

WELCOME
TO
SESSIONS
ON
MACHINERY OF GOVERNMENT

A quote.

✓ “If I have the belief that I can do it, I shall surely acquire the capacity to do it even if I may not have it at the beginning”.

Mahatma Gandhi

Objectives:

At the end of the sessions, participants will be able to:

- Describe Machinery of the Government of India,
- Explain features of the Allocation of Business Rules,
- Explain characteristics of the Transaction of Business Rules,
- Describe the structure of a Ministry/Department of the Government of India,
- List the functions of various levels of functionaries in the Central Secretariat ,
- Identify the smallest yet most important fundamental block /unit of a Dept. /Ministry of the Government of India,
- List the role & major functions of a dealing hand of the unit of a Dept./Ministry of the Government of India.

Machinery of the Government

- **The President :**
- The executive power of the Union formally vests in the President and may be exercised by him either directly or through officers subordinates to him, in accordance with the Constitution.

Contd

Machinery of the Government

- **The Council of Ministers :**

In the exercise of his functions, the President is aided and advised by a Council of Ministers headed by the Prime Minister.

Cabinet Ministers;

Ministers of State; and

Deputy Ministers

Contd

Machinery of the Government

- **The Cabinet,**
- Consists of Cabinet ministers ..
- responsible for shaping the overall policies of the Government in discharging its responsibilities.
- Sometimes functions through its Committees.

Contd

STRUCTURE OF THE GOVERNMENT OF INDIA

President (Executive head)



Prime Minister(Head of Council of Ministers)



Council of Ministers (Cabinet Ministers,
Ministers of State & Deputy Ministers)



Executive (Secretary & subordinate
functionaries)

Transaction of Government business

- Rules issued by the President under Article 77(3) of the Constitution,
- Convenient transaction of the business of the Government
- (a) The Government of India (Allocation of Business) Rules; and
- (b) The Government of India (Transaction of Business) Rules.

The Allocation of Business Rules ...(AOBR)

- Allocates the business of the Government among its different Ministries / Departments,
- Assigned to the charge of the Ministers by the President on the advice of the Prime Minister.
- It also permits the association of another Minister or Deputy Minister to perform such functions as may be specifically assigned to him.

The Transaction of Business Rules....(ToBR)

- Seek to define the authority, responsibility and obligations of each department in the matter of disposal of business allotted to it.
- The business allotted to a department will be disposed of by, or under the direction of the Minister - in-charge,
- These rules also specify:
 - *(a) Cases or classes of cases to be submitted to the President, the Prime Minister, the Cabinet or its committees for prior approval; and*
 - *(b) The circumstances in which the department primarily concerned with the business under disposal will have to consult other departments concerned and secure their concurrence before taking final decisions.*

Transaction of Business Rules – Contents

- SCHEDULES-
- FOUR
- ANNEXURE
- THE FIRST SCHEDULE [Rule 6(1)]
- **STANDING COMMITTEES OF THE CABINET AND THEIR FUNCTIONS**
- Number of committees , as of now – 08

Committees of the Cabinet

- Appointments Committee of the Cabinet. (ACC),
- Cabinet Committee on Accommodation. (CCoA),
- Cabinet Committee on Economic Affairs (CCoEA),
- Cabinet Committee on Parliamentary Affairs (CCoPA),
- Cabinet Committee on Political Affairs (CCoPol.Af.),
- Cabinet Committee on Security. (CCoS),
- Cabinet Committee on Investment (CCoI),
- Cabinet Committee on Skill Development (CCoS.D)

TOBR- Cabinet Committee on Skill Development

- (i) to provide direction and consider all policies, programmes, schemes and initiatives for skill development aimed at increasing the employability of the workforce for effectively meeting the emerging requirements of the rapidly growing economy and mapping the benefits of demographic dividend;

Contd...

TOBR- Cabinet Committee on Skill Development.....

- (ii) to direct and coordinate all activities relating to skill development, enhancing workforce participation, fostering employment growth and identification and removal of the gaps between the requirements and availability of skills in different sectors;

Contd...

TOBR- Cabinet Committee on Skill Development.....

- (iii) to lay down targets for expeditious implementation of all skill development initiatives by the Ministries/Departments and to periodically review the progress in this regard; and
- (iv) to consider any other matter relating to skill development.

LR

MOG- Executive - Ministry/ Department

- Responsible for formulation of policies of the government in relation to business allocated to it and also for the execution and review of those policies.
- To achieve efficient disposal of the business allotted to it, a Department is divided into wings, divisions, branches and sections.

Contd...

Ministry/Department...

- **Ministry / Department** is normally headed by a Secretary to the Government of India
- Administrative head of the Department
- Principal adviser of the Minister
- Matters of policy and administration within the department.

Contd...

Ministry/Department... Structure..... Working

- Work in a Ministry / Department is normally divided into **wings** with a Special Secretary/ Additional Secretary/Joint Secretary in charge of each wing.
- A wing normally comprises of a number of **divisions** each functioning under the charge of an officer of the level of Director/ Deputy Secretary
- A division may have several **branches** each under the charge of an Under Secretary.

Contd...

Ministry/Department.... Work ... structure

- A **section** is generally the organizational unit in a Ministry /Department, with a well-defined area of work.
- Normally consists of assistants and clerks supervised by a Section Officer.
- Initial handling of cases (including noting and drafting) is generally done by secretariat personnel who are also known as the dealing hands.

Contd...

- **Attached offices**
- Generally responsible for providing executive direction required in the implementation of the policies laid down by the department to which they are attached.
- Also serve as repository of technical information and advise the department on technical aspects of question dealt with by them.

Contd...

MOG-Ministry/Department- Attached /Subordinate offices ...

- **Subordinate offices**
- generally function as field establishments or
- as agencies responsible for the detailed execution of the policies of government.
- They function under the direction of an attached office, or where the volume of executive direction involved is not considerable, directly under a department.
- In the latter case, they assist the departments concerned in handling technical matters in their respective fields of specialisation.

Contd...

- **Integrated Headquarters**
- Ministry of Defence
- The Vice Chiefs of Staff, the Principal Staff Officers of the concerned branches and other appropriate authorities, exercise the powers delegated by the Raksha Mantri through various Branches and the Directorates of the Integrated Headquarters of the Ministry of Defence.

Contd...

- Constitutional Bodies-
- *UPSC*
- Statutory Bodies-
- *NCW*
- Autonomous Bodies –
- *AIIMS*
- Public Sector Undertakings-
- *SAIL*
- Information and Facilitation Counters (IFCs)

A recall of the points discussed so far..

- MOG- Structure
- Allocation of Business Rules
- Transact of Business Rules
- Ministry/ Department –Orgn. structure
- Functions of the Secretariat.... ?

Session 2

Functions of various levels of functionaries in Central Secretariat

- **Secretary –**

- ✓ Secretary to the Government of India
- ✓ Is the administrative head of the Ministry or Department.
- ✓ Is the principal adviser of the Minister on all matters of policy and administration within her Ministry/Department, and
- ✓ The responsibility is complete and undivided.

Contd.....

Special Secretary/Additional Secretary/Joint Secretary

- When the volume of work in a Ministry exceeds the manageable charge of a Secretary one or more wings may be established with Special Secretary/ Additional Secretary/Joint Secretary, in-charge of each wing.
- Such a functionary is entrusted with the maximum measure of independent functioning and responsibility in respect of all business falling within her/his wing subject, to the general responsibility of the Secretary for the administration of the wing as a whole.

Contd...

Director/Deputy Secretary

- Is an officer who is in charge of a Secretariat Division
- Is responsible for the disposal of Government business dealt within the Division under his/her charge.
- Should, ordinarily be able to dispose of the majority of cases coming up to her/him on her/his own level.
- Should use his/her discretion in taking orders of the Joint Secretary / Secretary on more important cases, either orally or by submission of papers.

Contd...

Under Secretary

- ✓ is in charge of a Branch consisting of two or more Sections and in respect thereto exercises control both in regard to the despatch of business and maintenance of discipline.
- Work comes to him/her from the sections under his/her charge.
- As Branch Officer she/he disposes of as many cases as possible at her/his own level but takes the orders of Deputy Secretary or higher officers on important cases.

Contd...

Functions of various levels of functionaries... **Section Officer**

- is the leader of a team comprising a Section which is the smallest yet most fundamental block in the structure
- is the in-charge of a Section, who has to ensure
- efficient and expeditious disposal of work,
- recording and weeding out,
- indexing and digitization.
- For this, he/she shall take all necessary steps including
 - (i) distribution of work among the staff as evenly as possible;
 - (ii) training, helping and advising the staff;
 - (iii) management and co-ordination of work;
 - (iv) ensuring maintenance of order and discipline in the section;

Section Officer.... functions...

- (v) maintenance of a list of residential addresses of the Staff
 - (vi) submit receipts which should be seen by Branch Officer/Higher officer at dak stage;
 - (vii) dispose of routine cases*, issue reminders, obtain or supply factual non-classified information; (viii) take intermediate routine action;
 - (ix) keep a track of all judicial/quasi-judicial matters where the issues being dealt with by the section are involved;
 - (x) record, where necessary, a note setting out his own comments or suggestions before submitting the case to higher appropriate officer.
- *Routine cases“ will be decided by Departmental instructions

Functions of various levels of functionaries ***Assistant Section Officer***

- works under the orders and supervision of the Section Officer and is responsible for the work entrusted to her/him.
- Where the line of action on a case is clear or the Branch Officer or higher officers have given clear instructions, she/he should put up a draft without much noting.
- In other cases she/he will put up a note keeping in view the following points:-
 - ✓ (i) to see whether all facts open to check have been correctly stated;
 - ✓ (ii) to point out any mistakes or incorrect statement of the facts;
 - ✓ (iii) to draw attention, where necessary, to precedents or Rules and Regulations on the subject;
 - ✓ (iv) to put up the Guard file, if necessary, and supply other relevant facts and figures;
 - ✓ (v) to bring out clearly the question under consideration and suggest a course of action wherever possible.

Functions of various levels Dealing Hands ..

- Assistants and Upper Division Clerks are two different types of Dealing Hands(DH),
- who are responsible for:-
 - ✓ Opening, maintenance and custody of files;
 - ✓ put up the file to Section Officer mentioning precedents/facts, rule position, pointing out any mistake, incorrect statements of facts ; (
 - ✓ go through the receipts and ensure that the receipts, with urgency grading, are dealt with first;
 - ✓ move the receipt to a file;
 - ✓ if a file exists for this receipt, add the receipt to the existing file;
 - ✓ in case a file does not exist, a file will be opened;
 - ✓ DH will add the data/metadata required for creating a new file. A number will be given by the dealing hand to the new file and in the case of e-file number will be assigned automatically by the system on the creation of e-file;
 - ✓ reproduce remarks on the notes portion of the file, if any, made by an officer on the receipt.
 - ✓ DH will have to give a serial number and page number to all the letters received and issued.

Personal Staff Members of Officers (PSMs)

- Staff Officer
- Senior Principal Private Secretary
- Private Secretary
- Personal Assistant
- Stenographer.

Contd..

Personal Staff Members of Officers (PSMs)- functions..

- (i) Taking dictation in shorthand and its transcription
- (ii) assisting in drafting and issue of all correspondences as may be directed by the officer;
- (iii) managing of appointments/engagements;
- (iv) attending to the telephone calls and receiving visitors;
- (v) maintaining the papers required to be retained by the officer;
- (vi) destroying by shredding/burning the stenographic record of the confidential and secret letters; and
- (vii) assisting the officer in such a manner as she/he may direct

Lower Division Clerk (wherever it exists)/Multitasking Staff (MTS).-functions..

- Registration of dak;
- maintenance of Section Diary and File Movement Register;
- typing, comparing, photocopying, faxing, e-mailing etc.;
- performing the task of a dealing hand; and
- **any other official task assigned.**

Duties of untrained Multi Tasking Staff (MTS)

Refer Annexure-II of the Department of Personnel & Training's O.M. No.AB-14017/6/2009- Estt (RR) Dated 30th April, 2010

Session 3

?

The Government of India (Allocation of Business) Rules, 1961 (AOBR)

- The business of the Government of India shall be transacted in the Ministries, Departments, Secretariats and Offices specified in the First Schedule to the Rules

AOBR

- The distribution of subjects among the departments shall be as specified in the Second Schedule to these Rules and shall include all attached and subordinate offices or other organisations including Public Sector Undertakings concerned with their subjects and Sub-rules (2), (3) and (4) of this Rule.

Allocation of Business Rules (AOBR)

- THE FIRST SCHEDULE (Rule 2)
- **MANTRALAYA, VIBHAG, SACHIVALAYA TATHA KARYALAYA**
- **(MINISTRIES, DEPARTMENTS, SECRETARIATS AND OFFICES)**
- THE SECOND SCHEDULE (Rule 3)
- **DISTRIBUTION OF SUBJECTS AMONG THE DEPARTMENTS**
(VIBHAG)

The Government of India (Transaction of Business) Rules, 1961.
(TOBR)

- In these rules, "department" means any of the Ministries, Departments, Secretariats and Offices specified in the First Schedule to the Government of India (Allocation of Business) Rules, 1961.

ToBR - Disposal of Business by Ministries.

- “Subject to the provisions of these Rules in regard to consultation with other departments and submission of cases to the Prime Minister, the Cabinet and its Committees and the President, all business allotted to a department under the Government of India (Allocation of Business) Rules, 1961, shall be disposed of by, or under the general or special directions of, the Minister-in-charge. ”

TOBR First Schedule - Annexures

ANNEXURE I

- Appointments requiring the approval of the Appointments Committee of the Cabinet (ACC)
- ANNEXURE II
- Empanelment requiring the approval of the ACC

TOBR - Schedules

- THE SECOND SCHEDULE (Rule 7)
- Indicates cases which shall be brought before the Cabinet.
- THE THIRD SCHEDULE (Rule 8)
- List of cases for submission to the Prime Minister and the President.

Contd...

TOBR - Schedules

- THE FOURTH SCHEDULE (Rule 10)
- Indicates periodical reports and other papers which shall be submitted to the president for his information

Structure of an Organisation

- MINISTRY OF DEFENCE
- DEPARTMENT OF DEFENCE PRODUCTION
- DIRECTOR GENERAL ORDNANCE FACTORIES & CHAIRMAN, ORDNANCE FACTORY BOARD
- ADDL.DGsOF /MEMBER, O.F.BOARD
- HQr. UNITS/OFFICES,
- FIELD UNITS - O.Fs., RMCs, RCSs, TRG.INSTns.
- (NADP, OFIsOL)

NOTE

- Written remarks recorded on a paper under consideration (PUC) to facilitate its disposal.
- It should consist of a précis (of the subject matter) or previous paper,
- The statement of analysis of the question of questions requiring decision,
- Suggestions regarding the course of action, and
- Final orders passed thereon.

Contd...

Note.....

- A **note** recorded by a Minister, the Prime minister, the Vice-president or the President should be referred to as a '**Minute**'
- The name, designation and, where necessary, the telephone number of the officer signing a note should invariably be typed or stamped with a rubber stamp, below the signature, which should be dated .
- In recording the date, the month and the year should also be indicated.

Preparing a Note on a subject/case ... DO's & Don't's

- ✓ **All notes should be concise and to the point.**
- Excessive noting should be avoided.
- ✓ **Notes and orders should** , normally, be recorded on **'note sheets'**.
- Notes should not be recorded on the receipt itself except in very routine matters.
- ✓ **'Remarks'**, if any has been made on the **receipt** by the branch officer or any higher officer, it should be reproduced after the docketing, and then the note should follow.
- ✓ A simple and direct style of writing should always be **adopted**.

Contd...

Preparing a Note..... DO's & Don't's

- ✓ A note will be divided into paragraphs of a convenient size
- ✓ Paragraphs should be serially numbered and if necessary may also have brief titles.
- ✓ When a paper under consideration raises several major points which require examination and respective order on each point (or group of related points) it will be noted upon separately in 'Sectional' notes.
- ✓ Such sectional notes will each begin with a list of the major points(s) dealt with therein.

Contd...

Preparing a Note..... DO's & Don't's

- ✓ Relevant extracts of a rule or instruction will be placed on the file
- ✓ Attention to it will be drawn in the note with proper referencing, rather than reproducing the relevant provisions in the note.
- ✓ Notes and orders will normally be recorded on note sheets in the notes portion of the file and will be serially numbered.
- ✓ Black or Blue ink will be used by all category of staff and officers.
- ✓ Only an officer of the level of Joint Secretary to Government of India and above may use green or red ink, in rare cases.
- ✓ After completing the note, the dealing hand will append his or her full signature with date on the (left hand side) below the note .

Contd...

Preparing a Note..... DO's & Don't's

- ✓ A small margin of about one inch will be left/provided, on top, bottom and right/ left side (ie., right side of the facing page and left side of obverse page) of each page of the note sheet.
- ✓ To ensure better preservation of notes recorded on the files as at times the paper gets torn from the edges making reading of the document difficult.
- ✓ Left side of the facing page and right side of the obverse side will have **at least two inches margin space.**
- ✓ Notes should be typed/written on both sides of the note sheet as per instructions of Department of Expenditure.

Contd...

In a Note.....

- ✓ **Supervisory officer** will append full signature on the right hand side of the note with name , designation and the date.
- ✓ When passing orders or making suggestion, an officer should continue the note to the actual points rather than repeating of reiterating the ground already covered in the previous notes.
- ✓ If the line of action suggested in the preceding note is correct, the officer should merely append his/her signature.

Contd...

Preparing a Note... DO's & Don't's

- Avoid use of complicated and ambiguous language.
- Avoid 'verbatim reproduction of extracts' from, or paraphrasing of the PUC etc.,
- Any apparent errors or mis-statements (in the PUC/ a note) have to be pointed out or to an opinion expressed therein has to be criticized, care should be taken to couch, the observation, in courteous and temperate language *free from personal remarks*.

Contd...

Modification of notes

- The higher officers should record their own notes giving their views on the subject, where necessary correcting or modifying the facts given in earlier notes.
- The replacement or modification of the notes which have already been recorded on a file, when the file has been further noted upon by others, should not be permitted.
- Where a final decision already communicated to a party is found later on to have been given on a mistaken ground or wrong facts or wrong interpretation of rules due to misunderstanding or otherwise, such replacement or modification of a note may have also legal implications.

Contd...

Modification of notes...

- **In all such cases**, wherever necessary, review of the decision should be examined and the revised decision shall be taken in consultation, if so required, with the Ministry of Law and with the **approval of an officer higher than the one who took the original decision.**
- The reason(s) for the reversal or modification of the earlier decision shall duly be recorded on the file.
- **Under no circumstances a note shall be pasted over or removed from the file.**
- In case of mistake in the note or disagreement with a previously recorded note, a new note shall be recorded, keeping the previously recorded note on the file.

Some terms/usages...

- **'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**.
- **Routine note** means a note of a temporary value or ephemeral importance recorded outside the files ,e.g, a record of casual discussion or a note on a point of secondary importance intended to facilitate consideration of the case higher officers.

Contd...

Some terms/usages...

- **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.
- It is prepared to avoid repeated re-capitulation of the case through self-contained notes.
- Wherever a running summary of facts is available on the file, it should be **referred** to without repeating any part of the facts in the note.
- **Referencing:**
- It is the process of identifying a document, decision and facts mentioned in a note, draft or office copy of communication issued.

Contd...

Referencing- Procedure

- ✓ Every page in each part of the file..... will be consecutively numbered in separate series, in pencil/ink.(as the case maybe)
- Blank intervening pages, if any*, will not be numbered.
- ✓ Each item proof correspondence in a file whether receipt or issue, will be assigned a serial number which will be displayed prominently in red ink on the top middle portion of its first page.
- ✓ The paper under consideration on a file will be flagged 'PUC' and the latest fresh receipt noted upon, as 'F.R'.
- ✓ In no circumstances, will a slip, other than 'PUC and 'FR' be attached to any paper in a **current file**.
- ✓ If there are more than one 'F.R-I, FR-II etc. (However, in practice other slips are also attached to a paper in the current file. All the slips should be removed after the action is over).

Contd...

Referencing.....

- ✓ In referring to the papers flagged 'PUC' or 'FR' the relevant page numbers will be quoted invariably in the margin. Their page numbers will refer to other papers in a current file.
- ✓ Recorded files and other papers put up with the current file will be flagged with alphabetical slips for quick identification. Only one alphabetical slip will be attached to a recorded file or compilation.
- ✓ If two or more papers contained in the same file or compilation are to be referred to, they should be identified by the relevant page numbers in addition to the alphabetical slip, e.g. 'A'/23 n., 'A'/17 C and so on.

Contd...

Referencing.....

- ✓ To facilitate the identification of references to papers contained in other files after the removal of slips, the number of the file referred to will be quoted invariably in the body of the note.
- ✓ The relevant page numbers, together with the alphabetical slip attached thereto, will be indicated in the margin.
- ✓ Similarly, the number and date of orders, notifications and resolutions, and, in the case of acts, rules and regulations, their brief title together with the number of the relevant section, rule, paragraph or clause, referred to will be quoted in the body of the notes, while the alphabetical slips used, will be indicated in the margin.

Contd...

Referencing.....

- ✓ Rules or other compilations referred to in a case need not be put up if copies thereof are expected to be available with the officer to whom the case is being submitted.
- ✓ The fact of such compilations not having been put up will be indicated in the margin of the notes in pencil.
- ✓ The reference slips will be pinned neatly on the inside of the papers to be flagged.
- ✓ When a number of papers put up in a case are to be flagged, the slips will be spread over the entire width of the file so that every slips are easily visible.

Noting - A Functional Approach

- Ephemeral cases - nil
- Routine & Repetitive cases - Standard Process Sheet
- Action in Correspondence cases - Minimum
- Problem Solving cases - Detailed.. Providing maximum information

Contd...

F.A.N.- Planning and Policy cases

- Not large in number, in any organization.
- Require a thorough examination, because important decisions are to be taken at top management level.
- A note in such cases should ,clearly, bring out :
- The Problem, How it has arisen?, What are the critical factors?
- Provide additional information to size up the problem. How?
- The information would be available on the files and other paper in the Section.
- If sufficient information is not available to enable thorough examination, it should be collected before attempting the note.

Contd...

Planning and Policy cases...

- State the **Rule, Policy** etc.,
- Existing – modified/ reviewed earlier, approved or not etc.,
- **Precedent** cues having a bearing on the issue under consideration should be put up.
- If there are varying precedents or any precedent differs in certain respects from the case under examination, the difference should be brought out so as to arrive at a correct decision.
- **Critical analysis** –
- The case should then be examined on merits answering questions like ‘what are the possible alternative solutions/ which is the best solution? It should be ensured that views of other Divisions/ Ministries etc., where necessary, have been obtained and incorporated/attached in the file.

Contd..

Planning and Policy cases...

- Attention should also be paid to other aspects....
- The financial and other implications,
- Repercussions, and the modality of implementing the decision,
- The authority competent to take a decision.
- **Concluding para**
- The concluding para should suggest a course of action for consideration.
- In cases where a decision is to be taken by a higher authority like committee, Board etc. the point or points on which the decision of such higher authority is sought should be specifically mentioned.

Forms of Communication

- **Letter :**
- Foreign governments, State governments, Constitutional bodies like UPSC, Election Commission, etc, Central public Sector Enterprises, Statutory authorities and Members of public
- **Demi-Official Letter :**
- Officers of equivalent level and of one or two levels above the sender, Non officials.
- **Office Memorandum:** Conveying Orders/Instructions on a subject matter, for compliance
- Attached/Subordinate Offices, Other Ministries/Departments, Other Sections/Units within the same Ministries/Departments and officers & Employees.-
- **Inter-Departmental Note:** Solicit views/Concurrence of Others Ministries/Departments, on the subject dealt with, in the file

