Filled up Posts	Posts abolished under 5% Cut	Vacant Posts	Posts abolished under cut or 80% vacant posts	No. of Retires in the year	Salary requirement		Average Drawn		Budget			
						As per (I)	As per (II)	T.A	Pre. Year	Grade	Sal.B.E. 2003-04	TA	OA
I	II	III	IV	V	VI	VII		VIII		IX			
Grade-A								Gr.-A					
Grade-B								Gr.-B					
Grade-C								Gr.-C					
Grade-D								Gr.-D					

**(B) VEHICLES:**

No. of officers entitled to Vehicles	No. of Vehicles	Previous Year's average Pol cost per vehicle	Previous Years average repair cost per vehicle	Period and No. of Vehicles hired on Previous Year	Expenditure on Hiring	Austerity Benchmark 10% below Previous Year's R.E.	Hiring Benchmark 25% below Previous year R.E	B.E. on POL and Maintenance Cost	B.E. on Hiring
I	II	III	IV	V	VI	VII	VIII	IX	X

**(C) TELEPHONES, FAX:**

No.of officers Entitled to Telephone	No.of Telephones and Fax lines	Last Year's Average Expenditure per Telephone/Fax	Total Expenditure	Current Year B.E.
I	II	III	IV	V

**(D) OFFICE EQUIPMENT, INCLUDING XEROX, COMPUTERS, AIR CONDITIONER.**

OFFICE UNDER THE DEPARTMENT.:

Type of Equipment	Nos	Total Maintenance Cost	Average Maintenance Cost per Equipment	B.E.for other Expenditure	B.E.for Equipment Purchase
I	II	III	IV	V	VI

**(E) ACCESSIBILITY /CONNECTIVITY PER OFFICE:**

	Computer		Xerox		AC		Telephone		Fax	
	ACC,%	Convty %	Acc.%	Convty %	ACC. %	Convty %	ACC. %	Convty %	ACC. %	Convty %
Grade-A										
Grade-B										
Grade-C										
Grade-D										

**ANNEXURE 7(B)**  
**EXTRAVAGANCE REPORT**  
**FREQUENCY :HALF YEARLY**  
**DEPARTMENT**

(I)

Item Purchase	Amount Spent		Budget Estimates	Whether Exemption taken under Economy Orders from FD
	HY1	HY2		
Vehicle				
Furniture				
Office Equipment(Specify)				
Fax / Telephone connection				

(II)

Items of Office Maintenance Expenditure	Average Expenditure per Item		No.of Items with along average expenditure		Total Expenditure		Expenditure as % or B.E.	
	HY1	HY2	HY1	HY2	HY1	HY2	HY1	HY2
Vehicles								
Telephones								
Xerox								

(III)

T.A. Expense	Average T.A. per Person		No. of people drawing above average		Total Expenditure		Expenditure % or B.E.	
	HY1	HY2	HY1	HY2	HY1	HY2	HY1	HY2
Grade-A								
Grade-B								
Grade-C								
Grade-D								

(IV)

Other Items	Previous Year Expenditure	Current Year Budget Estimates	Expenditure		Expenditure on % of B.E	
			HY1	HY2	HY1	HY2
Electricity and Water						
Rent, Rates, Taxes						
Special Items (Specify)						

Note: HY- Half Year i.e., the periods April to September ; and October to March

**ANNEXURE 8**

**FORMAT FOR REPORTING FILE CLEARANCE**  
**FREQUENCY : EVERY IFA MEETING**

Department	Total Files referred to F.D.	No. of Files referred through I.F.A	No.of Files Cleared	Pending Clearance		
				Less than 15 Days	Less than I Month	More than I Month
I	II	III	IV	V		



**ANNEXURE-9**

**FORMAT FOR REPORTING PROGRESS ON BUDGET  
PREPARATION**

**FREQUENCY: EVERY FORTNIGHT FROM DATE OF ISSUE OF  
BUDGET CIRCULAR BY FINANCE DEPARTMENT**

Department Sub-Category Major Head	II											
	(a)			(b)			(c)			(d)		
	APPENDIX –B			NON-PLANESTIMATES			PLAN ESTIMATES			RECEIPTS		
	Material Recd.	Under Preparation	Sent to FD	Material Recd.	Under Preparation	Sent to FD	Material Recd.	Under Preparation	Sent to FD	Material Recd.	Under Preparation	Sent to FD

**ANNEXURE-10**

**FORMAT FOR REPORTING PROGRESS ON RECONCILIATION OF**

**ACCOUNTS AND REPLY ON AUDIT PARAS**

**FREQUENCY : EVERY QUARTER**

Department	Reconciliation Pendency	Pendency Period	No. of Audit Paras Pending	Period of Pendency
I	II	III	IV	V

**ANNEXURE -11**

**FORMAT FOR REPORTING PERFORMANCE OF IFAS**

**FREQUENCY: AT EVERY IFA MEETING**

SL. NO.	Name of the IFA	Parent Cadre	Appointed on	Departments Attached
I	II	III	IV	V

**MIS FORMAT REPORTAGE**

Format 1		Format 2		Format 3		Format 4		Format 5		Format 6A		Format6B		Format 7		Format 8		Format 9
Freq.	Y/N	Freq.	Y/N	Freq.	Y/N	Freq.	Y/N	Freq.	Y/N	Freq.	Y/N	Freq.	Y/N	Fre q.	Y/N	Freq.	Y/N	F

VI

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TRAINING REPORTAGE							REMARKS/ISSUES RAISED IN I F A MEETING			
Training		Orientation		Meeting		Special Training Attended	MEETING -1		MEETING-2	
Attended	Held	Attended	Held	Attended	Held		Issue Raised by IFA	Direction of Secretary	Issue Raised by IFA	Direction of Secretary
VII							VIII			

**APPENDIX -VII**

A number of meetings, conferences, seminars etc., are convened/organised by the different Departments of Government. Some times, National and International conferences are organised by the State Government at the instance of the Government of India. These have to be organised properly and systematically to achieve the stated objectives. To avoid administrative delays and for ready reference, the instructions regulating the holding or organisation of meetings conferences, seminars, etc., are detailed below:

***(a) Inter- Departmental Meetings***

(i) Before meetings are convened there should be careful preparation and the subjects together with the points for discussion should be identified. The Agenda along with detailed notes on the subjects to be discussed should be invariably circulated at least 3 days before the meeting is due to be held;

(ii) Generally afternoons should be preferred for meetings instead of in the mornings. In any case meeting involving a large number of officers should not be convened in the mornings. This will enable officers to dispose of files in the freshness of the morning. As far as possible, meetings throughout the day should be avoided. In order to enable Secretaries to Government and Heads of Department to attend effectively to public grievances they should not have meetings during the hour specified for granting interviews to the public viz., between 3-30 p.m. and 5.30 p.m

(iii) in order to reduce the number of meetings which Senior Officers have to attend and, at the same time, to encourage junior officers to take responsibility and decisions, it is desirable that the meeting notices received in a Department should be considered by the Senior Officers in the Department to decide upon the attitude to be taken by the Department on the proposal for discussion. After finalising these views, comparatively Junior Officers could be authorised to attend the meeting and to express the views of the Department. In routine matters they may also be, empowered to take decisions for their Department. If the decision arrived at in the meeting is consistent with the views or decision taken by the Department, the officer attending the meeting would have done his job properly by correctly presenting the views of his Department. If however, the decision taken is contrary to the views of his Department, he should immediately report this to his superior officers;

(iv) For quick preparation of the proceedings and ensuring accuracy of the decisions recorded, the Chairman may dictate briefly the conclusions arrived at and the authority/ies responsible for their implementation, before the termination of the meeting. This will serve as proceedings of the meeting. Alternatively he may sum up the main conclusions of the meeting before it ends for purposes of record by the reports. Reporters should be previously nominated these proceedings should be issued within 24 hours of the holding of the meeting.

***(b) Conference***

(i) Wherever any Secretariat Department convenes a conference or meeting of Deputy Commissioners and/or Heads of Departments intimation of the time and date of the conference should be given sufficiently in advance to the other Secretariat Departments so that they may, if necessary, utilise the opportunity for having discussions and consultations with the visiting officers on subjects pertaining to their Department;

(ii) Wherever a proposal for the organisation of a conference or seminars is mooted, it will be for the Nodal Department concerned to process it and assume full responsibility, in consultation with other Departments concerned and with their active support. Whenever in a particular case, there is doubt about the Nodal Department Concerned with a particular function, the matter may be referred to Chief Secretary for orders;

(iii) In cases involving expenditure from public funds, it should be examined by the nodal Department Whether such expenditure is justified in terms of the benefits expected to accrue from the conference, seminar and the overall, economic and financial situation in the State. The Finance Department should be consulted before a commitment is made.

***(b) Festivals/Fairs***

When a festival/fair is to be organised by a non-official organisation which involves participation of and assistance from Government Departments, the nodal Department may take a hand in its planning and organisation, and give such advice and assistance as may be necessary in co-operation with other concerned Departments.

***(d) National/International Conferences, Seminars, etc.***

While organising National and International meetings, Conferences, Seminars, etc., the instructions circulated by the Government of India which are enclosed, are to be followed. Secretaries to Government have to take analogous action whenever they are involved in organising such meetings, conferences, etc., at the instance of the Government of India.

2. These instructions are not intended to restrict the discretion of the Administrative Departments in organising meetings according to its own convenience or needs. The object in view is to ensure conformity with certain minimum standards. These instructions should, therefore be kept in with this object.

Extract of items from the Government of India Letter No. 16/1/75-CF dated 30th December 1975 on the subject Conferences /Meetings/Festivals/Seminars, etc., convened by the Ministers! Departments.

***3. National Conferences/Meetings where State Government representatives are to be invited.***

With the growth of activities involving Centre/State consultations, the State Government Officials are called over and over again at short intervals for discussions. To ensure that State Government Officials do not have to be away from work at their headquarters too frequently, the following procedure should be followed:

(i) The number of conferences at which the Chief Ministers, Ministers, Chief Secretaries, Secretaries of the State Government and Administrators of the Union Territories are required to be present, should be cut down to the minimum.

(ii) Prior approval of the Prime Minister should be obtained whenever such Conferences are proposed to be convened irrespective of whether they are to be held in Delhi or elsewhere.

All references in this connection should be made direct to the Prime Minister's Secretariat;

(iii) The list of invitees should be scrutinised carefully and only those whose presence is considered necessary invited. To enable State Officials to plan their monthly schedule these conferences should normally be held only, during that 8th and 15th of the month. Where a departure is considered necessary written sanction of the Secretary concerned should be obtained;

(iv) The Secretary of the Ministry primarily concerned with the visit to New Delhi of the Chief Secretary or the Development Commissioner/Agricultural Production Commissioner of a State should intimate all other Secretaries about the visit. This would enable the latter to arrange meeting about pending matters without the necessity of calling State Government representatives separately;

(v) Even when meetings are convened under a statutory obligation, if discretion is available in the matter of timing and venue, these should be fixed in such a way as to synchronise with other meetings so as to reduce the period of absence from headquarters of the State Officials.

#### ***4. International Conferences, Fairs, Festivals, Meets/ Seminars etc..***

Special care is necessary in organisation of international conferences, fairs, festivals and meets to obviate the creation of an unfavourable impression on the minds of foreign participants and possible adverse press reaction abroad. The following guidelines., of policy should be observed in organising such functions:

(i) Whenever a proposal for the organisation of such a function is mooted, it will be for the nodal Ministry concern to process it and assume full responsibility for taking and implementing decisions, where necessary, in consultation with other concerned Ministers and with their active support. Whenever in a particular case, there is doubt as to which is the nodal Ministry concerned with a particular function, the matter may be referred to Cabinet Secretary;

(ii) In cases involving the expenditure of public fund, it should be examined by the nodal Ministry whether such expenditure is justified in terms of the benefits expected to accrue from the conference and the overall economic and financial situation in the country. The Ministry of Finance should be consulted before a commitment is made;

(iii) Whether the proposed conference/seminar/symposium is likely to cause embarrassment or difficulties from internal political angle, should be examined in consultation with the Ministry of Home Affairs;

(iv) The Ministry of External Affairs should be consulted to ascertain whether the conference is one whose deliberations are likely to embarrass the Government of India in its relations with any other country and whether any delegate is likely to be from a country with which we do not have political/diplomatic relations or whose presence is likely to cause us embarrassment;

(v) When a function is to be organised by a non-official organisation, the nodal Ministry would have to take a hand in its planning an organisation and give such advice and assistance as may be necessary in co-operation with the other concerned Ministers;

(vi) Special care is necessary before permission is given to non-official organisations to organise functions in which foreigners are likely to participate in considerable numbers. The nodal Ministry should make an assessment if the capacity of the non-official organisation, to organise the function properly. The nodal Ministry should also stipulate the conditions which the organisation will have to satisfy before permission is given. If the nodal Ministry's Judgment is that the organisation is not capable of making adequate arrangements, permission to organise function should be refused. If, however, the private organisation goes ahead with the arrangements, despite such refusal, Government should not associate itself in any way with the function, nor should any Government facilities be provided to the organisers;

(vii) Where the organisers of an international conference approach, a Ministry other than the nodal Ministry concerned, the Ministry approached should consult the nodal Ministry before acceding to the request of the organisers even though the facilities asked for are fully within its own competence.

5. A standing high Level Committee has been set up to advise and give advice on a continuing basis in regard to the problems which could or might arise in organising international conference, festivals, etc. The composition of this Committee and its terms of reference are given at Annexure-I. Whenever function of the kind envisaged above is to be organised either by the Government of India or by a non-official organisation, the nodal Ministry concerned should bring up a paper containing a broad outline of the programme, the arrangements intended to be made, the authority/ies) which would have to be involved in their implementation who will be responsible for what, the assistance which would be needed from other ministers or organisations and the specific point or points in regard to which the advice or



assistance of the High Level Committee is needed. Ordinarily, such paper should be brought up at least three months ahead of the date on which the function is due to take place. The guidance of the High Level Committee would also be available to the nodal Ministry concerned, on request, should any difficulties crop up after the opening of the function if it is of a long duration. *Note 1.-* While the High Level Committee will be glad to give such advice and assistance as it can in regard to the problems which could or might arise, especially if these call for an integrated or inter-ministerial approach, the responsibility for planning and organising the function and ensuring its success in co-operation with the other concerned authorities will be entirely that of the nodal Ministry concerned.

*Note 2.-* A relatively small function, the organisation of which is fully within the competence of a Ministry/Department and does not call for inter-ministerial co-ordination may be organised by the Ministry/Department concerned itself without reference to the High Level Committee of Secretariat but it must be clearly understood that the responsibility for ensuring success will rest entirely on it. Functions calling for inter-ministerial co-ordination, especially if these are to be organised by private organisations and Government is to be only indirectly associated must, however, be brought before the Committee.

*Note 3.-* These instructions are not intended to restrict the direction of the administrative or nodal Ministry concerned to organise the function according to its own genius and in accordance with its own understanding or needs. The object in view is only ensure conformity to certain minimum standards so as obviate any complaint or criticism.

## ANNEXURE I

### COMMITTEE OF SECRETARIES (INTERNATIONAL FESTIVALS, MEETINGS, ETC.)

#### COMPOSITION

##### *Chairman-*

1. Cabinet Secretary

##### *Members-*

2. Secretary, Ministry of Home Affairs
3. Secretary, Ministry of External Affairs
4. Secretary, Department of Foreign Trade
5. Secretary, Ministry of Education and Social Welfare
6. Secretary, Ministry of Information and Broadcasting
7. Secretary, Ministry of Tourism and Civil Aviation
8. Secretary, to the Prime Minister

*Note 1.-* Secretaries concerned with the conferences, fairs festivals, seminars, etc., would be invited to attend the meetings of the Committee.

*Note 2.-* Persons having special knowledge and who are known internationally in the particular field of any conference, seminars, etc., may also be invited to attend the meetings of the Committee, as and when necessary.

##### *Terms of reference*

1. To lay down the guidelines of Government's policy in regard to organisation of and/or association with functions involving foreign participation.

2. To oversee the arrangements made for the organisation of such functions, and provide advice to the nodal Ministry concerned on request in regard to problems and difficulties which could or might arise.

## APPENDIX –VIII

*Subject.*-Channel of communications between State Governments and (i) Foreign Missions in India, (ii) Indian Missions in Overseas Countries and (iii) Foreign Governments.

**Copy of U.O. Note No. GAD 35 OSM 66, Bangalore dated 6th August 1966, from Work Study Analyst and *Ex-officio* Under Secretary to Government.**

Chapter VI of the Central Secretariat Manual of Office Procedure (page 142 to 148) lays down the procedure regarding communications between State Governments and (i) Foreign Missions in India, (ii) Indian Missions in Overseas Countries and (iii) Foreign Government. Copies of this Chapter are enclosed herewith for information and guidance of all Departments in the Karnataka Governments Secretariat.

### *Chapter VI of the Central Secretariat Manual*

(a) Between State Governments and Foreign Missions in India:

(1) All official communications with foreign Missions in India should normally be addressed to and by the Ministry of External Affairs. Should any communication be addressed by a **Foreign Mission direct to a State Government, including** invitations to Ministers, Senior Government officials, etc., to visit abroad. The latter should consult the Ministry of External Affairs at the earliest opportunity. A reply will be sent by the Ministry of External Affairs who may, alternatively, ask the State Government to send a reply adding a polite request that such communications should, in future, be addressed to the Ministry of External Affairs.

(2) There is no objection to direct correspondence between the Consuls-General, Consuls and Trade Representatives of foreign Government and the Deputy High Commissioners of Commonwealth countries in India on one hand, and State

Government on the other. In routine matters such as a request for factual information of a non-confidential nature on technical subjects. When in doubt, the advice of the Ministry of External Affairs should invariably be obtained. If security considerations arise, the Ministry of Home Affairs and/or the Ministry of External Affairs should be consulted.

(3) Correspondence which relates to a matter involving directly or indirectly, a question of policy of one which though not initially, may eventually raise a policy issue should be made only through the Ministry of External Affairs.

(4) The Government of Uttar Pradesh is authorised the correspond direct with Foreign Mission in India in the matter of remittance by the Administrator General and Official Trustee of monies to beneficiaries abroad, subject to the conditions that if the payment of beneficiaries is required to be made in foreign currency, the previous permission of the Reserve Bank of India and the Ministry of Finance (Department of Economic Affairs) will be obtained in accordance with the Rules on the subject. Copies of such communications should be sent to the Ministry of External Affairs.

(5) The Registrars-General of Births, Deaths, and Marriages of States in India may forward certificates of births, deaths and marriages in respect of foreign national to the foreign Missions concerned direct.

(B) Between State Governments and Indian Missions in Foreign Countries:

(1) There may be direct correspondence between State Governments and the Indian Missions abroad on routine matters, provided copies of such correspondence are endorsed to the Ministry of External Affairs as well as in the Administrative Ministry Concerned.

The following types of cases belonging to this category:

- a) enquires relating to births, deaths, residential addresses, antecedents, whereabouts and Welfare of Indian nationals residing abroad or in India;
- (b) verification of statements that may have been made by certain applicants

for securing Indian or Foreign Travel documents;

(c) verification of the service of ex-employees of foreign Governments, their medical examinations, etc., and *vice-verse*;

(d) petitions and complaints from Indian National asking for miscellaneous kinds of assistance either from a Mission abroad or a State Government in India. Correspondence on questions of policy should invariably be sent through the Ministry of External Affairs.

*Exceptions.* Correspondence in the following shall continue to be sent through the Ministry of External Affairs:

(i) Completion of D. 1.91 N.R.P. 78 and 127-Forms of relatives of Indian Residents in South Africa, Northern Rhodesia and Southern Rhodesia, respectively.

(ii) Entry of educated entrants in to South Africa;

(iii) Applications for temporary visitors and entry into South Africa and any of the East and Central Africa territories;

(iv) Transmission of judicial documents. Once, however the documents have been transmitted, all further correspondence in the matter may take place between the State Government concerned and the Indian Mission abroad, copies of correspondence being sent to the Ministry of External Affairs, for information.

(2) Subordinate officers of State Governments are not authorised to correspond direct with Indian Mission abroad.

*Exemptions.*- (i) Between the Administrative General and

Official Trustee, U.P. Government and Indian Missions abroad. The Administrator General and Official Trustee of the U.P. Government, is authorised to correspond direct with Indian Mission on the remittance of monies. If payments are required to be made in foreign currencies to beneficiaries abroad, subject to his obtaining the previous permission of the Reserve Bank of India and the Ministry of Finance in accordance with the Rules on the subject;

(ii) Between a Licensing Authority and Indian Mission abroad; Licensing Authorities in India authorised to issue licenses under the Indian Arms Act and the Rules framed there under may enter into direct correspondence with the concerned Indian Mission abroad in connection with the renewal of license granted by the latter, or the grant of a license to a person residing in Nepal. Copies of the communications made should however be simultaneously endorsed to the Ministry of External Affairs;

(iii) Between Directors of Public Instructions/Education and Indian Mission . Directors of Public Instructions Directors of Education or other officers holding equivalent posts in the States may correspond direct with Indian Missions abroad in reply to the latter's request for verifications of the educational qualifications and service rendered by teachers who were initially employed in India;

(iv) Between the Registers General of Births, Deaths and Marriages and Indian Missions - When an Indian Mission or post abroad is approached by and Indian Citizen for a copy of a certificate of birth, death or marriage, the Mission may enter into direct correspondence with the Registrar General of Births, Deaths and Marriages of the State Government concerned. The Mission or Post should also recover on behalf of the Registrar General the requisite fee for the issue of such a certificate. The head of account to which such a fee is to be credited shall be indicated by the Registrar General:

(v) When a foreign Government approaches Indian Mission for the grant of an emergency certificate to a person of Indian origin to enable that Government to deport such persons to India for violating Local Laws, the Mission, unless specific orders to the contrary exist, e.g., in the case of Ceylon, should contact the district authorities in India directly, and satisfy itself that the person concerned is an Indian Citizen in accordance with the Constitution of India

or/and the Citizenship Act, 1955 and in accordance with such executive instructions as the Government of India may have issued or may issue in future in regard to Citizenship. Copies of all such correspondence should simultaneously be endorsed to the Ministry of External Affairs. If a Mission/Post abroad considers that a particular deportation has political implications or if there is large scale deportation of Indian Nationals, it should obtain the prior orders of the Government of India, from the Ministry of External Affairs before issuing emergency certificates to, or agreeing to the deportation of the persons concerned.

(C) Between State Governments and Foreign Governments:

State Government should not correspond directly with Foreign Governments. Normally, such communications are not acted upon by the Foreign Governments concerned, but are made over by them to the appropriate Indian or British Diplomatic Authority. The proper channel of communication with or Foreign Governments is the Government of India in the Ministry of External Affairs and the Indian Diplomatic Post in the country; concerned or, where there is no representative, channel deemed appropriate by the Ministry of External Affairs.

*Exceptions.-* (i) Between Police Authorities in India and Ceylonese Authorities-Police Authorities in India and Ceylon may correspond directly with each other on routine matters relating to the control of emigration or the investigations of specific crimes of a non-political nature, such as murder, dacoity, robbery, burglary, etc.

(ii) Between State Governments and Ceylonese Authorities-The State Governments should reply directly to enquiries received by them from the Ceylonese Authorities on purely routine matters such as the antecedents of ex-employees, the whereabouts of individuals and other matters of routine nature not having any policy or political implications;

(iii) Between Indian Courts and Foreign Courts : Indian Courts responsible for enforcing foreign maintenance orders may correspond directly with Foreign Courts in routine matters relating to such maintenance orders and the remittance of payment, due under them. Similarly, the Malayan Commissioner Labour Federation, and the Indian Commissioner for Workmen's Compensation may correspond directly.

(iv) Between border officials in NEFA, Nagaland, etc., and their opposite numbers in Burma: Border officials in North East Frontier Agency, Nagaland, Manipur and Mizo Direct of Assam of the level of Political Officer, Deputy Commissioner and above may carry on correspondence on local matters of mutual interest not involving questions of policy and not having a bearing on relation between two countries, with their opposite numbers in Burma subject to their keeping the Governor of Assam and Nagaland informed.

(D) Between Central/State Government. and private individuals/organisations abroad:

Ministers of the Government of India, their attached and subordinate officials, State Governments and other Governmental organisations in India may correspond directly with appropriate individuals/non-official organisations abroad on routine matters. Copies of such communications need not be sent to the Indian Missions concerned abroad, if it is unlikely that the matter will subsequently have to be pursued further through the agency of those Mission.

The term Governmental organisations also includes Municipal Committees, District Boards, Local Bodies, Ports Commissioners or other authorities legally entitled to or entrusted by the Government with the control or the management of a Municipal or a Local Fund.

**(E) Between Local Bodies and Foreign Governments:**

Local Bodies should be advised by the State Governments that, when they receive a communication from abroad including invitations to visit abroad, they should refer it to the State Government, along with the proposed reply, for instructions. If the matter under correspondence is of a routine and non-political character, and the communication is not from a foreign Government Authority, the State Governments may authorise the Local Bodies to send a reply direct. But if a political issue is raised, or it appears that the correspondence may have important or embarrassing implications, the advice of the Government of India in the Ministry of External Affairs should be sought.



**APPENDIX - IX**

**GENERAL INSTRUCTIONS REGARDING TYPEWRITING,  
STENCIL CUTTING, CARBON MANIFOLDING, ETC.**

***I. Spacing for Punctuation Marks***

The following Rules of spacing the punctuation marks are to be uniformly followed in all typewritten work:

		<i>Spaces Before</i>	<i>Spaces after</i>
Period			
Exclamation mark	At the end of		
Interrogation mark	sentence	-	2
Comma			
Semi-Colon			1
Hyphen		-	-
Dash		1	1
Quotation marks-			
Beginning		1	-
Closing		--	1
Brackets-			
Beginning		1	-
Closing		-	1

2. The period after abbreviated words like, viz., etc., Mr., is followed by only one space. When an abbreviation consists of group of letters such as U.S.A, M.A., I.A.S., no space should be left between the letters of the group, but one space should be left at the end of groups. In the ease of initial letters of a personal name, each letter is followed by a period and a space, thus Shri A.B. Roy not Shri A.B. Roy.

3. Comma used for punctuating figures is not followed by a space, e.g., 1,00,000.

## **II. Margins-**

4. Fair copies are typed with the following margins all round the paper :  
Left margin : 1" on foolscap (8" X 13") or quarto (8" X 10") paper, and ½ inch on octavo (5" X 8") paper. (One inch is equal to 10 spaces of Pica type, 9 space of Large Pica type, and 12 spaces of Elite type):

Right margin .2 space on all kinds of paper.

Top margin .1" or 6 single lines deep on foolscap and quarto paper.

Top margin .½" or 3 single lines deep on octavo paper.

Bottom margin .Same as top margin.

5. Drafts are typed with a left margin of 2½ inches which is necessary for corrections or additions.

## **III. Line Spacing**

6. Fair copies are to be typed in single spacing with double • line space between paragraphs..

7. Double line space is required for drafts and between paragraphs only double line space is left. There is no need for an extra line space between paragraphs.

#### IV. Continuation Work-

8. When the work is to be continued on the next page, the following points are to be observed:

(i) *Catch word*.- This refers to the official practice of writing at the foot of the page of continued matter the first word appearing on the next page. After typing the last line on the first page the catchword is placed on the right-hand side of the bottom margin of the page. An oblique is typed before the catchword. If the first word to be typed on the next page is a word of one or two letters or the article "the "or the number of a new paragraph, the following word should also be included as the catchword.

(ii) *Pagination*.- Pages are to be number at the centre of the margin of the page, thus-2 or (2).

(iii) *Transposition of margins*.- Secretariat filing system makes it necessary that the margins of the front page should be transposed when typing on the back page. Thus the broad margin on the left side of the front page will be shifted to the right side of the back page.

(iv) *Superimposition*.- Neat appearance of the transcript requires the lines on both sides of the paper to be superimposed, i.e., typed on the same level, so that the white space between lines remains unaffected.

#### V. Numerals-

9. Numbers can be expressed in the following ways:

Arabic figures	Roman figures	Small Roman figures	Alphabetic Letters	In Spelling
1	I	(i)	• (a)	One
2	II	(ii)	(b)	Two
3	III	(iii)	(c)	Three
etc.	etc.	etc.	etc.	etc.

10. Arabic figures are widely used in figures work, besides being useful in numbering pages and the main paragraphs of a work. Roman figures are used for numbering chapters and main Sections of a Bill or Act of Parliament. Small Roman figures and alphabetic letters are used in numbering the subsidiary paragraphs; the former are also used for numbering the pages of preface and appendix of a work. Figures should be spelled out when they began a sentence and when they can be expressed in one or two words an indefinite number is also spelled out e.g., I read five or six pages at a time. In case several numbers come within a short space, all of them are to be expressed in figures.

## **VI. Paragraphing**

11. Paragraphs can be typed in three ways:

(i) *Indented paragraph.*- The first line of the paragraph is indented five spaces from the left margin, and the other lines begin from the margin. This is the usual style of typing paragraphs.

**10 15**-----  
-----  
-----

(ii) *Block paragraph.*- All the lines of the paragraph are level with the left margin. This style is used for sub-paragraphs or sub-sub-paragraphs.

**10**  
-----  
-----  
-----

(iii) *Hanging paragraph*.- The first line begins from the left margin and all the other lines of the paragraph are indented three spaces. This style also is used for sub-paragraph or sub-sub-paragraphs.

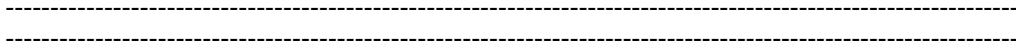
10 13



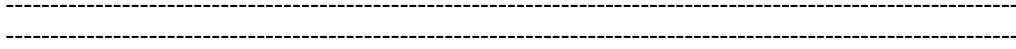
12. *Numbering paragraphs*.- There are three styles of numbering the main paragraphs. but only one style should be used uniformly throughout the work. Usually the first main paragraph is not numbered; numbering starts from the second paragraph onward. The three styles are illustrated below:

**10 15**

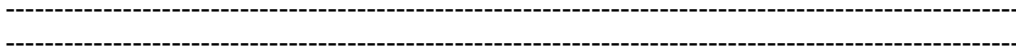
2



2.



2.



13. Subsidiary paragraphs following under main paragraphs may be either indented, block or hanging, but they must be numbered and given a left-hand margin distinct from main paragraphs. The following three styles may be noted, but only one style should be used in one piece of work.

10      15      20

Main para

\_\_\_\_\_

-----

-

Sub-para  
indented.

-----

-----

-----

Sub-paras  
Blocks

\_\_\_\_\_

\_\_\_\_\_

Sub-paras  
hanging

\_\_\_\_\_

-----



16. There are several ways of typing sub-headings as illustrated below:

**MAIN HEADING**

Sub-heading one  
Sub-heading two

-----  
-----

Sub-heading three -----  
-----

Sub-heading four -----  
-----

Sub-heading five -----  
-----

The above illustration shows the methods of displaying sub-heading:

- (1) Immediately below the main heading properly centralised;
- (2) Immediately above paragraph in the centre of type area;
- .. (3) At the beginning of the paragraph and forming part of

the first line of the paragraph when it is to be indented five spaces from the left margin;

(4) At the beginning of paragraph and not forming part of the first line it is level to the margin;

(5) In the margin.



17. All these styles of typing sub-headings are recognised but only one style should be used throughout one piece of work.

18. Main headings or sub-headings should not be typed at the foot of the page unless it is possible, to type at least two lines of the matter relating to heading on the same page.

### **VIII. Footnotes-**

19. Footnotes in the body of a matter can be indicated by figures slightly raised from the line of writing and immediately following the words to which they refer. Figures typed in this way or better than asterisk (\*) or other symbols except in statistical tables where figures for footnotes might be confusing.

20. Symbols and marks like %, @, &, + should not be used as reference marks of footnotes as each of them has a meaning of its own. Other symbols as shown below are suitable and can be got by combination of characters.

#### **Asterisk \*..**

(If not found on keyboard can be done in two ways)

1. Small "x" and hyphen, or
2. Capital "A" and small "v" slightly lowered by using the interlinear.

#### **Dagger † -**

1. Capital "I" and hyphen slightly raised, or
2. Oblique and hyphen slightly raised or
3. Capital "I" and apostrophe slightly raised.

#### **Double dagger †† -**

1. Capital "I" and equation sign or two hyphens, or
2. Oblique and equation sign or two hyphens, or
3. Capital "I" and two apostrophes.

Section mark \$ .

One capital "S" or small "s" partly over another.

21. In typescript intended to be printed the footnote should be typed immediately after the passage to which it refers. A line should be typed above and below the footnote in work not intended for the printer.

-----  
1. This is the way to insert footnotes in material intended for the printer.  
-----

footnotes should be typed in single spacing at the foot of the page on which the particular reference marks appear. The footnotes are separated from the text by a line extending reference from left margin to right, or half way across.

#### ***IX. Variety in Typescript-***

22. Printers have various sizes of types which they use to the best advantage in the display of their matter. It is possible to achieve similar display in type-script by making use of the eight styles of typing as given below, especially for headings:

- (1) Style One
- (2) Style Two
- (3) Style Three
- (4) Style Four
- (5) Style Five
- (6) Style Six
- (7) Style Seven
- (8) Style Eight

23. It is to be noted that when typing words in spaced letters, three spaces are to be left between words. Under lining should be done carefully to cover the letters of the word only; Two the punctuation mark, if any, at the end of the word should not be underlined.

#### **X. Syllabification-**

24. Syllabification is the practice of breaking up a word at line-end and carrying a part of it to the next line. It is necessary to do this in order to secure a moderately even right hand margin, which gives a neat appearance to typescript. The important Rule to be observed in word-breaking is that the split should not hinder rapid reading of the typed matter.

25. Word-breaking is done as follows

(i) Division of words should correspond as nearly as possible to the way in which the words are pronounced:

Light-ning, statis-tics, resig-nation. cre-ate, fra-grance, pecu-liar.

Pronunciation of the first part of the word should not be affected by break. Hence:

Prop-erty (not-pro-perty), (chil-dren) not child-ren, pri -mary (not prim-ary).

(ii) In words containing prefixes or suffixes the natural point of division is at the junction of the prefix or suffix;

Con-stant, intro-duce, pro-gramme, accomp-lish, field-ing, plenti-ful, friend-ship, acquisi-tion, finan-cial.

(iii) In words containing double consonant medially, division is usually between the two consonants:

Regret-ing, excel-lent, drop-ing, allot-ted, com-mon, posses-sive.

(iv) When words contain medially two or three different consonants without intervening vowel, division can be made after the first consonant:

Splen-dour, main-tain, cir-cle, frus-trate. hum-dred.

(v) Compound words and hyphenated words are divided only where existing hyphens occur:

Under-estimate (not under-estimate), pre-eminent (not pre-emi-nent), cross-Section (not cross-sec-tion).

The following hyphenated word should be typed on the same line for obvious reason:

Re-mark (mark again), re-cover (cover again).

26. Division should be avoided in the following cases:

(i) The last word in a paragraph and the last word in a page;

(ii) Abbreviated words, figure items, and proper names;

(iii) When previous two lines end with hyphens;

(iv) Words of one syllable, their plurals or similar, inflexions;

cause, causes, ploughed, strength

(v) When syllable consists of only one or two letters:

afraid (not a-fraid), ready (not read-y), bravely (not brave-ly), profited (not profi-ted), ancient (not an-cient);

(vi) When there is doubt as to correct division.

## **XI. Carbon Man folding**

27. In order to take good carbon copies the following points are to be noted

(i) The carbon should be clean and crisp.

(ii) The paper used for the original and duplicates should be consistent with the number of copies to be taken. Obviously thinner paper must be used where the number of copies required is large. There are several methods in use

for arranging carbons and sheets. A quick technique is to insert first the required number of sheets and turning the cylinder just for enough to hold the sheets securely. Then the carbons are to be inserted with ink surface facing the Typist between the sheets and the whole collection is to be twirled up to the point where typing it to begin;

(iii) The cylinder should be moderately hard, and free from ridges or indentations. Some machines are fitted with interchangeable cylinders, and in this case it is easy to substitute the ordinary medium cylinder with a hard one for carbon copies;

(vi) The types of the machine should be in good order. Battered or worn out types cannot give clear prints. Types are to be cleaned before work;

(v) The type should be struck evenly so as to give uniform impressions, as any unevenness is emphasized on the carbon copies. The keys should be struck a little harder, particularly such large types as w,g,m, the capitals figures and fractions. The more the copies required, the harder should be the stroke. Obviously only a standard machine can stand this hard touch. Sharp characters like comma, period and semi-colon should be struck with a lighter touch;

(vi) When placing carbons between plain sheet, the carbons should be allowed to project about half an inch below the bottom of sheets. When the typed matter is withdrawn from the machine, all the carbons can be separated from sheets by gripping them where they project. Thus the handling of carbons being reduced to the minimum, fingers do not become dirty.

**28. Carbon Economy.** The carbon should be reversed from time to time so that the inked surface may be utilised. Carbon should be kept in a special box or drawer. On no account should they be rolled or folded.

## **XII. *Stencil Cutting-***

29. *Quality of Stencil.*- The stencil sheets used now-a-days are superior to the old wax sheets. They are "indestructible" in the sense that they may be preserved and used again and again until completely worn out. Unlike the old variety they are not liable to crack or break, and are, therefore, very to handle.

30. *Selection of a Typewriter.* . The typewriter to be used for producing the stencil should have good sharp types and a rather hard cylinder. A machine with blunt or worn types and a soft cylinder should not, as far as possible, be used for this purpose. Such a machine can, however, be improved by using an Additional hard backing sheet.

31. *General Instructions.*- The following instructions should be borne in mind:

(i) The types should be thoroughly cleaned.

(ii) The ribbon should be thrown out of gear by means of the stencil switch so that the types may strike directly on the stencil sheet. If the ribbon switch is out of order, ribbon may be removed from the machine;

(iii) A carbon paper should be laid smoothly on the backing sheet of the stencil and the stencil sheet above the carbon, so that the inked side of carbon remains in contact with the back of the stencil sheet. This will make the impressions visible as the stencil is cut

(iv) The stencil should be inserted into the type-writer with the backing sheet next to cylinder;

(v) Placement of the copy well within the printed frame of the stencil sheet may now be planned. If there is difficulty about correct placement, a preliminary copy of the matter may be made on a sheet of paper exactly as it is to appear of the duplicated copy. This preliminary copy may be used for reference when cutting the stencil;

(vi) The keys should be stuck with the definite sharp and even touch so that the stencil may be cut clearly and evenly. The punctuation marks and the letters "o " and "e "require a lighter touch than the other characters ;" w" and" m ", a heavier touch than usual. Any centres punched out, such as the centre of" o should be picked up on the tip of a moistened finger and replaced on the stencil;

(vii) A good rate of speed for stencil cutting is about 20 words less than one's normal speed of typing. This will make for accuracy which is so essential;

(viii) A stencil is very likely to wrinkle if it is turned back in the machine for the purpose of correction. To avoid this, the lower edges should be held securely as it is rolled back slowly. If the stencil does not roll back without wrinkling, it may be removed from the machine and reinserted;

(ix) Rulings for statistical work on stencil are better done with a Ruler and the stylus pen, using a light touch.

### **XIII. Corrections-**

32. All errors in typescript are to be erased and corrected. Over typing or" x-ring "of errors is not permitted in fair copies. Erasing should be done as neatly and inconspicuously as possible. The following points are to be noted in regard to erasing

- (i) A good quality eraser should be used ;
- (ii) The carriage should be drawn to the side and the paper moved a few spaces upwards to facilitate erasing and to prevent the eraser dust from falling into the machine;

(iii) A soft eraser should be used first to remove the fresh ink from the impressions, and then the hard eraser with very light pressure so as to remove as little of the surface of the paper as possible. If the eraser is moved in different direction it will prevent the rubbing of a hole into the paper;

(iv) Dust should be blown away from the machine in the course of erasing;

(v) Damping either the eraser or the paper should be avoided. When the eraser becomes dirty, it can be cleaned by rubbing lightly on a piece of fine sand paper;

(vi) The correction should be typed lightly so as to have the same impression as the original letters;

(vii) If letters are to be squeezed or spread within a given space back spacer or spacebar can be used to move the carriage half at a time as is done in the following examples

To change	He will do	To change	I were here
Will		Were	
to		to	
Would	He would do	was	I was here

If correction is to be done after reinsertion of a typed sheet, the writing line should be adjusted to original level with the help of the line scale and letters like -I-i . . . on the originally typed line. Adjustment of these characters with reference to the line scale should be noted by the Typist.

(viii) When correction is to be done during carbon man folding soft eraser alone can be used to erase the errors on carbon copies, but care should be taken to prevent smudging of copies under the pressure of eraser. The method is to place a fairly stiff card behind the paper to be erased and to shift the card behind other papers before erasing. When all copies are erased, the card is removed and the correction typed;

(ix) Correction on stencil paper;



(a) The surface of the stencil paper containing the error should be smoothed over with nail or any round smooth object. This will aid in closing the incorrect perforations. A very thin coat of correcting fluid should be put over the error. After it is dry the correction may be typed;

(b) Where a large correction has to be made it may be necessary to resort to "patching "or" grafting ". The part of the stencil which contains the incorrect wording is cut-out and a piece of stencil paper is pasted over the gap with gum and correction fluid over the edges. The required correction is than typed over the patch.

**Para - 127(i)**

**APPENDIX -X**

**Forms of Communications - Some Illustrations**

**1. LETTER**

Karnataka Government Secretariat,  
'Vidhana Soudha, Bangalore-1  
Dated

No.

From

To

Subject.

Sir,

\* With reference to your letter No ----- date ----- I am  
directed to -----

Your faithfully,

••(A.B.C.)

\*\*\*(Sd) S.D.C.

Under Secretary to Government,  
Department.

No.

Copy forward for information and necessary action to

(i)

(ii)

**A.B.C**

Under Secretary to Government,  
----- Department.

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

- (1) In reply to year letter No-----I am directed to-----
- (2) In continuation of my letter or Government Letter  
No----- I am directed to -----
- (3) With reference to the correspondence resting with (or ending with)  
your/this Department letter quoted above, I am directed to -----  
-
- (4) I am directed to acknowledge the receipt of your Letter No -----

- \*\* To be signed on original copy of the letter.
- On copies for (i) and (ii) referred to in the endorsement.

## II. PROCEEDINGS

### Illustration-I

#### *Form of Proceedings*

### PROCEEDINGS OF THE GOVERNMENT OF KARNATAKA

*Subject.* - Horticulture Department-Additional post of Assistant Director in the office of the Director of Horticulture-continuation for one year from 1st January 1975 .sanctioned.

----- *Order No*        *dated, Bangalore, the Read*

(i) G.O. No -----

• (ii) Letter No-----                      from the Director of Horticulture -----  
-----

#### *Preamble*

In Government Order No-----    dated -----    sanction was accorded to the creation of a post of Assistant Director in the scale of pay of Rs-----for a period of one year from 1st March, 1974 in the office of the Director of Horticulture for attending to the work relating to the clearance of arrears. For the reasons explained in his letter. The Director of Horticulture has requested for further continuance of the post for a period of two years from 1st March, 1975.

### ORDER

After considering all aspects of the matter sanction is hereby accorded to the continuance of the post of Assistant Director of Horticulture for a period of one year from 1st March, 1975.

This order issues with the concurrence of the F.D. vide their U.O. No----- dated -----

By Order and in the name of the Governor of Karnataka,

**A.B.C.**

Under Secretary to Government,  
A. and A.H. Department.

To

The A.G. Karnataka, Bangalore  
The Director of Horticulture  
The F.D. (Budget)  
The WG.

### **Illustration-II**

### **PROCEEDINGS OF THE GOVERNMENT OF KARNATAKA**

*Subject.-* Sandalwood Oil Factories-Director and General Manager-Halts at Delhi on 2nd and 3rd September-Sanction.

GO. No:----- dated, -----Bangalore, the

*Read-*

1. G.O.No----- dated -----
2. Letter No----- dated----- from the Director,  
Sandalwood Oil Factories, Bangalore.

*Preamble*

In the Government Order read above sanction was accorded for the journeys to Delhi by the Director, Sandalwood Oil Factories and the previous General Manager, Government Sandalwood Oil Factory, Mysore, for giving evidence before the Estimates Committee on 1st September The Director

has now reported that after giving evidence before the Estimates Committee on 1st September he and the General Manager, Sandalwood Oil Factories had to extend their stay up to 3rd September-for certain business contracts for which sanction of Government is requested.

### **ORDER**

In view of the circumstances explained by the Director, Sandalwood Oil Factory, Bangalore, Government is pleased to accord sanction to the halt at Delhi of the Director and the General Manager, Sandalwood Oil Factory, Mysore on the 2nd and 3<sup>rd</sup> September -----

This Order issues with the concurrence of the F.D. vide their U.O. No---- dated -----

By Order and in the name of the Governor of Karnataka,

**A.B.C.**

Under Secretary to Government,  
Commerce and Industries Department.



be eligible to count service for increments under the normal Rules, from the date of regularisation of their appointments in accordance with the Government Order cited first.

By Order and in the name of the Governor of Karnataka,

**A.B.C.**  
Chief Secretary to Government.

To:

The A.G. Karnataka, Bangalore  
The D.C., South Kanara, Mangalore  
The Secretaries to Government  
The Secretary, KPSC, Bangalore  
The Heads of Departments  
The Divisional Commissioners  
The Deputy Commissioners  
The Deputy Secretaries/  
Under Secretaries to Government.



**III-OFFICIAL MEMORANDUM  
GOVERNMENT OF KARNATAKA**

Karnataka Government Secretariat,  
Vidhana Soudha, Bangalore-1

No. DPAR 44 SSC 71

Dated December 10, 1971.

**OFFICIAL MEMORANDUM**

**Subject.** . Public Service Commission-Prior Consultation with the P.S.C.-  
Instructions reiterated.

**Reference**

- (i) Circular No. GAD 30 SRR 64, dated 4th January 1965.
- (ii)** O.M. No. GAD 44 SSC 64, dated 12th January 1965.
- (iii) O.M. No. GAD 37 SSC 67, dated 20th December 1967.

Article 320 (3) of the Constitution provides that the Public Service Commission shall be consulted on the matters specified therein except to the extent to which the Governor may make Regulations as to the matters in respect of which it shall not be necessary for the Commission to be consulted. Such Regulations have been made called the Karnataka Public Services Commission (Consultation) Regulation 1958. Instructions were issued in the Circulars cited above that the above provisions relating to consultation with the Karnataka Public Service Commission should scrupulously be followed as failure to do so is a serious matter which results in criticism of Government on the floor of the Legislature.

In spite of these instructions instances: have been brought to the notice of Government where promotions have been made without consulting the Public Service Commission and the Commission has been consulted only after promotions have actually been made. This shows that a select list of candidates eligible for promotion is not being prepared in advance in consultation with the Public Service Commission according to the instructions issued. The Secretaries to Government are, therefore, requested to ensure that the Constitutional provisions relating to consultation with the Public Service

Commission are scrupulously followed by adhering to the instructions issued in the Circulars referred to above.

**A.B.C.**  
Chief Secretary to Government,

To

The Secretaries to Government  
The Deputy/Under Secretaries to Government  
All Sections of Secretariat  
Monthly Volume  
The Secretary, K.P.S.C., Bangalore.

#### **IV. CIRCULAR**

#### **GOVERNMENT OF KARNATAKA**

Karnataka Government Secretariat,  
Vidhana Soudha, Bangalore-1

No.DPAR

Dated

#### **CIRCULAR**

**Subject.-** Converting of file pertaining to another Department to the file of Department where final orders are issued.

It has been observed that Heads of Department in certain cases, address the Administrative Department of the Secretariat seeking clarification or sending proposals on matters pertaining to other Departments. In such cases, the Administrative Department in the Secretariat will transfer the file to the concerned Department and the Department that takes a decision will communicate orders marking a copy to the Administrative Department concerned for information and making necessary entries in the Registers.

**A.B.C.**

Deputy Secretary to Government,  
Department of Personal and A.R.,  
(Administrative Reforms-I)

To

The Secretaries to Government  
The Deputy/Under Secretaries to Government  
Section Officers of K.G.S.  
P.Ss. to Ministers/ Ministers of State  
Monthly Volume

**V. DEMI OFFICIAL LETTER**

**GOVERNMENT OF KARNATAKA**

A.B.C.  
Secretary to Government  
..... Department  
D.O. No.

Karnataka Government Secretariat,  
Vidhana Soudha,  
Bangalore, Dated .....

Dear Shri/My Dear,

Will you please refer to your DO letter No .....Dated  
.....regarding .....

I am sending herewith a copy of the draft Rules relating to ..... I shall be  
grateful if you kindly go through it and let me have your comments as soon as possible. It is  
proposed to convene an inter-Departmental meeting early next month to finalise the Rules.

Yours sincerely,

Sri .....  
.....  
.....

## VI. UNOFFICIAL

..... Department  
(.....Section)

No. •  
Dated

Bangalore,

### UNOFFICIAL NOTE

According to para 271 of the Secretariat Manual all the Departments of the Secretariat are required to build up Departmental Library of reference books independently of the

Secretariat General Library and the procedure to be followed for holding up such Departmental Libraries is prescribed in para 272 of the Manual.

In order to enable DPAR to consider the question of rationalising the system of maintaining Departmental Libraries, all Departments of the Secretariat are requested to indicate the action taken by them under para 272 of the Manual.

This may kindly be treated as urgent and information furnished before 15th July 1969.

**A.B.C.**

Deputy Secretary to Government,  
Department of Personal and A.R.,  
(Administrative Reforms)

To

All the Secretaries to Government

### VII. PRESS COMMUNIQUE NOTE

Press Communiqué/Press Note

The Government have had several measures under consideration for some time past to check the evil of late attendance of officials. Government have since issued orders that officials should be granted half-a-day. Casual Leave to attend

• to their personal work and any late attendance should be treated as half-a-day Casual leave.

Deputy Secretary to Government,  
..... Department.

(Forwarded to the Director of Publicity and Information Bangalore for issuing the communique and giving it wide publicity.

## VIII. NOTIFICATION

### GOVERNMENT OF KARNATAKA

Karnataka Government Secretariat,  
Vidhana Soudha, Bangalore-1

No. DPAR

Dated

### NOTIFICATION

Sri..... Joint Director of Public Instruction  
Bangalore is promoted and appointed to officiate as Additional  
Director of Public Instruction and Chairman, Karnataka Secondary  
Education Examination Board, Bangalore with immediate effect  
and until further order vide Sri..... transferred.

Sri..... Additional Director of  
Public Instruction and Chairman, Karnataka Secondary Education Examination  
Board, Bangalore, is on relief appointed as Director  
of Text Books, Bangalore vide Sri ..... transferred.

By Order and in the name of the Governor of Karnataka.

**A.B.C.**

Under Secretary to Government,  
Dept. of Personal and Admnv. Reforms,  
(Services).

### **To**

The Compiler, K.G., Bangalore for  
Publication in the Gazette

### **Copy to**

The other address should be decided with reference to the  
importance of the Notification.

**IX. TELEGRAM**

Telegram	State	Express/
DEPCOM		Ordinary

KARNATAKA

Reflect ADM 1846/66 July seventh stop Government not repeat not interested securing services of XYZ stop.

*Chief Sec.*

Not to be telegraphed.

**(A.B.C)**  
Deputy Secretary to Government,  
Department.

## APPENDIX-XI

### The Register of Periodical Returns

1. The register is a bound volume of the returns filed from time to time
2. It need not be renewed every year, the entries being few.
3. This is one consolidated register for the whole Section
4. Under column 5, file number can be given only after report is received and entered in the File Register.
5. Column 6 should be filled up with reference to orders prescribing the dates of submission of the report.
6. If a report is received, the fact should be noted in column 7.
7. If a report is overdue, the clerk who keeps the registers should note the fact on a Routine Note form and submit it to the Section Officer for permission to issue a reminder.
8. A reminder on a printed card may then be sent to the defaulting officer and the fact noted in column 7.
9. The entries under the columns should be made by the respective Junior Assistant under the guidance of Section Officer s.
10. But column I should contain consecutive numbers for the whole Section.



**APPENDIX-XII**

Uniform procedure of sending closed files to General Records.

The following procedure may be adopted to send all the closed files to General Records.

Every Section should maintain four separate registers in K.G.S. Form No. 23 as follows

- (i) B' Class .New collections
- (ii) B' Class .Old collections
- (iii) 'C' Class .New collections
- (iv) 'C' Class .Old collections

2. Files of each category referred to above, should be entered only in the respective Registers and sent to Records, class-wise, without mixing them in one and the same bundle.

3. The entries in the Register should be in the ascending order and also file heading-wise and year-wise.

4; The indicative letters for 'B' and 'C' Class files and also for NEW' and 'OLD' files should be boldly written in block letters on the respective Registers.

5. The entries in the Registers should be legible without giving room for any ambiguity, or else the collection with the Registers would be returned by the General Records without acknowledgment.

**APPENDIX - XIII**

Retention Schedule for registers prescribed in the Secretariat Manual of Office Procedure.

SI. No.	Description of record	Retentions Period ( year)
1.	Delivery (Book) print out acknowledgement	one year
2.	Section diary	five year
3.	Assistant Diary	one year
4.	Movement Registers in Personal Establishment.	Five year
5.	Typists Diary	one year
6.	Dak Book of General Despatch	five year
7.	Service postage stamps Account Register	five years
8.	File Register	permanent
9.	File Movement Register	five years
10.	Register of LA/LC One./Assurance	one year
11.	Weekly Arrear Statement	one year
12.	Monthly Statements	one year

13. Call Book	one year
14. Periodical Registers	one year
15. Inspection Reports	one year after the date of next inspection
16. Rest of files transferred to General Record Section and Karnataka State Achieves	Permanent
17. Record Issued Register	Permanent
18. Record Issue Register	To be destroyed after all files are scrutinised
19. Record Destruction Register	Permanent
20. Attendance Register	One year
21. Section Note Book	Permanent
22. Library Stock Registers	Permanent
23. Register of Books	Permanent

