



**OFFICE PROCEDURE MANUAL**  
(UPDATED AND COMPREHENSIVELY REVISED VERSION)

**2019**

**OFFICE OF THE REGISTRAR  
ADMINISTRATIVE BRANCH, CRAWFORD HALL, MYSORE-570 005**

## *From the Registrar's Desk.....*

Greetings from Mysore University, Mysuru.

I do deem it an honor and a privilege to place before you/all the **Administrative Manual** of Mysore University which is 102 years old.

The purpose of this Manual is to provide the entire Personnel of Mysore University and the General Public with a reference manual containing policies and procedures established by the University Administration since its inception. The Administrative Manual provides the Teaching Faculty, Non-Teaching employees and the general public with a helpful reference about the governance of Mysore University. It includes an overview of personnel policies and highlights of the policies and benefits that are available to an employee of Mysore University.

This Administrative Manual more or less renders a comprehensive view of the way the Mysore University Administration functions. The personnel procedures and practices stated in this Manual is a continuation of the already existing Administrative Manual but with modifications according to the situation and change essential for the smooth functioning of the Administration of Mysore University from time to time. The Manual covers Administrative policies and procedures, to policies and procedures necessitated by The Karnataka State Government, (KCSR) Karnataka State Universities Act (KSU) as well as the University Grants Commission (UGC) regulations.

The Administrative Manual attempts a w/holistic view of the policies and procedures to establish a standard which guides one in how to conduct oneself as an employee, how one should work, interact with others and manage the business of the University. The policies contained in this manual are in keeping with the values and goals of the University, "Nothing Equals Knowledge".

The University of Mysore is committed to fair and equitable treatment of its employees in accordance with the established Law. Hence, it is hoped that the Mysore University Administrative Manual serves as a primary reference document for communicating and interpreting the Mysore University's Statues, Regulations, Policies, Procedures and Guidelines which serve as a beacon to its employees.

Suggestions and Observations are welcome for improving the **Mysore University Administrative Manual.**

The Mysore University Administrative Manual is available on the World Wide Web at: [www.uni-mysore.ac.in](http://www.uni-mysore.ac.in). The copies of the printed version of the Mysore University Administrative Manual are available at: The Office of the Registrar, Crawford Hall, University of Mysore, Mysuru-570006, Karnataka, India.

Mysore, 2019



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## **INTRODUCTION**

- 01.** The Manual sets out the structure of the University of Mysore organization, its functionaries with duties and responsibilities, forms and procedure for work processing, disposal, monitoring, and so forth.
- 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.
- 03.** 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.
- 04.** 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 State Universities Act, 2000 (KSU Act, 2000), Karnataka Financial Code, KCSSRs, Statutes, Ordinances approved by the Hon'ble Governor of Karnataka and other directions issued by the University Grants Commission and the State Government of Karnataka.
- 05.** The University 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 University business. The provisions of hardware, software, training etc., is a continuous process.

## CHAPTER I

### A. DEFINITIONS

06. In this manual unless the context otherwise requires:

- (a) “**University**” means a University of Karnataka specified in Schedules to the Karnataka State Universities Act, 2000;
- (b) “**Allocation Rules**” means the Karnataka State Universities Act - 2000, Karnataka Financial Code, KCSSRs, Statutes, Ordinances approved by the Hon’ble Governor of Karnataka and other directions issued by the University Grants Commission and the State Government of Karnataka;
- (c) “**Attendance Monitoring System**” means a computerized software along with special devices to capture attendance data such as arrival time, duration of absence from the Section, Leave at credit, a ailment and monthly aggregate of hours of duty and absence of employees;
- (d) “**Content Management System**” means a computerized software for drafting, editing, printing, mailing, recording University Notification, orders, circulars, memorandum, and so forth;
- (e) “**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;
- (f) “**Current file**” means a file on which action has not been completed;
- (g) “**Dealing hand**” means any functionary such as Junior Assistant or Typist-cum-Clerk or Assistant or Senior Assistant entrusted with initial examination, noting, drafting and includes such functionary assisting the Desk Officer (Superintendent);
- (h) “**Desk Officer**” (Superintendent) means an officer assigned with a well defined sub-functions or activities in the charge of desk and includes an Assistant Registrar or Deputy Registrar;
- (i) “**Desk Officer System**” means an officer-oriented work unit within a section 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 with 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 customized computer application software for creating, monitoring, backing and the closing of files in the University;
- (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 Government, funding agency, students, teachers, employees etc., from which the original communication emanated dispatched;
- (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) “**Letter Monitoring System**” (LMS) means a customized computer application software for receiving, indexing and monitoring receipts received by the concerned section/establishment;
- (q) “**Minute**” means a note recorded by the Vice-Chancellor, the Registrar or other Officers of the University as per the schedules contained in the Karnataka State Universities Act 2000;
- (r) “**Note**” means 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;
- (s) “**Notes Portion**” in relation to a file means the portion containing notes or minutes recorded on a case;

- (t) “**Paper Under Consideration**” (PUC) means a receipt on a case, which is the subject matter of consideration;
- (u) “**Personal Staff**” in relation to a functionary comprises Private Secretary, Personal Assistant, Stenographer, Assistant or any other staff appointed to assist a functionary;
- (v) “**Personnel Information System**” means authorized computer software for storing and updating of important data of the employees in the University;
- (w) “**Postal Communication**” means a communication received or dispatched by post and includes a mail;
- (x) “**Receipt**” means letters sorted after it has been received by the concerned section/officer;
- (y) “**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;
- (z) “**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 Assistant Registrar or Deputy Registrar, Director, Co-ordinator and includes ‘Cells, ‘Unit’ and so forth;
- (aa) “**Section Officer**” means an Officer supervising a Section
- (bb) “**Standing Guard File**” on a subject means a compilation consisting of the following three parts:
  - (i) 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 communication to be used at different stages.
- (cc) “**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;

- (dd) “**Tappal**” includes every type of written communication such as letter, downloaded copy of e-mail, interdepartmental note, file, which is received, whether by post or otherwise, in any Department for its consideration;
- (ee) “**Transaction Rules**” means the Karnataka State Universities Act 2000, Karnataka Financial Code, KCSSRs, Statutes, Ordinances, Guidelines etc., approved by the Hon’ble Governor of Karnataka and other directions issued by the University Grants Commission and the State Government of Karnataka as well as decisions taken by the authorities of the University etc.;
- (ff) “**Website**” a location on the World Wide Web (WWW) (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.

## B. UNIVERSITY OF MYSORE ORGANIZATION

As per Section 12 of the Karnataka State Universities Act, 2000

07. **University of Mysore:** The Chancellor, the Governor of Karnataka shall by virtue of his office, be the Chancellor of the University.
08. **Authorities of the University:** As per section 27 the following shall be the authorizes of the University, namely
  - (a) The Syndicate
  - (b) The Academic Council
  - (c) The Finance Committee
  - (d) The Board of Studies
  - (e) The Faculties
  - (f) The Planning, Monitoring and Evaluation Board
  - (g) Such other bodies as may, by Statutes, be declared to b e the authorizes of the University.
09. **University Branches:** Mainly three branches in the University, namely Administrative Branch, Examination Branch and Finance Branch shall generally be under the control of the Registrar, the Registrar (Evaluation) and the Finance Officer respectively.
10. The Registrar/ Registrar(Evaluation)/ Finance Officer may be assisted in the discharge of their work by such number of Assistant Registrars, Deputy Registrars, Chairmen, Directors, Coordinators etc., as may be decided from time to time.
11. For efficient disposal of business/ letters, a Branch may be divided into Sections, Cells or Divisions and Wings. A list containing the Sections/ Cells/ Divisions etc., in each Branch together with the subjects dealt with therein will be published by the Department every time a changing is made.
12. Each section may be allotted such number of Junior Assistants/ Assistants/ Senior Assistants, Typists and Group 'D' staff as the volume of work warrants.
13. A Branch may be allotted a number of Stenographers who may be either attached to officers or to kept in a pool for common use. Stenographers attached to officers will also act as their Personal Assistants vide para -----

14. There are five University Libraries (including the PG Centres at Mandya, Hassan, Chamarajanagar) which contains books and periodicals for the use of the University Personnel, students and public, for reference and general study.
15. **Department:** Each Department of the University shall generally be under the control of Chairman or Director.

## CHAPTER II

### POWERS AND DUTIES OF THE OFFICERS OF THE UNIVERSITY OF MYSORE

16. Vice-Chancellor: Rule 15 of the KSU Act, 2000
17. Registrar: Rule 17 of the KSU Act, 2000
18. Registrar (Evaluation): Rule 18 of the KSU Act, 2000
19. Finance Officer: Rule 19 of the KSU Act, 2000
20. Deans: Rule 20 of the KSU Act, 2000
21. Chairmen:
22. The above officers shall adhere to the rules and regulations framed under the provisions of the Karnataka State Universities Act, 2000 and other directions issued by the University Grants Commission and the State Government of Karnataka etc.,
23. The Registrar exercises general supervision and control over the staff under him/her and is responsible for seeing that the members of the staff do the work allotted to them efficiently and expeditiously.
24. **Deputy Registrars/ Assistant Registrars:** These are important middle management level officers of the University. They will exercise final decision making powers as delegated to them by the Vice-Chancellor/ Registrar 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 the University, 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 optional course to be taken giving reasons. He/she exercises control over the Section or Sections placed under 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.

- 25. O and M Officers:** Directors/ Co-ordinators/Deputy Registrars/Assistant Registrars who are nominated as organization and methods officer of the Department/Section will discharge the following duties and functions connected with O & M as a part of his/her responsibilities.
- (i) Liaise with Registrar in O & M and other activities for improvement of administration and increasing level of efficiency in the University;
  - (ii) Look into the training requirements of the University Sections/Departments and also of subordinate Departments and ensure that adequate measures are taken in this regard;
  - (iii) Implementation of the Universities work under their control;
  - (iv) Standardisation of forms, delegations of powers, monthly staff meetings, simplification of procedure etc.,;
  - (v) Enforcement of standing Rules, orders, etc., pertaining to office procedure and other related matters and securing their compliance;
  - (vi) **Assistant Registrar:** Assistant Registrar is the junior most officers in the first rung of the University hierarchy authorized to issue orders in the name of the Registrar, University Of Mysore. He/she exercises control over the Section or Sections placed under 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.
- 26.** In accordance with the recognized practice of delegation of powers and such specific instructions as the Vice-Chancellor/ Registrar may issue from time to time, the Deputy Registrar/ Assistant Registrar he/she may pass final orders in cases where powers are delegated. In other cases, the Deputy Registrar/Assistant Registrar will see that points on which orders are required, are clearly and concisely asked for. The Deputy Registrars/Assistant Registrars will ordinarily express his own views. When the University has passed orders in a case, the Deputy Registrar/Assistant Registrar 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.

- 27. Superintendent:** The Superintendent is an officer who is in-charge of a Section. He/She is primarily responsible for the general efficiency of the Section in his/her charge and is directly responsible to the officers under whom he/she works for the efficient and expeditious dispatch of business at all stages. He/She has overall responsibility for all files and papers relating to subjects allotted to the Section and maintained by the Senior Assistant/ Assistant/ Junior Assistant under him. He/She 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/She will ensure that the notes and drafts originating from his/her section are accurate. He/She will guide them and own the ultimate responsibility. He/She 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/She shall check the inbox and take prompt action on the incoming mail.
- 28.** Besides being responsible for the general supervision of work or of the staff in his Section, a Superintendent should also personally handle important and intricate cases where he/she should, if required, summarize facts of the case and record the appropriate noting, etc., himself/herself. Even in cases, where the dealing hands have been permitted to submit papers direct to Deputy Registrar/Assistant Registrar, the Superintendent will be responsible for exercising general control and supervision over their working. The details of the duties, responsibilities and powers of the Superintendent with a check list are given in **Appendix-I**.
- 29. Senior Assistants/Assistants:** A Senior Assistant/ Assistant work under the orders of the Superintendent and is responsible for the work entrusted to him. Each Senior Assistants/Assistants 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 Superintendent 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 PMS;
- (viii) To maintain the electronic folders created and used by him/her on the Computer, for storing of various standing orders, precedents, etc., using various applications like MS word, Excel, etc., He/She shall protect them by appropriate use of password. He/She 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 received 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 Superintendent in whatever manner he/she may desire in the proper function of the Section.

30. 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/She 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.
31. **Junior Assistant:** A Junior Assistant is entrusted with the routine duties of maintaining prescribed registers, dispatching 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/she shall use FMS/LMS.
32. **Duties and responsibilities of Junior Assistant:**
- (i) Receive and acknowledge all receipts by R&I Section and receipts/ files directly received in the Section using LMS/FMS and maintain a copy of acknowledgement issued;
  - (ii) Mark the receipts/ files as assigned to dealing hands by Superintendent in the computer using LMS/FMS and generate reports;
  - (iii) Create and move files using FMS and assist the Superintendent in generating such reports necessary for monitoring work in the Section.
33. **Personal Assistants/ Senior Stenographers/ Stenographers:** A Stenographer is generally employed on stenographic work. However, he/she may be called upon whenever necessary to assist in word processing and comparing work particularly of confidential papers. He/she 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.
34. **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/She shall be also responsible for inputting data of drafts of University orders/

circulars/ Notifications using document management software. He/She shall also ensure that once the final order is signed in ink and issued, the same be scanned using the said software.

**35. Group 'D' employees:** The duties and responsibilities of group 'D' employees working

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 University and from one Department of the University 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 the 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 or 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 Vice-Chancellor/ Registrar/ Registrar (Evaluation)/Finance Officer.
9. They, particularly, the Watch and Wardmen, Sweepers and Scavengers, shall deposit the articles whether personal or of Government, if any, inadvertently left by University 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 with the concerned responsible officer, and report to University about such findings.
10. They shall (a) take due care of University property and (b) behave properly with the other University servants and the general public.
11. They shall arrange the files and things, within the Sections, Officers or Vice-Chancellor/Registrar and other officers' 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 and get the number of copies or other copies and get University books, registers, records, etc., bound from the said Section for their Sections, etc.,

## **CHAPTER III**

**36. Receipt of Tappals, their acknowledgement and distribution:** A receipt may be communication received by hand, through normal postal system, courier, fax, e-mail, etc., The General Receipt and Dispatch (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 Dispatch section**

- (i) The general receipt and dispatch Section in the University will collect Tappal bags relating to University matters from the post office/ sections/ departments/ units etc.;
- (ii) It shall be sorted out Department section-wise and kept in the respective boxes assigned to the Department/ section 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 Registrar**

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

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

- (vii) Tappals addressed to Vice-Chancellor/ Registrar or other Officials of the University by name will be received by the GRD Section and passed on unopened to the personal establishment of the Vice-Chancellor/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 Vice-Chancellor/Registrar 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 Assistant Registrar/ Deputy Registrar 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 scaled covers. Entry of such letters shall also be made in LMS and sent to the Officers/ Sections concerned with Form I in duplicate for purpose of acknowledgment;
- (xi) Registered post, insured articles, and such important/ priority Tappals addressed by name will be received directly by the officers;
- (xii) All personal sections officials, etc., can also receive Tappals/ mails addressed to them directly, those letters addressed by name;
- (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 affixing office stamp;
- (xiv) Personal Assistants to Vice-Chancellor, Registrar, Registrar(Evaluation), Finance Officer, etc., shall acknowledge receipt of files/ papers sent by the Sections for orders of officers concerned with their signature, name and designation in full.

Similarly, when the files are sent to various sections by personal establishment of senior functionaries/personal establishments of Vice-Chancellors using FMS, a report 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.

**37.** R&I Sections/ personal establishment of senior functionaries/ personal establishment of University/ 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 the acknowledgement from the concerned Section. Report generated using LMS is illustrated in Illustration No.-I below:

- 38. Receipt of Tappals outside office hours on working days and on Sundays and Holidays:** 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 Tappal and sign in full in ink below the note. He/She will send them to the concerned officers at their residences and obtain acknowledgment.
- 39. 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 Superintendent 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.
- 40. Numbering and distribution of Tappal by R&I Section of the Department:** Secret and confidential covers, other communications marked 'Immediate' and 'Priority' will be separated from Tappal, entered using LMS and dealt first and delivered to the concerned officers immediately after obtaining their acknowledgement.
- 41.** Tappals will then be sorted out Section-wise by the Superintendent 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.
- 42.** The essential index data such as letter number, date of letter, subject, sender, nature of letter and so forth will be entered in LMS. A report will then be generated using LMS for the Tappals received during the day, entered into computer and sent to the Sections concerned along with the report generated as illustrated Illustration-I (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 still be 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.

43. 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 Assistant Registrar/Deputy Registrar 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, Minister's office in italics in all relevant reports.
44. Files/ UO notes passed from one Department to another and notes or letters from Government 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.
45. 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., 2.30p.m., and 4.00p.m., and similarly distribute Tappals, including Tappals directly received by it to Sections in the Departments at the said intervals 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 4.00p.m. may be held over for distribution by the R&I Section on the next working day.
46. The functions and responsibilities of the Section Officer in charge of R&I Sections are enumerated in **Appendix-V**.

## CHAPTER IV

### Marking of Tappals in Selection

47. 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 the Superintendent. The Superintendent will select and hand back to the Junior Assistant, Tappals of an ephemeral nature which need not be put up to the Deputy Registrar/ Assistant Registrar, 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. Superintendent will enter in his computer action taken on important receipts to monitor their progress.
48. Perusal by Superintendent: the Superintendent will –
- (i) go through the Tappals sent to him/her and give directions for disposal, whenever necessary;
  - (ii) mark those Tappals, which should be seen by the 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 Assistant Registrar/ Deputy Registrar/ REGISTRAR;

**Note:** It is the responsibility of the Branch Section Officer to see that the copies of such communications are prepared and sent to the 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.

- (iii) Make over the entire Tappals to the Superintendent. The Superintendent should be convinced that all Tappals put up to the Branch Section Officer for perusal have been returned to him/her and the movement to Branch Section Officer and downward to Selection shall be through LMS to help ascertain status and retrieval.

**49. 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 in Illustration No.3 below;
- (ii) Tappals received direct by the Section from Government, Officers, other Section in the Department 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 the computer;
- (iii) Where Desk Officer System is introduced, the Superintendent should see all incoming Tappals and pass them on to dealing hands attached to him/her for taking necessary action. Superintendent will send only receipts of important nature which have to be seen by Deputy Registrar/ Assistant Registrar or higher functionaries, as the case may be, after marking in the LMS.

**50. 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. 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 the Department and received by that officer/ Section direct. Files/UO notes etc., marked by name or by designation should be accepted and acknowledge by the personal establishment of the officer concerned. A file, which referred to another Department will on its return, be submitted in Tappal to the Branch Officer who will ordinarily deal with it himself.

**51. Instructions by Office of the Deputy Registrar/Registrar for line of action:**

- (i) Branch Officer, i.e., Deputy Registrar/Assistant Registrar in charge of the branch, Deputy Registrar or any other higher functionary to whom Tappals are submitted, should give directions, where necessary, as to the line of action which He/She would like the Section to take. Important cases where He/She is expected to deal with a Tappal himself, He/She should ask for the file to be put up to him/her with relevant papers. Deputy Registrar will personally deal with as many of the receipts submitted to him/her 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 Superintendent will see whether any of the receipts are of a difficult nature or present any special features, which require his personal attention. He/She will deal with such receipt himself or give special instructions to the dealing hand, as may be necessary.

**52. 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 Superintendent 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 V

### Action on Receipts: Notes and Orders

#### **53. Initial examination of receipts by dealing hand.**

- (i) The dealing hand shall acknowledge the receipts marked handed over to him/her as illustrated in Para 44. He/She will scrutinize 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. The dealing hand must ensure that papers/ files do not pile up on his desk they are received. He/She must ensure that papers/ files do no pile up on his desk and to the extent possible; the papers/ files are disposed off on day to day basis.
- (ii) The dealing hand shall acknowledge the receipt marked and handover using LMS and also affix his/her signature in the report generated by the Junior Assistant as indicated in illustration No.3 Para 67(i).
- (iii) The dealing hand will check whether all enclosures mentioned in the covering letters received by him/her are found intact and if any enclosure (s) is/are found missing, He/She should bring the fact to the notice of the Superintendent and also suggest action for obtaining them. Similar action should be taken to ensure that file is intact when returned to him.
- (iv) 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 Superintendent/Assistant Registrar/Deputy Registrar to the Section/s concerned for remarks or necessary action.

#### **54. 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/She 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, the dealing hand will access information from FMS, Section note book of important decisions. Standing guard files on the subject and relevant Act, Rules and regulations. Where such information is available on web site(s), it should also be obtained.

**55. 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**.

**56. No new file will be opened on a subject having an existing file or on receipts of an ephemeral nature:**

Where the receipt related 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 is sought on a subject in a current file but it does not contribute materially to the disposal of the case and not required for reference 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, field in monthly filing folders separately maintained for each month. Such folders may be treated as 'D' disposed.

**57. Noting on the file:**

- (i) To note or a record of comments or observation 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 and gravity 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 issue involved in the proposal under consideration and also the view 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 it is proposed to record a note of another Department which needs 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 Deputy Registrar 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 remark on the receipt has been transposed to the note portion of the files. 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 or what is noted 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, for the dealing of such a case, should obtain instructions from the Superintendent/Assistant Registrar, who shall guide him/her or her 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 Superintendent fully agrees with the note of the dealing had and has nothing to add or subtract, then He/She or she 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/She or she does not fully agree with the note of dealing hand He/She or she will record his or her own note below the note of dealing hand;
- (ix) The Superintendent/Assistant Registrar/Deputy Registrar/Unit 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 reference 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/She 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.

**58. Scope and purpose of noting by the 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 Assistant Registrar/ Deputy Registrar or Registrar in the directions given by him/her 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.

**59. Noting by the Assistant Registrar/ Deputy Registrar:**

- (i) It will be the responsibility of the Assistant Registrar/ Deputy Registrar to scrutinize and see that any case which is submitted or put up to him/her or her 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 or her duty to carefully study the issues involved and make suggestions (save in exceptional case which may be beyond) his competence) regarding the course of action to be adopted.
- (ii) Subject to delegation of powers, Assistant Registrar/ Deputy Registrar will dispose of as many cases as possible on his or her own responsibility, but will take the orders of the Registrar 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 or her endeavor to see that the number of cases to be submitted formally to the DR and above is reduced to the essential minimum.
- (iii) Assistant Registrar/ Deputy Registrar and Registrar should add a note on what has been said before only when they have to make a new point or highlight a point mentioned only when it is not clearly brought out in the notes of the dealing hand or Superintendent or Assistant Registrar/Deputy Registrar, 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/her are found to be inaccurate.

**60. Timely disposal and spotlighting delays:** Dealing hands 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 Superintendents higher functionaries shall endeavor or 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/She must fix a date and time for discussion and indicate it in the file, lest the file/paper is inordinately delayed.

**61. 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 stage.

Superintendent/ Assistant Registrar/ Deputy Registrar/ Registrar/ Vice-Chancellors.

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 the Registrar. The following level jumping could be adopted for this purpose:

- a) Dealing hands may be authorized to submit cases directly to Assistant Registrar/ Deputy Registrar;
- b) Superintendents may be permitted to submit certain types of cases directly to Assistant Registrar/ Deputy Registrar and the Registrar to the Vice-Chancellor;
- 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) Registrar/ Vice-Chancellor in the University 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.

**62.. 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 meeting 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 Registrar;
  - (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) 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;
- (a) FD will go through the draft and modify suitable, if required, in accordance with its views;
  - (b) 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 Finance Committee thereto;

- (c) 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.....”;
- (d) In case of Notification involving financial commitments, the drafts of the Notifications may be put up to Finance Department for perusal at the stage of obtaining their concurrence. Further, when the Notification is endorsed to the Finance Officer, there should be a clear indication that “This Notification issues with the concurrence of finance Department vide their U.O.No..... dated.....”

**63. 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.

**64. 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 of 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/She 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 by the authorities of the University.

**65. Inter-Departmental Meetings:** (i) Inter-Departmental meeting 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.**

(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 Registrar of the Department concerned to show the proceedings to the Vice-Chancellor, if any question of policy or other matter requiring Vice-Chancellor'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 Karnataka State Universities Act, 2000 and other approved Rules of business;

**66. Official notes between Officers in the same Department:** Exchange of official notes between officers within the Department should be avoided as far as possible. The purpose of such exchange of note is secured more appropriately by personal discussions between the officers concerned.

- 67. 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/she or his or her subordinate has powers to decided, he/she 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/she shall confirm his or her oral orders/ instructions by written communication at the earliest;
- (iii) An Officer shall, in performance of his or her official duties or in exercise of powers conferred on him/her or her, act in his or her best judgment except when he/she is acting under the instructions of an official superior. In the latter case, he/she shall obtain directions, in writing wherever practicable before carrying out the instructions and where it is not possible to do so, he/she shall obtain a written confirmation of the directions and where it is not possible to do so, and he/she 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/her in hierarchy, she shall bring such instructions to the notice of his or her immediate superior at the earliest opportunity;
- (iv) Oral instructions by Vice-Chancellor, wherever it is not possible to communicate the same in writing, should be communicated by the Vice-Chancellor personally to the Officer concerned and should be confirmed by the Vice-Chancellor or by his Private Secretary/Personal Assistant in writing immediately thereafter. PS/PA to Vice-Chancellor shall ensure that a record of all promises/ undertakings/ assurances etc., made by the Vice-Chancellor during their outstations are carefully recorded, submitted to the Vice-Chancellor for confirmation and communicated to the Registrar of University and other Officers of the University concerned;
- v) Wherever an officer seeks confirmation or 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 Vice-Chancellor, as the case may be;

**68. Running Summary of Acts:** (i) Whenever the Registrar 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 Senior Assistants/ Superintendents/ Assistant Registrar/ Deputy Registrar or Registrar, 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.

**69.** Where the subject matter of a case is to be submitted to authorities shall be prepared. The views of the Departments consulted should be produced verbatim. If these are voluminous, they could be put up as Annexures.

**70. Noting on unofficial reference:** (i) Inter-Department 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 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 Registrar of the University and marked to another Department, the noting on the file in the other Department should not be by an officer below the rank of Assistant Registrar/Deputy Registrar. Such files should necessarily be put up to the Registrar 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 Department, where Vice-Chancellor has passed orders or given certain instructions. The procedure in such cases shall be as laid down in para 83(ii)

- 71. 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 important purpose.
  - (d) **Policy Files:** Policy Files should be maintained for each of the subjects dealt within Section. All proposals received from Heads of Department 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 mentioned separately. Guard Files, Select Files, Policy Files should be kept up to date and bear and index page in the beginning giving essential particulars.

## CHAPTER VI

### ‘Drafting’

- 72. 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) Assistant Registrar/ Deputy Registrar 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 case (excluding those of purely formal nature) should be prepared by the Registrar, 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 the Registrar/ Vice-Chancellor 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.
- 73. 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 should be devoid 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.
- 74. Authentication of University orders:** (i) All orders and other instruments made and executed in the name of the Registrar, University of Mysore, 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 Assistant Registrar/ Deputy Registrar. In the alternative, the instruments shall be authenticated by such other officer as may be specially empowered by the Registrar/ Vice-Chancellor;

- (ii) Copies and extracts of such orders or instruments of the University may be authenticated by the Assistant Registrar/Deputy Registrar 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

- 75.** All orders/ instruments shall be made or executed in accordance with the Rules of KCSSR, KSU Act, 2000 and other related or relevant rules, Statutes etc.,

**76. 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 the 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 be issued 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. DV10(i) AAA 2019, DV10(ii)AAA 2019;
- (vii) Where Government of India, other State Government/ 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 be issued, should invariably be indicated on the draft. The Officer concerned will initial on the draft as a token of his approval;
- (ix) The terms like “I am directed by the Vice-Chancellor should be reserved for cases where the orders have been passed by the Syndicate/ Academic Council/ Finance Committee (as the case may be) has given specific directions on file;
- (x) 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;
- (xi) 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;
- (xii) Unless specially authorized, Heads of the Departments should not correspond directly with Officers of others State Governments or Government of India on any official matter.

**77. Standard Skeleton of 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.

- 78. Addressing Communications to Officers by Name:** No communication, other than a D.O. letter should be addressed or marked to an officer by the 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/She has since been transferred to another charge, to his successor) by name.
- 79. Priority Marking on Drafts:** The Drafts of all letters which are to be issued as “Immediate” or “Very Urgent” will be so marked under the orders of an Officer not lower in rank than Assistant Registrar/ Deputy Registrar.
- 80. Orders in Administrative Appeals and so Forth:** Whenever an appeal or revision is disposed off by the University, a separate University order in the form of proceedings should be drawn up before endorsing it to the person(s) concerned.
- 81.** Consultations with the Finance Branch, Legal Cell, Syndicate, Academic Council, Finance Committee Priority Document (PD) are purely internal matters within the University. The names of Departments offering comments or remarks should not be mentioned in communications sent out to University officers or others outside the Centres.
- 82. Title:** Before putting up a Draft Order communicating any Government decision for approval, the dealing hand/ Assistant Registrar/Deputy Registrar who prepares the draft should give it a correct “Title”
- 83. Digital Drafting:** With the introduction of e-governance initiative in the University, document management system is being introduced in the University Departments. Dealing hands/Assistant Registrar/ Deputy Registrar 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 (DMS) and returned to the Section for the purpose of printing such instruments, issued 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 VII

- 84. Printing of Notifications, University 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 monthly/Annual gazette and also whether they should be published in the University 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 University communication is required, soft copies of Notifications, proceedings of University and such other communication which are ordered to be printed will be sent to the University Printing 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, etc.,
- 85.** 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 Superintendent/Assistant Registrar/ Deputy Registrar by the dealing hand before He/She records the paper.
- 86.** Copies of Notifications, University 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. University Departments and heads of Departments may store such copies in electronic form appropriately. Instructions on software support for such storage will be issued by the Registrar, e-Governance.

- 87. Department's/Sections monthly Gazette:** (i) Every Department/sections will arrange to prepare Monthly 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 monthly 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 monthly gazette. The Assistant Registrar/ Deputy Registrar 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 monthly Gazette to the Private Secretary to the Vice-Chancellor/Registrar and other Officers of the University in charge of the Department, and to the general records Section.

- 88. 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) Schedule 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 the year;
- (iv) Each Section in the Department will send only important Orders, Circulars, OMs, etc., to the Assistant Registrar/ Deputy Registrar of the Department in charge of the compilation of monthly compilation and Annual Compendium. It shall be the duty of the Assistant Registrar/ Deputy Registrar designated for this purpose to see that the monthly compilation and the Annual Compendium are brought out within the prescribed time frame. The Superintendents will send such orders etc., using the LAN facility duly arranged in the manner indicated above and the Assistant Registrar/Deputy Registrar shall compile them into monthly compilation and Annual Compendium and also arrange to post them on the web site of the Department.

## CHAPTER VIII

- 89. 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 when the 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/She 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 concerned Case Workers/ Typist/ Stenographer to scan the instrument and save using document management system.

90. 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.

91. **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 provided 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, etc., which should be borne in mind by the Typists / Stenographers are given in **Appendix – IX**.

**92. 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/She 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 copies signed to the R&I Section for issue, He/She 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.

93. (i) The Superintendent 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 acknowledgement 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 the concerned Section for being kept in the relevant file. Receipts for Telegrams, Registered and Insured Letter 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 super scribed 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 Superintendent or above and sent to GDR Section for despatch.

94. 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.
95. **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 memoranda which are to be referred to other Department (s) should invariably be 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 University will arrange to deliver all hand-deliver;
- (iii) 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 Sections concerned;
- (iv) 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;
- (v) In respect of 'immediate' communications, the dispatcher will also note in the delivery books the time of despatch against the relevant entry;
- (vi) After the *dak* or letter has been delivered, the dispatcher 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.
- (vii) 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.
96. (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 as a token of his having issued the fail copy-

Issued On By

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

**97. Despatch of 'Immediate' and 'Very Urgent' *Dak* or Letter:** (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 Registrar (or in his absence, Assistant Registrar/Deputy Registrar) and (b) with the prior consent of the addressee himself. In the absence of such clear instructions, the dispatcher 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.

**98. Despatch of 'Non-Priority' *Dak* or Letter:** Non-priority *dak* or Letter 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.

- 99. Return or draft after issue:** (i) After issue of a fair communication, the dispatcher 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 Superintendent 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.
- 110. Issue of references for consultation/ concurrence:**
- (i) While issuing un-official reference/ 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.
- 101. Postage requirements:** The Assistant Registrar/Deputy Registrar 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.
- 102. Ordinary Postage Stamps:** Ordinary Postages Stamps (and not service postage stamps/ Franking Machine) should be used for official correspondence and articles sent by post to all Foreign and Common wealth countries. A separate despatch register will be maintained for keeping a record of such communication issued and an account of the expenditure incurred thereon. The Superintendent 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.
- 103. 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.

**104.** When files are returned to him/her or her 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.

## CHAPTER X

### Forms and guidelines for correspondence

**105. Forms of correspondence:** (i) Written communications issuing from a University Department/ Centres/ office shall be in one or the other of the following forms –

- (i) Letter;
- (ii) Proceedings (Syndicate, Academic Council, Finance Committee);
- (iii) Official Memorandum;
- (iv) Circular;
- (v) Demi – Official Letter;
- (vi) Un-official Note;
- (vii) Press Communiqué/ Note;
- (viii) Notification;
- (ix) Endorsement.

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.

**106. 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, 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 University;

- (ii) A letter is composed of the following parts:
  - (a) Letter-head bearing the name of the University 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;
  - (g) Subscription and
  - (h) Signature and Designation of the sender with telephone/ Fax numbers.
- (iii) Official letters emanating from a University and purporting to convey the views or order of the University must specifically be expressed to have been written under direction of the authorities. In case of letter by means of which formal sanction of University is sought to be communicated or issued, it is necessary to invoke the authority of the University approval by prefixing the words ‘Vice-Chancellor approval is pleased to sanction/authorize/approve, etc’., to the main text or contents of the sanction.
- (iv) Letter 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 State Government/ Government of India is addressed to the Secretary of the appropriate Principal Secretaries and if the Principal Secretaries has divisions or Departments under it, the name of the division or Department is also written below the name of the Secretaries. In the case of other State Government, 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 Registrar 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.

**107. Proceedings:** (i) Decisions of the Syndicate/ Academic Council/ Finance Committee 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 University servant(s);
  - (c) Orders or decision of general applicability on important questions of policy and
  - (d) Any other decision of University considered sufficiently important to warrant such form of communication.
- (ii) The proceedings shall always be drafted in third person narration;
- (iii) Proceedings generally consist of –
- (a) Letter head bearing the name of the University of Mysore 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 University 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 authorized 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 Registrar of University  
(Name )  
Designation of the Officer authorized to Sign.
- (h) The officer or the persons to whom copies of the proceedings are to be distributed.

**108. 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.

**109. 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.

**110. 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 Administrative Branch (or between a Finance Branch, Examination Branch and its attached office) for obtaining the views, comments, etc., of other Departments on a proposal, obtaining a clarification, etc., of the existing instructions, or 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.

**111. Press Communiqué or Press Note:** A Press Communiqué or Press Note is issued when it is sought to give wide publicity to a decision of the University. Press Communiqué 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 handout to the Press, which they may edit, compress or enlarge as they may choose.

**112. 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 the University.

**113. 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 there of) 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 Department, 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.

- 114. Communications to Government of India and other State Governments:** 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 be issued under the orders of an Officer not below the rank of the Registrar. 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.
- 115. Forms and correspondence between officers (and the Registrar/ Registrar (Evaluation)/Finance Officer):** Officers in the University should not write do letters to Ministers. 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/She can do so by addressing a communication to the Private Secretary to the Minister concerned.
- 116. Procedures for dealing with letters regarding Service Conditions of University Servants:** Under Karnataka Civil Services (Conduct) Rules, University (Government) servants are precluded from enlisting support or mediation of Members of the Syndicate or the other similar dignitaries in matters relating to their service conditions. It will, accordingly, be quite in order for Officers not to entertain such representation on behalf of individual University servants. It will also not be necessary to issue a formal acknowledgement or a reply to such communications.

## CHAPTER X

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

- 117. Security of Official Documents:** Documents and records generated by the University or given to the University 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 Registrar/Vice-Chancellor 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 go back and the other to be given to the official receiving the material.
- 118. Right to Information:** The Right to Information Act 2000(Act) has enabled the citizen to demand and obtain information from all Governments Offices including the University. For this purpose only competent Authorities identified by University under the Act are to receive the requests and respond according to the Act and Rules.
- 119. 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 applications who feel that the competent Authorities have failed to abide by the Act.
- 120. Information to the Media:** Vice-Chancellor/Registrar of the University are the Chief spokespersons in respect of matters related to their respective Port-folios. The other

Officers of the University as per Karnataka State University Act, 2000, may be accessible to the media and furnish factual and unclassified information. Opinions and personal views shall not be given to the media.

**121. Confidentiality:** Every Head of a Department must decide on the classification of the degree of confidentiality of the issues being 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 University/ 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.

**122. Levels Handling Confidential Secret and Top Secret matters:** Only Officers above the level of Section Officers may only handle matters classified “CONFIDENTIAL”. Only officers above the rank of Assistant Registrar/Deputy Registrar should handle matters classified ‘SECRET’  
Only officers above the rank of the Registrar should handle matters classified as ‘TOP SECRET’

**123. Extraction of files from the University:** Files and documents of the University must not be taken outside the University. Officers of the rank of Assistant Registrar/Deputy Registrar 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.

**124. 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.

**125. 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 should be communicated office of the Registrar of the University.

## CHAPTER XI

### Arrangement and maintenance of files

**126. 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 the other Departments of the University, including those recorded by the officers and Vice-Chancellor/ Registrar and all paragraphs in the noting shall be numbered continuously. Signature and initials appended by the officers or Vice-Chancellor/Registrar need not be given any para number. The notes recorded by Vice-Chancellor 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 University 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.

**127. 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;

Page	to	End	to Sl. No.	or letter/
Memo No		dated	from	regarding
Removed and forwarded to			on	
Date vide Sl. No.			(or endorsement No	
Dated)	Date		Signature	

- 128. 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.
- 129. 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'.
- 130. 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'.
- 131. 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 Superintendent. In opening a new file, He/She will bear in mind the instruction contained in para 167. Regarding 'title'. After giving a suitable 'title' to the file, the dealing hand will be a file number allotted to it using the FMS. He/She 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/She 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.

- 132. 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.
- (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.
- 133.** 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.

- 134.** 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 routing 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.
- 135.** 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.,  
“University of Mysore”  
Development Section’
- 136.** 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, be 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.
- 137.** 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., EST, DEV, GEN, ACA 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, eg., 01,02,03 etc.,

Thus, DEV 28 FIP 2019 means the 28<sup>th</sup> file under the head FIP (Betting Faculty Improvement Programme) opened during the year 2019 in the Development Section.

**138.** 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.

**139. 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.

**140. 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.

**141. 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' another 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 merges 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 suitable renumbered.
- (iv) When more than one part 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.

**142. 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.

**143. 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.

**144. 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 on 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.

- 145. 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 correspondence page number should invariably be quoted in the ‘notes’ portion (e.g. Serial No. 6-p 8etc).
- (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 number of the relevant page together with the letter of the slip attached there to 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 the alphabetical letters of the slips and the page number will be indicated.

(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 will be 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.

**146. 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 bow out of the way. Each file will thus be intact with all its papers properly arranged on its board.

**147. 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 eg. 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.

- 148.** 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.
- 149. 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) Syndicate/ Academic Council/ Finance Committee subjects, 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 subject matter are handled on top priority basis, coloured labels superscribed as Syndicate/ Academic Council/ Finance Committee subjects and other priority labels should invariably be attached to files, Labels bearing 'top secret', 'secret', 'confidential', '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 a proper stage by the Superintendents.

## CHAPTER XII

### Indexing and Recording

#### A. Indexing

150. An index of the records of a Department provides a mean for tracing the previous papers on a particular subject.

151. **Constituents of an Index Slip:** An index slip is composed with 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-heads', which should be more indicative of the precise subject, of the file 'head'. In selecting 'sub-heads' 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 to 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 sometimes under pay and sometimes 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 a new 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-

<i>Subject dealt with</i>		<i>Title prepared</i>
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.	PSC (Consultation) Regulations – <i>Tenure posts</i> . 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.	Selection Posts. – <i>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.	Confidential Reports – adverse Remarks – circumstances in which communication necessary.

In each of the above ‘titles’ the words in block letters are ‘heads’ those italicized are ‘sub-heads’ and the rest of the ‘title’ in normal print in these contents.

**152. Index Slips. Important Government Orders, Office Memoranda, etc.,:** (i) Index Slips will be prepared for all important orders, Circulars, Official Memoranda, Letters, etc., contained in the monthly 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 month. This copy may specifically be indicated as “copy for indexing” in the address portion.

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

**153. 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 mentioned separately and will be kept by the Superintendent. Two or more titles are to be given when necessary.

**154.** 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, Assistant Professor , Additional post sanctioned for two years;
- (b) Dr. xxxxx, Assistant Professor, BUB appointed against Additional posts for two years.

**155. Preparation of Annual Index:** The General Record Section after receipt of the monthly Gazette along with copies of Orders, etc., from the R&I Section every month 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 Superintendent, 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
EST/2?Seniority/2020 dated:01-05-2020	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 the Department will contain Index Slips of orders, etc., indexed during that year. The Annual Index will also be available in the electronic data format. Such a format would help locate any communication containing a particular word or phrase.

## **B. Recording**

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

**157. Classification- general principles:** (i) All recorded file 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. There may be strong administrative necessity for the preservation of the file for a short period, but it is a very different thing from preservation forever. It is equally necessary 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 varied 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 source of information on any aspect of history, whether personnel files, social, economic, etc., or which are or may in future prove to be of biographical or antiquarian interest, are not destroyed.

**158.** (i) the records shall be classified as A,B,C,D and 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 the Registrar.

**‘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 the Registrar.

**‘C’ class** - To be preserved for 10 years. This will be allotted to files of secondary importance which are to be preserved for a very limited number of years. Assistant Registrar/Deputy Registrar can approve this classification in consultation with the Registrar.

**‘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. Assistant Registrar/Deputy Registrar can approve this classification.

(ii) The classification of records into above categories should be facilitated by means of an authorized 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 Vice-Chancellor/Registrar. It should be reviewed once in three years in consultation with the authorities.

**159. Procedure for making classification:** Classification should be suggested in each case separately by the dealing hand, in accordance with authorized ABCD classification, when no future 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.

**160. 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 matter 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 number 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 the Registrar 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/She will also mark on the cover the classification of the file as approved by the Registrar 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 Assistant Registrar/Deputy Registrar who will initial the outer cover, below the 'classification' in token of his endorsement/approval. The file will therefore be stitched neatly in the file jacket and sent to the records.

**161. 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

### Checks on Delays

- 162. 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/her 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 Superintendent, Assistant Registrar/ Deputy Registrar and the Registrar 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 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 weekly monitoring report shall be generated by the Superintendent 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 Assistant Registrar/ Deputy Registrar, who will enter his instructions and mark the report to the Superintendent 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 Assistant Registrar/ Deputy Registrar/ Superintendent.

- 163. 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. The Junior Assistant will initiate action by giving the numbers of all files/receipts (note taken on files) remaining and disposed off 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.

**164.** In order to reduce the delay in the disposal of business in the University, the following steps are suggested:

- (i) The Registrar of the University should devote one day every month to review and discuss long pending files which are more than four year old with the officers in their respective Departments.
- (ii) Where cases are held up for comments or views with Departments other than their own, Officers should contact their counterparts in the other Departments and arrange personal discussions with a view to disposal or settlement of points of 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 Assistant Registrar/ Deputy Registrar of the University

may be deputed once a month to office of the Heads of Departments under its control after sending the list pending cases in advance, and with the due intimation to the concerned Heads of Departments;

- (iv) The Heads of Departments are required to send to the personal address of the Registrar of the administrative Department a complete list of all cases pending for orders for over three months in the Department/ University. Thereafter, the Registrar or his deputy will find out the reasons for pendency and initiate action required for issue of final orders.
- (v) The University Officers at the level of Assistant Registrar/ Deputy Registrar and above will arrange to prepare a list of cases pending with them for over a month and submit to the Registrar/ Vice-Chancellor of the Department concerned. Similarly, The Officers of the University are also required to send such a list of cases pending with them to the Registrar/ Vice-Chancellor every month for his or her perusal and orders. Further action on such lists should be taken up as per the orders of the Vice-Chancellor thereon;
- (vi) The Private Secretaries to Vice-Chancellor are required to prepare a list of cases pending with the Registrar of University for every month within the first week of the succeeding month in the Proforma and submit the same to the Vice-Chancellor through the Registrar.
- (vii) To watch the timely disposal of the references received from the Vice-Chancellor. Particularly where the Registrar desires 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 Superintendent should maintain a register for watching the disposal of cases referred to the Registrar/Vice-Chancellor by his Section is concerned;
  - (b) At the end of every week, the Registrar concerned should review the disposal of such cases; and
  - (c) Once a fortnight, a statement should be sent to the establishment of the Vice-Chancellor indicating the action taken on each reference for

being put up to the Registrar and for transmission of the statement to the Vice-Chancellor, 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 the Registrar concerned, the Registrar 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 Vice-Chancellor are obtained on time. The Registrar 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 Private Secretaries/PA to the Vice-Chancellor are also required to take appropriate action for early return of the files submitted to the Vice-Chancellor with necessary orders.

**165. Call book:** (i) Cases which have reached a stage when no steps can be taken by way of expediting action for a long time (eg., 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 breakup 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 at least six months, He/She will put it up to the Assistant Registrar/Deputy Registrar through the Superintendent 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 Assistant Registrar/Deputy Registrar 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.

**Register of periodical returns**

- 166.** 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 XV

### Inspections

**167. 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.

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

(ii) The Sections shall be inspected by Assistant Registrar/ Deputy Registrar/ Registrar concerned according to the following schedule.

Sl. No.	Quarter ending	Superintendent	Assistant Registrar/ Deputy Registrar	Registrar
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 Superintendent 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/She 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 Registrar, who shall ensure that inspection has been accurately carried out. Besides, the Registrar shall also, where necessary, carry out table inspection of dealing hands/ Superintendent review and suggest appropriate action in respect of long pending files. Such reports of review shall be submitted to Assistant Registrar concerned. Vice-Chancellor/ Registrar as the case may be, should ensure that table inspections are carried out in accordance with these instructions.

- (iv) **Inspection report:** The Inspecting Officer will submit his report to his immediate Superior Officer and also endorse a copy to the Superior Officers.
- (v) In addition to routine and table inspection prescribed in the above sub-paragraphs by Superintendent/Assistant Registrar/Deputy Registrar, The Registrar, Senior Officers as per regulations should, occasionally carry out the inspection of the section with special reference to the question of disposal of delayed cases. Registrar 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 section should be drawn by each Department in advance every year after taking into account the period of seasonal rush of work.
- (vii) The concerned section/ University will maintain a check register of inspection conducted by the Registrar/ Vice-Chancellor and in the light of the instruction/ 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.

**169. Periodical meetings of the Department:** The Registrar of the University may call for a review to improve the efficient and transparent functioning of the Department.

## CHAPTER XV

### University Records

- 170.** General Record Section is under the Registrar.
- 171.** 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 University.
- 172.** All records which are over 30 years old are defined as non-current and may be thrown open for research purposes by Archives.
- 173.** 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.
- 174.** 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.
- 175.** 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.
- 176.** 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 specific periods as in Appendix – XII.

**177.** 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 University orders, circulars, official memoranda, printed reports, etc., (not less than 10 copies and not more than 25 copies);
- (iv) Indices.

### **Servicing of Records**

**178.** (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 Registrar of the Department requiring it and only after countersignature of an officer not below the rank of Registrar 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**

**179.** 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,

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 counter signature of the higher officer of the Section. For example, the Requisition Slip of dealing hand should be countersigned by the Superintendent; in the case of Superintendent, the Requisition Slip should be counter signed by the Registrar and in the case of Registrar the Requisition Slip should be signed by himself/herself, as the case may be.

- 180.** There should be a separate Requisition Slip for each record requisitioned.
- 181.** No Requisition Slip should be marked 'urgent' or 'immediate' etc., unless they are really so. Such Requisitions should be attended to immediately.
- 182.** 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.
- 183.** 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.
- 184.** 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.,
- 185.** A similar procedure should be adopted in complying with the Requisition for supply of spare copies of printed Government Orders, Circulars, Official Memoranda, etc.,
- 186.** (i) The officer in charge of the General Section shall prepare by the 5<sup>th</sup> of every month in respect of each Section, a list showing the records, lent and outstanding for more than a month, and send it to the Superintendent 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 Superintendents 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.

**187. 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. The Superintendent of General Record Section shall ensure before leaving the office that all the doors and windows are properly closed.

**188. 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 the in charge of the Cellar or an Officer so authorized 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/She 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 Registrar/Deputy Registrar. The nature of urgency shall be indicated in the Requisition Slip.

- 189.** 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.
- 190.** 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.
- 191.** 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 in charge officer of the Cellar 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.
- 192. 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 a regular periodical check of all records.
  - (iii) Disinfectants and insecticides such as Naphthalene, Coal-tar, etc., should be frequently used on all the 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.

**193.** (i) The University 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**

**194.** (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 Superintendent, Cellar 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 and utmost care should be taken that current records are not destroyed.

### **195. Annual transfer of records to Cellar**

The following instructions regulate the transfer of University records to Cellar:-

(i) The General Record Section will deposit every year with the Cellar the following records:-

(a) Originals of A, B and retained C class files;

(b) Four copies of Indices of all Departments of University;

(ii) Before transferring the record, 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 Cellar will be accompanied by covering list for each bundle in duplicate which will show the nature of records, file headings, the first and the numbers in each bundle. Records which are not sent along with the bundles as they are issued for reference will be indicated by the word 'slip' in the list against the file number. Departments of the University which hold 'slip' records for reference in the Section will return them, when no longer required. The General Record Section will transmit them to Cellar after making necessary entries in the covering list of records transferred to Cellar.

**196.** The Cellar will make arrangements to receive the records from General Records Section and return the duplicate list, duly checked and acknowledged.

**197.** The Cellar will comply with the requisitions for records from Sections of University Departments and obtain acknowledgements for them. The incharge officer of the Cellar will remind the University Departments, if the records are not returned within three months from the date of issue and University Departments should either return the records or intimate the Cellar the need for further retention of records in the Department.

## **Chapter XVI**

### **Grievance Redress**

#### **Faculty, Students, Non-Teaching Staff**

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

**198.** During 1983, a Public Grievances Redressal Organization (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 the Registrar of the University. He/She is assisted by an Assistant Registrar/Deputy Registrar.

##### **Mission of Public Grievances Cell (PGC):**

**199.** 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 University as well as citizens with grievances against the University Departments/organizations.

##### **Services offered by the Public Grievances Cell:**

**200.** The cell receives grievances petitions against public institutions and University officials from Citizens/ Organizations/ Departments etc. The cell forwards these grievance petitions to the grievances redressal authorities at University 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:**

**201.** (i) Public grievances petitions received by the Vice-Chancellor, public grievances cell or the nodal officers, namely; 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 the 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/her within a stipulated time, He/She could send a reminder/ rejoinder indicating reasons as to why He/She 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 the 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/She enquires about it. The pendency of the petition shall also be displayed on the 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:**

202. (i) Since the main objective of the Grievance Cell is the effective redressal of public grievances, the Registrar and the Public Grievances Cell has been empowered to hear public grievances in any office of the University. 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 Registrar in charge of the University is also empowered to hear public grievances during his or her visit to other places. The Heads of Departments 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) All Heads of Departments including Registrar/Deputy Registrar/ Assistant Registrars must hold a meeting once in a month to hear grievances and clear grievances 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:**

203. All Public Grievance Petitions received in the University shall be entered under a separate head of “Public Grievances” in the LMS/FMS. The Registrar (Public Grievances) will monitor the 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 grievances petitions and monitor their disposal.

**Time limit for disposal of petitions:**

204. 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 Vice-Chancellor. The disposal may also be monitored in authorities meetings. The Deputy Registrar/ Assistant Registrar/heads of Department 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:**

205. The procedure regarding representations by serving University Servants, will be as follows:-

- (i) All representations should be concise and clearly specify the reliefs sought.
- (ii) University servant seeking such relief must send the representation in his own name and through the proper channel.
- (iii) Joint representations by more than one University 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 by the discretion of the University on being satisfied that there were adequate reasons for not submitting the representation within time.
- (vi) Where the University has 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 University servant should be forwarded by his immediate superior officer to the authority to which it is addressed through the official channel.

The practice sometimes adopted of handing back the representation to the aggrieved officer himself with the remarks that He/She should take it personally to the higher authority concerned is incorrect.

- (x) University 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 a 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 in charge 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 XVII

### Miscellaneous

- 206.** Officials are prohibited from removing articles of furniture from the Department to another without the permission of the Registrar/Deputy Registrar.
- 207. Stationery and Forms:** R&I Section of each Department should send to the Government Press a Consolidated Stationery Indent once a quarter before 5<sup>th</sup> 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. University 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.
- 208.** The Superintendent 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/She should check all obsolete forms once a month and try to put them to alternative use, as far as possible.
- 209.** Stationery and Forms supplied to Sections should be kept under lock and key in the Section under the control of the Superintendent. Superintendent is responsible for its distribution in the Section.
- 210.** It is the responsibility of the Superintendent of Sections and the Registrar to see that orders regarding economy in the use of Stationery articles, Forms and Registers are followed implicitly by the Sections.
- 211. Discipline and Attendance:** The prescribed office hours are from 10.00 A.M. to 5.30 P.M on all working days.

- 212.** (i) Smart cards have been provided to the officers and others staff members working in the University. 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 University e-governance system and are made available to the respective Registrar of the University by e-mail twice a day. Registrar of the University 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 Registrar of the University. In case the Attendance Reports are not received by the Registrar of the University, such non receipt of report shall be brought to the notice of the Registrar of the University e-governance.
- 213.** No member of the staff should leave the office during office hours without the permission of the Superintendent. 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. Superintendents should see that this period of interval is under no circumstances exceeded.
- 214.** Any member of the staff may be required to work beyond the office hours when the business of the office demands it and the Superintendents are authorized to call upon their officials to so work on such occasions.
- 215.** Officials in group D service have different designations such as attenders, peons, 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.
- 216.** No person other than a University official should be admitted into the section without the permission from the Registrar concerned.
- 217.** Visitor regulation: (i) Officers of and above the rank of Deputy Registrar only are to interview visitors to University.

- (ii) The Visiting hours shall be between 3.30 PM and 5.30 on all working days.
- (iii) Officers should not schedule meeting during the visiting hours.
- (iv) The visitors should take prior appointment from the officer, whom He/She 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) 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.

**218.** The receptionist at various reception counters in the University 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’.

**219. 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 from time to time by the Government in this matter.

**220.** The Registrar of the University 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, group ‘C’ officials, group “D” officials of the University working in their Departments They are also empowered to suspend these officers and to institute disciplinary proceedings against them.

**221.** (i) Performance report and personal records. According to the Karnataka Civil Service (performance Reports) Rules 2000, the performance report shall be initiated in the forms specified by Government from time by 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 University (Service) shall maintain in respect of each Gazetted servant of the University "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.

**222.** The following procedure is prescribed in the matter of preparation of performance reports of employees in the University.

- (i) The Deputy Registrar/Assistant Registrar/ Superintendent 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 University 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 Typist the report shall be submitted to the Superintendent concerned,
  - (c) In respect of group "C" officials working in the personal establishment of Registrar, 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.

**223.** Whenever any Superintendent/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). After checking the same and after verifying that all the files/receipt/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.

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

- a) He will work under the general control of the Registrar
- 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/her on receipt of indents, duly ordered by a competent authority *viz.*, Deputy Registrar/Assistant Registrar or any person duly authorized by him.
- d) He will also make necessary arrangements for furnishing the Section or officers etc., of the University and for the issue and return of articles of furniture.
- e) He shall check periodically the articles supplied by Deputy Registrar/Assistant Registrar and make necessary entries if any in the appropriate register or list and furnish a report to Registrar.

**225. Watch and Ward:** Watch and Ward wing of the University will be under the supervision of Security Officer. He/She shall be under the direct control of Registrar.

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 University 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 not allow any unauthorized person to enter University.

**226. Supervisor:** a) The supervisor is primarily responsible for making necessary arrangements for the tidiness and cleanliness of the University 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, Auditorium.
- d) He shall receive furniture and other articles and distribute them to Section, Officers, on the basis of indents, duly authorized, by the competent authority *viz.*, Registrar or any person duly authorized by him.
- e) He shall work under the control of Registrar and report to him, whenever there is any shortcomings.

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