

OFFICE PROCEDURE

DAK, RECEIPT, REGISTRATION,
DISTRIBUTION, FILES

DEFINITIONS

Central Registry: Means a unit in a department charged with the responsibility of receiving, registering, and distributing dak meant for that department & includes functionaries like resident clerk and night duty clerk.

Dak: includes every type of written communications such as letter, telegram, interdepartmental notes, file, fax, E-mail, wireless message, which is received, whether by Post or otherwise, in any department for its consideration.

Dealing Hand: means any functionary such as LDC, UDC, Assistant, *entrusted with initial examination and noting upon cases.*

Diarising: Registration of receipts in the Section Diary well as the diary register with the officers' personal staff.

Receipt: Dak received by the concerned Section/Officer.

DEFINITIONS

Diarist: means a clerk within a sections charged with the responsibility *inter alia* of maintaining the section diary;

Diary Number: means the serial number assigned to a receipt in the section diary/personal staff of officers;

C. R. Number: means the serial number assigned by the Central Registry to 'dak' in the 'Dak Register';

Ordinary Postal Dak: mean postal 'dak' for which no specific acknowledgement is obtained by the Post Offices;

INITIAL QUESTIONS

- **WHAT IS AN OFFICE?**
 - **Office is an information processing unit.**
- **WHAT IS A PROCEDURE?**
 - **A set of specified steps to be taken to achieve an objective.**
- **WHAT IS THE MANUAL OF OFFICE PROCEDURE?**
 - **It is a complete manual on Office Procedure published by Department of Administrative Reforms & Public Grievances**
(www.persmin.nic.in);

OTHER MANUALS/INSTRUCTIONS

- Manual of E-Office Procedure;
- **DEPARTMENTAL INSTRUCTIONS**

“Departmental Instructions means instructions issued by a department to supplement or vary the provisions of the Manual of Office Procedure”

WHY OFFICE PROCEDURE

- **UNIFORMITY;**
- **TRACKING PAPERS RECEIVED IN THE DEPARTMENT;**
- **LOCATING/TRACKING RELEVANT FILE;**
- **CHECK DELAYS;**
- **ASSESS POSITION OF PENDING CASES;**
- **FIXING RESPONSIBILITY;**
- **FACILITATING FUNCTIONING OF THE OFFICE EFFICIENTLY;**
- **MEANS NOT AN END;**

- 
- DAK;
 - RECEIPT OF DAK;
 - ACKNOWLEDGEMENT OF DAK;
 - REGISTRATION OF DAK;
 - DISTRIBUTION OF DAK

RECEIPT OF DAK

- **During office hours: By CR/IFC;**
- **Outside office hours:**
 - ✓ **Addressee himself if marked 'Immediate';**
 - ✓ **In other cases, by the night duty clerk;**
- **E-mails:**
 - ✓ **In the Department, downloaded centrally in Computer Centre & forwarded to the CR;**
 - ✓ **If addressed to officers, downloaded by them.**

ACKNOWLEDGEMENT, ACTION BY CR

- **Acknowledgement: by the recipient signing his full name, date, designation.**
- **Action in CR:**
 - ✓ **Urgent dak separated from others;**
 - ✓ **All covers opened *except those by name, or bearing security grading;***
 - ✓ **Check enclosures;**
 - ✓ **Opened dak stamped;**
 - ✓ **Sorted out section-wise.**

DAK REGISTER

DAK REGISTER (Appendix-1)

- **Serial No.;**
- **Particulars of 'dak' received:**
 - **Number and Date;**
- **From whom received;**
- **To whom sent;**
- **Remarks.**

REGISTRATION IN CR

- **Telegrams, wireless/fax/telex/messages, e-mails received from Computer Centre;**
- **Registered postal dak;**
- **Interdepartmental files;**
- **Court summons, receipts enclosing valuable documents e.g. service books, agreements etc**
- **Parliament questions, resolutions, cut-motions, references seeking info about them;**
- **Unopened inner covers of classified dak.**

REGISTRATION IN CR

- **Letters from Members of Parliament;**
- **Any other category covered by departmental instructions;**
- **Envelopes received without contents or with material not marked to any officer will be registered with necessary comments in the 'Remarks' column of 'Dak Register'.**

DISTRIBUTION OF DAK

- **Dak distributed to each section/Officers:**
 - ✓ Through invoice or dak register maintained section-wise;
 - ✓ Same procedure for Officers-acknowledged by personal staff;
- **Time of distribution:**
 - ✓ Urgent dak – as and when received;
 - ✓ Others: at suitable intervals – e.g. 11 AM, 2 PM, 4 PM.

ACTION IN THE SECTION

- **PERUSAL & MARKING;**
- **DIARISING IN SECTION;**
- **DIARISING BY PERSONAL STAFF;**
- **MOVEMENT OF RECEIPTS;**
- **ACTION BY HIGHER OFFICERS;**
- **ALLOCATION OF DISPUTED RECEIPTS;**

PERUSAL AND MARKING OF RECEIPTS IN THE SECTION

➤ **Section Officer will:**

- ✓ Go through the receipts;
- ✓ Send misdirected receipt to concerned section
- ✓ Mark some receipts, in his discretion to higher officers, if required (*'May kindly see in dak'*)
- ✓ Mark those to himself difficult receipts or receipts having special features;
- ✓ Mark other receipts to dealing hands.
- ✓ Keep a note of important receipt

DIARISING OF RECEIPTS IN THE SECTION

- All receipts should be diarised in the Section Diary before they are distributed to D/H;
- Receipts re-directed to other sections should also be diarised;
- Papers referred to other departments will be diarised each time they are received back;
- Inter-departmental notes, telegrams and similar papers diarised **in red ink**;
- Diary number indicated on the receipt.

DIARISING OF RECEIPTS IN THE SECTION

➤ **The following receipts should not be diarised:**

- For which separate registers are used, e.g. Telephone Bills, MP's letters;
- Already diarised in the Computer;
- Unsigned without any instructions from officers (except e-mail);
- Identical copies of representations except the one received first;

DIARISING OF RECEIPTS IN THE SECTION

- **The following receipts should not be diarised:**
 - **Post-copies of telegrams unless some addition has been made;**
 - **Petty contingent vouchers;**
 - **Routine acknowledgements;**
 - **Casual leave applications;**
 - **Miscellaneous circulars etc.;**
 - **Others as per departmental instructions.**

SECTION DIARY

- **Sl. No. & Date;**
- **Diary Number;**
- **Number & date of Receipt;**
- **From whom;**
- **Brief subject;**
- **To whom marked;**
- **File No.;**
- **Replied to in Hindi/English;**
- **No reply was necessary;**
- **Remarks;**

ALLOCATION OF DISPUTED RECEIPTS

- **If a Section feels that it is not concerned with a misdirected receipt, it would be brought to the notice of the Officer designated by the Department for deciding allocation of disputed receipts.**

ACTION ON RECEIPTS

GENERAL PRINCIPLES:

- **Officer to initiate action himself in certain cases;**
- **No. of levels, paper work – minimum.**
- **Least possible time for examination & Disposal.**
- **Optimum Quality & Quantity.**

ACTION ON RECEIPTS

ACTION BY DEALING HAND:

- **Entry in the Assistant's Diary (App-6):**
- **Scrutiny of receipts & separate urgent receipts from the rest;**
- **Deal with the urgent receipts first;**
- **Check enclosures and if any found missing, initiate action to obtain it;**
- **See whether any other section is concerned with any part; if so, send copies or relevant extracts to that section for necessary action;**

ACTION ON RECEIPTS

- **Bring the receipt to a current file if one already exists; or**
- **Open a new file and indicate file no. in column 4 of the Assistant's Diary;**
- **If the current file is under submission, part file is opened;**
- **Part file subsequently merged with the main file when received back;**

EXAMINATION BY THE SECTION

- **A DRAFT WILL BE PUT UP WITHOUT ANY ELABORATE NOTE –**
- **When the line of action is obvious; or**
- **based on a clear precedent or practice;**
or
- **Has been indicated higher officer, and a communication has to issue;**

EXAMINATION BY THE SECTION

➤ **IN OTHER CASES:**

- **See whether all the statements, so far as they are open to check, are correct;**
- **Point out mistakes, incorrect statements, missing data or information, if any;**
- **Draw attention, if necessary, to the statutory or customary procedure and point out the relevant law and rules;**
- **Furnish other relevant data or info available in the department, if any;**

EXAMINATION BY THE SECTION

- **State the questions for consideration and bring out clearly the points requiring decision;**
- **Draw attention to precedents;**
- **Evaluate relevant data and information; and**
- **Suggest, wherever possible, alternative course of action for consideration.**

ASSISTANT'S DIARY

- **Sl. Number;**
- **Diary Number or File Number;**
- **Subject;**
- **File Number;**
- **Date of Submission**

ACTION ON RECEIPTS

ACTION BY SECTION OFFICER:

- **Scrutiny of Dealing Hand's note;**
- **Dispose of Routine cases;**
- **Record note if necessary with his own comments/suggestions;**
- **Submit case.**

HIGHER OFFICER CAN EXPECT FROM SECTION

- **Statements are factually correct;**
- **Mistakes, missing data – pointed out;**
- **Statutory/Customary procedure, Precedents – attention drawn;**
- **Relevant Law/Rules – pointed out;**
- **Points requiring decision – clearly brought out**
- **Possible alternatives – suggested;**
- **Level of disposal – indicate.**

DIRECT SUBMISSION BY SENIOR ASSISTANTS

- **Who is a senior Assistant?**
 - **An Assistant in a conventional Section who has completed 5 years in the grade and six months in the Section;**
- **Cases go back through Section Officer.**

ORAL DISCUSSION

- **Discussion between two or more officers;**
- **Record on a relevant file;**
- **Get it confirmed by all concerned;**
- **Specially, if policy is not clear; or**
- **Some departure from policy is involved;**

ORAL INSTRUCTIONS

- **Normally instructions to be in writing;**
- **If not possible, follow by written confirmation at the earliest;**
- **Bring it to the notice of immediate superior if instruction is from higher officers;**
- **Senior officer should confirm if junior officer seeks it.**

FILES – SOME DEFINITIONS

➤ CASE:

- A current file or receipt along with other related papers.

➤ CLASSIFIED DAK:

- Dak bearing security grading.

➤ SECURITY GRADING:

- Security marking of classified documents as 'Confidential', 'Secret', 'Top Secret', or 'Restricted'.

➤ CURRENT FILE:

- A file, action on which has not been completed.

- DOCKETING: 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.

FILES – SOME DEFINITIONS

➤ FINAL DISPOSAL:

- Completion of all actions culminating, where necessary, in the issue of final orders or final reply to the party from which the original communication emanated.

➤ ISSUE:

- A communication issued in a case.

➤ MINUTE:

- A Note recorded by the President, Vice President, Prime Minister or a Minister.

➤ URGENCY GRADING:

- Dak marked 'Immediate', 'Priority', and 'Top Priority' including wireless messages, telex messages, fax etc.

FILE

FILE MEANS A *COLLECTION OF PAPERS* ON A *SPECIFIC SUBJECT MATTER*, ASSIGNED A *FILE NUMBER* AND CONSISTING OF ONE OR MORE OF THE FOLLOWING PARTS:

- **CORRESPONDENCE.**
- **NOTES.**
- **APPENDIX TO CORRESPONDENCE.**
- **APPENDIX TO NOTES.**

FILE COVER

➤ **TOP OF FILE COVER:**

- **Top right hand corner contains:**
 - ✓ **File Number;**
 - ✓ **Name of the Section;**
- **Name of the Ministry/Dept/ Office;**
- **Subject;**
- **Previous references & Later references;**

CORRESPONDENCE

Correspondence portion in relation to a file means the portion containing

- ✓ **Receipts;**
- ✓ **office copies of ‘issue’ pertaining to the file;**
- ✓ **self-contained inter-departmental notes.**

NOTE

Note means the remarks recorded on a case to facilitate its disposal, and includes

- ✓ **summary of previous papers;**
- ✓ **a statement or an analysis of the questions requiring decision;**
- ✓ **suggestions regarding the course of action;**
- ✓ **final orders passed thereon.**

APPENDIX TO CORRESPONDENCE

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

APPENDIX TO NOTES

Appendix to Notes in relation to a file means a *lengthy summary or statement containing detailed information* concerning certain aspects of the question discussed on the file, incorporation of which in the main note is likely to obscure the main point or make the main Note unnecessarily lengthy.

ROUTINE NOTE

Routine note means a note of a temporary value or ephemeral importance recorded outside the file e.g.

- ✓ **record of casual discussion, or**
- ✓ **a note on a point of secondary importance intended to facilitate consideration of the case by higher officers.**

RUNNING SUMMARY OF FACTS

Running summary of facts in relation to a case means

- ✓ a summary of the facts of the case,
- ✓ updated from time to time
- ✓ to incorporate significant development as and when they take place.

OPENING OF FILES

- **No new files need be opened:**
 - **For receipts of a purely routine nature:**
 - ❑ Which can be disposed of straightaway by noting on the receipt and returned;
 - ❑ Which are unlikely to generate further correspondence – can be placed on a *Miscellaneous File*.

FILE NUMBERING SYSTEM

➤ **Functional File Numbering System.**

- **Basic Heads;**
- **Primary Heads;**
- **Secondary Heads;**
- **Tertiary Heads;**
- **Example: IV 13024/5/2002-LR I.**

FILE NUMBERING SYSTEMS

- **Based on Subject Classification.**
- **Each Section maintains approved lists of:**
 - **Standard Heads i.e. main subject;**
 - **Standard Sub-heads i.e. aspects of the main subject.**
 - **Example: 3/1/2002-SR.**

NEW FILE

- **Indicate details in FILE REGISTER (Appendix-22);**
- **Indicate in the Section Diary (Column 8, Appendix-3)**
- **Movement of the file tracked by FILE MOVEMENT REGISTER (Appendix-23);**

FILING OF PAPERS

- Papers required to be filed will be punched on the left hand top corner;
- 'Notes', 'Correspondence', 'Appendix to Notes', 'Appendix to Correspondence' tagged from left to right in chronological order;
- Both 'Notes portion' & 'Correspondence portion' will be placed in a single File Cover;
- 'Right end' and 'left end' of the tag of the notes portion of the file will be kept free inside the file cover and not tagged to any hole;

FILING OF PAPERS

- **In the case of ‘correspondence portion’, right side of the tag will be tagged on the right side of the same file cover and left side of the tag will remain un-tagged;**
- **If the file is bulky, separate file covers may be maintained for keeping ‘Appendix to Notes’ and ‘Appendix to Correspondence’;**

REFERENCING

- Page numbering in separate series in ink of Notes, Cor., Appendix to notes/Cor.
- Each Item in Cor. (R or I) assigned a serial number **in red ink**;
- PUC & FR;
- Docketing;
- Page number of PUC/FR *in margin of Notes (in pencil)*;

REFERENCING

- **Recorded file/papers flagged with alphabetical slips for identification (only one)**
- **Particulars of recorded files/papers entered in the Notes after removal;**
- **Copies of Rules/other compilations should not be put up if available with the officer;**
- **Flags pinned properly.**

LINKING OF FILES

- Inter-connected *current files* to be dealt with together may be linked;
- Strings of the lower file will be around the upper file; Strings of the upper file tied underneath;
- After completion, linked files will be de-linked. Extracts placed in the current file;

HANDLING FILES

FILING OF PAPERS:

- **Punching, tagging in the appropriate part;**
- **Notes & Correspondence in same cover;**
- **Reference of communications *by pencil*;**
- **Placement of Appendix to Notes/ Correspondence;**
- **Routine Receipts/Issues (Reminders/Ack.) Routine Notes in separate covers.**

HANDLING FILES

- **Separate Volume when file becomes bulky.**
- **Stitched and marked Volume I;**
- **Further papers in new Volume marked Volume II;**
- **Page numbering in new Volume in continuity;**
- **Particulars entered in the new Volume;**

CASE FILE – ARRANGEMENT OF PAPERS

- **Reference Books;**
- **Notes portion of the current file ending with the note for consideration;**
- **Running summary of facts;**
- **Draft for approval;**
- **Correspondence portion of the current file ending with the latest receipt or issue;**

CASE FILE –

ARRANGEMENT OF PAPERS

- **Appendix to Notes & Correspondence;**
- **Standing Guard File, Standing Notes or Reference Folders, if any;**
- **Other papers, if any, referred to – extracts of notes, copies of orders, resolutions, Gazettes, arranged in chronological order, the latest on the top;**
- **Recorded files, latest on top.**

URGENCY GRADING

- **‘Immediate’, ‘Priority’ & ‘Top Priority’ ;**
- **‘Immediate’ for prompt attention;**
‘Priority’ for precedence over others;
‘Top Priority’ for extremely urgent cases;
- **Special indication slips for Parliament Questions, Motions, Bills;**
- **Review at different stages;**

TYPES OF SECURITY GRADINGS

- **TOP SECRET:** National Security, Military Operations, War etc.
- **SECRET:** Endanger National security, injury to interests /prestige of the nation, embarrassment to Govt., Advantage to foreign nations
- **CONFIDENTIAL:** Prejudicial to national interest.
- **PERSONAL/RESTRICTED – NOT FOR PUBLICATION**

CLASSIFIED DOCUMENTS

- **No unauthorised communication of official information to any one.**
- **Handling classified papers – Secret, Top Secret:**
 - **Handled by Officers themselves or designated sections;**
 - **Separate sets of Registers;**
 - **Recording/review by officers themselves;**
 - **Review of classification every five years.**

CONFIDENTIAL DOCUMENTS

- Notes portion of file – ‘Confidential’
- Not to be referred to outside authority without consent of the Department.
- Such consent will not apply if the officer to whom file referred is personally affected;
- Carry confidential/secret papers outside:
- Confidential – not below S.O./D.O.;
- Secret – U.S. with written auth. Of J. S.

HANDLING CLASSIFIED PAPERS

➤ **CONFIDENTIAL PAPERS:**

- Handed over personally;
- If not, in sealed covers;
- Same treatment to spare copies;
- Register for Copies of classified printed papers;

➤ **SECRET PAPERS:**

- Only seen/used by the officer addressed to;
- Officer to keep in safe custody;

PART FILE

- **When the main file is not available for some reasons, Part Files can be opened if the matter is to be examined immediately;**
- **Normally consists of :**
 - **Receipt or note dealt with;**
 - **Notes relating thereto;**
- **Merged with the main file as and when available;**

MOVEMENT OF FILES

- Movement of files will be entered in the **File Movement Register**;
- When **Current Files** are linked, the movement of the Linked Files will be marked in the space allotted in the File Movement Register for the file with which these are linked;
- Also, entry made in the register for the linked files;

MOVEMENT OF FILES

- When **recorded files** are put up with a file, the movement of the recorded files will be marked in the space allotted in the File Movement Register for the file with which these are put up;
- No current file will be issued to other sections except against written requisition and after marking its movement in the File Movement Register;

MOVEMENT OF FILES

- **Files and other papers marked by the Branch Officers to other officers, sections or Departments will be routed through the section for noting their movement;**
- **When files are handed over by an officer to other officers, he will inform the section officer accordingly, who will ensure that the movement of such files is marked in the File Movement Register;**

MOVEMENT OF FILES

- **Personal staff of senior officers will maintain the movement of papers received by their officers in the respective Personal Section diary (Appendix-4)**
- **Movement of any file handed over to a higher officer will be noted in the Personal Section Diary;**
- **Papers/files marked by them to other depts will be routed through the section concerned for noting in the movement register/ section diary.**

REGISTERS

- **File Register**: A record of Files opened during a calendar year;
- **File Movement Register**: Movement of the File opened entered including
 - ✓ **Linked files; and**
 - ✓ **Recorded Files.**
- **Register for watching progress of Recording.**



**THANK
YOU**