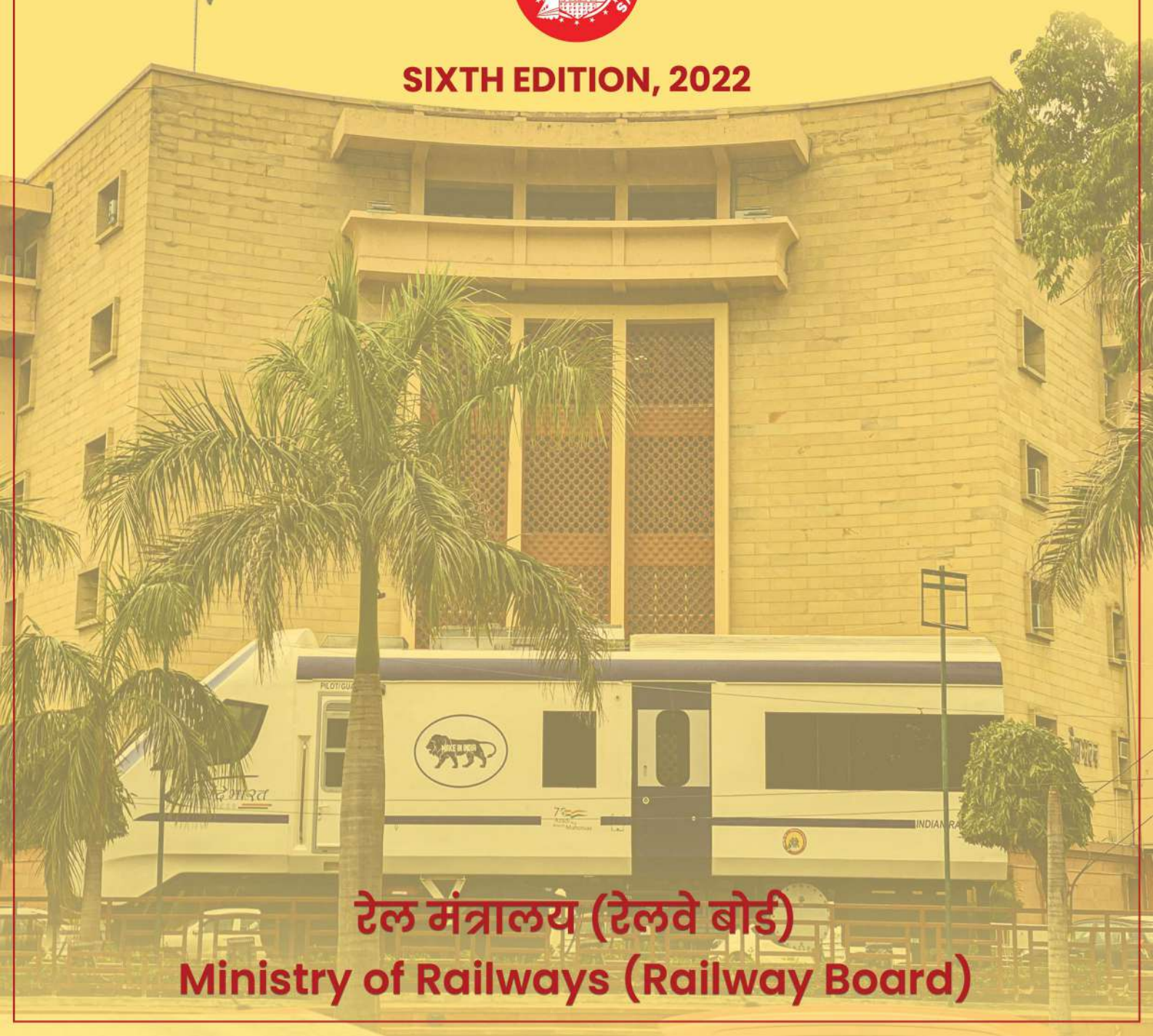
सत्यमेव जयते

कार्यालय पद्धति नियमावली

Manual of Office Procedure

SIXTH EDITION, 2022



रेल मंत्रालय (रेलवे बोर्ड)

Ministry of Railways (Railway Board)

अश्विनी वैष्णव
Ashwini Vaishnaw

रेल, संचार एवं इलेक्ट्रॉनिकी और
सूचना प्रौद्योगिकी मंत्री
भारत सरकार
**Minister of Railways
Communications & Electronics and
Information Technology
Government of India**



Message

I am pleased to note that Railway Board has brought out revised and updated 6th edition of Manual of Office Procedure incorporating all changes, amendments issued from time to time, in respect of office procedure and also incorporating procedures based on 16th edition of Central Secretariat Manual of Office Procedure, issued by Ministry of Personnel, Public Grievance and Pensions, Department of Administrative Reforms and Public Grievance.

This Manual will be helpful to the officials of Railway Board in efficient discharge of their duties and will also give a push to e-office, digitisation and paperless working initiatives.

I congratulate the Railway Board team for this endeavour and hope that all officials will take full advantage of this.

अश्विनी
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भारत सरकार
Minister of State of Railways,
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Government of India



संदेश

मुझे यह जानकर प्रसन्नता हुई है कि रेल मंत्रालय (रेलवे बोर्ड) द्वारा 'रेलवे बोर्ड कार्यालय पद्धति नियम-पुस्तिका' का छठा संस्करण प्रकाशित किया जा रहा है।

नियम-पुस्तिका के इस संस्करण का उद्देश्य कर्मचारियों को नवीनतम कार्यालय पद्धति से अवगत कराना, कार्यों में पारदर्शिता एवं कार्य के प्रति जवाबदेही हासिल करना, ई-ऑफिस के माध्यम से पेपरलेस वर्किंग को बढ़ावा देना तथा निर्णय लेने में दक्षता बढ़ाना है।

मुझे विश्वास है कि यह नियम-पुस्तिका सरकारी कार्य का मानकीकरण करने एवं रेलवे बोर्ड में कार्यरत सभी अधिकारियों एवं कर्मचारियों को दक्षता से कार्य निष्पादन में और अधिक सहायता प्रदान करेगी।

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सत्यमेव जयते

आज़ादी का अमृत महोत्सव



MESSAGE

It gives me immense pleasure to learn that the Ministry of Railways (Railway Board) is bringing out the Sixth Edition of the Railway Board's Manual of Office Procedure. Lot of procedural changes have taken place since issue of Last Edition in 1993.

I am sure that the revised Manual would be of great help to all the officials of Railway Board. I hope that this Manual will lead to enhanced sense of responsiveness, accountability, efficiency, transparency, in addition to moving towards digitization of office working.

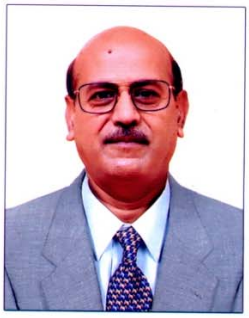
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VINAY KUMAR TRIPATHI

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रेलवे बोर्ड
पदेन प्रमुख सचिव, भारत सरकार
रेल मंत्रालय
CHAIRMAN & CHIEF EXECUTIVE OFFICER,
RAILWAY BOARD
EX OFFICIO PRINCIPAL SECRETARY
GOVERNMENT OF INDIA
MINISTRY OF RAILWAYS



01 DEC 2022

FOREWORD

It gives me immense pleasure to share the 6th Edition of Manual of Office Procedure (MOP). This Edition incorporates the additions and alterations necessitated by the changes, particularly the administrative reforms, digitization and e-Office, that have taken place since its last edition brought out on 10th November, 1993.

This Manual is meant for guidance of every member of the Ministry of Railways (Railway Board)'s establishment. While the old hands will make themselves abreast of the reformed modifications, it will specially be useful for the new entrants as well as the personnel drafted from railways, who would make themselves familiar with the methods and procedures contained herein.

I am sure this new Edition of the Manual will be an invaluable source of training, guidance and reference and would be of great assistance in dealing with day-to-day work towards achieving the Organizational goals.

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सत्यमेव जयते

भारत सरकार
रेल मंत्रालय
रेलवे बोर्ड, रेल भवन
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GOVERNMENT OF INDIA
MINISTRY OF RAILWAYS
RAILWAY BOARD, RAIL BHAWAN
RAISINA ROAD, NEW DELHI-110001

Date: 12.12.2022



PREFACE

First edition of Railway Board's Manual of Office Procedure (MOP) was brought out in 1925 and revised 5th edition on 10th November, 1993. The present revised, updated volume is 6th edition of Board's MOP, incorporating all changes, orders, amendments issued from time to time and important provisions of 16th edition of Central Secretariat Manual of Office Procedure, issued in July, 2022 by Ministry of Personnel, Public Grievance & Pensions, Department of Administrative Reforms & Public Grievance.

2. The existing manual covers both Organizational setup of Ministry of Railways, Railway Board (Chapter 2-8) and procedural part (Chapter 9-18). Provisions relating to e-office have been comprehensively explained vis-a-vis manual working, for moving towards paperless system of working and to enhance efficiency and accountability.

3. This revised edition incorporates two new chapters on Knowledge Management System and Decision Making in Government. Decision making refers to how a case is to be processed, keeping in view the provisions contained in AOB&TOB Rules, 1961, details of concerned Ministry/Department along with their URL link for referring to specific instructions issued by them as Nodal Ministry/Department and complying with instructions on Channel of Submission/Level of disposal of cases, use of e-office etc. Knowledge Management relates to creation and maintenance of different categories of Documents/Guard files to serve as a repository of information for smooth, timely and correct decision making process.

4. Recently rolled out MIS portals for monitoring of MPs/MLAs/VIPs and Parliamentary References has also been incorporated in this Manual as part of office procedure.

5. Every member of the Office Establishment is expected to go through this Manual and familiarize themselves with procedure contained therein to ensure compliance of the provisions contained in the manual.

6. This manual is available online on IR website with hyperlinks for easy reference. Additions or alterations/amendments to this Manual will be notified by means of Office Order as may be necessary from time to time.

(Jaya Varma Sinha)

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CHAPTER-1

DEFINITIONS

Special meanings to be attached to some of the terms used in the manual or used commonly in Official Business are given below:--

1. '**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.

2. '**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. Such aspects are processed in Appendix to Notes and key issues arising therefrom are then processed in the Notes portion giving reference to the relevant page in Appendix to Notes.

3. '**Branch**' means a unit of a division and may comprise a couple of Sections/Units/Cells.

4. '**Branch Officer'** in relation to a section means the Officer, Under Secretary, Deputy Director or equivalent, who is directly above the Section in the line of control for execution of work.

5. '**Case'** means a current file or a receipt together with other related papers, if any.

6. **'Central Registry'** means the Section in Railway Board with the responsibility of receiving, registering and distributing dak meant for various officers and Sections and includes functionaries like Night Duty Clerk/Night Duty Staff.

7. **'Citizens Charter'** is an instrument which seeks to make an organization transparent, accountable and Citizen friendly. A Citizens Charter is basically a set of commitments made by an organization regarding the standard of service which it delivers. This includes expectation of the organization from the Citizen for fulfilling the commitment of the organization. The objective of framing a Citizens Charter is to build bridges between the citizens and the administration and to streamline administration in tune with the needs of the citizens.

8. **'Classified dak'** means dak bearing a security grading- Top Secret, Secret, Confidential & Restricted.

9. '**Come-back case'** means a case received back for further action such as re-examination or preparing a draft or a summary of the case or to process in line with written instructions of senior officers. Such cases are to be dealt with immediately. In case of re-examination, it must be submitted with reasoned self-contained note.

10. '**Correspondence portion'** in relation to a file means the portion containing 'Receipts' and office copies of 'Issue' (docketed outgoing communications) pertaining to the file including self-contained inter-departmental notes but excluding ID notes recorded on the notes portion of the file itself.

11. '**Courier dak'** means all dak received or dispatched through courier service between the Ministry of Railways and Zonal Railways or other attached or subordinate offices functioning under the Ministry of Railways.

BACK

12. '**C. R. No.**' means the serial number assigned by the Central Registry to dak in the dak register preceded by the code letter identifying the register.

13. '**Current file'** means a file, action on which has not yet been completed.

14. '**Dak'** includes every type of written communication such as letter, Inter-Departmental note, file, e-mail, fax, wireless message which is received, either by post or otherwise, or through e-office in the Ministry of Railways for its consideration.

15. '**Dealing Officer'**- any functionary entrusted with initial examination and noting upon receipts/cases.

16. **'Department'** means any of the Ministries, Departments, Secretariats and Offices mentioned in the first schedule to the Government of India (Allocation of Business) Rules, 1961, as amended from time to time.

17. **'Departmental instructions'** means instructions issued by the Department with the approval of its Minister or Secretary to Government of India to supplement or vary the provisions of the Manual of Office Procedure to meet its specific requirements.

18. **'Departmental Record Officer (DRO)'**- The officer, not below the rank of Section Officer, entrusted by the Department with the responsibility for overall records management in a Department. In Board's office SO/Record, US/DS(O&M) are the DRO.

19. **'Diarist/Registration Officer'** means a JSA/MTS within a Section charged with the responsibility inter-alia of maintaining the Section Diary i.e. a diary for entry and dispatch. It includes personal staff of officer entrusted with entry and issue of receipts/files in the cell referred to the officer.

20. **'Diarising/Registration'** means registering of receipts in the Section Diary or in file management system of e-office. It refers to registration of receipts in the section diary as well as in the diary register with the Personal Staff of Officers.

21. **'Diary Number/Registration Number'** means the e-receipt number generated subsequent to registering dak/receipt details in file management system of e-office. In manual mode serial number assigned to a receipt in the section diary followed by code letter identifying the section diary (e.g. 'H' for section diary for Hindi receipts and 'O' for section diary for other receipts) the year and the abbreviated symbol of the section, e.g., 205-H/87-O&M. It also refers to serial number assigned to a receipt by the Personal Staff of Officers.

22. **'Dispatch book/Peon Book'** means a record, maintained in a format of particulars of dispatch of non-postal and non-courier communications and their receipt by the addressees.

23. **'Directorate'** means a macro unit in Ministry of Railways assigned with specific tasks and headed by AM/PED/ED. A Directorate may comprise one or more Branch/Section/Unit/Cell.

24. **'Discussed Note'** : A note submitted by the Dealing Officer after discussions with the senior officer(s), generally in cases where course of action is not clear.

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25. **'Docketing'** means making 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. In e-File, a hyper-link is used to take one to the relevant page.

26. **'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:--

a. Correspondence
b. Notes
c. Appendix to correspondence
d. Appendix to notes

'eFile" mainly comprises of :

a) Notes
b) Correspondences
c) Draft communication
d) References
e) Linked files (actionable files)
f) Attached files (linked for reference purposes)

27. **'Final Disposal'** in relation to a case under consideration means completion of all action thereon culminating, where necessary, in the issue of final orders/instructions or final reply to the Party from whom the original communication emanated.

28. **'Fresh receipt' (FR)** means any subsequent receipt on a case which brings in additional information to aid the disposal of the paper under consideration.

29. **'Indexing'** in relation to a file means indicating its title under appropriate catchwords arranged in their alphabetical order with a view to facilitate its location in the event of need.

30. **'Issue'** means a communication issued in a case.

31. **'Issue of fair communication'** includes all stages of action after the approval of a draft ending with dispatch of the signed communication to the addressees e.g. fair typing, comparing, attaching enclosures, preparing pads for signature, preparing covers, making entries in the dispatch register and dispatch books, affixing stamps, where necessary.

32. **'Issue Section'** means the section responsible for actual dispatch of signed communication to the addressee as referred to by the concerned section/cell of a Directorate. Issue (Dispatch) Section in Board's Office.

33. **'Link Officer'** is an officer (Section Officer and above) who is assigned the responsibilities of another officer of comparable rank in the Directorate during the former's absence. This is an arrangement made by a Directorate through issue of internal instructions/Office Orders, from time to time.

34. **'Master Circular**' : It is a compendium/consolidation of updated instructions on a given subject into a self contained single document with proper references to orders/instructions/amendments issued from time-to-time.

35. **'Minute'** means a note recorded by the President, the Vice-President, the Prime Minister or a Minister.

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36. **'Night Duty Clerk/Night Duty Staff'** means a Staff on duty outside office hours who performs the functions of the central receipt and issue Section during such hours in the General Branch or in any specific Branch.

37. **'Nodal Ministry/Department'**- One which is primarily concerned with a specific subject allocated to it under the Government of India (Allocation of Business Rule) and interacts with all other Ministries/Departments to ensure uniformity in handling it.

38. **'Note'** means the remarks recorded on a case to facilitate its disposal, and includes a précis of previous papers, a statement or an analysis of the questions requiring decision, suggestions regarding the course of action and final orders passed thereon.

39. **'Notes portion'** in relation to a file means the portion containing notes or minutes recorded on a case.

40. **'Ordinary Postal Dak'** means postal dak for which no specific acknowledgement is obtained by the Posts Offices.

41. **'Paper under consideration (PUC)'** means a receipt on a case, the consideration of which is the subject matter of the case.

42. **'Parliamentary matters'** includes Parliament Questions, Assurances, Standing Committee references etc., the manner of dealing with which is laid down in the 'Manual of Parliamentary Procedures in the Government of India', published by the Ministry of Parliamentary Affairs.

43. **'Personal Staff'** in relation to a functionary means and includes Principal Staff Officer, Sr.PPS, PPS, PS, PA, Stenographer, ASO, SSA, JSA, MTS or any other staff appointed to assist an officer. It also refers to the personal section of a Minister.

44. **'Postal communication'** means all communications dispatched by post.

45. **'Postal dak'** means all dak received through Post offices.

46. **'Precedent Book'** is a register in a prescribed format to keep note of important rulings & decisions having a precedent value for ready reference.

47. **'Receipt'** means dak after it has been received by the concerned Section/Officer.

48. **'Recording'** means the process of closing a file after action on all the issues considered thereon has been completed, forwarding it to Record Branch for recording and includes operations like completing references, removing routine papers, revising the file title, changing the file cover, recording decisions of precedent value in the Precedent Book, categorizing the file and stitching the file.

49. **'Record Officer'** means a Dealing Officer in Record Branch/specified unit entrusted with the responsibility of repetitive/routine aspects of records management.

50. **'Reference folder'** in relation to a particular subject means a folder containing copies of relevant rules, orders, instructions etc. arranged in chronological order.

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

52. **'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 developments as and when they take place.

53. **'Shadow file'** is a file maintained by a section to which another section sends its file for advice/clarification, etc.

54. **'Secretariat Offices'** – Offices responsible for formulation of the policies of the Government and also for the execution, monitoring and review of those policies.

55. **'Section'** means the basic work unit within a Directorate, responsible for attending to items of work allotted to it. It is generally headed by a Section Officer and includes 'Cell', 'Unit' and other similar terms.

56. **'Sectional note'** means a note recorded on only one of the many issues raised in the PUC.

57. **'Section Officer'** means an Officer supervising a Section.

58. **'Security Grading'** means security marking of classified documents as 'Restricted', 'Confidential', 'Secret' or 'Top Secret'.

59. **'Standing Guard File'** on a subject means a compilation consisting of the following three parts:--

    a. A running summary of the principles and policy relating to the subject with number and date of relevant decisions or orders quoted in margin against each;

    b. Copies of the decisions or orders referred to, arranged in chronological order; and

    c. Model forms of communications to be used at different stages.

60. **'Standing Note'** in relation to a subject means a continuing note explaining among other things, the history and development of the policy, procedure and latest position designed to serve as:

    a. a complete background material for review of the existing policy or procedure;

    b. a brief for preparing replies to Parliament Questions or Notes for supplementaries thereto; and

    c. induction or training material.

61. **'Standard Process Sheet'** means a standard skeleton note or a template developed for a repetitive item of work, indicating pre-determined points of check or aspects to be noted upon.

62. **'Urgent dak'** means dak marked 'Out Today", 'Most Immediate', 'Immediate ' or 'Priority' and includes letters, e-mails, fax messages etc.

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e-Office Terminology

63. **Capture** means Registration, Classification, Addition of metadata and storage of a file and/or record in a system that manages them all.

64. **Create** means creation of a new e-file or e-receipt.

65. **'Digitization'** means conversion of physical files / record/document into electronic form and managing the newly created electronic files and records i.e. which can be processed by a Computer/electronic device.

66. **Digital Signature Certificate (DSC)/e-sign** – It is a system of authentication of any electronic record by a subscriber by means of an electronic method of signing like usage of DSC and e-sign. The Information Technology Act, 2000 & the subsequent Amendment Act, 2008 provides for use of digital signatures (and now termed as electronic signatures) on the documents submitted in electronic form in order to ensure the security and authenticity of the documents filed electronically. An electronic (digital) signature is the electronic equivalent of a handwritten signature, verifying the authenticity of electronic documents. These electronic signatures are stored in a certificate which stores the personal information of the owner which is then imported to a physical device (USB Token, floppy disk, CD etc.). Following precaution may be taken while using DSC:

Dos:

a) The token (DSC device) containing certificate should be preserved in safe custody by the owner of the certificate.

b) If the token is lost, the concerned certifying authority (CA) should be informed and requested for the revocation of the certificate immediately.

c) The owner should always ensure to protect the private key with a good password.

Don'ts:

a) The private key protected by a password should never be sent across any network.

b) Never delete token objects, as once deleted, objects will never be regained.

67. **e-File** – File Management System or eFile, provides a simplified, accountable, responsive, effective and transparent electronic system for end-to-end processing of any file. The system includes all stages of working on a file, right from registration of an inward receipt to creation of file; to noting, drafting, approval, signing and issuing of a communication of decisions. With this system, the movement of receipts and files becomes seamless with ease of access to end users as every action taken on a receipt or file is recorded electronically. This automation of file plays a very crucial role in both improving the efficiency of decision making and bringing transparency in government.

68. **e-File No**. - A unique number automatically allotted by e-Office System to an electronic-File, at the time of creation of file.

69. **e-Receipt No.**- A unique number automatically allotted by e-Office System to an electronic-Receipt, at the time of registration of receipt electronically.

70. **e-Office** – e-Office is a product suite aimed at transforming the core of the Government functioning, the work culture and work ethics by bringing in more efficiency, transparency, and accountability in Government transactions leading to increased productivity. One of the

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key areas of importance in eOffice is to have a uniform & seamless communication channel between the electronic world (user Department implementing eOffice) & the existing physical world (external organizations, citizen etc.). It provides electronic way of doing work for a public servant which includes the elements like e-file, Workflow Automation, Document and Knowledge Management and leads to reduction in use of paper.

71. **eFile Administrator** : eFile Administrator is the identified person in any Department who holds privileged rights to manage all the reference data, transfer of cases, reports permissions, search privileges etc. in case of eFile. In Board's office, RBCC is the eFile administrator.

72. e-**Office Administrator** : eOffice Administrator is the identified user with all the administrative privileges and rights to manage various master/reference-data, and its configuration with all the available applications of eOffice product suite, viz. eFile, eLeave, eTour, PIMS and CAMS. He is the one with the responsibility of creation, mapping, and management of all the organization and user data of the eOffice. In Board's office, only eFile, PIMS modules are running and RBCC is the system administrator.

73. **'e-Recording'** means the process of closing an e-file after action on all the issues considered thereon has been completed and includes operations like attaching all orders/instructions related to the subject, completing references, revising the e-file title, recording rulings (if any) in the Precedent Book, categorizing the e-file.

74. **Internet** – a worldwide system of public computer networks in which users can get information from any other computer (and sometimes talk directly to users at other computers).

75. **Intranet** – a private network with interlinked local area networks using leased lines in the wide area network.

76. **Knowledge Management System** - Government manages large volume of documents of various categories like Policies, Forms, Circulars, Guidelines, etc. Maintaining a central repository of documents provides a one-stop access of all the necessary information required by end-users in the Department. It is a system or framework for managing the organizational processes that create, store and distribute knowledge, as defined by its collective data, information and body of experience. KMS allows users to create and manage e-documents which can be viewed, searched and shared. It is also capable of keeping track of the different versions modified by different users.

77. **Local Area Network** – a network of computers in close proximity to each other in an office building.

78. **Meta-data** – Meta-data are details of information provided in the pre-defined fields for a Dak while registration and / or for a file during its creation. Meta-data stores data about the structure, context and meaning of data.

79. **MIS dashboard** – the snapshot of location of all the e-files and their status at any given point of time.

80. **Portal** – consists of web pages that act as a starting point for using the Web or web-based services.

81. **e-Record** – Any record which is maintained electronically or in digital form.

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82. **Registration at entry level**: This means that in eFile, a dak or an inward communication is registered only once at the first point of entry in a Department, whether in the Central Registry or in the personal offices of the Minister, Secretary or any other officer or in the Section.

83. **Registration**: means entering of details of dak at the entry level.

84. **System/e-File Administrator** – a designated officer responsible for maintaining and operating the IT system in an organization. In Board's office, RBCC unit of C&IS Directorates are the System Administrator.

The responsibilities of the system administrator includes monitoring security, configuration, managing allocation of user names and passwords, monitoring disk space and other resource use, performing backups and setting up new hardware and software, whenever required.

System Administrator viz C&IS is also responsible for the implementation of the Cyber security policies in Railway Board as per the Government of India's policies.

85. **User** – a person authorized to use e-Office system in a particular Directorate/Branch/Unit.

86. **Version** – the state of a document at some point during its development. A version is usually one of the drafts of a document, or the final document or the software state of development.

87. **Video Conference** – a set of interactive telecommunication technologies that allow locations to interact via two-way video and audio transmissions simultaneously.

88. **Wide Area Network** – spans a large geographic area, such as a state or country. WANs often connect multiple smaller networks, such as Local Area Networks or Metro Area Networks (MANs).

89. **Wi-fi** – Wireless networking technology that uses radio waves to provide wireless high-speed Internet and network connections.

90. **Workflow Automation** – the use of email based software technology to increase the efficiency of a workflow by improving the coordination of the activities of the people involved.

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CHAPTER - 2

MACHINERY OF GOVERNMENT

2.1. Government – The structure of Government is as under :-

President (Executive Head)
⇩
Prime Minister (Head of Council of Ministers)
⇩
Council of Ministers (Cabinet Ministers,
Ministers of State and Deputy Ministers)
⇩
Executive (Secretary &
Subordinate Functionaries)

2.2. The President – The executive power of the Union formally vests in the President and may be exercised by him either directly or through officers subordinate to him, in accordance with the Constitution.

2.3. The Council of Ministers:

i) In the exercise of his functions, the President is aided and advised by a Council of Ministers headed by the Prime Minister vide article 74(1) of the Constitution. In actual practice, the executive authority resides in the Council of Ministers.

ii) The Council of Ministers consists of three categories of Ministers, namely:

a) Cabinet Ministers;
b) Ministers of State; and
c) Deputy Ministers.

iii) The Cabinet, which consists of Ministers of the first category only (Cabinet Ministers), is responsible for shaping the overall policies of the government. In discharging its responsibilities, it sometimes also functions through its Committees. A Minister of State with Independent Charge also attends a Cabinet meeting when subject matter of his/her Department is considered.

2.4. Allocation/Transaction of Government Business:

i) Among the rules issued by the President for the convenient transaction of the business of the Government, under Article 77(3) of the Constitution, are :

(a) The Government of India (Allocation of Business) Rules, 1961 (as amended from time to time); and

(b) The Government of India (Transaction of Business) Rules, 1961 (as amended from time to time).

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ii) **The Government of India (Allocation of Business) Rules, 1961:-** The Allocation of Business Rules, allocate the business of the government among its different Departments which are assigned to the charge of the Ministers by the President on the advice of the Prime Minister. In relation to the business allotted to a Minister, these rules also permit the association of another Minister or Deputy Minister to perform such functions as may be specifically assigned to him/her.

iii) **The Government of India (Transaction of Business) Rules, 1961:-** The Transaction of Business Rules seek to define the authority, responsibility and obligations of each Ministry/Department in the matter of disposal of business allotted to it. While providing that 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 department concerned and secure their concurrence/comments before taking final decisions.

Note: The AOB and TOB rules are available on the website of Cabinet Secretariat www.cabsec.nic.in.

2.5. Ministry/Department:

(i) A Ministry/Department is responsible for formulation of policies/schemes of the Government in relation to business allocated to it and also for their implementation, monitoring and review. For the efficient disposal of business allotted to it, a Ministry/Department is divided into Wings, Divisions (In Board's Office, Directorates in place of Wings and Divisions), Branches and Sections/Units/Cells.

(ii) A Ministry/Department is normally headed by a Secretary to the Government of India who acts as the administrative head of the Department and Principal Adviser to the Minister on all matters of policy and administration within the Department.

(iii) Where the volume of work in a Ministry/Department exceeds the manageable charge of a Secretary, one or more wings is established with a Special Secretary/Additional Secretary/Joint Secretary incharge of each wing (in respect of Ministry of Railways there are Directorates headed by DG, AMs, PEDs and EDs reporting to Board Members who are ex-officio Secretary to Government of India). Such a functionary is normally vested with the maximum measure of independent functioning and responsibility in respect of the business falling within his wing, subject to the overall responsibility of the Secretary for the administration of the department as a whole.

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(iv) A Directorate/Wings comprises Branch/Section(s) / Cells each functioning under the charge of Director/JD/DS or equivalent.

(v) A Section/Cell is generally the lowest organizational unit in a Department with a well-defined area of work. It normally consists of ASOs, SSAs, as dealing officers and JSAs as Clerical support. Some other non-gazetted staff are also drafted from Railways as ex-cadre staff for technical support. Sections are supervised by a Section Officer. Under Secretary/Deputy Director in lieu of Section Officer. Initial processing and submission of cases through noting and drafting is primarily done by Dealing Officers of the level of ASO/SSA. However, there are instances where cases are to be initiated at higher level. Even in such cases, functionaries in the section will provide the required assistance.

2.6. Attached and Subordinate Offices:

Where the execution of the policies of the government requires decentralization of executive action and/or direction, a Department may have its executive agencies as 'Attached' and 'Subordinate' offices.

(i) **Attached Offices** provide detailed executive directions required in the implementation of the policies, as laid down from time to time by the Ministry/Department to which they are attached. They also serve as a repository of technical information and also advise the department on various aspects of matter dealt with by them.

(ii) **Subordinate Offices** generally functions as field establishments or as agencies responsible for the detailed execution of the policies of the 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 specialization.

2.7. Constitutional Bodies: Such bodies are established under the provisions of the Constitution of India (e.g. Union Public Service Commission, Election Commission, Comptroller and Auditor General of India, Attorney General of India, etc.).

2.8. Statutory Bodies: Such bodies are established under a statute or an Act of Parliament. They work within the scope, mandate and powers legally provided to them by an Act of the Parliament (e.g. Central Vigilance Commission, Central Information Commission, Central Board of Film Certification, National Commission for Women etc.).

2.9. Autonomous Bodies: Such bodies are established by the Government to discharge the activities/functions relating to execution/implementation of policies of the government. They are given autonomy to discharge their functions in accordance with the Memorandum of Associations etc.. However, the Government's overall control exists to the extent of its policy framework on the subject. Some of the programmes and activities are funded fully or partly by

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the Government of India, generally through grants-in-aid. They are registered under the Societies Registration Act, 1861. Example: Central Board of Secondary Education, Indian Institute of Public Administration, Kendriya Vidyalaya Sangathan (KVS), Indian Institute of Management (IIM) etc..

2.10. Central Public Sector Enterprises – Central Public Sector Enterprise (CPSE) is the company under the Administrative control of Central Ministry/Department holding more than 50% of the equity by the Central Government. The subsidiaries of these companies, if registered in India wherein any CPSE has more than 50% equity are also categorized as CPSEs. It also covers certain statutory corporations like Airport Authority of India, Food Corporation of India etc.. The shares of CPSEs are held by the President of India or his nominees and are managed by Board of Directors, which includes official and non-official Directors/other shareholders or by the holding companies (RITES, IRCON, IRCTC etc.). The departmentally run public enterprise, banking institutions and insurance companies are not covered under the definition of CPSE."

2.11. Information and Facilitation Counters (IFCs):

The information and Facilitation Counter will provide the following services to the clients/customers of the organization:

(i) information regarding services provided and programmes, schemes etc. supported by the organization and the relevant rules and procedures, brochures, folders etc.;

(ii) facilitating the customer/client to obtain the services of the Organization optimally, timely, efficiently and in a transparent manner and providing forms etc. for public usage;

(iii) information regarding the standards of quality of service, time norms, etc. evolved by the organization with reference to the services/schemes/functioning of the organization;

(iv) information regarding hierarchical set up of Public Grievance Redress Machinery of the organization; and

(v) receiving, acknowledging and forwarding the grievances/application/request/form etc. (related to the services provided by the organization) to the concerned authority in the organization and providing information on their status/disposal.

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CHAPTER 3

ORGANIZATION OF THE MINISTRY OF RAILWAYS (RAILWAY BOARD) – TOP, MIDDLE & SECRETARIAT MANAGEMENT

3.1. Constitutional & legal position of the Ministry of Railways (Railway Board)–

a. Under the Constitution of India, the legislative power with respect to Railway vests exclusively in Parliament in terms of the provisions contained in article 246 (1) read with Entries 22, 30 and 89 of list I of the Seventh Schedule to the Constitution of India.

- **Article 246(1):** Notwithstanding anything in clauses (2) & (3), Parliament has exclusive power to make laws with respect to any of the matters enumerated in List 1 in the Seventh Schedule (in this Constitution referred to as the "Union List").

- **Seventh Schedule**

  List 1 – Union List

  Item 22. Railways

  Item 30. Carriage of passengers and goods by railway, sea or air, or by national waterways in mechanically propelled vessels.

  Item 89. Terminal taxes on goods or passengers, carried by railway, sea or air; taxes on railway fares and freights.

The executive power also, with respect to Railways, which shall be co-extensive with the legislative power of Parliament, vests exclusively in the Government of India. The subjects, as allocated to Ministry of Railways, Railway Board under the Government of India (Allocation of Business) Rules 1961, with reference to which these powers are exercised are as follows—

i. *Government Railways* – All matters, including those relating to Railway revenues and expenditure, but excluding Railway Inspectorate and Railway Audit.

ii. *Non-Government Railways* – Matters in so far as provision for control by the Ministry of Railways/Rail Mantralaya, Railway Board/Rail Board is provided in the Railways, Act 1989 (24 of 1989) or in the contracts between the Government and Railways, or in any other statutory enactments, namely, regulations in respect of safety, maximum and minimum rates and fares etc. excluding the item of work allocated to the Ministry of Housing and Urban Affairs.

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iii. Parliament Questions/matters regarding offences relating to pilferage of Railway Property and offences relating to crime on Government Railways and Non-Government Railways.

iv. Administration of pension rules applicable to Railway employees.

b. As per AOB & TOB Rules 1961 the subjects allocated to the Ministry of Railways (Railway Board) are under the overall charge of the Minister of Railways, who is a Minister of Cabinet rank. He is assisted in his work by one or more Ministers, who are of the status of Ministers of State or Deputy Minister. The Minister of State/ Deputy Minister performs such functions as may be assigned to him by Minister of Railways in relation to the business allotted to the Ministry.

c. The Railway Board which is the Chief Administrative Body assisting the Minister of Railways and the Minister of State / Deputy Minister for Railways in the discharge of their functions, was constituted under a resolution of the Government of India dated 18th February, 1905. Under Section 2 of the Indian Railways Act, 1905 the Railway Board has been vested with certain powers of the Central Government under the Indian Railways Act, 1890 since revised as Railways Act, 1989. Apart from its functions as the top Railway executive body for the administration, technical supervision and direction of the Railways, the Railway Board functions also as a Ministry of the Government of India and exercises all the powers of the Central Government in relation to the Railways.

d. In year 1923, the Financial Commissioner, Railways was included as a Member of the Railway Board. Further, Railway Finance was separated from the General Finance in 1924. As such, Railway Board had also been exercising the powers of the Government of India in regard to Railway expenditure since 1924 subject to ultimate financial authority of the Minister of Railways and Union Cabinet. However, on 21st September, 2016, Government of India approved the merger of the Railway Budget with the Union Budget of India and thus abrogated the old practice of separate Railway and General Budgets. On 25th February, 2016, the last separate Railway Budget was presented in the Parliament. **From 1st February, 2017 onwards, combined Railway and General Budget is being presented in the Parliament every year. In September, 2020, the post of Financial Commissioner, Railways has been re-designated as Member/Finance, Railway Board.**

e. The powers of the Railway Board in all establishment matters are indicated in the Indian Railway Establishment Code. Powers of Railway Board in all other aspects like Finance, Accounts, Engineering etc are indicated in separate Codes. A list of such Codes are as under:-

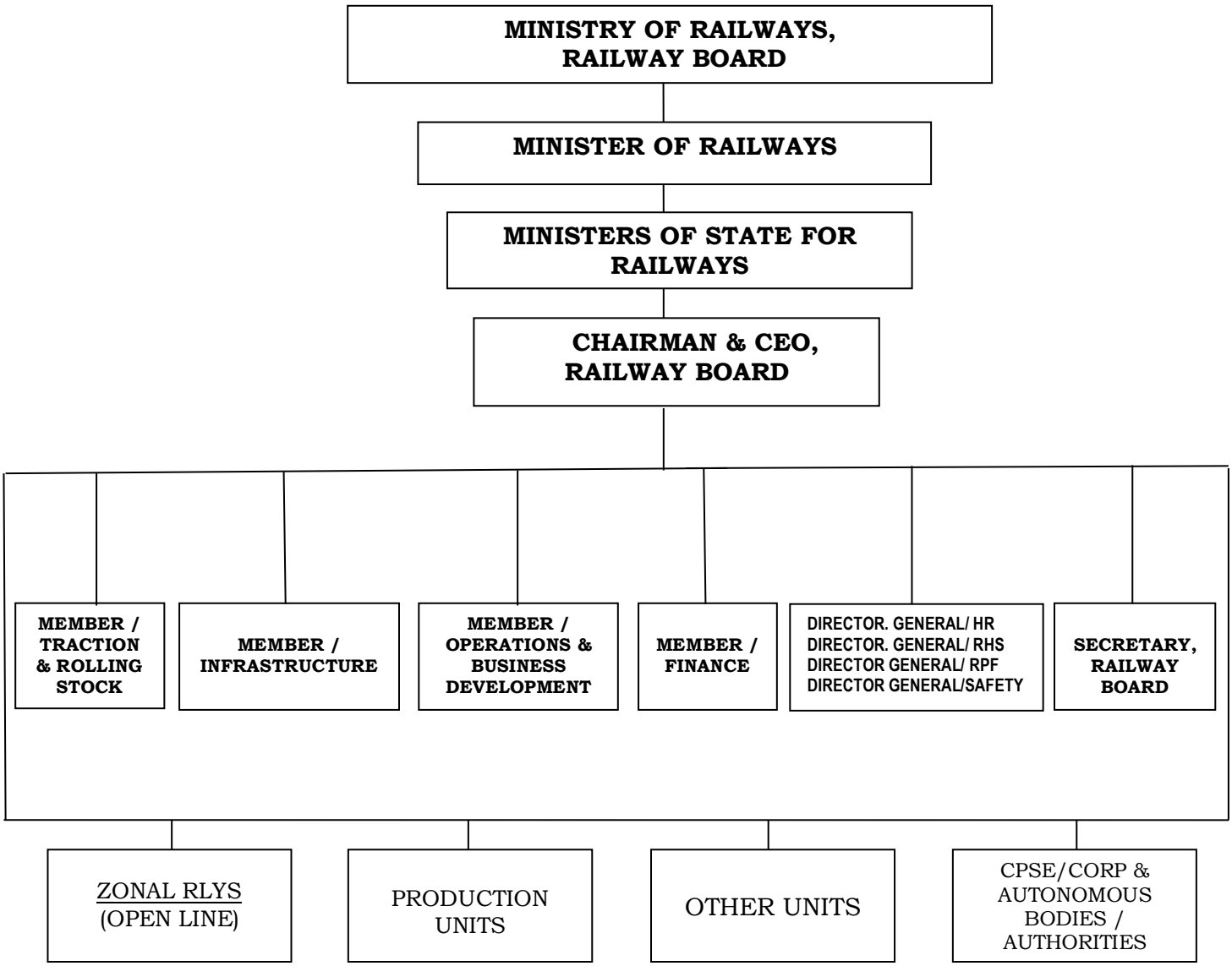
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S.No.	Codes
1.	Indian Railways Administration and Finance an Introduction.
2.	Indian Railways Code for the Accounts Department Part - I
3.	Indian Railways Code for the Accounts Department Part - II
4.	Indian Railways Finance Code Volume - I
5.	Indian Railways Finance Code Volume - II
6.	Indian Railways Establishment Code Volume- I
7.	Indian Railways Establishment Code Volume - II
8.	Indian Railways Code for the Stores Department Voulume - I
9.	Indian Railways Code for the Stores Department Volume - II
10.	Indian Railways Code for the Engineering Department
11.	Indian Railways Rolling Stock Code
12.	Railways service (Pension) Rules - 1993

Note : These Codes alongwith various Manuals are available at IR Website : https://indianrailways.gov.in/railwayboard/view_section.jsp?lang=0&id=0,5,377

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3.2. ORGANISATION STRUCTURE OF INDIAN RAILWAYS



3.3. Ministry of Railways (Railway Board) –

The Ministry of Railways (Railway Board) is under the charge of a Minister of Cabinet rank, who is assisted by Minister of State / Deputy Minister.

3.4. Secretariat Establishment of the Railway Board is organized on the same basis and pattern as the Central Secretariat Service with the difference that the service conditions of the staff in the Railway Board are principally linked with those obtaining for Railway servants on Railways rather than with those obtaining in the Central Secretariat. This has been necessitated by the fact that the Railway Board Secretariat is not only functioning as a Ministry of the Government of India but also as a high administrative and technical unit, controlling the executive functions of Railways. The posts in Railway Board are manned by recruitment through UPSC, Staff Selection Commissions and other recruiting agencies of Railways.

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3.5. Railway Board – The Railway Board at present constituted, consists of :

a. Chairman, Railway Board & Chief Executive Officer (CEO) - CRB,
b. Member (Infrastructure) – M/Infra,
c. Member (Traction & Rolling Stock) - M/TRS,
d. Member (Operations & Business Development) – M/O&BD, and
e. Member (Finance) - MF.

3.6. Chairman, Railway Board and Chief Executive Officer (CRB & CEO) –

The Chairman, Railway Board & CEO is ex-officio Principal Secretary to the Government of India in the Ministry of Railways. He is responsible to the Minister of Railways (or as delegated by him) for arriving at decisions on technical and non-technical questions and advising the Government of India on matters of Railway policy. He deals with Corporate Coordination and other corporate functions as well as any other subjects as laid down from time to time. Human Resource, Safety, Health, Security, Vigilance, Public Relations, Planning, Infra and Secretary's Branches are directly under the charge of CRB&CEO. For HR, Safety, Health and Security, CRB&CEO is assisted by DG/HR, DG/Safety, DG/RHS and DG/RPF respectively. However, CRB&CEO at his discretion, may deal with any matter pertaining to any discipline or any other subject. All policy and other important matters are put up to the Ministers through him. He has the power to over-rule the other Members of the Board.

i) All cases, in which there is a difference of opinion between two Members of the Board, would be referred to the CRB & CEO, who will try to arrive at a jointly agreed proposal, if necessary, after discussion. The CRB & CEO may also take final decision in regard to inter-departmental differences (subject to the approval of the Ministers being obtained, wherever necessary).

ii) In the event of a difference of opinion between the Member (Finance) and other Members of the Railway Board, the Members may bring such cases to the notice of the CRB & CEO, bringing out finance observations and detailed remarks thereon. The CRB & CEO will have full powers to take the final decision by recording a reasoned order.

iii) Member (Finance) may, however, ask such matters be brought to the notice of Minister of Railways. However, any reference to Ministry of Finance, if required, shall be sent only after approval of Minister of Railways.

3.7. Members of the Railway Board -

Members of Railway Board function as ex-officio Secretaries to the Government of India and are responsible for dealing with all aspects of the technical subject or subjects of which they are in-charge. Where a question impinges on the function of another member, his concurrence is to be obtained and in case of any persisting difference, the issue is to be referred to the CRB & CEO for a decision. The broad subjects under the charge of Board Members are as under:

Member (Infrastructure):

Works, Civil Engineering including Track, Bridges, Signal & Telecom, Land & Amenities, Station Development, Railway Electrification and Gati Shakti.

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Member (Traction & Rolling Stock):

Production Units, Mechanical Workshops, Coaches & Wagons, Locomotives, Train sets, EMUs/MEMUs, Environment and House Keeping, Disaster Management Equipments (Trains, ARTs etc.), Electrical Maintenance of Coaching Stock, Traction Distribution, Power Supply, Renewable Energy, Power Cars, TL&AC and Materials Management.

Member (Operations & Business Development):

Traffic Transportation, Coaching, Tourism & Catering, Commercial, Non-Fare Revenue, Marketing & Business Development & IT.

Member (Finance):

Accounts, Finance, Budget, Revenue, Stat. & Econ. and Economic Unit are under the charge of Member/Finance. In financial matters Member (Finance) is vested with full powers in respect of Railways Revenues and Expenditure as delegated by Ministry of Finance, Government of India.

3.8. (i) **Directors General** – There are four Directors Generals, each in charge of Railway Protection Force, Railway Health Services, Human Resource and Safety Departments on Railways / Directorates in Railway Board respectively. They exercise all powers in respect of Department/Directorate under their control hitherto exercised by the concerned Board Members except those requiring approval as Secretary to Government of India or as from Minister of Railways. For such cases, they report to CRB & CEO.

(ii) **Additional Members/Principal Executive Director (PED)** – To enable the Board to effectively tackle the additional duties and responsibilities arising from the increased tempo of work, there are Additional Members and PEDs, in various Directorates. Normally a Directorate is headed by an Additional Member or a PED. Although AMs and PEDs do not form part of the Board yet they have been authorized to pass final orders on behalf of the Board except with regard to those matters, which require formal approval of the Board and Ministers. These officers, while not being Members of the Board as such are often invited to attend Board Meetings, when necessary.

3.9 Secretary, Railway Board —

Secretary, Railway Board, who is ex-officio Additional Secretary to the Government of India in the Ministry of Railways, has four types of responsibilities as indicated below:--

(i) As the Secretary of the Board, he attends the Board meetings, draws up the minutes of the discussions and, after getting them approved, issues them to the Directorates concerned for necessary implementation. He also circulates a copy of the minutes to the Ministers, Board Members, Directors General, Additional Members and PEDs.

(ii) Secretary, Railway Board is responsible for the general conduct of work in the Ministry and for this purpose he has overall control over the various administrative sections in the Ministry of Railways, namely ERB Sections, Cash Sections, General Sections, etc.. He is responsible for all establishment issues related to officers/staff working in Railway Board. He maintains coordination between the various Directorates and is responsible for the strict observance of office procedure. The Parliament work is also under his overall charge. The

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responsibility for the preparation of Budget for the Office of the Ministry of Railways vests in him. In respect of dispute on handling of any case / subject between or amongst Directorates, the decision of Secretary, Railway Board is final & binding. He is also generally responsible for the current relations between the Ministry of Railways and other Ministries of the Government of India particularly co-ordination with PMO, Cabinet Secretariat, DOP&T, Ministry of Law etc. He is also responsible for ensuring compliance of administrative orders/instructions as from Minister of Railways including issues requiring co-ordination with different Directorates in respect of information called for by the Minister of Railways.

(iii) The third item of responsibility for the Secretary, Railway Board, is that relating to Gazetted Establishment of Railways [excluding work dealt with by Confidential Cell directly under CRB&CEO through Establishment Officer (EO), Railway Board], in regard to the following aspects:-

- Transfer/posting cases of officers of SAG & above
- Seniority of officers including those promoted from Group 'B' to Group 'A'.
- Individual cases of fixation of pay of Gazetted officers.
- Transfer of officers on deputation both within India and abroad.
- Inter-Railway transfer of officers.
- Disciplinary cases against officers.
- Court cases on Establishment issues of Gazetted Officers related to promotion, posting, D&AR cases (Selection Grade and above)

(iv) All issues related to Rail Museum including National Rail Museum at Delhi, policy regarding identification and preservation of Rail Heritage- Station, Building, Line, Locomotives, Coaches etc.

3.10 Board Meeting:

The existing constitution of the Railway Board gives the Board freedom in shaping and carrying out Railway policy to enable it to treat Railways as a national undertaking developed on commercial lines. The Railway Board usually meet on specified days or as may be necessary to consider major questions of policy etc and to dispose of all important/major cases requiring the orders of the Board or the Ministers. Meetings of the full Board with the Ministers are also held as and when required at which questions of policy and such other specific subjects as are indicated by the Minister are discussed.

3.10.1. The agenda for the meeting of the Board is determined by CRB & CEO.

3.10.2. A self contained memorandum is prepared on each case to be discussed at the Board's meetings by the Directorate concerned setting out the issues raised, the views of the other concerned Directorates particularly those of the Finance Directorate in cases having financial implications and finally summary of the point or points requiring Board's orders. The memorandum is to be approved by the Board Members concerned and 10 copies of the memorandum are to be sent to Secretary's office. Format/instructions for preparing Memorandum for discussion during Board meeting are available on IR website under the link 'Instructions on specific subject/issue of O&M under Secretary's branch

(https://indianrailways.gov.in/railwayboard/view_section.jsp?lang=0&id=0,1,304,366,523,629,2043)

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3.10.3. Complex issues requiring inputs from various Directorates should be proposed for inclusion in Board Meeting only through Board Memorandum in the manner as indicated above.

3.10.4. Proposals for Board's approval on simpler issues, not requiring multiple consultations be made with 'concluding' para, drawing attention of Board on specific decision required (cases not required to be discussed in Board Meeting).

3.10.5. As an exception, issues for Board's appreciation requiring urgent action that cannot wait for multi-disciplinary consultation is to be made in the form of appreciation note where due diligence of all concerned is still to be firmed up.

3.10.6 Secretary, Railway Board prepares the Minutes of the Board's Meetings, and after approval by the Board Members, the minutes are circulated to concerned Board Members, DGs, AMs & PEDs for necessary action. Copies of the minutes are also be sent to Ministers for information.

3.11. Adviser/Joint Secretaries, Railway Board.—

Both Adviser and Jt. Secretaries, Railway Board report to Secretary, Railway Board and are responsible for assisting the Secretary in his work pertaining to Establishment and Administration in the Ministry of Railways viz. all issues/aspects related to Gazetted/Non-Gazetted establishment, D&A, Seniority, VRS, Representation, Deputation of Gazetted Officers of Railways, Parliamentary Work, Office Accommodation, Purchase of office stationery and other equipments etc. as entrusted from time to time by Board.

Adviser (Admin.)/Jt. Secretary, Railway Board-

He is responsible for all cases pertaining to non-gazetted staff of the Ministry of Railways, assists Secretary, Railway Board in all matters relating to Railway Board's Budget, Office Accommodation & maintenance of Board's Office, Hospitality/Protocol and Procurement of stationery and other official items, allotment of Quarters/Bungalows to Railway Officers, Medical Reimbursement, PF and Retirement benefits of Board's Gazetted and Non-Gazetted staff etc. He is also O&M Officer of the Ministry of Railways. He represents the Ministry of Railways in the Departmental Council of the Department of Personnel; presides over the Staff Benefit Fund Committee and is associated with other Committees like Canteen Committee, Sports Committee etc. of the Ministry of Railways.

Adviser (Gaz.)/Jt. Secretary (Gazetted) assists the Secretary/RB in the Establishment work pertaining to Gazetted officers of the Railway Board's Office. He also handles the cases of posting, transfer, leave and promotion of all gazetted officers on Railways including court cases on promotion/transfers.

Adviser (E)/Jt. Secretary (Establishment) assists the Secretary/RB in matters relating to D&A cases, Seniority, Extension of service, Compulsory Retirement under Rule 56 (j) and VRS of Gazetted Officers on Railways including court cases on such aspects.

Adviser (P)/Jt. Secretary (Parliament) assists the Secretary/RB in the Parliamentary work of M/o Railways as well as coordination in preparation of all material required for the meetings of the Consultative Committees of MPs for the Ministry of Railways, including co-ordination of MPs/VIPs/PMO references concerning more than one Directorate as specified in para no. 17.6.1.

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Adviser (D)/Joint Secretary (D) is responsible for Deputation both within India and abroad, representation of Railway Officers on PF, Pension, Conduct Rules, Fixation of Pay, Date of Birth etc., Posting and processing of ACC/PSEB cases for posting of CMDs and functional Directors in Railway PSUs/Autonomous Bodies, Appointment to the posts of Chairman, Vice Chairman, Members in RCT.

Jt. Secretary (Monitoring) assists Secretary/RB in Court Cases related to D&A cases of Gazetted Officers, the work related to Legal Information Management and Briefing Systems (LIMBS), monitoring of decision taken in Board's meeting on regular basis, monitoring of progress of e-Office in Board's Office etc.

3.12. Establishment Officer (EO), Railway Board-

EO reports to CRB & CEO and is responsible for empanelment of Railway Officers for JAG and above levels including completion of all the modalities pertaining to empanelment as mentioned in extant Resolutions concerning Railway Officers. EO also handles all policy matters relating to career planning of Railway officers on the Railways. Maintains Annual Performance Appraisal Reports (APARs) of all officers of the level of Selection Grade and above of All India Railway Services working on Railways and PUs including APARs of Senior Scale and above of RBSS & RBSSS Officers working in Board's Office. For all these works, Confidential Cell of Railway Board reports to EO/RB.

3.13. Executive Directors. –

Executive Directors are the driving force of the organization and on them rests the responsibility of implementing the policy of the Ministry of Railways (Railway Board). Subject to the general principle that when the policy of the Ministry in any particular aspect is not known, it is not to be assumed, Executive Directors deal on their own or ensure handling by the officers under them all issues arising for consideration in the sphere of their functions and communicate decisions on behalf of the Ministry of Railways (Railway Board). In the case of matters needing consultation with other Directorates particularly the Finance Directorate in cases having financial implications, or even with other Ministries, Departments, UPSC etc. such consultations shall be ensured before final decisions are arrived at and communicated. Issues of major importance of policy will be placed before the Board Member concerned, who, if he considers it necessary, will suggest discussion in appropriate cases, in a Board meeting before a decision is arrived at. In such cases, a Memorandum will be prepared to enable discussion of the issue in a Board meeting. Cases requiring Minister's approval or orders will be submitted to him for decision.

3.14. Directors/ Joint Directors/Deputy Secretaries.—

Directors/ Joint Directors/Deputy Secretaries normally report to the concerned ED/PED/AM/Director General, Railway Board. They function and assist in the disposal, on their own, of a number of items of business coming up for consideration in their area of responsibilities as per powers delegated or as per channel of submission of cases for the Directorate. Though, they normally report to the Executive Directors concerned, they may in certain cases, e.g. where there is no Executive Director or where the particular subject does not fall within the jurisdiction of the Executive Director, put up papers directly to Additional Member/PEDs/Director General or Member of the Board concerned. In areas, where a Joint Director functions as a Branch Officer, he will have the same authority and responsibility as a Deputy Director in regard to the dispatch of business dealt with and the maintenance of discipline amongst the staff in the Sections under him.

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3.15. Deputy Directors/Under Secretaries.—

A Deputy Director/Under Secretary is in charge of a Branch in a Ministry/Department consisting of one or more Sections/Units/Cells. Deputy Directors/Under Secretaries are responsible to the Executive Directors or Directors or Joint Directors concerned for the current work in the Sections under them for which they function as Branch Officers. Generally, they dispose, of their own responsibility, issues of routine character like simple interpretation of Rules, Orders, etc. Executive Directors or Directors may, however, vest in the Deputy Directors/Under Secretaries the authority to take decisions on issues of routine nature depending on the individual circumstance of the case. Deputy Director/Under Secretary will, without impairing the general responsibility of the Section Officer or other supervisory staff in-charge, exercise the necessary control both in regard to the timely dispatch of the business dealt with and in regard to the maintenance of discipline amongst the staff in the sections under their charge.

3.16. Section Officers.—

A Section Officer is in-charge of a Section, the primary unit of a Department/Directorate in the Secretariat, comprising a team of Assistant Section Officers, Senior Secretariat Assistants as Dealing Officers and Junior Secretariat Assistants and MTS as supporting staff. Section officers function as supervisors of Sections / Branches, with a defined allocation of subjects to be handled by their unit. They are responsible to the Executive Directors / Directors / Jt. Directors and Deputy Directors/Under Secretary under whose charge the Section functions for ensuring the following:-

A. General Duties-

(i) ensure e-file system is implemented and sustained;
(ii) distribution of work amongst the staff as evenly as possible;
(iii) training, helping and advising the staff;
(iv) management and co-ordination of the work;
(v) maintenance of order and discipline in the section;
(vi) maintenance of a list of residential addresses of the Staff.

B. Responsibilities relating to Dak-

(i) to go through the receipts;
(ii) to submit receipts which should be seen by the Branch Officer or higher officers at the dak stage;
(iii) to keep a watch on any hold-up in the movement of dak; and
(iv) to scrutinize the section register once a week to know that it is being properly maintained

C. Responsibilities relating to issue of draft-

(i) to see that all corrections have been made in the draft before it is marked for issue;
(ii) to indicate whether a clean copy of the draft is necessary;
(iii) to indicate the number of spare copies required;
(iv) to check whether all enclosures are attached;
(v) to indicate priority marking;
(vi) to indicate mode of dispatch.

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D. Responsibility of efficient and expeditious disposal of work and checks on delays-

(i) to keep a note of important receipts with a view to watching the progress of action;
(ii) to ensure timely submission of arrear and other returns;
(iii) to undertake inspection of dealing officer table to ensure that no paper or file has been overlooked;
(iv) to ensure that cases are not held up at any stage;
(v) to go through the list of periodical returns every week and take suitable action on items requiring attention during next week.

E. Independent disposal of cases-

He/she should take independently action of the following types-

(i) issuing reminders
(ii) obtaining or supplying factual information of a non-classified nature;
(iii) any other action which a Section Officer is authorized to take independently as laid down in the Directorates' internal instructions/orders issued from time to time.

F. Duties in respect of recording and indexing-

(i) to approve the recording of files and their categorization;
(ii) to review the recorded file before destruction;
(iii) to order and supervise periodic weeding of unwanted spare copies;
(iv) ensuring proper maintenance of registers required to be maintained in the section;
(v) ensuring proper maintenance of reference books, Office Orders etc. and keep them up-to-date;
(vi) ensuring neatness and tidiness in the Section;
(vii) dealing with important and complicated cases himself;
(viii) ensuring strict compliance with Departmental Security Instructions.

3.17. Assistant Section Officer (ASO), Senior Secretariat Assistant (SSA) or Ex- Cadre Staff drafted from Railways – Dealing Officer

Dealing Officer works under the supervision of the Section Officer. Each Dealing Officer is allocated subjects out of the subject areas allocated to the Section and are responsible for following activities:-

i) Opening, maintenance and custody of files;

ii) Put up the file to Section Officer mentioning precedents/facts, rule position, pointing out any mistake, incorrect statements of facts, preparing draft replies, memoranda, statements etc (Dealing Officer are to type their notes and drafts themselves);

iii) go through the receipts and ensure that the receipts, with urgency grading, are dealt with first;

iv) move the receipt to a file;

v) If a file exists for this receipt, add the receipt to the existing file;

vi) In case a file does not exist, a file will be opened;

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(vii) Dealing Officer will add the data/metadata required for creating a new file. A number will be given by the Dealing Officer 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;

(viii) Reproduce remarks on the notes portion of the file, if any, made by an officer on the receipt;

(viii) Dealing Officer will have to give a serial number and page number to all the letters received and issued. In an e-Office System, the system will automatically assign a new serial number to the receipt, which will be visible on the top of all the pages of the receipt. The system will also automatically assign a new page number to each page of the receipt, which will be visible on top right hand corner of the page;

(ix) link related file, if any. In an electronic environment, with the help of knowledge management, and collaboration/interaction tools in the system, search and link other e-files or documents, if any, referred to in the receipt, or having a bearing on the issues raised therein;

(x) identify and examine the issues involved in the case and record a note;

(xi) submit the case to the appropriate higher officer; and

(xii) in an e-Office, metadata may be used for such purposes.

3.18. Junior Secretariat Assistant (JSA) .—

JSAs provide miscellaneous support to the Section/Unit/Cell, responsible for work related to both Physical file/receipt and for E-office system briefly as under :-

(a) registration and diarisation of papers coming to the Section;
(b) maintenance of the various registers in the Section
(c) typing and proof-reading of such material as may be assigned to them by the Section Officer or other supervisory staff.
(d) Preparation of various periodical statements and returns to be furnished by the Section to other sections or offices.
(e) Ensuring dispatch of outgoing letters and files of the section;
(f) Indexing/Recording work;
(g) Preparation and submission of simple notes and drafts under the guidance of the Section Officer.

3.19. Multi Tasking Staff (MTS).—

Erstwhile Group 'D' posts of Peon, Daftary, Jamadar, Messenger, Farash, Safaiwala, Mali etc. are now designated as Multi-Tasking Staff (MTS). The list of duties to be performed by MTS are:

- Physical Maintenance of records of the Section;
- General cleanliness & upkeep of the Section/Unit;
- Carrying of files & other papers within the building;
- Photocopying, sending of FAX etc;

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- Other non-clerical work in the Section/Unit;
- Assisting in routine office work like registration of dak, maintenance of Section Diary, file movement (both in manual and e-office), e-mailing, dispatch etc, including typing on computer;
- Delivering of dak (outside the building);
- Watch & ward duties;
- Opening & closing of rooms;
- Cleaning of rooms;
- Dusting of furniture etc.;
- Cleaning of building, fixtures etc.;
- Work related to his ITI qualifications, if it exists;
- Driving of vehicles, if in possession of valid driving license;
- Entertaining official Guests and Visitors;
- Upkeep of parks, lawns, potted plants etc.;
- Any other work assigned by the superior authority.

3.20. PSOs, Sr.PPS, PPS, PS, PA and Steno Grade 'D'

Will keep the officer free from routine nature of work by mailing correspondence, filing papers, making appointments, arranging meetings and collecting information so as to give the officer more time to devote himself to the work in which he has specialized. Will maintain the confidentiality and secrecy of confidential and secret papers entrusted to him. Will exercise skill in human relations and be cordial with the persons who come in contact with his boss officially or who are helpful to his boss or who have dealings with the boss as professional persons. Some of the more specific functions are enumerated below:-

- Taking dictation in shorthand and its transcription on the computer in the best possible manner;
- Issue of all correspondence as may be directed by the officer;
- Fixing up of appointments and if necessary cancelling them;
- Screening the telephone calls and the visitors in a tactful manner.
- Keeping an accurate list of engagements, meeting etc. and reminding the officer sufficiently in advance for keeping them up;
- Maintaining in proper order, the papers required to be retained by the officer;
- Keeping a note of the movement of all incoming and outgoing papers, files etc;
- Destroying by burning or shredding the stenographic record of the confidential and secret letters after they have been typed and issued;

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- carrying out corrections to the officer's reference books and making fair copies of draft demi-official letters to be signed by the officer. During the office hours they can take assistance of the source where the draft has been typed.
- Generally assisting the officer in such manner as he may direct.

Principal Staff Officer (PSO), Senior Principal Private Secretary (Sr. PPS), Principal Private Secretary (PPS) are to additionally undertake the following works also:

- Preparing executive summary on the important issues/important files facilitating decision making and summary of previously asked/replied Starred Questions and briefing the Officer accordingly;
- Management of Personal Section, providing leadership;
- International/National level liaison and networking, coordination with Parliament, Ministries/Departments, and other offices, handling visitors, facilitating meetings/conferences, etc;
- Keep himself/herself aware of the key performance areas, vision, mission of the Ministry/Department;
- Security of personal and official information of the officer with whom he is working with and facilitating grievance handling;
- Maintaining Engagement Diary.
- Managing tours including foreign and domestic tours/managing office while the Officer is away from office in meeting, on tour or on leave.

The deployment of Stenographic officials shall be as under:-

Level of Officer	**Level of Stenographic Assistance**	**Level of Additional Stenographic Assistance**
Chairman & CEO / Members	PSO/Sr. PPS	PS
DGs/AMs/Secy.	Sr. PPS/PPS	PS
PEDs/Advisers	Sr. PPS/PPS	PS
JSs/EDs	PPS/PS	-
Directors	PS	-
DSs/JDs/USs/DDs	PA/Steno	-
Sections	Steno (on availability)	-

NOTE: Deployment need not always be as per the above entitlements but can vary depending upon their availability and administrative convenience.

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3.21. Organization and Methods Unit (O&M): A Special organization known as the Organization and Methods Division was formed in the Cabinet Secretariat with the aim of initiating and sustaining a concerted effort to improve Administrative efficiency in all Ministries / Departments of the Government of India. This Division now functions under the Department of Administrative Reforms & Public Grievances, Ministry of Personnel, Public Grievances and Pensions. Under instructions from the O&M Division, an O&M unit has been set up in the Ministry of Railways. It functions under the Secretary, Railway Board and is responsible for introducing various administrative reforms in the Ministry of Railways.

3.22. Directorates.— Below the level of Board members, the Ministry of Railways (Railway Board) is organized and structured as Directorates, each generally headed by Director General/AMs/PEDs (or in some cases by Executive Director/Director) and supported by officers of the rank of EDs/Directors, Joint Directors, Deputy Directors and Secretarial Staff. Each Directorate reports to a Member of the Board. At present, the Ministry of Railways (Railway Board) has the following Directorates:-

1. Accounts
2. Civil Engineering
3. Coaching
4. Computerisation & Information Systems
5. Economic Cell
6. Efficiency & Research
7. Electrical Engineering
8. Establishment
9. Finance
10. Finance (Budget)
11. Health
12. Land & Amenities
13. Legal
14. Management Services
15. Mechanical Engineering
16. Mechanical Engineering (PU & W)
17. Official Language
18. Pay Commission
19. Planning
20. Infrastructure
21. Public Relations
22. Safety
23. Secretary’s Directorate
24. Security
25. Signal
26. Statistics & Economics
27. Stores
28. Telecom
29. Track
30. Tourism and Catering
31. Traffic Commercial
32. Traffic Transportation
33. Vigilance
34. Works
35. Gati Shakti

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3.23. The duty lists of above mentioned Directorates are available in the consolidated list of Subjects Dealt with by various branches in the Ministry of Railways on the Indian Railway website (www.indianrailways.gov.in) under the link O&M of Secretary's branch: https://indianrailways.gov.in/railwayboard/view_section.jsp?lang=0&id=0,1,304,366,523,629,2025

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CHAPTER 4

SERVICE AND SUPPORT UNITS

4.1. <u>The following service and support units function in the Ministry of Railways</u>:

i. General Branch
ii. Estate Supervisor's Office
iii. Inspector of Works
iv. Electrical & Air-conditioning Chargemen
v. TI Cell
vi. Stationery Branch
vii. Library
viii. Canteen
ix. E-Office/RBCC Cell
x. Telecom Cell

The functions of the above units are as under:--

4.1.1. General Branch : It works round the clock (24x7) and functions as Central Registry, Issue (Dispatch) & TI Cell beyond the office hours. For this purpose Night Duty Clerk/Night Duty Staff works in General Branch. The branch also maintains residential address of all Officers and staff working in Board's Office.

4.1.2. Estate Supervisor's Office.– The Estate Supervisor, who functions in the administration Wing under the jurisdiction of Secretary, Railway Board, is incharge of cleanliness of the office premises. All the MTS posted in Estate Supervisor Office are under the control of Estate Supervisor. Any deficiency observed in the maintenance of clean surroundings in office premises will be reported to him for rectification. Opening/Closing of Office Rooms is also under the Estate Supervisor.

4.1.3. Inspector of Works. – This functionary also functions under the administrative jurisdiction of Secretary, Railway Board. He attends to all the civil works and maintenance of Rail Bhawan (Branches, Cells, Officers Rooms and Common Areas) including periodical whitewashing.

4.1.4. Electrical & Air-conditioning Chargemen.— These two functionaries work under the administrative jurisdiction of Secretary, Railway Board, and attend to all electrical issues, repairs and maintenance of electrical appliances and installations of air conditioning units respectively.

4.1.5. TI Cell – TI Cell controls the scheduling, allotment/deployment, movement and maintenance of the fleet of staff cars available in the Ministry of Railways including hired vehicles. It also processes the proposals for procurement of new cars for the fleet. The control and use of staff cars are governed by the Staff Car Rules as issued and amended from time to time by the Ministry of Finance. TI cell functions under US/Protocol & Adviser (Admn.)/Joint Secretary.

4.1.6. Stationery Branch –

a) The Stationery section purchases and stocks the various items of stationery required for official use like various types of official items viz. paper, pens, fax machine,

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photocopy machine, furniture and other office equipment. They also arrange for the maintenance of furniture and office equipments. They keep inventory of all these items and arrange for their distribution for official use and account.

b) Sections and Personal staff attached to officers are to make online indent for issue of stationery items for official use.

4.1.7. Library: The Library in the Ministry of railways functions under the AM (Budget), with a Librarian and an Assistant Librarian in charge. The Library houses such books and journals as are of interest to the Ministry of Railways, particularly those relating to Railways in general, transport and other allied subjects in particular. All Directorates are to make available Codes, Manuals, Reports, Publications etc. to Library for information of all users. All purchase of Books, whether technical or otherwise, shall be done by Library only.

4.1.8. Canteen: Canteen Facilities are available for tea/snacks/lunch etc. For official meetings, SOs/PSs and above can order tea/coffee on office account by filling up a requisition slip. There is also a separate Canteen at second floor for attending to tea-coffee, snacks, lunch in respect of visitors of/and official meetings undertaken by Board Members and Ministers.

4.1.9. E-Office/RBCC Cell: It is nodal for implementation/maintenance of Railway Employee Information System (REIS), Hardware/software issues, maintenance, installation including attendance data related to Aadhaar Enabled Biometric Attendance System (AEBAS) and E-Office Filing System in Board's Office. Issue of computer, laptop, peripherals and all complaints relating to them in Board's Office.

4.1.10. Telecom Cell: Telecom cell functions under the control of Director/Tele. It provides and maintains Landline Telephones including IP phones, Mobile Phones, CUG facilities, VPN facilities, Colour TV, Cable Connection, Wi-fi, Railnet, Fax machine, CCTVs for Security etc. to eligible officers/offices of Railway Board. It also maintains Telephone Directory both in physical and online form. Telecom Cell is also responsible for video conferencing/web cast facilities both with ZR/PU/Other Units and with other Central Ministries in co-ordination with NIC.

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CHAPTER 5

CONDUCT AND DISCIPLINE

5.1. Service Rules.—All Officers and staff working in the Ministry of Railways, as any other staff in Central Government service, are expected to be familiar with the Railway Services (Conduct) Rules or other relevant Rules and administrative orders governing their conduct. In their own interest they should also study and be in the know of the provisions of Indian Railway Establishment Code Vol. I & II, Railway Servants (Discipline & Appeal) Rules, the various Rules governing recruitment, promotion, seniority etc. In addition, they should also peruse the subjects dealt with by different Directorates indicated in the booklet "Consolidated list of Subjects dealt with by various branches in the Ministry of Railways" and general procedural / administrative instructions issued by O&M unit of Railway Board. These rules are available at Indian Railways official website (www.indianrailways.gov.in) under the link of Codes & Manuals under Railway Board Directorates :

http://www.indianrailways.gov.in/railwayboard/view_section.jsp?lang=0&id=0,5,377
(for Codes and Manuals) and

https://indianrailways.gov.in/railwayboard/view_section.jsp?id=0,1,304,366,390,419
(for Conduct and D&A rules)

https://indianrailways.gov.in/railwayboard/view_section.jsp?lang=0&id=0,1,304,366,523,629,2058
(for general instructions/orders)

5.1.1. Use of political influence by Railway Servant:

No Railway servant should bring or attempt to bring any political or other influence to bear upon any superior authority to further his interests in respect of matters pertaining to his service under the Government as it is prohibited under the Railway Services (Conduct) Rules, 1966. Railway servants are advised to strictly refrain from bringing pressure from the M.P.s and other influential outsiders to secure benefits out of turn or regarding any matter arising out of their service. If such occasions arise, the name of the officer or the member of the staff concerned will be brought to the notice of the Head of the Department for such disciplinary action as may be considered necessary.

5.2. Hours of Attendance.—The normal hours of attendance at office are from 9.00 a.m. to 5.30 p.m. on all working days with a lunch interval of half an hour from 1.00 p.m. to 1.30 p.m, but any member of the staff may be required to work beyond these hours, whenever necessary, keeping in view the state of office work. Every member of the establishment is expected to be in his/ her seat and at work by 9.00 a.m.

5.3. Marking of Attendance: All Officers/Staff working in Ministry of Railways (Railway Board) are required to mark their attendance through Aadhar Enabled Biometric Attendance System (AEBAS). For this purpose, different types of equipment like TAB based wall mounted System, IRIS Machine and Desktop enabled machine have been provided. Whenever any new Staff/Officer joins Railway Board, he/she has to invariably register for Biometric Attendance at https://indianrailways.attendance.gov.in/ and inform the concerned ERB, Cash and RBCC section respectively. Registration for Biometric attendance is to be done by employee himself. They are also required to update any change on account of transfer, promotion, designation, mobile no. etc. in the Biometric System and indicate the same in the charge report handed over to concerned Cash

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Branch and to RBCC unit of Railway Board. In those units where officials work as per roster (i.e. Units which remain open 24X7 or work regularly at odd hours) separate physical register as per roster is to be maintained for recording both in and out timings. For any issue related to Biometric Attendance, RBCC branch of C&IS Directorate may be contacted.

5.4. Casual Leave.-- Casual Leave is a concession to an employee to enable him to stay away from office for a short period of a few days on account of illness or to enable him to attend to urgent private affairs. A Government servant on casual leave is not treated as absent from duty nor is his pay intermitted. The number of days in calendar year on which an employee in the Ministry of Railways may avail of casual leave is 8 (Eight). For employees with disabilities may avail of 12 days casual leave in a calendar year. Public holidays including Sundays and closed Saturdays falling within a spell of casual leave or immediately preceding or succeeding, will not be counted as causal leave. A restricted holiday will, for this purpose, be treated as public holiday. Causal leave should not, however, be granted in combination with any other leave. Provision of half day casual leave is not admissible in case Office hours is temporarily restricted to half day.(1st half or 2nd half)

5.5. Special Casual Leave. – Special Casual Leave is granted to an employee for certain specified purposes in accordance with the provisions contained in this behalf in the Indian Railways Establishment Manual or other orders issued from time to time. Instances of such purposes are Sports activities, Scouts & Guide activities, participation in meetings of Employees Cooperative Societies, etc.

5.6. Compensatory Holiday – Compensatory Holiday is granted to a Group 'C' (including erstwhile Group 'D' now Group 'C') employee in lieu of attendance on Sundays and other holidays. Accumulation of compensatory holiday is not subject to any limit, but normally it should be granted within a month of its becoming due; unless Executive Director / Joint Director concerned agrees in exceptional circumstances to relax this time limit in the interest of avoiding serious dislocation to current work on account of too many employees asking for compensatory holiday at about the same time, but even in such an event, not more than two days compensatory leave may be granted at a time.

5.7. Public Holidays and Restricted Holidays.—Lists of public holidays and restricted holidays are circulated every calendar year by Department of Personnel and Training, Ministry of Personnel, Public Grievances and Pensions. The employees of the Ministry of Railways are eligible to avail of the holidays, provided that not more than **two restricted holidays** can be availed of by an employee in one year.

5.8. Leave on average pay and other recorded leave.— The quantum of leave on average pay and other recorded leave admissible to employees, and the conditions of their admissibility are contained in the Indian Railway Establishment Code, Volume I, and other cognate orders issued from time to time by Pay Commission Directorate.

5.9. Applications for leave.—Applications for leave of all kinds including casual leave and permission to leave headquarter will be submitted online through REIS (except in emergent situations) in advance, in the case of long leave at least a month in advance, to the sanctioning / recommending authority concerned. In the case of leave on medical grounds, the application should invariably be accompanied by a medical certificate from an authorized CGHS Medical Officer or a Railway/Government Authorized Medical Officer.

5.10. Charge Reports/Note for Successor . – Before proceeding on and on return from any leave other than casual leave, or at the time of relinquishment of charge on account of transfer, promotion or at the time of superannuation, officers and staff are to sign the charge reports. In addition, in the case of officers, handing over notes will be signed as per extant instructions indicating inter-alia,

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the state of work, problem/suggestions, pending files and important proposals under consideration, matters which require personal attention of the successor and of the officer relieving the concerned officer and a list of classified documents, files etc. in the custody of the officer handing over charge. Handing over notes should be based on the personal experience and knowledge of the relieved officer except for statistical details for which he may take the assistance of his staff. Handing over notes need be compiled only by those officers who have held charge of a post for not less than six months. For those who have held charge of a post for less than six months, detailed comments on the progress made or difficulties experienced in respect of the items of work included in the handing over notes of the previous incumbent will suffice. Senior Officers particularly AMs, PEDs, EDs and others are to invariably submit a note/brief for successor at the time of handing over charge. A copy of the handing over note/brief should also be endorsed to the next higher authority for information.

Handing Over Note/Note for the Successor is an important tool of Knowledge Management which is explained in detail in Chapter-10 indicating template for a Model Note for use of the successor and to be prepared by the officer Handing Over the charge.

5.11. Leaving Headquarters.— Every officer/staff is expected to obtain permission of his superior when he intends to go out of the headquarters either during leave or holidays or otherwise. His outstation address will be indicated either in the charge report form or in a separate note so that he could be contacted in case of need. Permission to leave headquarter is to be submitted online through REIS.

5.12. Addresses of Officers and staff. – All Officers and staff are expected to intimate their residential address and any changes therein from time to time to the General Branch for being maintained for official use in case of need. Normally Section Officers and other supervisory staff will furnish a list of residential addresses of the staff under their control and changes therein periodically to the General Branch. One such list will also be displayed in the Section at prominent location for easy access to all. In addition, all officers are also to intimate their updated designation, room number, telephone number, residential address etc. in prescribed format to telecom branch for updating the online telephone directory available at link https://dir.railnet.gov.in/ .

5.13. Overtime Allowance. – Overtime Allowance is granted to eligible Non-gazetted employees as per DoP&T norms for being detained outside the stipulated office hours for performing urgent official duties, disposal of which cannot be postponed to the next working day. For claiming the allowances, staffs are expected to scrupulously observe the conditions governing their grant as issued from time to time.

5.14. Cleanliness of office surroundings – While staff have been provided for the purpose of dusting, sweeping and cleaning the office rooms and furniture etc., officers and staff themselves are expected to ensure neat and tidy surroundings in the rooms occupied by them. In particular, files and papers are to be kept neatly arranged and tables and other furniture positioned in good order. If need be, they may call on the servicing facilities available with Stationery Branch, Estate Supervisor etc., for the purpose of ensuring orderly, neat and clean environment.

5.15. Security consciousness – Officers and staff are expected to familiarize themselves with the provisions contained in the booklet on "Manual of Departmental Security Instructions-1999" issued by the Ministry of Railways and will at all times be guided by provisions contained in the booklet or other administrative instructions issued from time to time while handling classified files and other documents. "Manual of Departmental Security Instructions-1999" itself is classified and is to be taken as part of the Charge papers to the officer to whom they have been issued and should be formally handed / taken over when changes in the incumbents occur. In addition following is also to be ensured:-

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a) The provisions/instructions and guidelines as existing in the 'Official Secret Act, 1923', 'Manual of Departmental Security Instructions, 1999', and Rule 11 of the 'Railway Services (Conduct) Rules 1966' should be scrupulously followed by all the Officers/Staff dealing with the classified documents.

b) An important aspect of the Security Instructions is that a person concerned with a particular aspect should be made aware of instructions relating to only that aspect and not more than that. Keeping in view this factor, all AMs/PEDs/EDs/JSs/Dir/JDs/DSs/DDs/USs are to suitably advise their subordinate officers/staff dealing with classified files/documents for following the extant instructions especially those contained in Chapters V, VI, VII, VIII, IX & XIII of the above referred booklet.

c) Personal staff attached to officers will safeguard the custody of the files, documents in the rooms of their officers including switching off AC, lights/fan and other electrical appliances kept in officers' room.

d) In the Sections, it is to be ensured by Section Officer/Deputy Director that atleast one member of the staff is present in the section at all times of the day including lunch interval. He/she would prevent entry of unauthorized persons and will ensure at the end of the day that all almirahs containing important files/documents, classified documents etc. are properly locked before the room is handed/left over to the Estate Supervisor's staff on duty.

5.16. Care of Government property and consciousness of economy.

(i) All officers and staff will ensure that the office furniture and other Government property in their use in the office or in their residences, if provided in the exigencies of administrative interest, need to be taken care of with the utmost concern.

(ii) Officers and staff will ensure that stationery articles like noting sheets, letter pads etc. provided for official work are used with care and the instructions issued from time to time on the need for economy in the consumption of such articles are observed scrupulously.

(iii) Fans, lights and other electrical appliances provided in office will be used just consistent with the needs only and they will be switched off when not required. In particular, the officers or staff, happening to leave the room last at the close of the day's work, will ensure that all the electrical appliances like AC, light/fan PC/Printer etc. are switched off, before their departure.

(iv) All officers/supervisory staff are to ensure that one set of their room's key is invariably available with Estate Supervisor's office.

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CHAPTER 6

STAFF GRIEVANCES PROCEDURE & WELFARE FUNCTIONS

6.1. **Permanent Negotiating Machinery**.—In order to maintain contact with the organized labour on the Railways and to resolve disputes and differences which may arise between them and the Administration, a Permanent Negotiating Machinery has been set up. This Machinery works in three tiers: viz;

(i) **The Railway level**, in which the recognized unions have access to the Divisional & Workshop Officers and to officers at the Headquarters of the Railway Administration including the General Manager.

(ii) **The Railway Board level**, in which the representatives of the recognised Federations of Railway employees meet the Railway Board to obtain decisions on matters which have not been settled at the railway level; and

(iii) **The Tribunal level**, in cases in which agreement is not reached between the Federations and the Railway Board and the matters are of sufficient importance to merit reference being made to an adhoc Tribunal consisting of representatives of the Railway Administration and the labour presided over by a neutral Chairman.

6.2. **Joint Consultative Machinery Scheme**.— Apart from the Permanent Negotiating Machinery mentioned in the previous para, with the object of promoting harmonious relations and securing the greatest measure of cooperation between the Central Government and its employees, a ***National Council***, ***Departmental Councils*** and ***Office Councils*** have been constituted by the Government of India under the scheme of Joint Consultative Machinery and Compulsory Arbitration for Central Govt. employees. The Councils discuss matters relating to conditions of service and work, welfare of the employees and improvement of efficiency and standard of work. No individual case can be considered by the councils and in regard to recruitment, promotions and discipline, the councils are to restrict their deliberations to matters of general principles only.

(i) Matters of interest affecting the Central Government employees generally are considered by the ***National Council***.

(ii) (a) The ***Departmental Council*** of the Ministry of Railways deals with matters affecting the staff employed on the Zonal Railways. The departmental council for Railway employees is presided over by the Member, Railway Board in charge of staff matters. Besides the Chairman, there will be ten representatives – 6 permanent and not more than *four* temporary-from the official side and *thirty* representatives of the staff side, 15 each to be nominated by the two recognized Federations, viz. All India Railwaymen's Federation and the National Federation of Indian Railwaymen. The Chairman may also invite experts to the meeting, for their advice.

(b) In case a final disagreement is recorded on any matter in the Departmental Council and the matter is one for which compulsory arbitration is provided, it has to be referred to arbitration, if so desired by either side observing the procedure therefor. However, in respect of arbitrable items, before a disagreement is recorded, the matter has to be submitted for consideration of the Cabinet. Before submitting the note for Cabinet, the Department of Personnel & Training is required to be consulted.

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(c) In respect of non-arbitrable items, however, a convention has been established by which the staff side if they so desire, can place their points of view before a Committee of Ministers consisting of Minister-in-charge of the Ministry of Personnel, Public Grievances and Pension, Labour Minister and the Minister Administratively concerned with the subject. A dispute shall, however not be referred to arbitration from Departmental Council unless it has been considered by the National Council when the dispute covers matters affecting Central Government employees generally such as regarding minimum remuneration, dearness allowance, and pay of certain common categories etc. The right of either party to claim arbitration is limited to (i) Pay and Allowance (ii) weekly hours of work and (iii) leave or class or grade of railway employees. Matters determined by Government in accordance with the recommendations of a commission will not be subject to arbitration for a period of five years, after which they will be arbitrable again. Subject to the overriding authority of the Parliament, recommendations of the Board of Arbitration are binding on both sides and orders issued by Govt. pursuant to recommendations of the Board of arbitration shall, unless otherwise, specified in the recommendations or modified by mutual agreement, remain in operation for a period of three years.

(iii) Office Council.—

(a) There is an *Office Council* for the Employees of the Ministry of Railways. These employees are also represented in the Departmental Council of the Department of Personnel & Training along with the staff of the Central Secretariat Services.

(b) The scope of the *Office Council* functioning in the Ministry of Railways includes all local matter relating to conditions of work, welfare of employees, improvement of efficiency and standards of work with particular reference to the local conditions. The membership of the council may not exceed five on the official side and eight on the staff side. The staff representatives are nominated through the recognized associations named below:

(i) **The Railway Board Secretariat Services Group 'B' Officers Association** representing Section Officers of the Railway Board Secretariat Service.

(ii) **The Railway Board Ministerial Staff Association** representing non gazetted staff (other than MTS) viz. Assistant Section Officers, Senior Secretariat Assistants, Junior Secretariat Assistants, Drivers etc.

(iii) **The Railway Board Secretariat Stenographers Service Association** representing all Stenographers, PAs/PSs/PPSs/Sr.PPSs/PSOs.

(iv) **The Railway Board Non-Ministerial Staff Association** representing the MTS (erstwhile Group 'D' Staff).

(c) Joint Secretary, Railway Board is the Chairman of the Council. The staff side may appoint the Secretary from its Members.

(d) The meetings of the Office Council shall be held periodically.

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6.3. Staff Welfare. --

(a) To attend all matters regarding welfare of the staff, particularly non-gazetted staff, a Welfare Section functions in Railway Board's Office (RB/W). This Section administers the Railway Board Staff Benefit Fund and undertakes various welfare activities under the Fund such as activities relating to scholarships/awards to children, women empowerment, sports, culture, recreation, scouting, first-aid, indigenous system of medicine including Homeopathy, relief of distress/sickness etc.

(b) A self-contained & self-sufficient organization namely Railway Women's Central Organisation (RWWCO), registered under Societies Registration Act functions at the apex level in Rail Bhawan. The Welfare Section in Railway Board's Office also coordinates with RWWCO in implementation of its various welfare measures viz. running of crèche, Ayurvedic & Homeopathic Dispensaries in Rail Bhawan, felicitation of outstanding railway women employees on Women's Day as well as felicitation of other lower rung railways employees like Trackmen, Gangmen, etc. on May Day, awarding merit scholarships to children of railway employees, rendering financial assistance in sickness and demise cases, organizing drawing and essay competitions for wards of railway employees, undertaking tree plantation drives, swatch Bharat Mission, etc.

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CHAPTER 7

ATTACHED, SUBORDINATE & FIELD ORGANISATIONS

Attached/Subordinate Offices of Ministry of Railways :-

(A) Attached Offices

-Nil-

(B) Subordinate Offices

(I) Zonal Railways (Open Line) - Each Zonal Railway Administration, which is headed by a General Manager (GM), is responsible for the day-to-day operation of the system. Execution of works relating to construction of new lines, maintenance and repair facilities etc. are also the responsibilities of the Zonal railways. They also account for the financial position of the zone concerned. Each Zonal Railway is organized into a number of Divisions each headed by a Divisional Railway Manager (DRM) for convenience of operational functioning. List of Zonal Railways and Divisions under them are as under:

S. No.	Name of the Railway zone	Zone Headquarters	Railway Divisions
1	Central Railway	Mumbai	Mumbai (CR), Bhusawal, Pune, Solapur, Nagpur (CR)
2	Eastern Railway	Kolkata	Howrah, Sealdah, Asansol, Malda
3	East Central Railway	Hajipur	Danapur, Dhanbad, Pt. Deen Dayal Upadhyaya, Samastipur, Sonpur
4	East Coast Railway	Bhubaneswar	Khurda Road, Sambalpur, Waltair
5	Northern Railway	New Delhi	Delhi, Ambala, Firozpur, Lucknow (NR), Moradabad
6	North Central Railway	Prayagraj	Prayagraj, Agra, Jhansi
7	North Eastern Railway	Gorakhpur	Izzatnagar, Lucknow (NER), Varanasi
8	Northeast Frontier Railway	Guwahati	Alipurduar, Katihar, Rangiya, Lumding, Tinsukia
9	North Western Railway	Jaipur	Jaipur, Ajmer, Bikaner, Jodhpur
10	Southern Railway	Chennai	Chennai, Tiruchirappalli, Madurai, Palakkad, Salem, Thiruvananthapuram
11	South Central Railway	Secunderabad	Secunderabad, Hyderabad, Vijayawada, Guntakal, Guntur, Nanded
12	South Eastern Railway	Kolkata	Adra, Chakradharpur, Kharagpur, Ranchi
13	South East Central Railway	Bilaspur	Bilaspur, Raipur, Nagpur (SEC)

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14	South Western Railway	Hubli	Hubballi, Bengaluru, Mysuru,
15	Western Railway	Mumbai	Mumbai (WR), Ratlam, Ahmedabad, Rajkot, Bhavnagar, Vadodara
16	West Central Railway	Jabalpur	Jabalpur, Bhopal, Kota
17	Metro Railway	Kolkata	Nil

(B) (I) (i)

The organization structure of Zonal Railways is attached below at **Appendix-7.1**.

(B) (II) Production Units :

S.No.	Name		Place
1	Chittaranjan Locomotive Works	(CLW)	Chittaranjan
2	Banaras Locomotive Works	(BLW)	Varanasi.
3	Patiala Locomotive Works	(PLW)	Patiala
4	Integral Coach Factory	(ICF)	Chennai
5	Rail Coach Factory	(RCF)	Kapurthala
6	Modern Coach Factory	(MCF)	Raebareli
7	Rail Wheel Factory	(RWF)	Yelahanka, Bangalore
8	Rail Wheel Plant	(RWP)	Bela

(B) (III) Other Units

S.No.	Name	Place
1	Northeast Frontier Railway (Construction) – [NFR(Const.)]	Guwahati
2	Research Designs & Standards Organisation (RDSO)	Lucknow.
3	Central Organisation for Railway Electrification (CORE)	Prayagraj

1. Northeast Frontier Railway (Construction) – [NFR(Const.)] – It is a construction unit for execution, management, control and monitoring of projects- New line, Doubling, Gauge Conversion and other major work of setting up railway infrastructure in North Eastern Region of India under NFR Zone.

2. Research Designs and Standards Organisation (RDSO) – The RDSO functions as technical adviser and 'Consulting Engineers' to the Ministry of Railways, the Zonal Railways, and Production Units. This organisation is also responsible for development of designs and standards for railway rolling stock, equipment and materials for undertaking research, investigations and testing as necessary for the effective and efficient functioning of the railways. It renders technical assistance in the development of indigenous substitutes for railway equipments and materials and helps in the development of indigenous capacity for the manufacture of such substitutes. It has the status of a Zonal Railway.

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3. Central Organisation for Railway Electrification (CORE) – It is entrusted to carryout Railway Electrification over the entire network of Indian Railways.

(B) (IV) Centralised Training Institutions

S.No.	Name	Place
1	National Academy of Indian Railways (NAIR)	Vadodara.
2	Indian Railways Institute of Civil Engineering (IRICEN))	Pune.
3	Indian Railways Institute of Signal & Telecommunications Engineering (IRISET)	Secunderabad.
4	Indian Railways Institute of Mechanical & Electrical Engineering (IRIMEE)	Jamalpur.
5	Indian Railways Institute of Electrical Engineering (IRIEEN)	Nasik.
6	Indian Railways Institute of Transport Management (IRITM)	Lucknow
7	Jagjivan Ram Railway Protection Force Academy	Lucknow
8	Indian Railways Institute of Financial Management	Secunderabad

(B)(V) Railway Recruitment Boards (RRBs):

Railway Recruitment Boards (RRBs) function under the direct control of Railway Recruitment Control Board (RRCB) located at Rail Bhawan, New Delhi. RRCB issues instructions and guidelines to the RRBs to ensure that recruitment is done on the basis of merit and in accordance with Government policy. RRBs do direct recruitments for all the departments of Indian Railways. The RRBs are mandated with the task of making recruitment to all Group 'C' (Technical and Non-technical) posts, Level-II to Level-VII of 7th Central Pay Commission. At present, 21 RRBs are functioning. The names of RRBs are as under:

Ajmer, Ahmedabad, Prayagraj, Bengaluru, Bhopal, Bhubaneshwar, Bilaspur, Kolkata, Chandigarh, Chennai, Gorakhpur, Guwahati, Jammu, Malda, Mumbai, Muzaffarpur, Patna, Ranchi, Secunderabad, Thiruvananthapuram, Silliguri.

(B)(VI) Other Offices (outside India)

Office of Railway Adviser at Dhaka : The Railway Adviser in Dhaka keeps liaison with the Bangladesh Railway and looks after the matters relating to Indian Railways in Bangladesh.

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(C) <u>Public Sector Undertakings under the control of Ministry of Railways</u> :-

(i) RITES Ltd.
(ii) IRCON Ltd.
(iii) Indian Railway Finance Corporation (IRFC)
(iv) Container Corporation of India Limited (CONCOR)
(v) Konkan Railway Corporation Limited (KRCL)
(vi) Indian Railway Catering & Tourism Corporation (IRCTC)
(vii) RailTel Corporation of India Ltd.(RCIL)
(viii) Mumbai Railway Vikas Corporation (MRVC)
(ix) Rail Vikas Nigam Ltd.(RVNL)
(x) Dedicated Freight Corridor Corporation of India Limited (DFCCIL)
(xi) Kolkata Metro Rail Corporation Ltd.(KMRCL)
(xii) Braithwaite & Company Limited (BCL).

(D) Autonomous Bodies:

i. Registered Society :

Centre for Railway Information Systems (CRIS):

CRIS is an autonomous body under the control of Ministry of Railways. CRIS is concerned with development and management of Railway IT systems. Since its inception, CRIS is developing/maintaining softwares for the key functional areas of the Indian Railways like Ticketing & Passengers, Freight Services, Operations, Asset Management, Human Resource & Accounting etc.

ii. Statutory Body

Rail Land Development Authority (RLDA) :

Rail Land Development Authority (RLDA) is a statutory Authority, under the Ministry of Railways, set-up by an Amendment to the Railways Act, 1989, for development of vacant Railway Land for commercial use for the purpose of generating revenue by non-tariff measures.

(E) Tribunals

Railway Claims Tribunal:

The Railway Claims Tribunal Act, 1987 was enacted to provide speedy disposal of claims against the Railway Administration. Railway Claims Tribunal works under the purview of Railway Claims Tribunal Act, 1987. RCT has been functioning since 08.11.1989. Railway Claims Tribunal inquires into and determines claims against a Railway Administration for loss, destruction, damage, deterioration or non-delivery of animals or goods entrusted to it to be carried by railway or for the refund of fares or freight or for disparity in rates and other charges or for compensation for death or injury to passengers occurring as a result of railway accidents or untoward incidents and for matters connected therewith or incidental thereto. The Tribunal has 23 Benches at 20 major cities in the country with the Principal Bench being at Delhi headed by Chairman/RCT. Each Bench consists of two Members viz.

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Member (Technical) and Member (Judicial). All the Benches of RCT have been divided into four Zones with Headquarters at Kolkata (East Zone), Prayagraj (North Zone), Mumbai (West Zone) and Secunderabad (South Zone). South Zone and West Zone are each headed by a Vice-Chairman (Judicial) and East Zone and North Zone are each headed by a Vice-Chairman (Technical).

(F) University / Vishwavidyalaya

The Gati Shakti Vishwavidyalaya (GSV) has been set up through Parliament legislation namely the Central University (Amendment) Act, 2022 by converting the National Rail and Transportation Institute (NRTI), India's first university focused on transport-related education, multidisciplinary research and training, into a Central University. The Gati Shakti Vishwavidyalaya is sponsored and funded by the Central Government in Ministry of Railways. The main campus of the University is at Vadodra, Gujarat.

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Click here for Annexure- 7.1

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CHAPTER 8

LEGISLATIVE/PARLIAMENTARY BUSINESS

8.1. Control of the Parliament.—The control of the Parliament over Railway finances and policy is exercised as follows:--

i. through the Members of Parliament serving on a National Railway Users Consultative Council;
ii. Through the Public Accounts Committee which examines accounts showing the appropriation of sums granted by the Parliament for the expenditure of the Government of India, the annual finance accounts of the Government of India and such other accounts laid before the Parliament as the Committee may think fit;
iii. Through the Estimates Committee which examines such of the estimates as may seem fit to the Committee or are specifically referred to it by the Parliament;
iv. Through the Committee on Subordinate Legislation which scrutinizes and reports to the Parliament whether the powers to make regulations, rules, sub-rules, bye laws etc. conferred by the Constitution or delegated by Parliament are being properly exercised within such delegation;
v. Through the Committee on Government Assurances which scrutinizes whether the Assurances, promises undertakings etc. given by Ministers, from time to time on the floor of the Lok/Rajya Sabha, have been implemented within the minimum time necessary for the purpose; and
vi. By means of interpolations and resolutions and discussions when the Budget is presented, and the Railway demands are voted upon.

8.2. National Railway Users Consultative Council (NRUCC) – Details regarding NRUCC/ZRUCC/DRUCC are issued by Traffic (Commercial) Directorate which is available at official website of Railway Board viz 'Indianrailways.gov.in/railwayboard' under the sublink Traffic Commercial of Railway Board Directorate (***http://www.indianrailways.gov.in/railwayboard/uploads/directorate/traffic_comm/Comm_Cir_2017/Note_Consultative_Committee_250817.pdf***.)

8.3. Parliamentary Committees- Guidelines regarding Constitution/working of Committees viz. Public Accounts Committee, Estimates Committee, Committee on Subordinate Legislation, Committee on Government Assurances, Standing Committees on Railways etc., Powers, Responsibilities etc are available at site of Ministry of Parliamentary Affairs under section Manual at link https://mpa.gov.in/sites/default/files/English_Manual_06092019.pdf and at Lok Sabha/Rajya Sabha under the link http://164.100.47.194/loksabha/rules.aspx and https://rajyasabha.nic.in/Procedures/LegislativeRules . For further details in this regard, instructions issued from time to time by Parliament, Budget and Budget Committee Unit of Railway Board may also be referred to.

8.4. Rail Budget – From the financial year 2017-18, Rail Budget has been merged with General Budget and a unified Budget of the Union Government is being presented in Parliament by the Finance Minister. After presentation of the Union Budget in the Parliament, Ministry of Railways is required to lay the Detailed Demands for Grants pertaining to it in the Parliament. Details regarding allocation of funds, procedure, presentation etc. are available in Indian Railway Finance Code. Further details regarding allocation of funds for Railways under General Budget, guidelines issued by Budget Directorate are to be referred to.

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8.5. Questions in the Lok Sabha and the Rajya Sabha.—Any member of the Parliament may ask a question for the purpose of obtaining information on a matter of public importance within the special cognizance of the Minister to whom it is addressed. In matters which are or have been the subject of correspondence between the Government of India and the Government of State, no question shall be asked except as to matters of fact and the answer shall be confined to as statement of fact. The right to ask a question is governed by the conditions as laid down in the Rules of Procedure and Conduct of Business of the Lok Sabha/ Rajya Sabha as issued and amended from time to time. The details are available at loksabha.nic.in & rajyasabha.nic.in.

8.6. Types of Parliament Questions.—Questions in the Lok / Rajya Sabha are of three kinds viz.,

i. **Starred Question-** questions of oral answers or "starred" questions, marked with asterisk (Green in Lok Sabha & Pink coloured in Rajya Sabha)

ii. **Unstarrred Question** -"unstarrred" questions replies to which are laid on the Table of the House (White coloured in Lok Sabha and yellow coloured in Rajya Sabha)

iii. **Short notice questions**- (Light pink in Lok Sabha and White in Rajya Sabha)- These may be put only in regard to matters of public importance of an urgent character at shorter notice and are answered orally as starred questions.

8.6.1. Supplementary Questions.—In regard to starred questions, any member when called by the Speaker / Chairman may put a supplementary question for the purpose of further elucidating any matter of fact regarding which an answer has been given, provided that the Speaker / Chairman, shall disallow any supplementary question, if in his opinion, it infringes the rules regarding questions.

8.6.2. Short notice questions.—A question relating to a matter of public importance may be asked with shorter notice than 10 clear days and if the Speaker / Chairman is of opinion that the question is of an urgent character, he may direct that an enquiry may be made from the Minister concerned if he is in a position to reply and, if so, on what date.

i) If the Minister concerned agrees to reply, such question shall be answered on a day to be indicated by him and shall be called immediately after the questions which have appeared on the list of questions for oral answer have been disposed of.

ii) If the Minister is unable to answer the question at short notice and the Speaker / Chairman is of opinion that the question is of sufficient public importance to be orally answered in the House, he may direct that the question be placed as the first question on the list of questions for the day on which it would be due for answer as a starred question, provided that not more than one such question shall be accorded first priority on the list of questions for any one day. In other respects, the procedure for short notice questions shall be the same as for ordinarily starred questions, with such modifications as the Speaker / Chairman may consider necessary or convenient.

8.7. Handling of Parliament Questions:- For details in respect of handling of Parliament question, guidelines are issued by Parliament Unit of Railway Board based on the instructions issued by Lok Sabha & /Rajya Sabha. The same are to be referred to for compliance by all concerned while dealing with Parliament questions. The instructions are available on internet under the sub link Parliament of Secretary's branches (https://indianrailways.gov.in/railwayboard/view_section.jsp?lang=0&id=0,1,304,366,523,1545) and on railnet at link http://10.50.19.92/secretary/Parliament/cir_index.htm .

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8.8. Procedure for Dealing with Parliament Questions in the case of dispute:-

i) If a question is wrongly addressed to a Minister, the Ministry to which the advance copy has been sent, should immediately contact the appropriate Ministry and obtain its concurrence to the transfer of the question. If the Ministry addressed accepts the transfer, the Parliament Secretariat should at once be informed of it. Such transfers of questions should invariably be routed through the Parliament Branch in the Railway Ministry.

ii) If a question concerns more than one Ministry, it should be taken over by the Ministry mostly concerned. When a question of this nature is received, the branch concerned should furnish relevant information in regard to the portion relating to the Railway Ministry to the other Ministry, after ascertaining from the latter that they will take over the question or obtain necessary information from the other Ministry if the question is to be taken over by the Railway Ministry as the case may be.

iii) a) It has been observed that at times delay occurs in initiating action on Parliament Questions due to disputes among Directorates in regard to the marking of the Questions. With a view to eliminating delays in this regard, marking of the Parliament Questions by the Parliament section should be treated as final. In case, however, an AM, PED or an Executive Director (with Independent Charge) considers that the Question does not relate to his Directorate, he will discuss the matter personally with JS(P) or if necessary with Secretary. The decision arrived at after discussion will be final.

(b) A question which concerns several Directorates of the Board's Office will be handled by the Directorate to which the first part relates. In case the first part is inconsequential or refers to an abstract phrase or main issue is based on other part of the question or concerns more than one Directorate, the Question will be handled by the Directorate to which the main subject relates and the decision of the Secretary in this regard will be final & binding. The Directorate handling the Question will be responsible to collect the necessary information from the other Directorates concerned and put up the complete reply.

8.9. Government Bills: When a Government Bill is to be introduced in the Parliament, the procedure prescribed in the Rules of Procedure and Conduct of Business of the Lok Sabha & Rajya Sabha is to be followed. For detailed procedure the instructions as available on Lok/Rajya Sabha website (loksabha.nic.in & rajyasabha.nic.in) be referred to and complied with.

Note: Ministry of Parliamentary Affairs has brought out a 'Manual of Parliamentary Procedures in the Government of India' indicating Rules of Procedure and Conduct of Business in Lok Sabha, Rajya Sabha, Parliamentary procedure to be followed by Ministries in connection with Parliamentary Work, Memorandum on the preparation and passing of Bills issued by M/o Law & Justice and other details relating to Budget, Legislation, different types of Motions, Parliamentary Committees etc. The manual is available at Ministry of Parliamentary Affairs website 'mpa.gov.in' under the sub link Manual of link Documentation. (https://mpa.gov.in/sites/default/files/English_Manual_06092019.pdf).

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CHAPTER – 9

DECISION MAKING IN GOVERNMENT

9.1. In a Parliamentary form of Government, the Council of Ministers shall collectively be responsible to the House of the People. The powers of the President of India are exercised by him on the advice of the Council of Ministers headed by the Prime Minister.

9.2. The two key features of the Government of India (Transaction of Business) Rules, 1961 (as referred to in Chapter-2, para 2.4) are that:

(i) all business allotted to a Department under the Government of India (Allocation of Business) Rules, 1961 is to be disposed of by, or under the general or special directions of, the Minister-in-charge, except where such authority is required to be exercised by some other competent authority under these Rules; and

(ii) when the subject of a case concerns more than one Department, a decision can be taken or order issued only after such Departments have concurred in, or, falling such concurrence, a decision thereon has been taken by or under the authority of the Cabinet or the Cabinet Committee. Financial and administrative powers have been delegated to authorities under the Minister-in-charge through Acts, Rules, executive instructions and departmental instructions. Therefore, one must look into the relevant documents to determine

a. the procedure to be followed; and
b. who the competent authority is.

9.3. Powers in this regard are generally delegated to the Secretary of a Department (in case of Ministry of Railways, CRB&CEO and other Members of the Board) or Head of Department or a Head of Office:

(i) In cases of matters delegated to the Secretary of the Department (in case of Ministry of Railways, CRB&CEO and other Members of the Board), a Head of Department or a Head of Office, the case is processed by the office on a file to enable the competent authority to take a decision.

(ii) In case of decisions bearing financial implications that are beyond the powers delegated to a Department i.e. those which are beyond the powers delegated to Ministry of Railways, Inter-Ministerial Consultations provided for the Standing Finance Committee (SFC), Expenditure Finance Committee (EFC), Public Investment Board (PIB), Public Private Partnership Approval Committee (PPPAC), Expanded Board and preparation of Memorandum for SFC, EFC, PIB and PPPAC, instructions issued by Ministry of Finance are to be followed.

(iii) For decisions requiring approval of Committee of Secretaries, Group of Ministers, Committee of the Cabinet or the Cabinet, guidelines issued by the Cabinet Secretariat are to be adopted.

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(iv) Illustrative examples of cases where such Inter-Ministerial Consultations are required are given in the Table-'A':

Table-'A' : Illustrative list of cases where inter-ministerial consultations are required

S.No.	Matters pertaining to	Ministry/Department to be consulted
1.	Financial matters	Ministry of Finance
2.	Personnel matters	Ministry of Personnel, Public Grievances and Pensions
3.	Matters relating to proposals concerning legislation, the making of rules and orders and preparation of important contracts to be entered into by the Government etc.	Ministry of Law & Justice
4.	Matters affecting India's external relations including agreements and treaties with foreign countries	Ministry of External Affairs
5.	Proposals concerning North Eastern Region	Ministry of Development of North Eastern Region
6.	Economic matters	National Institution for Transforming India (NITI) Aayog

(v) The illustrative list in Table- 'B' gives some of the documents and the websites where these documents are accessible:

Table-'B' Illustrative list of documents and websites:

S.No.	Documents	Ministry / Department	Web-site
1.	User manual of e-File	Ministry of Railways	http://www.reis.railnet.gov.in/eoffice/UserManualeFile7.0.pdf
2.	Rules of Procedure and Conduct of Business in Rajya Sabha	Rajya Sabha	https://cms.rajyasabha.nic.in/UploadedFiles/LegislativeSection/LegislativeRules/English_2052022english_3092021rules_pro.pdf
3.	Directions by Chairman Rajya Sabha	Rajya Sabha	https://cms.rajyasabha.nic.in/UploadedFiles/LegislativeSection/LegislativeDirection/2172022revised%20%20directions%20by%20chairman.pdf
4.	Rules of Procedure and Conduct of Business in Lok Sabha	Lok Sabha	http://164.100.47.194/loksabha/rules.aspx
5.	Directions of the Speaker under the Rules of Procedure and Conduct of Business in Lok Sabha	Lok Sabha	http://164.100.47.194/loksabha/direction/DIRECTION-2010-P-FINAL_1.pdf

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6.	Procedure to be followed by Ministries in connection with Parliamentary work	Ministry of Parliamentary Affairs	https://mpa.gov.in/publication/manuals
7.	Hand Book on writing Cabinet Notes for preparing Note for the Cabinet/Cabinet Committees/Group of Ministers/Committees of Secretaries.	Cabinet Secretariat	https://cabsec.gov.in/writereaddata/handbook/english/1_Upload_1409.pdf
8.	Instructions on constitution/reconstitution of High-level Commissions /Committees, etc.	Cabinet Secretariat	https://cabsec.gov.in/cabinetsection/highlevelcommittees/
9.	Authentication (Orders and other Instruments) Rules, 2002	Ministry of Railways – for Railways Ministry of Home Affairs- for complete list concerning all Ministries /Departments	https://indianrailways.gov.in/railwayboard/uploads/directorate/secretary_branches/off_ord_2002/OfficeOrder_23_2002.pdf https://www.mha.gov.in/sites/default/files/AuthenticationOrder2002.pdf
10.	General Financial Rules, 2017	Department of Expenditure, MoF	https://doe.gov.in/order-circular-archives/GENERAL%20FINANCIAL%20RULES
11.	Delegation of Financial Powers Rules, 1978	Department of Expenditure, MoF	https://doe.gov.in/sites/default/files/notNo.F.1%2817%29-E.II%28A%2986-No.F.1%2815%29-E.II%28A%2988.pdf
12.	GeM	Ministry of Commerce & Industry	https://gem.gov.in/resources/pdf/GeM_handbook.pdf
13.	Matters relating to Public Private Partnership Approval Committee (PPPAC) projects	Department of Economic Affairs, MoF	https://www.pppinindia.gov.in/appraisal-and-approval-mechanisms
14.	Records Retention Schedule- 2012	Department of Administrative Reforms & Public Grievances	https://darpg.gov.in/sites/default/files/RRS_WC.pdf
15.	Composition of the Gazette of India and instructions for publication therein	Directorate of Printing, Ministry of Housing and Urban Affairs	Appendix 14.2

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16.	Guidelines for Indian Government websites (GIGW)	Ministry of Electronics & Information Technology	https://guidelines.india.gov.in/ & http://meity.gov.in (Website should be got audited by the Directorate of Standard Testing Quality & Certificate (STQC) (www.stqc.gov.in) and GIGW certificate obtained from them. The websites should be updated on regular basis.
17.	Legal Information Management & Briefing System	Ministry of Law and Justice, Department of Legal Affairs	https://limbs.gov.in/limbs/
18.	Official Dealing Between Administration & MPs/MLAs- Observance of proper procedure	DOP&T	https://doptcirculars.nic.in/OM/ViewOM.aspx?id=151&headid=10
19.	Table of Precedence	Ministry of Home Affairs	https://www.mha.gov.in/sites/default/files/table_of_precedence.pdf
20.	Central Secretariat Manual of Office Procedure (CSMOP)	DAR&PG	https://darpg.gov.in/relatedlinks/csmop
21	Establishment/Service matters of central government employees	DoP&T	https://dopt.gov.in/#
22	Consolidated instructions on ad-hoc appointment / promotions	DoP&T	Information document-ad hoc appointment 131The.pdf (doptcirculars.nic.in)
23	Consolidated instructions on Pay Fixation	DoP&T	https://doptcirculars.nic.in/OM/ViewOM.aspx?id=140&headid=7
24	Consolidated instructions on redressal of grievance of government servant	DoP&T	https://doptcirculars.nic.in/OM/ViewOM.aspx?id=132&headid=10
25	Consolidated instructions on increment	DoP&T	https://documents.doptcirculars.nic.in/D2/D02est/Increment%20-%20Information%20documenti0TR5.pdf
26	Consolidated instructions on recovery/waiver of wrongful / excess payment	DoP&T	https://documents.doptcirculars.nic.in/D2/D02est/DS_recovey_consodnEN2Y.pdf
27	Instructions related to LTC rules	DoP&T	https://dopt.gov.in/sites/default/files/Instructions%20on%20booking%20of%20LTC.PDF

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28	Compendium of 7th CPC allowances issued by PC-VII branch of Board's office	PC-VII branch, Railway Board	https://indianrailways.gov.in/railwayboard/uploads/directorate/pay_comm/PC7/FINAL%20COMPENDIUM%201_compressed.pdf
29	Instructions related to Holiday Homes under Ministry of Railways	E(Welfare) of Railway Board	https://indianrailways.gov.in/railwayboard/view_section.jsp?lang=0&id=0,1,304,366,390,412,1158
30	Instructions related to delegation of power to GMs	F(X)-II unit of Railway Board	https://indianrailways.gov.in/railwayboard/view_section.jsp?lang=0&id=0,1,304,366,550,1234
31	Instructions related to Railway Servants Pass Rules	E(Welfare) of Railway Board	https://indianrailways.gov.in/railwayboard/view_section.jsp?id=0,1,304,366,390,412,836
32	Instructions issued by Finance (Establishment) Directorate of Railway Board	F(E) units of Railway Board	https://indianrailways.gov.in/railwayboard/view_section.jsp?lang=0&id=0,1,304,366,528,2677
33	Administrative / Procedural instructions issued by O&M/RB including Subject List & MOP	O&M unit of Railway Board	https://indianrailways.gov.in/railwayboard/view_section.jsp?lang=0&id=0,1,304,366,523,629,2058

Note: URL/Link changes from time to time as such contents/updated rules/instructions may be checked from the website of the concerned Ministry.

9.4. For matters delegated to an authority within a Ministry/Department (i.e. those which are within the powers of Ministry of Railways), decisions are to be arrived at through noting from the initiating officer on a file which is submitted to the competent authority through the channel of submission.

9.5. Directorates/Sections are encouraged to develop and update tools of knowledge management as described in subsequent chapters to develop and institutionalize a 'person-independent' information system for retention of knowledge and its transfer to the successors.

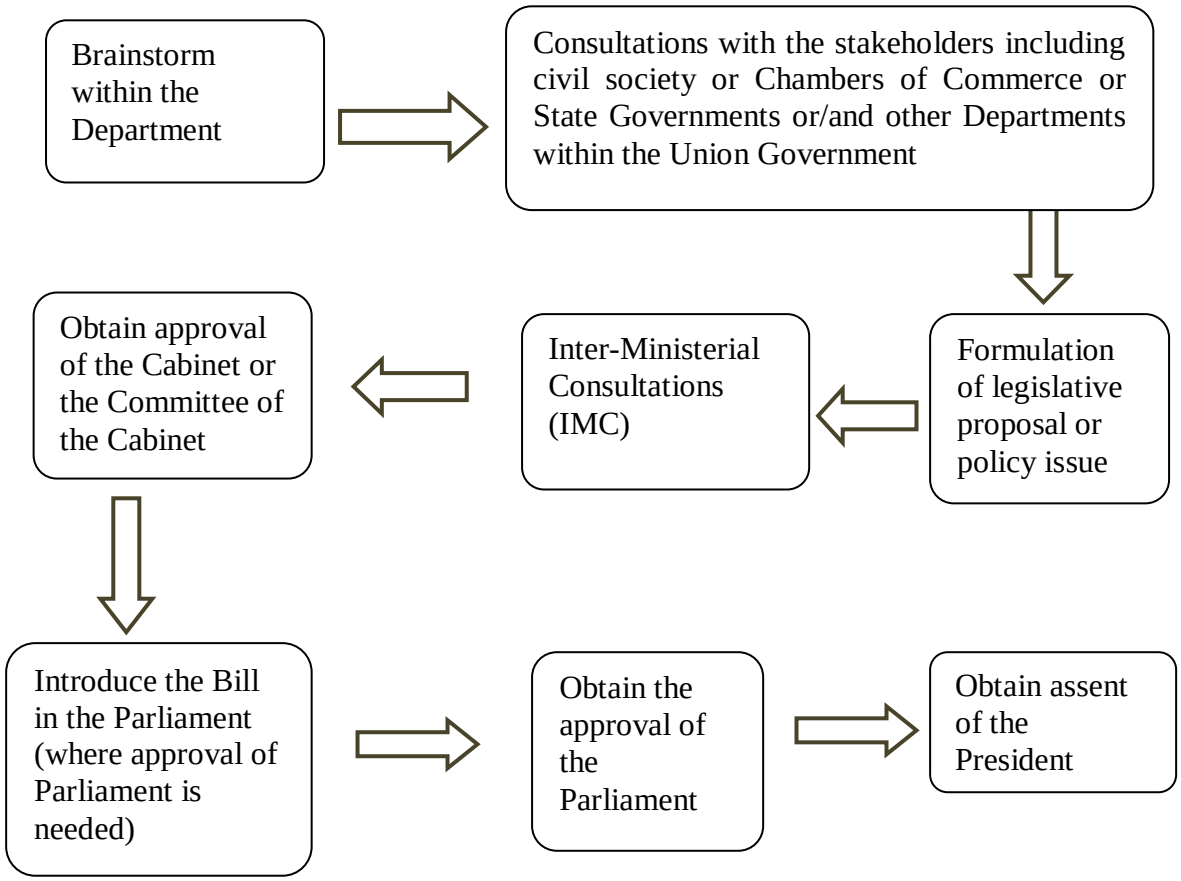
9.6. The process of decision making in Government depends on whether it needs approval of the Parliament or the Cabinet/Committee of the Cabinet or is within the powers of the Minister or Secretary. Thus, decisions made in Government may be categorized as under:

(a) Legislative proposals
(b) Policy issues
(c) Other than legislative proposals or policy issues under the delegated powers of the Ministry

9.7. The process of decision making in case of legislative matters/proposals that need approval of the Parliament or the Cabinet or a Committee of the Cabinet is as under. The process of decision making in case of "Other than legislative proposals or policy issues delegated to Ministry" is given in subsequent chapter.

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Process of decision making in case of legislative matter/proposal that needs approval of the Parliament or the Cabinet or a Committee of the Cabinet



9.8. Efficiency in Decision Making in the Government:

(i) Efficient decision making is fundamental to a responsive and accountable governance. Accelerating the pace and efficiency of decision making is crucial for economic growth and enhancing the ease of living of citizens. This MOP based on CSMOP (Sixteenth edition, 2022) aims to bring simplicity, efficiency and transparency in Government processes and procedures. It has a guiding framework for effective functioning of the Ministry of Railways (Railway Board).

(ii) Compliance of the following provisions of Board's MOP will enable enhancing efficiency in decision making:

(a) All Directorates are to invariable ensure uploading of their Channel of submission of cases, other than the classified ones, on the IR Website at link https://indianrailways.gov.in/railwayboard/view_section.jsp?lang=0&id=0,1,304,366,523,2605 (referred to Office Order No. 14 of 2022) duly indicating the name, telephone number and e-mail Id of the officer dealing with different subject in that unit. The details should also be updated regularly as and when required and the levels of disposal and channels of submission should also be reviewed at least once in three years or early as per need. Based on the Channel of submission, the Dealing Officer will take action on the cases.

BACK

(b) E-Office platform should be optimally used by all Directorates to bring more transparency, efficiency and accountability in the Government transactions leading to increased promptness and productivity. For this, the reskilling/upskilling of the officers and the staff should also be ensured. RBCC should take action to migrate to updated versions of e-office from time to time.

(c) Central Registry should ensure registration of all Dak at their end before forwarding to concerned officer. To ensure complete digitization of Dak at Central Registry branch itself, time to time necessary action for required human resource and infrastructure augmentation may be taken.

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CHAPTER – 10

KNOWLEDGE MANAGEMENT

10.1. Knowledge Management is a process of creating, sharing, using and managing the knowledge and information of an organisation. It refers to a multi-disciplinary approach to achieve organisational objectives by making the best use of the knowledge. Knowledge Management is, therefore, an enabler of organisational learning. A Knowledge Management dashboard is to be set up in the e-Office environment by every Directorate/Section/Unit to provide access to aids to processing as indicated in this Chapter.

10.2. Aids to processing :

Aids to processing are tools of knowledge management used in the Ministries and Departments. Any mechanism that helps an officer to learn his/her area of work in examination and disposal of a case is an aid to processing. They are more effective if maintained electronically.

Examples of aids to processing are:

i. Note for the Successor
ii. Standing Process Sheet
iii. Standing Guard File
iv. Standing Note
v. Precedent Book
vi. Reference Folder

10.3. Note for Successor (Handing Over Notes):

(i) Movement of officers from one post to another by way of promotions, transfers, deputation, etc. is part of functioning in any organisation. It is the responsibility of the organisation to ensure that relevant induction material is provided to the new incumbent to enable him/her to perform duties to the best of his/her abilities.

(ii) Even though in Government organisations, all the required information is available in files, predecessors also play an important role in passing on institutional memory. Guidance provided by the predecessors needs to be documented to ensure easy and ready access.

(iii) Note for successor from his/her predecessor is an important tool to keep the work progress in a flawless manner. Such a note should be prepared in a structured manner incorporating all the inputs so that the successors could discharge their duties more efficiently.

(iv) The responsibilities may vary from one post to another post. The note for the successor generally has to be of uniform format across the levels. A common template for a model Note for successor is given in **Appendix – 10.1**.

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10.4. Standard Process Sheet:

(i) A Standard Process Sheet is a standardized note or template. It is a mechanism used in an office to arrive at a decision. The Standard Process Sheet provides various check-points to process cases of repetitive nature like Medical Reimbursement, VRS Award cases, Leave Encashment etc.. The various details or the facts and figures of each case are provided by the Dealing Officer. Apart from being a performance tool for the Dealing Officer, it ensures that no important point is overlooked by the seniors when the case is submitted. For the senior officers, it also helps in saving time because relevant information needed is visible in a more conspicuous manner.

(ii) Some of the steps to be taken to devise Standard Process Sheet are:

a) List the cases dealt with
b) Check if any of them is of repetitive nature
c) Prepare a list of points to consider while submitting the case
d) Arrange those points in a logical sequence. The broad sequence to be adopted is:
   i. Facts of the case
   ii. Rules/regulations to be applied
   iii. Suggested course of action
   iv. Indicate who the competent authority is
   v. Points on which decision is sought
e) Design a format
f) Get the draft standard process sheet cleared by Section Officer and Branch Officer
g) Test-run the Standard Process Sheet in a few cases
h) Revise, if necessary
i) Finalise

A specimen Standard Process Sheet may be seen at Appendix 13.1.

(iii) Standard Process Sheets are to be reviewed periodically with respect to standing instructions/orders/guidelines of the Government of India in force. It will be filed on the notes portion of the file. It is to be treated exactly in the same manner as a normal note sheet is treated. In eFile, one may design and customize templates to process cases of repetitive nature like Medical Reimbursement, VRS, Award cases, Leave Encashment etc.

(iv) Need to revise Standard Process Sheet may arise due to:

a) change in the rules position or

b) change in the procedure itself.

For example, if the minimum notice period for resignation to be given by the employee is done away with. This would need a revision in the Standard Process Sheet to the extent that this particular checkpoint will have to be deleted.

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10.5. Standing Guard File:

(i) A Standing Guard File is maintained to help in processing and taking a decision in a case because:

(a) It gives the background of the policy and procedures of the relevant subject to new officers:
(b) It enables quick submission and disposal of cases;
(c) It takes the place of voluminous old files put up for reference;
(d) It helps the office in locating the previous papers having bearing on the subject.

It is a compilation consisting of the following three parts:

(a) A running summary of the principles or policy or procedure on a subject with number and date of relevant Decisions or Orders quoted in margin.
(b) Copy of the Decisions or Orders referred to, arranged in chronological order; and
(c) Model forms of communications to be used at different stages of processing a case

(ii) While processing a receipt, the Dealing Officer will first identify the issues and collect all information. Then consider possible course(s) of action to suggest applying the latest relevant rules and procedure. For example, a new Dealing Officer has to process a case for release of grant-in-aid to a State Government on a scheme. Standing Guard File on the subject would aid in his/her processing the case, as explained below:

a. The running summary will assure that the rules and procedure contemplated is the same as the one to be adopted (**Part - 1**).
b. Refresh knowledge and understanding of the provision of the rules including the latest amendment (**Part -2**)
c. Submit draft or fair communications (**Part - 3**).

(iii) To create a Standing Guard File, the first step is to build Part - 2 by collecting copy of orders issued by the nodal Ministry/Directorates in Board's Office on the subject. Look for the previous references given in these orders and get a copy. Then, arrange them in chronological order. Go through these orders and note important points. Thereafter, prepare a summary based on these points. Then put these summarised points in a logical sequence. Take previous years' files, if any, on the subject. Go through the correspondence portion of these files and take copy of the communications used at different stages of processing of the case. The finalized draft along with Standard Process sheets would form Part - 3 of Standing Guard File.

(iv) To facilitate easy retrieval, Standing Guard Files are given a number. The Section must have a list of Standing Guard Files maintained by it. A copy of this list must also be available with the Section Officer and each of the Dealing Officers. The Section Officer normally gives the task of maintaining Standing Guard Files to the Dealing Officers concerned.

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(v) A Standing Guard File would gradually lose its utility if it is not updated regularly. Therefore, one of the responsibilities assigned to a Dealing Officer is to update it regularly. One of the ways to update it, is to take photocopies of Orders and other relevant communications issued on the subject by the nodal Ministry/Directorate concerned, of important decisions taken within the organization/Directorate and keep them in Part - 2 of the Standing Guard File in chronological order. Depending on the content of these Orders or Decisions, there could be a need to revise the running summary by adding suitable paragraphs or deleting paragraphs. Such revisions are to be made only after preparing a draft, getting it cleared by the Branch Officer. Similarly, as and when the forms of communication are revised or an additional one is devised, these too are to be added to Part- 3 of the Standing Guard File.

10.6. Standing Note:

Standing Note is helpful in retrieval of important files on the subject to which Standing Note pertains as it contains reference to important previous files concerning the subject. By referring to Standing Note one can easily have access to important files on the subject and locate them without any delay.

It's a continuing note explaining among other things, the history and development of the policy and procedure, designed to serve as:

(a) A complete background material for review of the existing policy or procedure;
(b) A brief for preparing replies to Parliament questions or notes for supplementary thereto; and
(c) Induction or training material.

As and when there is change in policy or procedure, the Standing Note should be made up-to-date by incorporating relevant changes.

10.7. Precedent Book:

(i) It is a register in a prescribed format to keep note of important rulings & decisions having a precedent value for ready reference. While taking action on receipts, the Dealing Officer examines cases with reference to the rules, regulations or guidelines on the subject. There are, however, instances when one comes across cases where the rules, the regulations or the guidelines do not provide a clear and specific answer for the issue under consideration. Precedent Book is a valuable tool for quick retrieval of past files on the subject under consideration. It is a Register designed to keep note of important rulings or decisions having a precedent value for ready reference.

(ii) If Dealing Officer and other officers in the hierarchy are unaware of precedent, they will have to seek advice from the nodal Ministry/Directorate concerned. Often this sort of references results in delay in disposal of cases. Precedent Book must be maintained in all Sections particularly those dealing with Policy issues or processing cases as per extant policy. Format of Precedent Book is in **Appendix 10.2**.

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(iii) A perusal of index in the Precedent Book maintained by the section will help:

(a) to know whether decision was taken earlier on the issue presently under consideration;
(b) if so, to obtain the details of the old file in which the decision was taken, and
(c) in locating it and linking it with the current file.

(iv) Locate files with precedent value. It is difficult to define the term "precedent value". A rigid view on the entries in the Precedent Book should not be taken. Dealing Officer may also make entries relating to discussions on file leading to 'No Decision' also. 'No Decision' cases are those which are examined in a file for a decision but the final outcome is to keep it on hold. For example, a section receives a proposal for creation of posts. Concurrently, there is a proposal for cadre review. A view may be taken not to process the proposal for creation of posts till the cadre review is completed. If considered suitable, this 'No Decision' may be a fit case for entry in the Precedent Book. Similarly, dealing officer may examine a proposal to grant relaxation to one of the eligibility conditions provided in recruitment rules for promotion. After discussions on the file, the Department of Personnel, the nodal authority in such cases, may not agree to the proposal.
The precedent value is that no relaxation was granted.

The criterion to decide whether or not a case should be entered in the Precedent Book is on the basis of whether such a file is likely to be called up for reference in the future.

Dealing Officer may consider taking photocopy of the relevant correspondence and the notes portions of the file with precedent value in a folder giving a fresh page number to the photocopied papers and keeping a record in the form of an index on the first page of the folder. He may also note the page reference in the Precedent Book. Between one set of photocopy of a precedent and another he may keep a blank colored sheet as a separator. This folder should be kept along with the Precedent Book in a file board. This kind of an institutionalized system would obviate the need to locate the old file. The Precedent Book along with the folder-containing photocopy of the relevant note correspondence portions should be kept in a safe place for easy retrieval. Section Officer should assign the responsibility of maintenance of Precedent Book to a functionary in the section through a specific entry in the work-allocation chart.

An ideal time to make entries in the Precedent Book, therefore, is immediately after a decision of precedent value is taken. However, in any case, the entry must be made at least at the stage of recording the file.

10.8. Reference Folder:

Reference folder is a folder maintained by individual officers. It contains such basic details as considered necessary by the officer, which are of immediate use for processing a case. Folder containing copies of various orders, rules, instructions, guideline, etc. on a specific topic, data pertaining to the subject dealt with, etc. Reference Folder is useful for the Dealing Officer or an officer during the discussions with the Senior Officers or while attending a meeting. For instance, it may contain details of funds released to a particular Railway for a specific project during the last 3 years and also during the current financial year. It may contain detailed reasons why funds were unevenly released, details like progress in execution of work, utilization of previous released fund etc.

BACK

Depending upon the need of the Dealing Officer or an officer, the Reference Folder will be created. Thus, it would depend on the needs of the officer concerned. The Reference Folder needs to be updated regularly on every updation of data and also every amendment to the standing instructions, orders and guidelines of Government of India.

10.9. Induction Material :

Every Directorate are to prepare an 'induction material' under the guidance of their concerned AM/PED/ED for the use of not only their officers but also for the convenience of other Directorates/Senior Officers as per requirement. The "induction material' should clearly spell out the functions and structure of the organization (Directorates-roles, responsibilities), detailed work distribution amongst various branches/sections, Officers/Staff with their names, room numbers, location, officers in charge, telephone numbers, etc. The 'induction material' should be revised at periodic intervals so as to keep it up-to-date.

10.10. Master Circulars:

1. In order to improve the existing Knowledge/information Systems in Government and advised by DARPG, every Directorate may review the instructions issued by them on each subject from time to time and consolidate the instructions on a given subject into a self contained single document in the form of Master Circular. References of source instructions and amendments thereto may be listed and hyperlinked at the end of Master Circular so as to facilitate a user to see changes/updations introduced over time.

2. Whenever new instructions/orders are issued, or modification/amendment is carried out in any existing instructions on a subject, the relevant Master Circular may be updated on the above lines. Such updated Master Circular shall supersede the previous Master Circular on the subject.

3. The Master Circulars issued by different Directorates may invariably be revised, updated and published/uploaded prominently on IR Websites. Presently, the list of Master Circulars are available on Railnet under Establishment Directorate at http://10.50.19.92/empc/ .

10.11. RESPONSIBILITY MAPPING:

S No	Activity	Responsibility assigned to
1	Note for a Successor	The Officer concerned*
2	Standard Process Sheet	Branch Officer*
3	Standing Guard File	Section Officer*
4	Precedent Folder (Book)	Branch Officer*
5	Reference Folder	The Officer concerned*

- The officer may ask the Dealing Officer and other officers to help.

10.11.1. In eFile, there is a provision for 'Remarks' in the electronic as well as physical file cover, which could be used to indicate the decision made using key/catch words. Subsequently, this could be indicated in the Precedent Folder. It is possible in eFile to have a single folder combining the features/utilities of Standing Guard File and Precedent Folder. These tools of Knowledge Management are essential to be developed and updated regularly.

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10.12. Digitization Framework:

Digitization of documents and files play a key role for overall transition to eOffice. Framework for digitization is, thus, critical for transition to an electronic mode of functioning. It helps to build an integrated approach in preparing for making the transition. The framework includes the Standards, Policies, Guidelines and Best Practices.

For guidance towards digitization, 'Chapter-15: eOffice Digitization Framework' of CSMOP-2022 may be referred to.

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APPENDIX 10.1
(Para 10. 3 (iv))

NOTE FOR THE SUCCESSOR

1. List of key areas and responsibilities related to key areas

S. No	Key performance area	Responsibility related to the key performance area

2. Staff position at present

Sl. No	Nomenclature of the post	Sanctioned strength	Persons in position	Vacant posts	Date of vacancy	Remarks

3. A brief write up on the sensitive matters being dealt with in the Section, Branch, Directorate.
4. List of documents required by the officer for handling the responsibilities as indicated in Annexure to Appendix 10.1.
5. What were the predecessor's experience of working in the Directorate/Section and what steps need to be taken to improve the situation.
6. Challenges that he/she faced and efforts made to overcome them.
7. What are the constraints under which the work had to be undertaken?
8. List of counterparts on Railways, Ministries/Departments along with the subject matter/issue.

Sl. No	Subject matter	Railway/Ministry concerned	Officer concerned	Office address, email and Contact number

9. Pending matters like Court cases, Parliamentary Committee matters, PMO or Cabinet Secretariat, PRAGATI, eSamiksha, etc. needing urgent attention.
10. Any other issues.

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LIST OF IMPORTANT DOCUMENTS

1. Roles, Responsibilities, duties of Directorate/Section
2. Organization Chart of the Directorate indicating hierarchical reporting officer.
3. Policy work/targets assigned to the Directorate
4. Work allocation with details of work allocated to Officers & Sections.
5. Delegation of financial and other powers and internal instructions for decision making within the Directorate.
6. Parliamentary matters - A folder containing answers provided to Questions, Note for Supplementary for the last three sessions, Question days of the Ministry/Department.
7. Court cases - status of court cases requiring attention:

Sl. No.	File No.	Subject of court case	Date of next hearing	Advocate handling the case with telephone No.

8. Projects/schemes completed and under process:

Sl. No.	File No.	Subject of project/Schemes	Target Date	Implementing Agency/Unit with contact details	Present position

9. Level of Information and Communication Technology (ICT) prevalent in the Ministry of Railways - List of important websites, e-Office.
10. Budget provision and the status of utilization of funds/budget. Action on additional budget requirement. Pending Audit paragraphs.
11. Pending RTI applications.
12. Important instructions on files from senior officers on which responses are pending.
13. Cabinet Note/other important pending issues
14. Important meetings during the next fortnight. Follow up action on previous meetings.
15. List of periodic reports that are generated by the Section/Directorate and that are received by the office.

LOGISTICS

The data available on the computer of the predecessor should be made available to the successor.

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APPENDIX - 10.2
Para – 10.7

Format of Precedent Book

PRECEDENT BOOK	
Heading*	
Decision or ruling in brief	
Date:	File No.
Copy at page _____ in the folder.	

* Decisions with precedent value are indexed under various heads. For instance, a decision on "critical date for determination of Seniority of Officer for promotion to Group ‘A’ from Group ‘B’ for IRPFS Cadre " may be indexed under:

i. IRPFS Cadre

ii. Promotion to Group ‘A’ from Group ‘B’

iii. Critical date for determination of Seniority

iv. Eligibility, etc

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CHAPTER – 11

MANAGEMENT OF DAK AND RECEIPTS

11.1. Receipt of Dak. –

a) During office hours, the entire dak of the Ministry of Railways (Railway Board), including those addressed to Ministers/Officers by name, will be received in the Central Registry (CR) Branch. Where, however, dak with urgency grading addressed to Ministers/officers by name is sent through special messengers directly to the addressees themselves, it will be received by them or by their personal staff.

b) In case, an officer is on leave/training/tour or having retired/transferred from the office (post), the successor/the personal staff concerned or the link officer/the officer just below such retired/transferred officer concerned, dealing with the subject, will receive the dak with urgency grading except in case of classified letters. In case, none of the above mentioned officers are in position, the CR branch will receive such letters. In no case immediate and/or important letters should be undelivered or returned by the CR / concerned Directorate.

c) Outside the office hours, dak will be received by the addressee himself at his residence if marked 'Immediate' and addressed by name. In other cases, dak received outside office hours or not addressed to any officer by name will be received on all days (including Saturday, Sunday or holidays) by the staff on duty in 'G' Branch.

d) E-mails addressed to Ministers/Officers will be downloaded by them or their personal staff and be forwarded to concerned for necessary action after registering in eFile.

e) Communication received through Fax should be immediately photocopied as the text of the fax message fades with the passage of time.

11.1.1. In e-file, all physical Dak will be received through e-office in the Receipt inbox of Receipt Section.

11.2. Scrutiny of Dak at CR –

(i) Dak with urgency grading will be separated from other dak and dealt with first.

(ii) All covers, except those addressed to Ministers/Officers by name or those bearing a security grading, will be opened by the Central Registry.

(iii) On opening of dak, the CR will check enclosures and indicate on the dak, if any, item found missing.

(iv) All opened dak (including inter-departmental files, court summons etc), as well as the covers of unopened classified dak, will be date-stamped with following details – Ministry of Railways, Railway Board, received on ……., CR No……. and Section Diary No/E-Receipt No..……..

11.3. Registration of Dak.—

(i) At Central Registry, all Dak should be registered at the entry level so as to maintain accountability of every paper received by them. CR Branch may be strengthened with

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resources for registration of dak at the entry level. Registration of Dak at CR, is to be in Format as indicated in **Appendix – 11.1.1**.

(ii) Once it is received by the Section/Personal Staff its details is to be entered in Section Diary/Dak Register/Section Register/Register maintained by Stenographic Officials attached to Senior Officers as indicated in **Appendix -11.1**. However, in e-Office registration would be done only once.

(iii) The physical dak (including the fax messages) would be received by various functionaries (e.g. C.R. Branch or the personal staff of the officer concerned). It shall be the responsibility of the functionary who first receives the physical dak, to diarize it/register in eFile (in case the enclosures are missing, the concerned official shall take action telephonically or in writing or electronically to obtain the enclosures from the sender, preferably in the electronic form). Where voluminous books, papers, etc. are sent as an Annexure, the sender may be requested to send a soft copy.

(iv) All dak need to be registered at the entry level except the following :

a. receipts which, as a class, are adequately taken care of by a register specially devised for the purpose (e.g. RTI register, Register for items requisition from Stationery branch etc.);

b. Communications received from Members of Parliament for which a separate register is maintained for watching their disposal;

c. identical copies of representations except the one received first, unless directions / remarks are recorded by a senior officer;

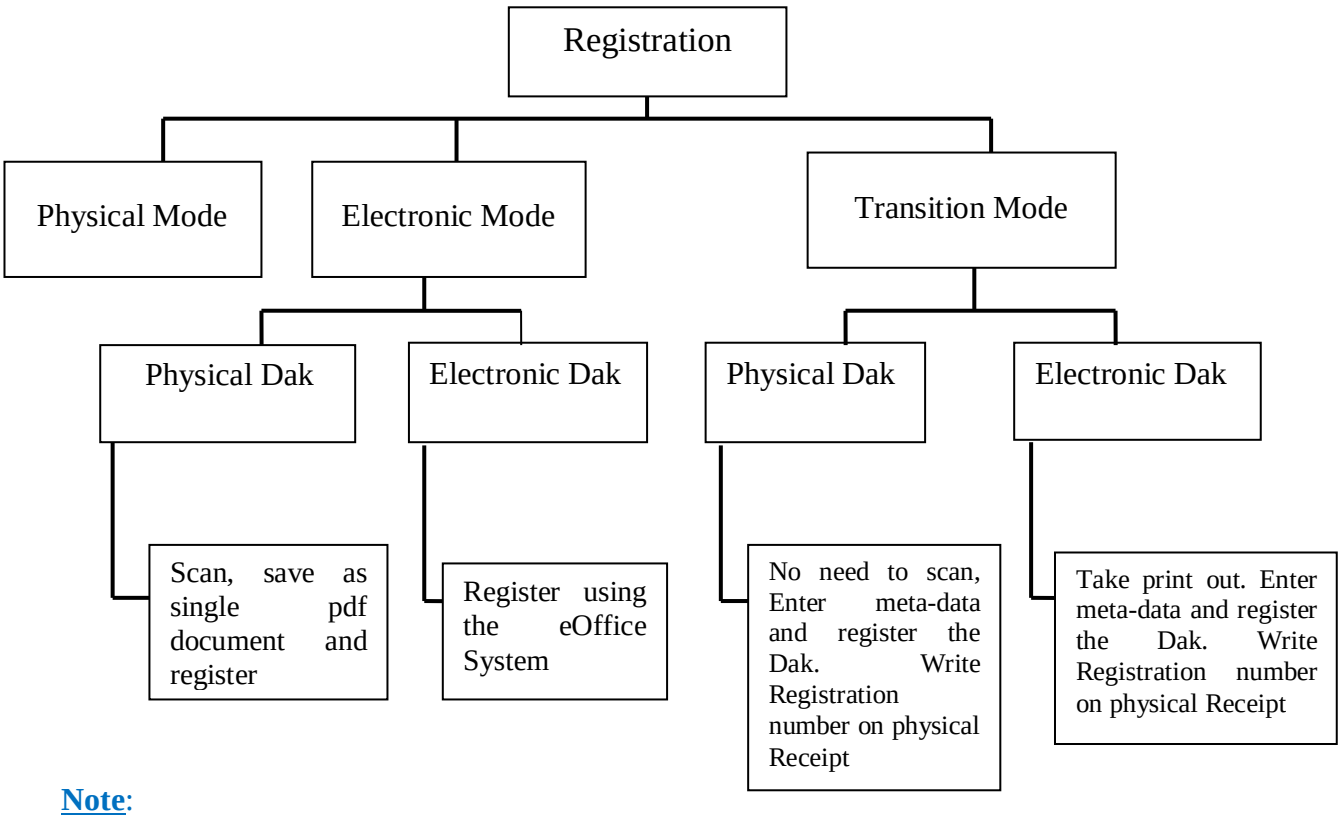
d. casual leave applications;

e. copies of miscellaneous circulars, office memoranda, extracts, etc., circulated by any section for general information, e.g. notices of holidays, posting orders etc.; and

11.3.1. In eOffice, the receipt number generated is unique and is non-editable. It also is appended with Section code for easy identification. Date and time stamp of receipt generation which is maintained in the system, is also available with the receipt in electronic mode.

Note : **Receipt which have been diarized and registered in e-office indicating e-receipt number will not be registered again. Registration in e-office would be done either by Central Registry itself or by the first recipient branch or by personal staff attached to the officer to whom the receipt has been marked initially or directly**.

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Note:

a. Transition Mode means processing of Receipts and File is done physically and tracking is done electronically through eFile.

b. Electronic Mode means processing of Receipts and Files is done electronically through eFile.

c. In both the cases, in e-office system, log of movement details of files and receipts, electronic as well as physical, is maintained.

d. In eFile, all Dak are to be registered as explained in Appendix – 11.2 and 11.3. The registration number thus generated is unique in nature and is a running number throughout the Ministry of Railways.

e. Every time the CR or an officer accesses the e-File for registering a Dak, a new number will automatically be generated against it. Registers maintained at various levels like CR Register (Dak Register), Section register and the Personal Section or Staff register etc. need not be maintained in the electronic environment as the system saves all the data and search and retrieval processes are done based on these data: computer number/receipt number/key word of subject.

11.4. Acknowledgement of Dak-- The receipt of dak, except ordinary postal dak, will be acknowledged by the recipient signing his name in full and in ink with date and designation in the Messenger/Peon Book as per specimen indicated in **Para 11.4.1**. The dak received through emails should also be acknowledged.

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11.4.1. Specimen of messenger (peon) book

Date	Reference number of the document and brief subject in one or two lines	Full signature of the recipient with name, date and designation (dd//mm/yy)

11.4.2. In eFile, acknowledgement of a Dak is automatically done by the system through SMS and/or email, after registration of Dak, provided the mobile number and email address fields in contact details of the sender are filled in during registration, in Dak registration screen. Also there is a provision to send acknowledgements in templates (e.g. letter heads of offices).

11.5. Distribution of Receipt: Once a Dak is registered it becomes a receipt.

(i) Each section will depute a Group 'C' employee for collecting the dak from Central Registry. Such employee would append his/her signature in full in the register against entries concerning his/her section and collect the dak from the Central Registry.

Note: In eFile when registration of dak is done electronically but processing on it is done physically then the acknowledgement is done as above because the paper/receipt moves manually. However, when registration and processing both are done electronically then no register is required.

(ii) Urgent dak will be distributed by Central Registry themselves duly entering in an invoice as indicated in **Appendix 11.4**.

(iii) For sorting of dak section-wise, the subject list issued by O&M Unit and other instructions/Office Orders regarding marking of receipt may be referred. If a receipt relates to subjects dealt with in more than one Branch, it will be marked to the branch to which the first subject relates. It will be the responsibility of that branch to show the receipt to other branches concerned.

(iv) Classified dak shall be entered in a separate register and sent to the Officer concerned and their acknowledgement with date taken in the register.

(v) Use of email may be encouraged by all Directorate/Section for sending communication. Emails facilitate quicker despatch, distribution and receipt of communications.

11.6. Perusal and Marking / sending of Receipts: On receiving the Receipts, the Section Officer will –

(i) go through the receipt
(ii) forward mis-sent receipts or emails directly to the section concerned;
(iii) separate those which either under the instructions within the Directorate or in his discretion should be seen by higher officer before they are processed and marked them to such officers;
(iv) retain such of the remaining receipts and emails as are of a difficult nature or have any special feature requiring his/her personal attention;

(v) mark other receipts to the Dealing Officers concerned and where necessary indicate urgency grading, deadline and / or give directions regarding line of action;
(vi) keep a note in his/her register of important receipts requiring prompt action or disposal (by a specified date); and
(vii) submit the file to the officer who last noted on it, if it is the one returned by other Ministry

11.6.1. In eFile, the marking of a receipt or a file is made to the officer concerned in pre-defined field, including self. In case of Receipt, there is a provision to mark a copy to other officers too. Direction may be given from the drop down menu of 'Action'. Sender may use the 'Remarks' field to record his comments. Officers can set due date for submission in the 'Set due date' field.

11.7. Movement of receipt:

Manual receipt submitted to officers will move in pads conspicuously labelled as receipt pad. Their movement and perusal will receive prompt attention. The Section Officer will keep a careful watch on any hold up in the movement of receipts and take action to expedite. The subordinate staff (ASO, SSA, JSA, ex-cadre staff) will bring to the notice of SO any receipt which is not received back from officers within one day.

11.7.1. eFile tracks every movement of a Receipt or a file.

11.8. Action by higher officers:

Officers to whom receipts are submitted will:

(i) go through the receipts, initial them and return them to the Section Officer;
(ii) remove receipts which they may like to process or dispose of at their level or to submit to higher officers at dak stage, in which case movement of such receipts are to be made by the personal staff;
(iii) ensure that an existing file is obtained from the Section or a new file is opened by the Section with respective references made in the File Register for action as in para 11.8(ii)

11.9. Allocation of Disputed Receipt/Dak

Ordinarily, the marking of the Central Registry on receipts should be treated as final. In case of ambiguity/dispute in respect of marking of receipt following procedure is to be adopted:-

a) If any Branch Officer/Section Officer feels that a particular Dak/Receipt/Case has been incorrectly marked and it pertains to some other Directorate the same be transferred /marked to the concerned Officer with reasons duly referring to relevant provisions of subject list issued by O&M or attaching/referring relevant records/case

b) If the receipt/case pertains to another Branch/Officer within the Directorate under same ED/JS or other Directorate but same PED or AM, the matter be brought to the notice of the concerned ED/PED/AM for resolving the dispute and the dak/receipt be marked to that concerned branch through the ED/PED/AM as the case may be.

c) If, however, after following the above procedure the dispute still remains unresolved, (in respect of concerned officer/section to take action on Dak/Receipt), the papers may be marked to Adviser (Admn.)/JS or US/DS(O&M) through the concerned ED/PED/AM with detailed comments as to why it does not pertain to them indicating reasons,

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attaching supporting documents etc to enable O&M to examine and give its decision. The decision, if conveyed with the approval of Secretary/Railway Board would be final and binding.

d) In no case, the words 'Not for' or any other phrase meaning the same thing is to be used while forwarding/referring it to the concerned Officer/Directorate or to O&M for decision.

Note: Central Registry/Concerned Officer from whom the Dak has been received should be advised as soon as a receipt is transferred from one section to another to enable them to make necessary changes in the entries made in their Record. In case of Parliament Question/RTI case(s) the same be routed through Dir(P), DS(P)/JS(P) and DD(PG)/RTI cell respectively. In respect of VIP/MPs/Parliamentary references monitored through online MIS portal (IR-VIP&Parl. Ref.) same procedure as stated above is to be followed by referring officer in whose opinion the issue raised by the MP/VIP is not covered under his/her allotted duty list.

11.10. Action on Receipt by Directorates/Sections/Units:

a. General Principles:

Action on receipts will be so organized that it results in speedy and correct decision-making process. Certain general principles to be observed in this regard are given below:

(i) Paper work will be kept at an essential minimum;
(ii) An officer will himself initiate action on as many receipts as possible, keeping in view the priority requirements,
(iii) Number of levels at which a case is examined will be reduced to the minimum to ensure a least possible time for examination and disposal of cases, unless a specific time limit has been prescribed in the Receipt or through any other instructions;
(iv) While disposing of cases, an officer will aim at optimizing the quality as well as the quantity of work performed by him. The objective should be 'speed with accuracy';
(v) Simplified and pre-structured formats – standard process sheets – should be developed for processing repetitive cases.
(vi) No action on anonymous or pseudonymous letters, representations etc should be taken, unless ordered in writing by an Executive Director, a Member of the Board or the Ministers.
(vii) In regard to anonymous or pseudonymous complaints irrespective of the nature of allegations, such complaints need to be simply filed and not be treated as registered complaint. However, depending on the sensitivity of issue necessary appropriate action as deemed fit needs to be taken which may include ascertaining the veracity of information.

11.10. b. Action by Dealing Officer:

The Dealing Officer must:

(i) Go through the receipts and segregate from the rest as per the urgency grading;

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(ii) Deal with the receipts with urgency grading first, followed by other receipts and cases;

(iii) Check enclosures and, if any, found missing initiate prompt action to obtain it;

(iv) See whether any other section is concerned with any part or aspect of a receipt and if so, send copies or relevant extracts to that section for necessary action;

(v) Process the receipt on a current file or open a new file (Para 12.4, 12.5 and Appendix 12.2);

(vi) File papers in accordance with the instructions in Para 12.5;

(vii) With the help of various tools of knowledge management like Standing Guard Files (Para 10.5), Precedent Book (Para10.7), Reference Folder (Para 10.8), etc. locate and collect other files or papers, if any, referred to in the receipt, or has a bearing on the issues raised therein;

(viii) Identify and examine the issues involved in the receipt / case and record a note based on functional approach to noting (Para 13.14);

(ix) Arrange papers (para 12.6);

(x) Do referencing (Para 12.7);

(xi) Do docketing (Para 12.8);

(xii) Where necessary, attach a label indicating the urgency grading (Para 12.15) and security grading appropriate to the case;

(xiii) Sign the note (Para 13.2 and 13.3);

(xiv) Submit the file to officer as per the channel of submission.

eOffice Note:

In eFile, the system appends the file number automatically with Receipt once it is put up on a file. Date of submission is reflected both on the notes and also in the movement details automatically, once the file is marked and sent.

11.10. c. Action by Section Officer:

The Section Officer will:

(i) Scrutinise the note of the Dealing Officer;
(ii) Dispose of routine cases, like obtaining information for draft reply to Parliament questions; sending reminders, etc.;
(iii) Take intermediate routine action;
(iv) Record, where necessary, a note setting out his own comments or suggestions;
(v) Submit the case to the higher officer;
(vi) Monitor the progress of the case to avoid delay;
(vii) On return of the file, take action, like issue of communication, further examination, etc.

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11.10.d. What constitutes 'routine cases' or intermediate 'routine action' in terms of (c)(ii) & (iii) above will be determined according to the circumstances of each case and in the event of a doubt, the Section Officer will consult the appropriate higher officer.

11.10.e. Action by Branch Officers and above:

If in agreement with the views of the Section, they will append the signature and submit the file to the competent authority. Else, they may (a) return the file with written advice or (b) record own note and submit to the competent authority.

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APPENDIX 11.1
[Para-11.3(ii)]

DAK REGISTER[@]

Registration# Number	Particulars of dak received				Brief Subject	To whom sent	File number*	Replied sent in Hindi/English/ Bilingual*	Remarks*/No Reply was necessary**
	Letter reference number	Letter Date	From whom	Language					
Date of Registration									
1	2	3	4	5	6	7	8	9	10

INSTRUCTIONS:

1. Columns 1-5 will be filled at the stage of registration i.e. before the receipts are handed over to the dealing officers (at Section Level or Personal Staff of Officer).
2. Devanagari script will be used for registering Hindi receipts. Hindi receipts may be suitably distinguished by either marking 'Hindi' in Column 5 or using a different colour of ink.
3. Column 8 will be filled on the basis of information to be made available by Dealing Officer who has opened the file for that receipt. For this purpose, the Registration Officer will collect and consult the Dealing Officer periodically, say once a week.
4. Columns 9 will be filled by the concerned registration officer on receipt of office copy of issue.
5. In column 10, *'Remarks' is filled in, based on need by the section. For instance, 'Movement of Receipts marked to officers for perusal' etc.
   **'No reply was necessary' will be filled in, by the Dealing officer after a decision has been taken at an appropriate level that no reply is necessary.

@This Register is to be used in Section and by Personal Staff attached to an officer (Personal Officers Cell).

 # Registration is to be done only once in e-Office and the Receipt No. generated should be attached to the file on which the case is being processed for its monitoring. This is also important else the receipt would be treated as pending for action.

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APPENDIX 11.1.1
[Para 11.3 (i)]

DAK REGISTER

(To be maintained by Central Registry branch)

Date……

S. No.	Particulars of Dak received		From whom received	Registration number assigned by CR	To whom sent	Remarks
	Number	Date				
1	2	3	4	5	6	7

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APPENDIX 11.2
[Sub para (d) of flowchart on Registration]

Registration of Dak

1. "Process Flow":

(a) **Receipt of DAKs**: The physical DAK for the Ministry/Directorate is received.

(b) **Scanning**: The physical DAKs received is scanned & saved as pdf document. All papers of a single dak must be scanned and saved in a single document. Cases wherein voluminous books, papers etc. are sent as annexure, the sender may be requested to send a soft copy or indicate public website link from where the book, etc. may be downloaded.

(c) **Registration**:

(i) The scanned copy of the Dak is uploaded in the system along with its details (meta-data), if the processing of Receipt is completely electronic.

(ii) If the processing on a Receipt is to be done in physical form, the registration is to be done using eFile.

In order to provide ease of access & avoid any loss of letter at a later point of time, the dak should be scanned and uploaded during registration.

(iii) If Dak is received is in the form of e-mail, following actions can be taken as per the processing nature in eOffice-

- *Electronic processing in eOffice*: the mail can be converted into PDFs for further processing.
- *Physical processing in eOffice*: a print-out is to be taken

➢ In both the processes, the meta-data has to be entered and registration/receipt number generated by the system, which is in seriatim for the entire Ministry/Department.

Storage of physical Daks after scanning: By CR Branch or Personal Staff of Officer who first receives the Dak and registers it. After scanning and registration, the physical DAKs along with registration/receipt number is to be sent to the respective sections. This is done so as to retrieve and refer to, if required.

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APPENDIX 11.3
[Sub Para (d) of flowchart on Registration]

Guidelines for handling of Daks

DAK TYPE	REGISTRATION	SCANNING	HANDING OVER PROCEDURE
Newspapers, Magazines and periodicals.	NO	NO	Hand over to Library
Private DAK e.g. LIC reminders, personal bills.	NO	NO	Handover to addressee/PA/MTS
Private DAK by registered or Speed Post	NO	NO	Receive in paper register, take signature of addressee/PA/MTS
DAKs by office name	YES	YES	Open Envelope, Scan, and register, Electronically forward to Section concerned. Write Registration number on original paper and sent to respective Section
DAK by office name with bulky enclosures e.g. brochures etc.	YES	Scan Covering Letter; Enclosures sent as hard copy	Remarks about enclosures will be entered in the Registration. If documents are important, Officer/Section/Personal Staff may scan them and keep in a file against registration number.
DAK by officer's name or marked Private/Classified etc.	YES	NO	Will NOT be opened. However, it will be registered and electronically forwarded to the addressee. Registration number and data will be written on the unopened envelope and it will be sent to concerned officer or his/her PA. It will be duty of the addressee or his/her PA to scan it and enter into eFile against the concerned registration number.
Note: The above mentioned guidelines are for reference purpose only. The Directorates may have their own instructions depending on different types, nature and importance of DAKs received.			

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APPENDIX 11.4
[Para 11.5 (ii)]

INVOICE
(for distribution of Dak by Central Registry)

List of receipts sent to……..

Date	Registration number assigned by CR	No. of Items of Dak		Total	Signature of receiver	Remarks
		Number	Date			
1	2	3	4	5	6	7

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CHAPTER – 12

FILE MANAGEMENT SYSTEM

12.1. **File** means a folder consisting of related papers on a specific subject consisting of one or more of the following parts with a file number:

(i) Correspondence portion:

(a) Contains all incoming written communications / other orders / instructions that are inputs to take decision; and;

(b) Office copy of all outgoing communication sent by office.

(ii) Notes portion: Contains the process sheet i.e. Notes on how decision was taken on a case,

(iii) Appendix to correspondence portion: Lengthy enclosures to a communication (whether receipt or issue) on the file, which are likely to obstruct smooth reading of the correspondence or make the correspondence portion unwieldy.

(iv) Appendix to notes portion: A 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. Such aspects are processed in Appendix to Notes and key issues arising there from are then processed in the Notes portion giving reference to the relevant page.

Note:

(i) If the file is not bulky, appendix to notes and appendix to correspondence may be kept along with the respective note portion or the correspondence portion of the main file if these are considered as integral and important part of File.

(ii) If the file is bulky, separate file covers may be used for keeping appendix to notes and appendix to correspondence.

12.1.1. eFile mainly comprises of:

a) Notes
b) Correspondences
c) Draft communication
d) References
e) Linked files (actionable files)
f) Attached files (linked for reference purposes)

12.2. File Management System :

It has two connotations:

(i) The manner in which file number is given; and

(ii) The manner in which papers are filed.

A proper file numbering system is essential for convenient identification, sorting, storage and retrieval of papers. The two file numbering systems in use in Ministry of Railways are described below.

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12.2.1. File Numbering System based on subject Classification or Single File System (SFS) or Conventional File Numbering System - being commonly used by Directorates in Ministry of Railways, Railway Board.

(i) This filing system is based on subject classification. A file number under this system normally has two or more file alphanumeral parts that contains:

a. Subject code
b. Sub-head code
c. Serial number of the file opened
d. Year in which the file is opened
e. Ownership which is an abbreviated form identifying the section.

Each Section is to maintain an approved list of -

(a) Standard heads, i.e. main subject headings concerning it; and

(b) Standard sub-heads, i.e. aspects of the main subject headings.

(ii) The standard heads will bear consecutive serial number and will be pasted on the first page of File Register (Case Book). No such numbers, however, will be allotted to standard sub-heads at this stage. (Code for each such sub-heads is allotted as and when need arises to open such sub-heads).

(iii) The pages allotted to registers are also indicated against each. However, the code number assigned to the subject head under the standard heads in this file numbering system will vary from Section to Section even within a Directorate.

(iv) The lists of standard heads and sub-heads will be reviewed at the beginning of each year and revised, if necessary, with the approval of branch officer concerned. The serial numbers once allotted to the standard heads should not ordinarily be changed. Before opening a new file, the dealing officer will ascertain the standard head to which the paper under consideration relates. He will then propose a suitable title of the file for the approval of the Section officer. The title will consist of :--

(a) Standard heads;
(b) Sub- heads which will be more indicative of the precise subject than the 'head' (where it is necessary to have more than one sub-head in a title, the general should usually proceed the specific); and
(c) A brief content indicating the question or issue under consideration in relation to the standard head and sub-head, and where necessary, the specific institution, person, place or thing involved.

(v) The title 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. It should be articulated, i.e. broken up into components, each consisting of the minimum possible substantive words and expressing an element in the subject matter. Each part will begin with a capital letter and will be separated from the preceding one by a bold dash.

(vi) As far as possible, there should be a separate file for each distinct aspect of the subject. The title of a file should not be couched in very general or wide terms which might attract large number of receipts on different aspects of the matter, thereby making the file unwieldy.

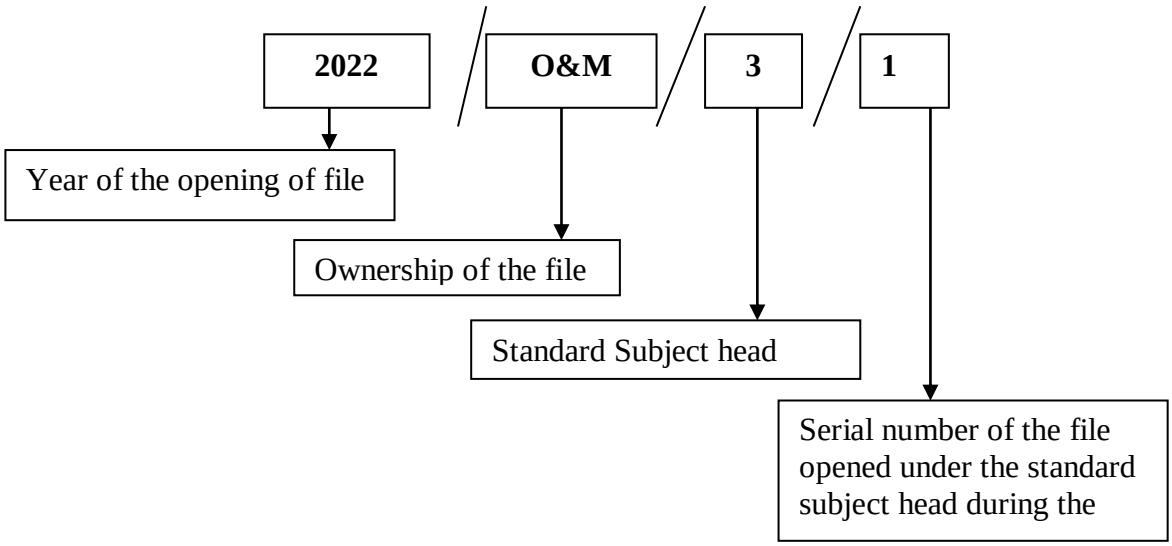
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(vii) If the issue raised in a fresh receipt or in the note on a current file goes beyond the original scope, a new file may be opened to deal with it by placing photocopies of relevant extracts.

(viii) Every file will be assigned a file number which will consist of.--

(a) the year of opening the file(all four digits e.g. 2021, 2022 etc) ;
(b) an abbreviated symbol identifying the section/cell.
(c) the serial number allotted to the standard head and sub-head, if any ; and
(d) the serial number of the file opened during the year under the standard head.

(ix) The first element in the file No. will be separated from another by a slant stroke and the last by a dash. Thus file opened in, say, Organization and Method Section during 2022 under the standard head bearing serial number '3' will be numbered consecutively as 2022/O&M/3/1, 2022/O&M/3/2 and so on, where 'O&M', represents the section, '3' represents the standard head.



12.2.2. Functional File Numbering System or Non Single File System (Non SFS)

In Conventional File Numbering System (SFS), the file numbering varies from Section to Section and Ministry to Ministry as such Functional File Number System was developed by DARPG in respect of functions common to all Ministries and Departments (e.g. matters relating to establishment, finance, budget, account, office supplies and services and other house-keeping jobs , Parliament questions etc). Non-SFS is encouraged to be used in e-Office for creating eFile.

Common Office Functions Codes as fixed by DARPG are as under:

COMMON OFFICE FUNCTION CODES

Code	Records relating to common functions in Ministries & Departments
A	Establishment
B	Welfare
C	Vigilance
D	Common office services
E	Hindi
F	Public relations
G	Finance, budget, cash and accounts
H	Parliament matters
I	RTI matters

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Broadly speaking, apart from the code indicating common office functions, Functional File Number will have alpha-numeric code for Basic, Primary, Secondary and Tertiary heads (as explained in Table below). The range and dimensions of the subjects falling under the scope of business allocated to a Directorate/cell are analyzed under four hierarchical divisions in the following sequence:

Relevant Head	Activity
Basic Head	Main functions of the Directorate/Branch
Primary Head (Main Activity)	Activities in each of these Functions i.e. to list out under each basic function as above by main activities identifying them through appropriate subject heading called Primary Heads
Secondary Heads	Aspects or Operations involved in each of these activities i.e. to divide each primary head into sub-subjects or aspects called 'Secondary Heads'
Tertiary Heads	Where necessary, break down each secondary head into its various known factors called "Tertiary Heads' i.e. Factors to be taken into consideration relating to each of these aspects or Operations

12.2.3. Based on the above list of heads', a functional file index for various substantive subjects dealt with by a Directorate/Branch/Cell together with an identifying file numbering system is then developed by the concerned Directorate/Branch/Cell. For detailed explanation on file numbering system as in Non SFS, **Appendix 12.1** may be referred to.

12.2.4. e-File supports both the file numbering system (SFS/Non-SFS). At the time of creation of the file, one has to select the appropriate option either SFS or Non-SFS. e-File has provision to include Basic, Primary, Secondary and Tertiary Head in respect of substantive functions of the Branch/Directorate. This needs to be created by the concerned Branch/Directorate and to be added in e-Office through System Administrator i.e. concerned e-Office unit of RBCC. Efforts may be made by each Directorate to move from Conventional File Numbering System based on Subject classification (SFS) to the Functional File Numbering System i.e. Non-SFS.

12.3. Instances where files need not be opened:

Normally, no new files will be opened for dealing with receipts of a purely routine nature (e.g. requests for supply of unclassified factual information, notices of holidays, miscellaneous circulars) which

(a) Can be disposed of straightaway by noting the reply on the source receipts and returning them to the originators; or

(b) Unlikely to generate further correspondence. Therefore, can be placed in a miscellaneous file to be destroyed at the end of the year, or placed in the folder of circulars, etc.; if any, on the subject.

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12.4. File register (Case Book) .—

The details/record of files opened during a calendar year will be maintained in a File Register **(**Specimen at **Appendix 12.2)**. Whenever a new file is opened its details along with date of opening is to be maintained in the file register. A list of approved standard heads alongwith the serial numbers identifying them should be pasted at the beginning of the file register. The pages allotted to the standard heads in the register should also be indicated against each. When file is recorded the proceeding number is to be pasted below the details of file at the relevant page of the file register. File Register is a permanent register and should be destroyed only when all the proceedings pasted in it, have been weeded out.

12.5. Filing of papers:

(i) Filing of papers means placing the PUC and / or FRs in the correspondence portion on File Board and the notes in the note portion of the file attached to Top Sheet. All Official and Demi-Official communications will be included in the 'Correspondence' portion of a File.

(ii) *Un-Official Communication:* Self contained un-official references, which are not to be returned, and replies thereto should be included in the correspondence portion of the file. Unofficial references which are to be returned in original will be noted upon without their being brought on to a file. A copy of a summary of the unofficial reference, together with a copy of the note recorded on the file of the originating Ministry in reply, should be retained when necessary, and placed in the "Notes" part of the file.

(iii) Punching and Tagging of Papers: File should be placed on a proper and strong File Board. Papers required to be filed will be punched neatly on the left hand top corner and tagged onto the appropriate part of the file viz. notes, correspondence, appendix to notes and appendix to correspondence, in chronological order, from bottom to top with oldest reference at the bottom and latest at the top. Every paper shall be 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. All papers on the File - notings and correspondence portion are to be properly tagged including DFA (Draft for Approval) and no paper should be left loose.

(iv) *Numbering of Pages:* Both the 'Notes portion' and the 'Correspondence portion' of a file are to be separately page numbered. The first page of the correspondence (say page number 1) shall be at the bottom while the last page (say page number 20) shall be at the top of the correspondence portion. Similarly, first page of the noting will be numbered as Page Number 1 and subsequent noting will be numbered accordingly. Blank intervening pages of notes portion, if any, should not be numbered but a line should be drawn diagonally across the page. The numbering of the page should be done in the centre at the top of every page.

(v) Earlier communications referred to in the receipt (R) or the issue (I) will be indicated in Red Ink and their position be indicated on the File (Note or Correspondence portion as the case may be).

(vi) When the 'notes' plus the 'correspondence' portion of the file become bulky (say exceeds 150-200 pages), it will be marked 'Volume I'. Further papers on the subject will be added to the new volume of the same file, which will be marked 'Volume II' , and so on. In Volume-II and subsequent volumes of the same file, page numbering in notes portion and correspondence portion will be made in continuity of the last page number in note portion/correspondence portion of the earlier volume.

(vii) If the file is bulky, separate file covers may be used for keeping appendix to notes and appendix to correspondence.

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(viii) If the file is not bulky, appendix to notes and appendix to correspondence may be kept along with the respective note portion or the correspondence portion respectively of the main file.

(ix) *Routine Notes or Papers:* Notes or casual discussions on points of secondary importance, routine correspondence like reminders, acknowledgements, etc., and notes intended to elucidate minor points of detail which are of ephemeral nature should not be allowed to clutter up the main file. Similarly in order to maintain the continuity of the main noting on a file, any notes which relate to such purely routine matters as the availability, tracing or movements of connected papers etc., should be recorded separately and not on the main file. All such notes and correspondence should be treated as "Routine papers" and placed below the file as it is, in a separate cover, and destroyed when they have serve their purpose unless these have an audit or legal necessity, in which case they are to be filed chronologically in the correspondence portion.

(x) *Serial Numbers:* Every communication, whether receipt or issue together with its enclosures kept in the 'Correspondence', will be given a serial number in red ink on its first page, preferably on the right top corner. The first communication will be marked, 'Serial No.1' and the subsequent one will bear consecutive serial number in single series. Enclosure or enclosures to a communication will be treated as a part of the communication and should be given the serial number of the receipt and also the number of the enclosure under it, thus the enclosures of S.No.1 will be numbered 1/1,1/2,1/3 and so on. Reference to previous communications should invariably indicated in the fresh receipt, if there is a mention about it.

(xi) *Top Sheet:* On the top first page of the note portion or in the Top Sheet (of every volume), Name of the Ministry, Branch/Section/Cell, File Number, E-Office Number and subject of the file will be mentioned. A similar procedure will be followed on file cover also wherever used.

(xii) Wherever the file board or the top sheet of a file gets torn, it should be replaced immediately. The torn note sheets and correspondence pages of the file should be immediately repaired.

(xiii) New Files should not be opened, when there is already a file existing on the subject. For every year, a miscellaneous file be opened where general papers can be kept.

12.5.1. In eFile, all electronic receipts including scanned copy of PUC and FRs are attached or uploaded to eFile. For electronic Files the need for creating a new volume does not arise.

12.6. Arrangement of papers in a case.—

How are Papers to be arranged in a File?

The papers in a case will be arranged in the following order from top downwards:

(i) Acts/Rules/Instructions or Reference books;

(ii) Notes portion of the current file ending with the note for consideration;

(iii) Draft for approval, if any;

(iv) Correspondence portion of the current file ending with the latest receipt or issue, or Running summary of facts; as the case may be;

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(v) Appendix to notes and correspondence, if required to approve the proposal; else they may be kept in safe custody by the Dealing Officer;

(vi) Standing guard file, Standing note, Precedent Book or Reference folder, if any;

(vii) Other papers, if any, referred to e.g., extracts of notes or correspondence from other files, copies of orders, resolutions, gazettes, arranged in chronological order, the latest being placed on the top. These too are to be page numbered and to be filed in the correspondence portion.

(viii) Recorded files, if any, arranged in chronological order, the latest being placed on the top; and

(ix) Routine notes and papers arranged in chronological order and placed in a separate cover.

12.6.1. In eFile, papers are arranged in each part of the file as given in Para 12.6 above. There is no need for Appendix to Notes or Appendix to Correspondence in eFile.

12.7. Referencing:

Referencing is the process of putting up and referring to connected records, precedents, rules, regulations, codes, books or any other paper having a bearing on a case. Such papers will be flagged with serial number (**alphabetic notations like F/A, F/B are not to be used,** since Flags with same alphabetic notations are often used in noting portion for referring to some other reference when file passes through different officers leading to difficulty in locating the earlier referred correspondence) of documents kept on the correspondence side. Flags with alphabetic notation may be used as an additional facility and not as a substitute for referencing by the serial number on the noting portion. Irrelevant and indiscriminate flagging should be avoided. While putting up the files, old flags which have lost their relevance should be removed.

(i) Every page in each part of the main file (viz. Notes, correspondence, appendix to notes and appendix to correspondence) will be consecutively numbered in separate series in pen on the top centre and in pencil in the part file. Blank intervening pages, if any will not be numbered.

(ii) Each item of correspondence in a file whether 'receipt' or 'issue' will be assigned a serial number which will be displayed prominently in red ink at the top right of first page. Proper referencing and flagging will be done both in the notes and correspondence portion wherever required.

(iii) The paper under consideration on a file should be flagged with slip 'Paper Under Consideration'(PUC) normally 'primarily receipt' the consideration of which is the subject matter of the file, The latest communication of a 'Subsidiary' receipt which is to be considered in relation to the subject should be flagged 'Fresh Receipt'(FR). If more than one receipt is under consideration at the same time, PUC slips should be attached to each receipt and numbered I, II, III and so on along with serial number.

(iv) In referring to the papers flagged 'PUC' or 'FR', the relevant page numbers will be quoted invariably in the margin. Other papers in a current file would be referred as S.No. …. in the note and F/A or F/B in the margin for further reference.

(v) 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'/23n, 'A'/17c, and so on. (n- noting, c- correspondence)

(vi) To facilitate the identification of reference to documents/papers contained in other files after the removal of slips or linked file(s), the number of the file referred to will be quoted invariably in the body of the note and the relevant page numbers, together with the serial number of the relevant correspondence portion will be indicated in the margin. Similarly, the number and date of Orders, Notifications and the 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 shall be quoted in the Noting portion of File and the alphabetical slips (Flag of the Serial Number) used will be indicated in the margin.

(vii) However, Rules or other compilations referred to in a case need not be put up if copies thereof are expected to be available with the officers 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 as 'Not put up'.

(viii) The reference slips will be attached neatly on the back of the paper so flagged. When a number of paper put up in a case are to be flagged, the slips will be spread over the entire width of the file so that every slip is easily visible. Irrelevant and indiscriminate flagging should be avoided. Old flags which have lost their relevance shall be removed while putting up files. After the action on receipts under examination has been completed, such reference slips, used for flagging will be removed.

(ix) The drafts of letters issued having crucial policy, financial and vigilance implications or where the drafts have been changed by Senior Officers in the process of movement of files upwards, barring grammatical corrections should also form a part of the correspondence portion, and shall be numbered ad seriatim.

(x) An illustration of 'referencing' in the notes portions and in the correspondence portion is at **Appendix – 12.4 and 12.5** respectively.

(xi) In an electronic environment the number of page and Serial number of Receipts/Issue will be generated automatically. The docketing will also take place immediately below the note which has culminated in issuance of fair signed communication(s) in question.

12.8. Docketing:

Docketing is the process of making 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. A communication will be docketed by writing in red ink, across the page, its Serial Number e.g. 'S.No.4 (Receipt)', 'S.No.5 (Issue)'. After Docketing, if the Branch Officer or any higher officer has made any remark on the receipt, it is reproduced before recording the note. An illustration of 'docketing' is at **Appendix-12.4 and 12.5.**

12.8.1. In eFile, the system automatically numbers the e-pages in the Notes and the Correspondence portions in separate series. Thus, page numbers are given automatically by the system.

The system facilitates marking a 'Receipt' in correspondence as 'PUC #' or 'FR #'. However, once a "PUC" or "FR" number is assigned, it cannot be changed. Therefore, each new "PUC" or "FR" will be assigned a fresh number. In eFile, there is no need to flag correspondence as

PUC or FR, as merely giving reference to the page number would suffice to track that reference.

'Docketing' in eFile is done in two ways

a. There is a provision for the Minister / senior officer to record his comments on the 'Receipt' in the "Remarks" field. This process is done before adding the 'Receipt" in the eFile; and

b. It is reproduced by typing the remarks given by the Minister or senior officers on the notes portion and hyper-linking the relevant correspondence page number. However, the system does not assign a serial number for docketing, as is done in the manual system.

12.9. Linking of files:

(i) If the issues raised in two or more current files are so inter-connected that they must be dealt with together simultaneously, the relevant files will be linked in the manner indicated in sub-para (iii) below. Such linking may also be resorted to, if a paper on one current file is required for reference in dealing with another current file, unless a copy of the paper can be conveniently placed on the first file.

(ii) Attaching a file is different from linking file(s). Linked file(s) is/are file(s) where decision is required; while an attached file is a file which is 'attached' only for reference purposes.

(iii) When files are to be linked, strings of the file board of the lower file (but not its flaps) will be tied round the upper file and those of the file board or flap of the upper file tied underneath it, in a bow out of the way so that each file is intact with all its connected papers properly arranged on its file board or flap.

(iv) The linked file(s) is / are to be displayed by placing a slip on the flap of the file board as under:

Linked Files
No. 2015/O&M/3/5 No. 2016/O&M/3/5

(v) On return of the file after completion of action, the linked and the attached files will be immediately de-linked after taking relevant extracts.

12.9.1. Procedure exists for linking and attaching of files in the eFile. Only active files are available for linking/attaching. The files to be linked or attached must be available in the user's account.

12.10. Part file. —

(i) If the main file on a subject is not likely to be available for some time and it is necessary to process a fresh receipt or a note without waiting for its return, a part file may be opened to deal with it. This device may also be resorted to where it is desired to consult simultaneously two or more sections or officers.

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(ii) A part file will normally consist of.--

(a) Receipt or note dealt with; and
(b) Notes relating thereto.

(iii) Where two or more part files are opened, each will be identified by a distinct number e.g. part file I, part file II or part file 'A', part file 'B' and so on (ex. 2017/O&M/3/5-Part-I).

(iv) A part file shall be merged with the main file by the Dealing Officer immediately when the main file and the part file are returned to the Section, after giving fresh referencing. Duplicate papers, if any, may be removed.

12.10.1. In eFile, the part file is opened against a main file by any user if he/she is in the channel of submission of that file. Unlike the merger of physical files, in eFile, part file is attached as separate entity and subsequently the respective part files are closed.

12.11. Transfer, Reconstruction and Re-numbering of files.—

(i) Whenever work is transferred from one section to another, the former will promptly transfer all the related records including files, both current and closed, to the latter. In case of transfer of files from one Section to another, a list will be prepared and approved by ED/PED/AM. The section taking over the records will not re-classify or renumber the closed files transferred to it. In the case of current file, the endeavour should be to close them at the earliest possible stage and to open new files according to the section's own scheme of classifications for dealing with the matter further.

(ii) A paper based file will be reconstructed if it is misplaced. The file number and the subject will be obtained from the file register and the copies of correspondence will be sought from the corresponding Department/Directorate/Section and papers will be arranged in chronological orders and a new duplicate file will be prepared. A self contained note will be prepared based on the correspondences and placed on the notes portion of the reconstructed file.

12.11.1. Similar transfer of files can take place in eFile by the eFile Administrator.

12.12. Movement of files and other papers:

(i) Movement of files will be entered in the File Movement Register register in the manner so that they can be easily traceable as indicated in **Appendix 12.3**. In e-office, movement records are maintained electronically whenever file is transferred /moved electronically however for physical files it should be ensured that files is marked electronically in e-office software so as to ensure proper file movement.

(ii) When current files are linked as per Para 12.9, 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 and also individually in the space allotted in the file movement register for each of the linked files.

(iii) 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. In e-Office under remark column as it would be a linked file.

(iv) Movement of files received from other Departments / Directorates / Sections and other receipts which have not been brought on to a file in the receiving section, will be noted in the `remarks' column of the section register.

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(v) No current file will be issued to other sections except against written requisition and after marking its movement in the file movement register.

(vi) Files and other papers marked by the JD/DS/DD/US to other officers, sections or Directorates will be routed through the section for noting their movement.

(vii) When the files are handed over personally by the Senior Officer or Branch 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.

(viii) The personal staff of officers of the rank of JD/DS and above will maintain the movement of papers received by their officers in the respective personal Section Register (**Dak Register, Appendix – 11.1**). Movement of any file handed over personally to a higher officer or to the Minister will similarly be noted by the personal staff. Papers/Files marked by them to other Directorate/Departments, however, will be routed through the section concerned, for noting their movements in the file movement register or section register as appropriate.

12.12.1. In case of electronic file or receipt its movement is recorded in the system automatically, as and when a user sends it to another. However, when a physical receipt or file is sent using eFile, the user has to make sure that the physical receipt or file is actually sent along with a movement entry made in the system. The receiver has to acknowledge the receiving of the receipt or the file in the system as well.

12.13. Inter-Sectional References.—File and papers received in one Branch from other for information, comment etc., will be registered in a separate Inter-Sectional Movement Register and not in the Section Diary. Such files will ordinarily be sent by the dispatching Branch accompanied with a Peon Book in which the receiving Branch shall acknowledge receipt. In e-office, no such separate register is required, record of movement is already maintained as per unique e-office/e-receipt number.

12.14. Top Secret, Secret and Confidential files.—The movement of Top Secret, Secret and Confidential files/receipts between the branches and officers is regulated in accordance with the provision contained in "Manual of Departmental Security Instructions, 1999' issued by M/o Railways, based on M/o Home Affairs booklet 'Manual of Departmental Security Instructions-1994' and other instructions/orders issued from time to time in respect of movement of classified documents/files/records.

12.15. Urgency grading -

i) The urgency grading advised are 'Immediate', 'Priority' and 'Top Priority'.

ii) The label 'Immediate' will be used only in cases requiring prompt attention. Amongst the rest, the 'Priority' label will be used for cases which merit disposal in precedence to others of ordinary nature. 'Top Priority' will be applied in extremely urgent cases.

iii) Lok Sabha/Rajya Sabha labels shall be used for appropriate cases which merit disposal in precedence to others of ordinary nature. The labels may be attached on the left flap of the File Board. Where Lok Sabha/Rajya Sabha Questions, Motions, Bills are processed with separate coloured specific file cover, it will not be necessary to use any other urgency grading.

iv) The grading of urgency assigned to a case will be reviewed by all concerned at different stages of its progress and where necessary, revised. This is particularly important for cases proposed to be referred to other departments.

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12.15.1. In eFile, 'Immediate', 'Priority' and 'Top Priority' are the urgency grading. These urgency grading are given by the user at the time of sending the file/receipt. Label "VIP" is used for the Rajya Sabha/Lok Sabha matters. The grading of urgency assigned to a case will be reviewed by all concerned at different stages of its progress and where necessary, revised. This is particularly important for cases proposed to be referred to other Departments.

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APPENDIX –12.1.
(Para 12.2.3)

Essentials of a functional file index and an identifying file numbering system

1. *Basic heads*- Identify and list basic functions of the Section, these may be called' basic (or group) heads' e.g. 'labour relations', foreigners', fertilizers'.
2. *Primary heads*- List under each function (i.e. basic/group heads) its main activities identifying them by appropriate subject headings called 'primary heads'.
3. *Secondary heads*- Divide each primary head into sub-subjects or aspects called 'secondary heads'.
4. *Tertiary heads*-Where necessary, break down each secondary head into its various known factors called 'tertiary heads'.
5. *Further sub-divisions* – In this way the process of breaking down the function could be extended to several descending, consecutive echelons according to needs.
6. *Examples* – Examples of basic, primary, secondary and tertiary heads are in Annexure to Appendix-12.1).
7. *Rational sequence* – In drawing up lists of basic, primary, secondary and tertiary heads and their further sub-divisions, where necessary, some rational sequence in arranging the heads in the same list may be followed. Such an arrangement may reflect organic or procedural relationship among the different heads to adopt any of the following orders or a combination thereof as convenient :

- a step-wise process
- an alphabetical order (particularly when representing regions, produces, commodities, clients, organizations or institutions)
- descending levels of importance of heads.
- diminishing frequency of occurrence of different events identified by suitable heads.

The first two places in the list of secondary heads under each subject may be uniformly reserved for 'general' and 'policy' matters.

Entries in each list of standardized heads (viz. Under basic heads, primary heads, secondary heads, tertiary heads and so on) may be arranged in alphabetical order, if any other type of sequence has not been followed.

8. *Identification of basic heads* – If the number of basic heads be large, each may be identified by a group of 2 to 3 letters phonetically selected. If it be small not exceeding 10, they may be identified by assigning consecutive Roman numerals to them.

For example, in the field of agriculture, the basic heads 'fertilizers', 'seeds', 'plant protection', etc. could be symbolized by 'Fert', 'Sd', 'Ppn', etc., respectively.

9. *Identification of primary heads* – Next, the primary heads will each be identified by a group of 2-digit Arabic numerals beginning with 11 and continuing in consecutive order upto 99.

10. *Identification of secondary and tertiary divisions* – Similarly, each secondary head, as also each tertiary head, will be identified by a group of 2-digit Arabic numerals beginning with 11 and going upto 99.

11. *Deviations* – If the subjects are simple relating to a fresh or recent activity, they may well be covered by one list of primary heads alone or by a two-level list of primary heads and secondary heads. Each primary heads or secondary head could then be identified as in para 8 and 9 above.

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Progressive increase in levels develops as the number of functions increases, so also when the number of activities under each function and the number of operations under each activity increase.

12. *Exception* – If a paper requiring filing is such, as apparently does not relate to any of the approved lists, the following questions may be relevant :-

(i) whether it can come under any factor heading i.e. a tertiary heading as related to a secondary heading;
(ii)whether it seems allied to a secondary heading as related to a primary heading; and if not;
(iii) whether it could be brought under an additional heading placed at appropriate point in the list of primary headings.

If nothing suggests, it may be temporarily placed in the list of primary headings as the last item.

13. *File code* – The file may then be assigned an alphanumeric code symbol composed in the following sequence :-

(i) a single letter or a group of 2-3 letters, or a Roman numerical representing the basic head followed by a hyphen as the separator;

(ii) a 2-digit group of Arabic numerals representing primary head followed by zero as the separator;

(iii) a 2-digit group of Arabic numerals identifying the secondary head followed by a slant stroke as the separator;

(iv) serial number of the file opened during the year under the secondary head, followed by a slant stroke as the separator;

(v) a 4-digit number representing the year, followed by a hyphen as the separator;

(vi) a group of abbreviating letters representing the section.

If the file opened relates to a standardized tertiary head, a 2-digit Arabic numeral identifying it, enclosed in brackets, may be inserted before the serial number mentioned in (iv) above and the slant stroke preceding it.

Example: 1– A file opened by Labour Relations I section during 2019 relating to a strike in colliery 'X' may have IV 13024/5/2019/LRI as the file code where 'IV' represents the functions group 'labour relations'. 13 the primary head 'strikes', '0' the separator, '24' the secondary head 'coal mines', '5' the serial number of the file opened during the year under the secondary head 'coal mines' to describe the colliery involved, '2019' the year of opening the file and 'LRI' the section concerned.

Example: 2- A file opened by Foreigners II section to examine an application of Mr. John, a British national, to visit India may bear the coded number F 17012/2/2019- FII where 'F' represents the group head 'Foreigners', '17' the primary head `visa/endorsement', `0' the separator, '12' the secondary head 'British' '2' the serial number of the file opened during the year under that head, '2019' the year of opening the file, and 'FII' the concerned section.

Similarly, in Fertiliser IV section, file relating to fertiliser imports could carry the code Frt-19012/3/2019-FIV here 'Frt' would denote the basic head 'fertilisers' and the other symbols would be as explained in the above two examples.

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14. *File title* – A complete title of the file will normally consist of the appropriate standardized heads (from the 'basic' head downwards each separated by a hyphen) followed by a very brief content to describe the particular question issue, event, person, thing, place, etc. involved. The basic head, however, need not form part of the title, when –

(a) the total number of such heads is small and from their identifying Roman numerals, they can easily be known; or

(b) the basic head is identified by a letter or a group of letters phonetically selected

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Examples of Basic, Primary, Secondary and Tertiary Heads

Basic Head	Primary Head	Secondary Head	Tertiary Head
Labour Relations	Strikes/ Lockouts Adjudication of disputes	- Coal mines - Oil fields - Banking	
Foreigners	Acts and Statutory rules •Visa/endorsement • Special permits • Extension of stay	-Passport (entry into India) Act/Rules -Registration of Foreigners Acts/Rules -Foreigners Act/Rules -Citizenship Act/Rule	
Fertilizers	Imports Planning •Statistics •Control •Promotion	-Shipment -Foreign exchange	-Policy -UK credit -Barter/link deals –Charter

For opening files relating to establishment, finance, budget and accounts, office supplies and services and other housekeeping jobs common to all departments, the standardized functional file index including its file numbering system, issued by the Department of Administrative Reforms and Public Grievances will be followed. https://darpg.gov.in/sites/default/files/CSMOP2022.pdf

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APPENDIX –12.2
(Para 12.4)

File Register (Case Book)

STANDARD HEAD NO …….

STANDARD HEADING ……

File No.	Subject	Date of		Classification (and year of review)	Remarks
		Opening	Closing		
1	2	3	4	5	6

Instructions

1. Entries in columns 1-3 will be made at the time of opening files and those in columns 4 and 5 at the time of recording and reviewing them.

2. Year of review in column 5 is required to be indicated only in the case of category 'C' files or Category 'B' File if retention period is less than 25 years.

3. If as a result of the review, a file is marked for further retention, the year of the next review will be worked out and indicated in column 5.

4. When a file is transferred to the Record Room, the fact of such transfer and the relevant date alongwith proceeding number allotted by Record Branch will be indicated in column 6.

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APPENDIX – 12.3.
[Para 12.12(i) & 12.13(i)]

File Movement Register

File No.

SUBJECT

_____

_____

To whom	Date	To whom	Date	To whom	Date	To whom	Date

Space for recording movements of part files

NOTES:
Movement will be marked by indicating the officer, Section or Directorate to which the file has been sent with date of sending below it.

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APPENDIX – 12.4.
(Para 12.7 & 12.8)

Illustration of 'Docketing' and 'Referencing' on the notes portion

-12-

S.No. 17 (Receipt) pg 22/c

"Link the minutes of the previous meeting and consult DoP&T@"

sd/- ABC
JS(G)
12/1/22

*FR
pp 80-82/cor

Reference: FR *

This relates to _____ .

**Flag A
pp 29-32/cor

2. Minutes** of the previous meeting are linked below.

3 A self –contained I .D. note to MoF is put for approval.

sd/-
(DEF)
12/1/22
SO (ERB-I)

US(E)

Dir (E)

S No 18 (Issue) p 23 – 24/cor

Note:
What is given in red font is docketing.
@ These are the remarks of senior officer on the FR. These are reproduced as part of docketing.
** Giving asterisk etc. in the notes and giving details as to where the document is located is called 'Referencing'.

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APPENDIX– 12.5.
(Para 12.7(x) & 12.8)

Illustration of referencing of previous references in the correspondence portion

S. No.____

Government of Arunachal Pradesh
Department of Administrative Reforms

Itanagar, Date the 16th January, 2016

To
The Secretary,
Ministry of Home Affairs,
New Delhi

[Attention: Shri ABC, Director (DM)]

Subject: Inputs for the Training policy on Disaster Management – regarding

Sir,

p 28/cor p 36/cor

I am directed to refer to Letter no. _____ dated _____ and dated _____ from the Ministry of Home Affairs on the subject mentioned above and to forward herewith the inputs prepared by the State Institute of Public Administration. It is requested that adequate funds may be provided to the State Government to conduct these training programmes. It is also requested that Training of Trainers may be conducted in Ranchi and at least 5 districts to prepare a team of Trainers.

Yours faithfully,

Encl:

(XYZ)
Secretary

"S No.____ is docketing and is to be done with Red Ink only
referring to "page 28 & 36/cor" are referencing.

CHAPTER – 13

GUIDELINES ON NOTING

13.1. Note:

(i) A 'Note' is remarks recorded on a case to facilitate its disposal. It includes a precis of previous papers, analysis of issues requiring decision, financial, legal or other implications, if any; suggestions with justifications; final decision along with the authority competent to take the decision.

(ii) 'Noting' is the process of recording a note on the notes portion of a file. Note is recorded by the 'dealing officer' and 'other officers' in the hierarchy to facilitate decision making by the 'Competent Authority'.

13.2. Guidelines for noting:

(i) All notes shall be recorded on note sheet (Green Sheet).

(ii) A note is submitted either to seek approval of the competent authority or for information.

(iii) A note must be concise and to the point. Lengthy notes are to be avoided. Additional material, if any, may be placed in the Appendix. 'Verbatim reproduction' of extracts from or paraphrasing of the paper under consideration, fresh receipt, or any other part of correspondence or notes on the same file, should also be avoided. Instead, a summarized version of the issues raised in PUC / FR are to be brought on the note.

(iv) For effective noting and to decide the quantum of noting, guidelines given on Functional approach to Noting (Para 13.14) are to be adopted.

(v) When passing orders or making suggestions, an officer will confine his/her note to the actual points he proposes to make without reiterating the ground already covered in the previous notes. If he/she agrees to the line of action suggested in the preceding note, he/she will merely append his signature. In case, he/she takes a decision different from the one suggested on file, he may do so giving reasons for his decision.

(vi) Any officer, who has to note upon a file on which a running summary of facts is available will, in drawing attention to the facts of the case, refer to the appropriate part of the summary without repeating it in his own note.

(vii)Relevant extracts of the provisions of the Act, Rules and / or guidelines will be placed on the file and attention to it will be drawn in the note, rather than reproducing the relevant provisions in the note, unless such an extract on the note is essential to arrive at a decision.

(viii) Unless a running summary of facts is already available on the file or the last note on the file itself serves that purpose, a self-contained note will be put up with every case submitted to the Board Member, CRB&CEO or Minister. Such a note will bring out briefly but clearly the

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relevant facts, including the views expressed on the subject by other Departments/Directorates, if any, consulted in the matter and the point or points on which the orders or decision of the Board Member or CRB&CEO or Minister is sought.

(ix) A self-contained note is prepared while seeking advice or opinion or concurrence of another Directorate/Department. Such inter-Departmental references are to be made only with the approval of an officer not below the level of ED/Joint Secretary or the level specified by the nodal Ministry/Department to whom ID reference is to be made.

(x) When a paper under consideration raises several major points which require detailed examination and respective orders, each point (or group of related points) will be noted upon separately in sectional notes; such notes will each begin with a list of the major point(s) dealt with therein and placed below the main note in a separate folder.

(xi) If apparent errors or incorrect statements in a case have to be pointed out or if an opinion expressed therein has to be countered, care should be taken to make observations in courteous and temperate language free from personal remarks.

(xii) While preparing/submitting Notes for the Cabinet/Cabinet Committees/Groups of Ministers & Committee of Secretaries, constitution/reconstitution of Highlevel Commissions/Committees, the format prescribed in Cabinet Secretariat website (www.cabsec.nic.in) (as amended from time to time) may be followed.

(xiii) Black or blue ink will be used by all categories of staff and officers.

(xiv) A note will be divided into serially numbered paragraphs. In case of problem solving or policy cases, paragraphs may have brief titles, if necessary. The first few paragraphs will give the profile of the problem, position of rules, precedents and the position of resources with proper analysis and sequence and an indication of the evidence and conclusion reached. The final paragraph should weigh the arguments and recommend the best course of action, with supporting draft communication, if necessary (See Sub-Para (iv), (v) of Para 13.14- 'Functional approach to Noting' & para 13.14.1).

(xv) Hand written notes should be avoided. Notes should be electronically printed if it is half a page or more. Notes are to be printed on both sides of a note sheet.

(xvi) A small margin of about one inch will be left on all sides (left, right, top and bottom) 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.

(xvii) Sufficient space (half page or not less than one quarter of the page below the last recorded note in the note sheet of the file) should be left after last marking on the noting portion for recording views/affixing signature of the concerned officer. Last marking of officer should never be at the bottom of the Note Sheet. A blank noting sheet should always be added in the noting portion.

(xviii) The dealing officer shall append full signature, name and date on the left below the note.

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An officer shall append full signature on the right hand side of the note with name, designation and date. In an electronic environment digital signature will be appended at each level.

13.2.1. Noting on E-Office:

Creation of electronic file:

In e-File, electronic file or physical file* (*a file on which file number is created by the system but processing of the file is done physically) is created before recording a note, using appropriate Menu option.

Recording a note in an electronic file:

The inner page of a file has 'Add Green Note' option to record the note, and do the referencing, docketing, etc. 'Yellow note' option is selected to prepare a rough note, which may then be confirmed as a Green note. Details of name etc. of the officer who confirms it will appear in Green note.

It is mandatory for all officers of the rank of Dealing officers and above or equivalent to use Digital Signature Certificates (DSC) or e-sign for electronically signing the eFiles in eOffice system before forwarding.

DSC may be procured as per the instructions issued by/through RBCC unit of C&IS Directorate. For using the e-sign, linking of Individual's mobile number with Aadhar Number is mandatory.

The how part of noting on eFile is available in the User Manual of eOffice, version 7.1 at http://www.reis.railnet.gov.in/eoffice/UserManualeFile7.0.pdf

There are provisions for standardized one-line quick noting.

eFile has the facility of delegating access of eFile of a user to another user with complete or restricted rights. Whenever work is passed to a Subordinate in case of leave or at certain exceptional situation, delegation of tasks is required to be done through following delegation models –

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Sl. No.	Signatory Delegation	Secretarial Assistance	Authority Delegation
1.	The person to whom the delegation is given is completely responsible for all the actions on the file(s)	The person to whom the delegation is given works on the behalf of the delegator.	The person to whom the delegation is given is completely responsible for all the actions on the file(s)
2.	User to whom charge is delegated have to login using his/her own eOffice account and DSC token	User to whom charge is delegated have to login using his/her own eOffice account and DSC token	User to whom charge is delegated have to login using his/her own eOffice account and DSC token
3.	All actions are permissible (Reading, Noting, Drafting, Referencing, Linking and Sending) to the person to whom delegation is given.	Only the following actions are permissible- Reading, Noting, Drafting, Referencing and Linking but forwarding of Electronic Files and Receipt is not allowed, however physical files belonging to the delegated account can be forwarded.	All actions are permissible (Reading, Noting, Drafting, Referencing, Linking and Sending) to the person to whom delegation is given by the delegator.
4.	Signature on the file includes the name of both the users' i.e. to **whom** charge is delegated and the user **whose** charge is delegated	Signature includes the name of the user **whose** charge is delegated	Signature on the file is of the person/user to **whom** charge is delegated
5.	Movement History contains the name of the delegator as well as delegated person.	Movement History contains the name of the user **whose** charge is delegated.	Movement History contains the name of the delegator as well as delegated person.
6.	This delegation is always with respect to an officer and not staff.	This delegation is with respect to the personal staff attached to the officers.	This delegation is with respect to the link officers designated by the concerned department

13.3. Examination in Section by Dealing Officer:

When the line of action on a receipt is obvious or is based on a clear precedent or practice, or has been indicated by a higher officer, and a communication has to issue, a draft will be put up without an elaborate note. In other cases, the Dealing Officer, while submitting a note on a case, will:

(i) See whether all the statements, so far as they are open to check, are correct.

(ii) Point out mistakes, incorrect statements, missing data or information, if any.

(iii) Obtain the missing and / or correct information from the sources concerned either over phone or using correspondence handling category of functional approach to noting.

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(iv) Furnish other relevant data or information available in the Section/ Directorate, if any.

(v) Prepare a note based on Functional Approach to Noting (Para 13.14), especially use of standard process sheet.

(vi) State the issues for consideration and bring out clearly the points requiring decision.

(vii) Draw attention, if necessary, to the statutory or customary procedure and point out the relevant provisions of the Act, rules, instructions to the given case.

(viii) Draw attention to precedent(s), if any.

(ix) Suggest the course of action to be taken with justification(s)along with alternative courses of action for consideration of the competent authority.

(x) Indicate the authority competent to take decision along with the copy of the delegation of powers.

(xi) Affix full signature with designation and complete date (dd/mm/yyyy) on the left below the note.

(xii) Leave space not less than one quarter of a page below the last recorded note in the note sheet of the file, especially when the file is submitted to the Board Member, CRB&CEO or Minister.

13.3.1. In eFile, with every note the dealing officers' signature consisting of his full name and post is appended to the noting along with date and time.

13.4. Examination by Section Officer:

Examination by Section Officer will include:

(i) Check if technique of functional approach to noting (Para 13.14) has been adopted.

(ii) Consider possibility of using Standard Process Sheet either by using an existing Standard Process Sheet or developing a new one.

(iii) Evaluate adequacy and relevance of inputs provided.

(iv) Section Officer and above are to simply sign, on the right side below the note with date, month and year (dd/mm/yyyy), if they agree with Section note. Else, they are to record their note.

13.5. Examination by Branch Officer and above:

(i) A Branch Officer or above level Officer of the Directorate will discuss, wherever necessary, with his team to decide the course of action to be taken on a case involving a new or a complex matter.

(ii) For dealing with such problem solving or policy cases, the technique of writing a discussed note may be used. Discussed note is submitted as a draft. After clearance from the senior officers, it is faired and submitted by the Dealing Officer.

(iii) After discussion, the Dealing Officer is entrusted with preparing a comprehensive/self contained note which will be put up to the decision making level clearly indicating that it is a discussed note. Such discussed note shall also be a reasoned note based on the provisions of the relevant Act, rules, instructions, etc. The note will contain the background to the problem, issues arising out of its precedents, if any, analysis of all relevant facts with reference to the provisions of the relevant Act, Rules and / or guidelines, and the recommended course of action for approval by the competent authority.

13.6. Level of disposal and channel of submission:

Each Directorate should plan their work to ensure speedy decision making duly ensuring due diligence as per requirement/case. Process of decision making should be such that file should move normally upto 4 level only and in exceptional cases through maximum of five levels (which require approval of Board Member) before being put up for decision to competent authority/Minister of Railways. Channel of submission of cases is to be revised by the Directorate themselves with the approval of their concerned Board Member. Wherever required, suitable delegation of power to lower functionaries may be made. The basic guidelines to be adhered to by all Directorates are as under:

A. <u>For Upward Movement of Files/cases</u>

i) Maximum level of disposal after Section to Executive Director (ED) should be two with Executive Director as the third level of disposal. However, where time is the essence, the intervening levels may be reduced to one upto Executive Director depending on the distribution/delegation of work by the Executive Director to his/her subordinate officers.

ii) Joint Directors & Directors are to be treated as one functional level. Where both the posts are available, the work may be divided to go through either channel.

iii) Similarly, PED and AM are to be treated as one level and work may be divided to go through either channel.

iv) Wherever the case requires approval from more than one Board Member, such approval of Board should be treated as one functional level. Similarly, where the case is routed through MoSRs to MR, such approval should also be treated as one level. In short, Board Member should be treated as one functional level and Minister as one level for the purpose of Channel of Submission of cases.

v) Board Members may consider and delegate certain powers to PEDs/AMs/DGs for final disposal where the case does not require approval of Board Member as Secretary to the Government of India or Board Member as per Codal provisions.

vi) Wherever consultation from several Directorates is involved for arriving at a decision, a meeting of the concerned AMs/PEDs/EDs/Directors may be convened by the nodal AM/PED/ED by circulating a background paper and thereafter, based on the minutes of the meeting, the file may be moved up by the Nodal AM/PED/ED.

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vii) Cases where policy issues are involved or major executive decision are being taken should invariably be routed through CRB&CEO, Railway Board before submission to Hon'ble MR.

viii) All routine cases/briefs/factual data/replies to references from MPs/VIPs not involving policy issues, may be submitted directly to the Minister by the concerned Executive Director (by PED where ED is not available).

ix) In respect of Parliamentary Matters, instructions from Parliament/Budget Committee Branches may be followed with regard to routing of such cases/approval of required Competent Authority.

B. Downward Movement of Files/Cases

i) If the proposal has been accepted by the accepting authority without any deviation, the file should be marked by the accepting authority to the level that initiated the note. In case of deviation, the file should go down the normal route and in suitable cases, the jumped officer may resubmit the case for reconsideration, if necessary. However, in case of urgent matters, the decision may be conveyed directly to the officer concerned for implementation, who after doing the same, shall bring it to the notice of all the officers, that have been jumped in the hierarchy.

ii) After the return of the file to the official who was the first level of disposal, it would be the responsibility of that official to take necessary action without delay as per the approval accorded on the file and subsequently, apprise through appropriate means, the outcome on the file to all the officers, wherever necessary, who have been skipped in the downward movement of file.

C. Procedure for submission of cases/files requiring approval of Hon'ble Ministers

Files/cases/proposals which require approval of Hon'ble MR, in the first instance, be examined at all the concerned level and vetted by Finance, wherever required. For obtaining approval of the Minister, a brief self-contained proposal be put up giving all facts relevant to the case, including the views expressed by other Directorates/Officers, other Ministry/Ministries, if any, consulted in the matter. Such a note after ensuring all formalities is to be initiated at the level of Director/ED/JS, however, the Section and the Branch Officer would provide assistance to obtain inputs for the case and to prepare draft notes and communications, etc.

D. The revised channel of submission of cases (other than the classified ones) be uploaded on Railway Board's website (https://indianrailways.gov.in/railwayboard/) under the link 'About Indian Railways' under the respective Directorate (through RBCC) also indicating the name, telephone number and e-mail ID of the officer dealing with different subject in that unit.

E. Each Directorate will review the level of disposal and channel of submission of cases at least once in three years or early as per need keeping the number of levels to the minimum by delegating powers to lower formations. To facilitate quicker decision making, channels of submission should not be more than five. Powers are to be delegated to operationalize this principle.

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13.6.1. In eFile, sending / marking of receipts / files are flexible. The system allows a user to send a receipt / file to any other user and the movement of record is maintained (who has sent, to whom has been sent and when has been sent). Physical file which is marked to another officer has to be received by him/her by clicking appropriate button in his/her inbox indicating that the physical file has been received at his/her end. The acknowledgement for the same should be obtained from the recipient. Electronic file once marked to the next user goes to his/her inbox indicating that it has been received by him/her.

13.7. Deviation from normal procedure or rules:

In every case where a material or substantial deviation of the existing procedure or rules, is sought to be made, it shall be the responsibility of the decision making authority to ensure that reasons are recorded in writing, justifying such a deviation from the rules or procedures.

13.8. Running summary of facts:

To facilitate consideration and to obviate repeated recapitulation, a running summary of facts will be prepared and updated. Each updated running summary of facts must be dated on right top corner. They will be filed in the correspondence portion and given page number. Such a summary shall be prepared in a manner to contribute to speedy disposal of the case. It will also include the advice or views of other Directorates/Ministries consulted in the matter but not opinions of individual officers within the Directorate/Ministry. It should be kept up to date, incorporating changes whenever further developments take place through a newer version. Previous version running summary shall not be destroyed. This is useful while framing new policy, amendments to a policy or Act or Rule, court cases, etc.

13.9. Oral discussions:

(i) All points emerging from discussions (including telephonic discussions) between two or more officers of the same Directorate or from discussions between officers of different Directorates/Ministries, and the conclusions reached will be recorded on the relevant file by the officer submitting a note.

(ii) All discussions, points which the officer recording them considers to be important enough for the purpose, should be got confirmed by all those who have participated in or are responsible for them. This is particularly desirable in cases where the policy of the government is not clear or where some important deviation from the prescribed policy is involved or where two or more levels differ on significant issues or the decision itself, though agreed to by all concerned, is an important one.

13.10. Oral instructions by higher officers:

(i) Where an officer is giving direction (including telephonic, social media platforms, sms) for taking action in any case in respect of matters on which he/she or his/her subordinate has powers to decide, he/she shall ordinarily do so in writing. If, however, the circumstances of the case are such that there is no time for giving the instructions in writing, he/she should follow it up by a written confirmation at the earliest.

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

13.11. Oral orders on behalf of or from Minister:

(i) Whenever a member of the personal staff of a Minister communicates to any officer an oral order on behalf of the Minister, it shall be confirmed by him/her in writing immediately thereafter.

(ii) If any officer receives oral instructions from the Minister or from her/his personal staff and the orders are in accordance with the norms, rules, regulations or procedures they should be brought to the notice of the CRB&CEO/concerned Board Member/Secretary, RB/DG/AM/PED/ED/JS.

(iii) In all cases of oral orders which are not in accordance with the norms, rules, regulations or procedures, clear orders from CRB&CEO or concerned Board Member/Secretary, RB/DG/AM/PED should be sought about the line of action to be taken, stating clearly that the oral instructions are not in accordance with the rules, regulations, norms or procedures.

(iv) In rare and urgent cases when the Minister is on tour/ is sick and his/her approval has to be taken on telephone, the decision of the Minister shall be conveyed by his/her Private Secretary/EDPG/OSD/Personal Officer in writing. In such cases, confirmation will be obtained on file when the Minister returns to Headquarters/ rejoins.

Note 1:

To avoid any embarrassment in respect of fake calls or forged/fake letters purportedly issued/made from Ministers' office with regard to appointment, transfer or contract, all concerned should be vigilant against any such type of telephonic calls or reference and should cross check its authenticity/genuineness from Minister's office. Detailed instructions in this regard are available on internet under the link O&M of Secretary's branches (https://indianrailways.gov.in/railwayboard/uploads/directorate/secretary_branches/pdf/2022/Fake_Forged_letters_050916.pdf)

Note 2:

Approval / direction of the Minister on file are very important since many a time this constitutes the legal authority for several Govt. decisions. It is also possible that these documents are required to be produced in Courts of law to defend the actions of the Govt. Many of these documents also have a historical value. As such, as far as possible, personal staff of Ministers may avoid conveying that 'Minister has approved the proposal', instead approval/concurrence of Minister may be communicated under his/her signature(Minister's signature), particularly in respect of Parliament Question, Assurances, other Parliamentary Matters which require approval of the Minister, Cabinet Note, Major Policy Decision etc.

13.12. Confirmation of oral instructions:

(i) If an officer seeks confirmation of oral instructions given by his/her superior, the latter should confirm it in writing whenever such confirmation is sought.

(ii) Receipt of communications from junior Officers seeking confirmation of oral instructions should be acknowledged by the personal staff of the Minister; or senior officers or their personal staff, as the case may be.

13.13. Modification of notes or order:

(i) 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. In any case, 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.

(ii) 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. 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.

(iii) 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.

13.14. Functional Approach to Noting:

Noting should be kept to an optimal level. Therefore, it should be systematic and functional. One of the points for consideration while preparing a note is the size of the note. Functional Approach to Noting helps in deciding the kind and size of note to be prepared. It is a technique for more effective noting and facilitates the officer initiating a note to submit a more effective note; and the competent authority to take decisions quickly. It categorizes the types of cases and the quantum of noting to be done as given in Table below:

Functional Approach to Noting – Category and Quantum of Noting

S. No	Type or category of the case	Quantum of noting
(i)	Ephemeral	No noting is needed
(ii)	Correspondence handling or Action in correspondence cases	Short note of a few sentences
(iii)	Repetitive case	Develop and use Standard Process Sheet
(iv)	Problem solving case	A structured and detailed note is prepared
(v)	Policy /Planning case	Detailed note is prepared covering various aspects, implications and expected outcome of a policy to be developed or under review

Quantum of Noting and Functional Approach with respect to Type/Category of cases are explained below:

(i) Ephemeral Cases:

These cases are also known as "No-Noting" cases. The Section Officer should record the reasons, in brief, why no action is necessary and file such cases at the dak stage itself. Such cases should be kept in Separate File and destroyed on 31st December of every year. In some cases, these may also be returned in original to the originator giving requisite factual information.

(ii) Correspondence handling or Action-in-Correspondence Cases:

These cases too do not require detailed noting. It would be sufficient if a brief note (a paragraph of three to four sentences) is recorded indicating the issue under consideration and the suggested action or submission of a fair communication to obtain further inputs, etc.

(iii) Routine or Repetitive Cases:

a. In cases of repetitive cases, e.g. sanctioning of leave, Medical Advance/Reimbursement, Pension cases, giving vigilance clearance, etc. 'a Standard Process Sheet' will be devised by the concerned Directorate/Branch. A standard process sheet is a standard skeleton note, or a template. It is developed by indicating pre-determined points of check. The check list contains the parameters or points that are to be taken into account while processing a case often through the instructions, if any, contained in the standard operation procedure issued by the Directorate/concerned Ministry for examining a case. Against the check list, variables of a case are filled in to obtain approval of the competent authority on each case. No conventional note will be recorded in such cases. A fair reply/Sanction Order is put up on file with the Standard Process Sheet. Wherever possible, standard formats of communications may also be prepared;

b. Standard process sheets will be developed by the Section Officer concerned with the help of the Dealing Officers. It will be prescribed through instructions issued by the concerned Directorates, if necessary;

c. Directorates are to encourage developing templates to be used for cases of repetitive nature through issue of internal instructions;

d. It acts as training tool to new Dealing Officers, as it gives points of check to process a case;

e. A specimen of Standard Process Sheet is given in **Appendix – 13.1.**

(iv) Problem Solving Cases:

In these cases, a detailed note providing all information on each aspect will be necessary. Even then, the note should be concise and to the point, covering the following aspects:-

(a) What is the problem?
(b) How has it arisen?
(c) What are the provisions of Act, Rule, Policy or Precedent?
(d) What are the possible solutions?
(e) Which is the best solution proposed and Why?
(f) What will be the consequences (implications) of the proposed solution?
(g) Is any inter-departmental consultations needed? If so, with whom and how?
(h) Who is the competent authority?

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(v) Policy and Planning Cases:

These types of cases are generally not large in number and are normally dealt with by higher levels of officers. They require a thorough examination with maximum amount of noting developed systematically. A note in such cases should be structured in the following manner: -

a. Problem: State how the problem has arisen? What are the critical factors?

b. Additional Information: Obtain additional information to size up the problem. The information would be available on the files and other papers in the Section. If sufficient information is not available to enable thorough examination, it should be collected before preparing a policy note;

c. Rule, policy etc.: Refer to relevant rules, regulations, policy, standing orders practices. Analyze and interpret such rules etc. in a cohesive manner bringing out their bearing on the problem;

d. Precedents: Precedent cases, 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;

e. Critical analysis: The case should then be examined on merit answering questions such as 'what are the possible alternative solutions/ which is the best solution? It should be ensured that views of other Directorates/Ministries etc. have been obtained where necessary. Attention should also be paid to other aspects like the financial and other implications, repercussions, and the modality of implementing the decision and the authority competent to take a decision;

f. Concluding paragraph: The concluding paragraph should suggest a course of action for consideration. In cases where a decision is to be taken by a higher authority like Committee, Board or by the Cabinet or a Committee of the Cabinet, the point or points on which the decision of such higher authority is sought should be specifically mentioned.

13.14.1. Brief Format/Structure of a problem solving / policy and Planning Cases

(i) File Number on left top corner.
(ii) Subject of the case.
(iii) Profile of the problem / issue to be resolved [Introduction or the Context].
(iv) Apply provisions of the Act, Rules, Regulations or guidelines relevant to the case.
(v) Precedent(s), if any.
(vi) Analysis and sequence.
(vii) Position of resources or financial implication including cost-benefit analysis, where required (also legal, social or gender implications, if applicable).
(viii) Reasoned conclusions reached (proposed course of action).
(ix) In case more than one course of action is suggested, approval must categorically be sought for a specific course of action.
(x) Authority competent to approve the case.
(xi) Docketing & Referencing.
(xii) Signature of the Dealing Officer submitting the note.

Note: Functional Approach to Noting, however, does not mean that each of the cases is strictly as brought out above within the category of cases under Functional Approach to Noting. Depending on the current status of a case the type of case could be different. For instance, most problem solving and policy cases are initially correspondence handling cases to collect the requisite inputs. During the final stages they are either problem solving or policy case.

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APPENDIX– 13.1

[Para 13.14(iii)(e)]

F.No. 2022/ERB-1/25/1.

Government of India
Ministry of Railway, Railway Board
[ERB-1 Section]

Standard Process Sheet to process Study Leave case

Sl. No.	Points to be considered	Details
1.	Name of the Officer	
2.	Designation	
3.	Cleared probation and appointed substantively?	Yes / No
4.	Does she/he have not less than 5 years' service	Yes / No
5.	Is the proposed study relevant to the applicant's job? Briefly, explain	a) Quote the rule b) Yes / No
6.	Did she/he obtain 'No Objection Certificate' (NOC) before applying for higher studies in the University?	Yes / No
7.	In case she / he has not obtained the "NOC", is it proposed to condone this provision?	Yes / No
8.	Rule / Precedent for Sl. No. 6	
9.	Has vigilance clearance been obtained?	Yes / No
10.	Has she / he submitted the Bond?	a) Refer to the rule for the Bond b) Yes / No
11.	Is the Bond in the prescribed format?	Yes / No
12.	Is arrangements for payment of leave salary have been made?	Yes / No If yes, brief details
13.	Suggested course of action	
14.	Any other relevant issue(s)	
15.	Competent authority	

Signature of the Initiating Officer
Date (dd/mm/yy)

Signature of other officers in the hierarchy till the competent authority

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CHAPTER 14

COMMUNICATION – FORMS, CHANNELS AND PROCEDURE

14.1. Forms of Communication:

The different forms/modes of written communication used by Ministry of Railways (Railway Board) are indicated below. The different modes of communication are to be used depending on the nature and urgency of message to be conveyed.

In all forms of communication Name, Designation, Telephone number, Fax Number, E-mail ID of the official who is signing the communication be indicated. The complete address of the signatory is also to be mentioned on the dispatch envelopes. In addition, the phrase Room No.____, Rail Bhawan, Raisina Road or the Present address of the office, New Delhi, PIN Code should also be mentioned as footnote.

In addition, in order to move towards Digital Secretariat to avoid wastage of papers distribution of hard copies of circulars/orders/instructions etc in Board's Office and to Zonal Railways/PUs be kept to bare minimum. Instead e-copies (scanned copies in PDF format) be forwarded to all concerned through NIC mail or through e-office platform. All Instructions from Board's office are to be issued electronically and all correspondence with Zonal Railways/PUs and other unit under the administrative control of M/o Railways are also to be made through email, e-office platform instead of calling of /forwarding hard copies.

14.2. Inter-Departmental consultations:

Inter-Departmental consultation may take the form of inter-Departmental notes, inter-Departmental meetings or oral discussions. The most common and frequently used form of written communication for transaction of business between the Ministries/Departments is Inter-Departmental note (earlier known as U.O. note) or Inter-Section note.

14.2.1. Inter-Departmental (ID) note:

(i) The form of communication for consultations between and among the Ministries/Departments, used is Inter-Departmental note. It is generally used for obtaining the advice, views, comments or concurrence of other Ministries/Departments on a proposal or in seeking clarification of the existing rules, instructions etc. from the nodal Ministry or Department.

(ii) The Inter-Departmental note is either to be recorded on a file referred to another department or take the form of an independent self contained note.

(iii) While referring the ID note to the other department, it is marked to the officer concerned in the referring department.

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14.2.2. Following points are to be kept in view while preparing ID note:

(i) Prescribe a time-limit when calling for advice or concurrence from other Ministries/ Departments.

(ii) In case any of the Ministries so consulted is not in a position to sent its comments /concurrence within the prescribed time-limit, it should write back promptly, and in any case, before the prescribed time-limit and indicate the additional time they would require for furnishing their final reply.

(iii) When such a reference does not require such concurrence under the Rules, there is no need to wait for the comments of other Ministry beyond the prescribed time-limit and the concerned Directorate may go ahead with its scheme/proposal without waiting any longer.

(iv) There is no bar on recalling the file from another Ministry, to which such a reference has been made on a file, if such a course is required to be adopted for expediting the process of decision making in the case. Such a decision to recall a file should be taken at a level not lower than that of a Branch Officer of the concerned Directorate.

(v) Inter-Departmental references are to be made with the approval of an officer not below the rank of the Joint Secretary/Executive Director under the signature of an officer not below the rank of Under Secretary/Deputy Director.

(vi) Clearly state the points on which the advice or concurrence of other Ministry/departments is sought or which the Directorate desires to bring to the notice of consulting Ministry/Department, preferably in the concluding paragraph.

(vii) Place the drafts of the orders proposed to be issued along with the ID note to the Ministry / Departments being consulted.

(viii) When it is necessary to consult more than one Ministry/Department on a case, such consultation may be effected simultaneously by self-contained Inter-Departmental notes unless:

a. It involves copying of a large number of documents available on the file in a physical file environment; or

b. The need for consulting the second department would arise only after the views of the first have become available.

(ix) Specimen for ID Note is available at **Appendix – 14.1.10**.

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14.2.3. Inter-Departmental meetings may be held where it is necessary to elicit the opinion of other Ministry /Department on important cases and arrive at a decision within a limited time. No such meeting will normally be convened except under the orders of an officer not below the level of Joint Secretary/Executive Director. In respect of such meetings, it will be ensured that:

(i) the representatives attending the meeting are officers who can take decisions on behalf of their Departments;

(ii) an agenda setting up clearly the points for discussion is prepared and sent alongwith the proposal for holding the meeting, allowing adequate time for the representatives of other Ministries/Departments to prepare themselves for the meeting ; and

(iii) a record of discussions is prepared immediately after the meeting and circulated to other Ministries/Departments concerned, setting out the conclusions reached and indicating the Ministries/Department or Departments responsible for taking further action on each conclusion.

14.2.4. On occasions it may be necessary to have oral discussions (including teleconferencing or video conferencing) with officers of other Departments, e.g., when:

(i) a preliminary discussion between the officers of the Departments concerned is likely to help proceed further for the disposal of the case;

(ii) inter-Departmental noting reveals a difference of opinion between two or more departments; or

(iii) it is proposed to seek only information or advice of the department to be consulted.

The result of such oral consultation should be recorded in a single note on the file by the officer of the Directorate to which the case belongs. The note will state clearly the conclusions reached and the reasons thereof. A copy of the note will also be sent to the Departments consulted in order that they have a record of the conclusions reached.

14.2.5. Reopening of decisions arrived at after proper inter-Departmental consultations should normally be avoided. In case adequate grounds exist for re-opening of such issues, it should be settled after a quick re-assessment.

14.2.6. In case two or more departments persist with their respective viewpoints leading to a deadlock or impasse, such issues should be sorted out by raising the level of consideration to a forum like the Committee of Secretaries headed by the Cabinet Secretary or to the level of Ministers concerned, to arrive at a quick decision without continuing with protracted correspondence/discussions among the disputing Departments.

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14.2.7. Concerned Directorates of Ministry of Railways which render advice, if any, to other Ministries/Departments are to ensure that the views expressed by them at such inter-Departmental discussions are consistent, and they are not found deviating from their views on different occasions. Conflicting views by different Directorates during such inter-departmental discussions should be discouraged instead views of Ministry of Railways be first formalized through coordination within /amongst the Directorates.

Note:

In case of electronic files where there is no electronic environment in the receiving Department, a print out of the approved note is taken and placed on the physical file and forwarded to the receiving Department. However, where both the Departments are working in eOffice/electronic environment, the file containing ID note can be sent directly from the sending officer to the receiving officer through eOffice.

14.3. Noting on files received from other Ministries/Departments:

i. If a reference from the other Ministry/Department seeks the opinion/ruling/advice or concurrence of Ministry of Railways and requires detailed examination, such examination will normally be done separately through notes in a **'shadow file'**(which will be created by the concerned Branch/Cell of the Directorate).

ii. A shadow file contains photo copy of all the relevant correspondence portion and the notes portion received from the other Department. The case will then be processed for a decision on the shadow file including the decision or the observation to be recorded on the file of the other Ministry/Department.

iii. The decision or the observation approved by the competent authority will then be recorded on the file of the other Ministry/Department preferably at the level of Under Secretary/Deputy Director clearly indicating the level at which the decision was taken; and return the original file to the owner Ministry/Department.

iv. The shadow file too will have a file number as per prescribed procedure given in previous Chapter and the file number should be indicated in the note recorded on the File of consulting Ministry to facilitate retrieval of the shadow file for future reference. Where necessary, entries shall also be made in the precedent book.

v. Where the reference requires information of a factual nature or other action based on a clear precedent or practice, the Dealing Officer in the concerned branch of the receiving Directorate may note on the file straightway.

14.4. e-mail:

It is a paperless form of communication to be used by all Directorates/Branches having computer facilities supported by internet or intranet connectivity. Messages received through e-mail are to be ordinarily replied to in the same form by the officer receiving the message or his/her subordinate and necessary action is also to be taken based on e-mail directive All points emerging during e-mail correspondence will be recorded through a note on file or e-file concerned. Official e-mail address allotted by NIC to an Officer will be made use for this purpose.

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Email can also be widely used even where classified data is shared. However, such classified data are to be sent only in encrypted version. Further, guidelines as brought out in the 'email Policy of Government of India' prepared and updated by the Ministry of Electronics and Information Technology be referred to.

14.5. Other forms of written communications:

The other commonly used Forms of Communication are explained below. Formats for these forms of communication are given in Appendices at the end of this chapter.

1. Letter: (a) This form is used for corresponding with State Governments, the Union Public Service Commission and other constitutional bodies, public enterprises, statutory authorities, public bodies, members of public and with heads of attached and subordinate offices including the Zonal Railways, PUs/PSUs.

(b) A letter begins with the salutation "Sir/Madam" or "Dear Sir", as may be appropriate and ending with subscription "Yours faithfully". However, no salutation or subscription need be used in the case of letters exchanged with attached and Subordinate Offices including the Zonal Railways under the Ministry of Railways.

(c) Official letters emanating from the Ministry and purporting to convey the views or orders of the Government of India must specifically be expressed to have been written under the directions of Government.

(d) All official communications from Ministry of Railways to the Zonal Railway Administrations and other attached subordinate offices should be addressed to the General Managers or the Heads of organizations concerned, and not to individual officers.

(e) Minimum level at which letters may be sent to Railways/PUs and other units would be DD/US. In respect of letters to Members of Parliament instructions as contained under the heading Correspondence with Members of Parliament, VIPs and Member of Public are to be followed.

(f) This form of communication is to be used while seeking comments, information or for issuing/forwarding instructions to Zonal Railways/PUs/PSUs/other Units under Ministry of Railways.

(g) All letters from the Zonal Railways will be addressed to the Secretary, Railway Board indicating the Code initial of the Directorate concerned in brackets along with the designation.

(h) Letters rejecting the views of a General Manager or turning down his proposal should be signed by an Executive Director. Such letters should, on no account, be signed by Deputy Directors/Under Secretaries.

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(i) **Procedure for correspondence with Board's Office by ZR/PU-** In respect of Railways/PUs, correspondence with Board should have the approval of GM/PHOD and an endorsement to this effect be made in the letter. All letters(except routine nature and reminders) addressed to Railway Board should be signed by an Officer not below the rank of Senior Administrative Grade and Selection Grade in case of Public Relations Department. Every communication to Board's office should indicate name, designation, landline number & email address of the signatory.

(j) In correct/Unauthorized designations not prescribed/authorized by Board are not to be used by Railways while making communications.

(k) Specimen for letter is given in **Appendix – 14.1.1.**

2. Demi-official letter: This form is generally used in correspondence by one Government officer with another with the purpose of drawing his/her personal attention in an official matter of importance and/or urgency.

a. Since demi-official letter is written in the first person in a personal and friendly tone, it should be addressed by an officer to another of similar level /rank as far as possible. In the event of non-availability of officer of same level at receiving end, the same may be addressed to an officer at one or two levels below the officer to whom such communication is addressed. It should not be written by an officer who is more than one or two level below the officer / dignitary to whom the D.O. letter is being addressed.

b. Demi-official letter may be used for communicating with officers in other public offices except chief of the Constitutional authorities. In such cases, communications are addressed to the Secretary of such authorities. A Minister may communicate with another Minister at Centre or State Government or a Member of Parliament or State Legislature using D.O. letter.

c. Communications to non-officials may also take the form of a demi-official letter.

d. D.O. letters to General Managers should not be sent by officers below the rank of Executive Directors, except when an Executive Director is on tour or otherwise absent and issue of a D.O. to General Manager is urgently required and cannot wait, in which case it may be sent by a Director. DO letter to a Minister may be sent as from CRB&CEO or Board Member or as from Minister of Railway/Minister of State of Railways. In no case, a lower level functionary should address a DO letter to a Union Minister.

e. Similarly on Railways, D.O. letter to the Union Minister/Ministers of State Government should not be issued under the signature of middle level officer like DRMs.

f. The personal staff of the officer signing the demi-official letter will be responsible for fair typing of the D.O. letter.

g. The colour code and use of National Emblem on D.O. letter will be as per the instructions issued by the Ministry of Home Affairs from time to time.

h. Specimen for Demi-official letter is given in **Appendix – 14.1.2.**

3. Office Memorandum: This form is generally used for corresponding with other Ministries/Departments or in calling for or providing information. It is written in the third person and bears no salutation or subscription. The name, designation, Room No., e-mail ID, telephone number and fax number of the officer signing it will, however, be indicated. OM is not the mode of correspondence with Zonal Railways/PUs. Further, OM as a form of communication is also not to be used while corresponding with Constitutional/Statutory authorities like UPSC, Election Commission etc.

Specimen for O.M. is given in **Appendix – 14.1.3.**

4. Office Order:

This form is normally used for issuing instructions/intimation in routine internal administration (within Board's Office), e.g. procedural instructions so as to supplement any of the provisions of this Manual or otherwise, administrative instructions/orders/ change in procedure etc for information and compliance by all concerned, distribution of work amongst officers and sections, etc. There is, no salutation or subscription in such communications. Copies are endorsed to all the persons/authority concerned

This form of communication is not to be used for correspondence with Zonal Railways/PUs , instead letter or DO letter is to be used.

In order to have proper record, Office Order number may be obtained from Secretary's Branch (G/Acc).

Specimen for Office Order is given in **Appendix – 14.1.4.**

5. Order: This form is generally used for issuing certain types of Financial and Administrative sanctions and for communicating Government Orders in disciplinary cases to the official concerned. Order is not generally addressed to anyone instead endorsed to the persons/authority concerned.

Specimen for Order is given in **Appendix – 14.1.5.**

6. Notification: This form is used in notifying promulgation of statutory rules and orders, appointments and promotions of certain categories of officers etc. through publications in the Gazette of India. The composition of the gazette, the types of matter to be published in each part and section thereof, the instructions for sending the matter for publication therein may be seen at **Appendix – 14.2.**

Specimen for Notification is given in **Appendix – 14.1.6.**

7. Resolution: This form of communication is used for making public announcement of decisions of government in important matters of policy, e.g., the policy of industrial licensing, appointment of committees or commissions of enquiry. Resolutions are published in the Gazette of India.

Specimen for Resolution is given in **Appendix – 14.1.7**

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8. Press Communiqué/ Press Note: This form is used when it is proposed to give wide publicity to a decision of government through media. A press communiqué is issued where matter is to be published as per the text given by the issuing authority (and is expected to be reproduced intact by the Press), while a press note, on the other hand, is intended to serve as a hand-out to the press which may be edited, compressed or enlarged by the respective press or media channel.

Specimen for Press Communique/Press Note is given in **Appendix – 14.1.8.**

9. Endorsement: This form is used when a paper has to be returned in original to the sender, or the paper in original or its copy is sent to another department or office, for information or action. It is also used when a copy of a communication is proposed to be forwarded to parties other than the one to which it is addressed. Normally, this form will not be used in communicating copies to state governments, statutory/constitutional bodies. The appropriate form for such communication is letter.

Specimen for Endorsement is given in **Appendix – 14.1.9.**

10. Minutes: A record of discussions is prepared immediately after the meeting and circulated to the other Ministries/Departments concerned, giving date/time/venue of the meeting held, who chaired the meeting and list of participants, setting out the conclusions reached and indicating the Ministry(s)/Department(s) responsible for taking further action on each conclusion. In case, it is perceived by a participant of the meeting, that the minutes recorded are not as per the understanding / perception of the participant, the same may be immediately referred in writing to the authority which has issued the minutes.

14.6. Modes of sending communication:
(Email, fax, speed post, registered post, telephonic communications, etc.)

i. Through e-Office, eMail, fax, speed post, registered post, special messenger, etc. are modes of sending communication.
ii. Appropriate use of the medium of telephone may be made by Directorates for intra and inter-Departmental consultation and for communication of information between parties situated locally, and in matters of urgency with outstation offices.
iii. Telephonic communications, wherever necessary, may be followed by written communications for confirmation.

14.7. Correspondence with Attached and Subordinate offices:

i. Correspondence with attached and subordinate offices under the control of other Ministries/Departments is to be made subject to general instructions as the latter may issue. Senior Officer/Head of a subordinate/attached office under an administrative Ministry/Department shall correspond in respect of matters involving intervention / approval of another Ministry/Department in a form of a note/e-mail/e-file to their concerned

Ministry/Department. Similar procedure would be followed by ZR/PUs and other units under the administrative control of Ministry of Railways, Railway Board i.e. any reference to other Ministry / Department has to be through Railway Board.

ii. Head of an autonomous body under an administrative Ministry will write in respect of matters involving intervention/ approval of another Ministry/ Department to the Secretary of the concerned Ministry/ Department in a letter form.

iii. In both the cases, Ministry/ Department concerned, if required, will take up the matter with another Ministry.

iv. An officer of a Subordinate office/ Attached office/ Autonomous body will not correspond directly with the Minister of another Ministry except the head of a Statutory Body/Regulatory Authority set up by an Act of Parliament.

v. Attached office/subordinate office may, however, seek factual information from other Ministry/Department directly.

14.8. References to Constitutional authorities, etc.

Table given below provides guidance on the procedure pertaining to making references to certain authorities.

Sl. No.	Details of the Authority	Form and procedure for communication
1.	Rajya Sabha and Lok Sabha Secretariats	Communications meant for the Lok Sabha Secretariat or the Rajya Sabha Secretariat and requiring urgent or high level attention may be addressed to the Secretaries concerned and not to the Speaker and Chairman directly. Similarly, no communication is to be addressed to the Chairman of any Parliamentary Committee directly.
2.	Attorney General of India	References are to be made only through the Ministry of Law& Justice.
3.	Comptroller and Auditor General of India (C&AG)	References are to be made only by and through the Finance/Accounts Directorates except when reference is received from C&AG on audit paragraphs.
4.	Union Public Service Commission (UPSC)	References are to be addressed to Secretary, UPSC in the form of letter and not to Chairman or Member of UPSC. In certain matters, eg. Requisitions for recruitment, formal references should ordinarily be preceded by informal discussions at appropriate levels.
5.	Other Constitutional/ Statutory Authorities	Communications to constitutional authorities like, Election Commission of India and statutory authorities, like TRAI, SEBI, etc. will normally be made in the letter form addressed to Principal Secretary/Secretary. In no case an office memorandum will be sent to such authorities.
6.	Reference to PMO	Reference / communication to PMO enclosing reports, comments, responses etc. is to be made with the approval of CRB&CEO and specific mention of the approval obtained is to be indicated in the communication being made to PMO.

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7.	Correspondence with Members of Parliament/VIP references / Ministers of State Governments	1. Communications received from Members of Parliament should be attended to promptly. 2. Where a communication is addressed to a Minister, it should, as far as practicable, be replied to by the Minister himself. In other cases, a reply should normally be issued over the signature of Board Member only. Similarly replies to communications addressed to the Board Members/DGs/AMs/PEDs, will issue over the signatures of the Board Members/ concerned to whom communication has been addressed. 3. In case of letters addressed by MPs/VIPs/Members of Public to CRB & CEO on matters falling within the sphere of other Board Members, the acknowledgements as well as replies would be issued under the signature of the concerned Board Member unless indicated otherwise by the CRB & CEO. 3.1. In case communication is wrongly addressed to Ministry of Railways, it may be transferred promptly (within 5 working days of its receipt) to the appropriate Ministry / Department under intimation to the concerned MP/VIP. 4. Normally information sought by a Member should be supplied unless it is of such a nature that it would have been denied to him even if asked for on the floor of the Houses of Parliament. Where the request of a Member of Parliament cannot be acceded to for any reason, clear and cogent reasons for not acceding to such request may be given in a courteous language. 5. As far as possible, requests from member of public should be looked at from the user's point of view and not solely from the point of view of what may be administratively convenient. For correspondence with Member of Parliament, pre-printed replies should be avoided. 6. The replies to the points raised by Members of Parliament should be specific indicating whether their proposal is acceptable or not and if acceptable, by what time the same would be implemented. 7. Information or statistics relating to matters of local importance must be furnished to the MPs and MLAs when asked for. The information so supplied should be specific and answer the points raised. A soft copy of the information should also be sent to the Member via email. 8. Wherever any letter from an MP is in English and the reply is required to be given in Hindi in terms of the Official Languages Act, 1963 and the rules framed there under, an English translation should also be sent along with the reply for the convenience of such Members of Parliament from non Hindi speaking areas. 9. In case a reference is made from an ex-Member of Parliament to a Minister or Board Member, reply to such reference may be sent by the ED/JS after obtaining approval of the Additional Member concerned. In case the reference is addressed by ex-MPs to a lower level officer, reply to such reference may be sent under the signature of

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		the Deputy Director/Under Secretary. In case, the communication involve policy issue, reply should be issued under the signature of Deputy Director/Under Secretary after approval of ED concerned. 10. Where, however, a communication is addressed to the GMs of Zonal Railways/PUs or CMD/MD of Railway PSUs or head of subordinate and other offices under the control of Ministry of Railways, it shall be replied to by the addressee himself. In routine matters, the concerned official to whom the communication has been addressed may reply appropriately on his own. In policy, matters, however the officer should have prior consultation with concerned higher authorities before sending a reply. It should, however be ensured that the minimum level at which such replies are sent to Members of Parliament, VIPs & Members of Public be that of Senior Scale and that too in polite letter form only. **Prompt response to letters received:** 11. Each such communication be acknowledged immediately within 15 days and reply be submitted within 10 days (where no information is required from Railways/PUs) and 15 days (where information is required from Railways/PUs) from the date of acknowledgement. 12. In respect of Railways/PUs/PSUs and other field units, after acknowledgement within 15 days, reply be submitted within 07 days (where no information is required from Divisions) and 15 days (where information is called for from Divisions) from the date of the acknowledgement. 13. In case final reply is like to take time, an interim reply should be sent immediately indicating the possible date by which the final reply would be issued. 14. Appropriate record shall be maintained in respect of communications received from MPs, VIPs and Members of Public and monitored by all concerned. A similar procedure may also be followed for judicial/quasi-judicial matters. 15. If the information sought by a Member of Parliament cannot be given and is to be refused, instructions from a higher authority should be taken and the reasons for not furnishing the information should be given in the reply. 16. Electronic monitoring mechanism like e-office, MIS portal (IR-VIP&Parl.Ref.) for chasing important/VIP references or any other system be adopted at the receipt stage itself in addition to scanning of such references for monitoring and processing electronically. Senior Officers of the level of SG and SAG are to personally monitor such references for expeditious disposal. Specific attention should be paid to the references which contain endorsement/direction from Ministers themselves or by their PS or OSD or EDPG or any other nominated personal staff.

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8	State Governments	Communications on the subjects which clearly relate to the business of a particular Department of State Government will normally be addressed to the Secretary of that Department. Other communications including those of special nature or importance warranting attention at higher levels, may be addressed to the Chief Secretary of the State concerned. Demi-official letters can also be sent to officers of State Governments. In case of demi-official communications to the Chief Secretary of a State, this level will not be below the level of ED/JS. Communications other than those of a purely routine nature, e.g., acknowledgements, will not ordinarily be addressed to State Governments except with the prior approval and over the signature of an officer not below the level of ED/JS. Purely routine communications can, however, be signed by a Section Officer.
9.	Union Territory Administrations	All communications of a routine nature which clearly relate to the business of a particular department of Union Territory concerned, will ordinarily be addressed to the Secretary in the appropriate department. Other important communications may be addressed to the Chief Secretary or the Administrator depending upon the importance of the matter.
10.	Foreign Governments and International Organizations	Correspondence with Foreign Governments and their Missions in India, Heads of Indian Diplomatic Missions and posts abroad and United Nations and its specialized agencies will normally be channelized through the Ministry of External Affairs. The exceptions under which direct correspondence may be resorted to are indicated in the instructions entitled `Channel of communication between the Government of India and State Governments on the one hand; and Foreign and Commonwealth Governments or their Missions in India, Heads of Indian Diplomatic Missions and posts abroad and United Nations and its specialized agencies on the other' issued by the Ministry of External Affairs

14.9. Target date for replies:

In all important matters in which State Governments, Departments of the Central Government or other offices, Zonal Railways and other attached and subordinate offices, public bodies or individuals are consulted, time limit for replies may ordinarily be specified. On the expiry of the specified date, orders of the appropriate authority may be obtained whether the offices, whose replies have not been received, may be allowed an extension of time or whether the matter may be proceeded with / without waiting for their replies.

14.10. Use of Official Language in Government communications:

The provisions stipulated in the Official Languages Act, 1963 and instructions issued from time to time by the Department of Official Language are to be scrupulously implemented. In eFile, there are options to use either Hindi or English or bilingual.

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14.11. Communication of Sanctions:

(i) All sanctions or orders issued in exercise of the powers vested in the President will be expressed as sanctions or orders of the President.

(ii) The sanctions or orders issued in exercise of the powers delegated to the Railway Board will be expressed as sanctions or orders of the Railway Board.

(iii) With the exception of advances to staff in accordance with the prescribed rules and extant orders, all sanctions or orders in matter involving financial considerations should have the concurrence of the Member Finance or any other Officer authorized to act on his behalf.

(iv) All sanctions and orders involving financial considerations emanating from the office of the Railway Board, should be sent by the Officer concerned over his own designation, to the General Managers, in duplicate, to enable them to make over a copy promptly to the Principal Financial Adviser for necessary action. Where the Railway Board as such has power to accord sanction, or to issue orders, the sanction of orders, should be sent directly to the Audit departments by the same officer. All sanctions and orders i.e. orders of the President having financial consideration and intended for the Audit Department should be endorsed by an Officer of the Finance Directorate of the Railway Board on behalf of the 'Member Finance'. All other sanctions and orders though issued in the name of the President but not having any financial consideration may be endorsed to the Audit Department by the officer of the Administrative branch concerned. Copy of all Financial Sanctions or Orders may be endorsed to Principal Director of Audit of Zonal Railways with copy to Deputy Comptroller and Auditor General of India (Railways).

Note.--There is no objection to the making out of copies of financial sanctions including the signatures but the copy that is communicated to 'Accounts' and on which payment will have to be authorized should be one which has the signature in ink.

(v) All orders / sanctions issued in consultation with or with the concurrence of the Finance Directorate, the fact of such consultation having been made or concurrence having been obtained should be stated explicitly in the order or sanction itself thus ;

"This issues with the concurrence of the Finance Directorate of the Ministry of Railways."

(vi) After orders of the Finance Ministry are communicated to the Railway Administrations for information or guidance or adoption, the Branch concerned should send the case to Accounts III Branch with two spare copies of the communications, when such orders involve accounting considerations.

14.12. Correction slips:

(i) Branches putting up corrections to the Indian Railway Establishment codes, Volume-I and II and such corrections to other codes, which require the sanction of the President must send the files with the proposed correction slip to Finance Branch for their scrutiny on behalf of the President before the file is sent to Accounts – III branch for issue.

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(ii) In correction slips to Codes, reference to Board's Letter Number and date under which the correction slip was initially notified to Railways etc., should be quoted at the bottom. If the correction takes effect from a date different from the date of its issue, the fact should also be indicated in the corrections slips.

(iii) Correction slips to the various codes should normally be issued only after a year of issue of administrative orders in order that issue of amendments to those correction slips, notifying subsequent changes, could be obviated. If, however, the corrections are of natures which are not likely to be modified for a considerable period, the correction slips may be issued simultaneously with the administrative orders.

(iv) In order to appreciate the implication of the corrections without referring to the original rule, the revised rule or modified paragraph will be reproduced in the body of the instruction and not only the "words" or part of a paragraph as are intended to replace / substitute the existing words or paragraphs, whenever correction slips are issued.

(v) The approval of the President in the case of corrections to the Indian Railway Establishment Codes will be contained in a general preamble, which will be printed at the top of each batch of corrections, a copy of each list will be endorsed to the Deputy Controller and Auditor General of India (Railways) by Accounts-III branch under the signature of an Officer of Finance Branch.

(vi) In the case of corrections to other codes which require sanction of the President, the Branch concerned should put up an endorsement to the Deputy Comptroller and Auditor General of India (Railways), forwarding such correction slips in which the fact of the President's sanction should be made clear. Such endorsement will be signed by an officer of Finance Branch.

14.13. Discontinuation of circulation of Hard Copies of Orders/Circulars etc.:

To avoid wastage of paper and manpower, the distribution of hard copy of policy circulars/orders/instructions etc. in Board's office and to Zonal Railways/PUs and other Units is to be discontinued or be kept to bare minimum. Different electronics forms of communication like e-copies (scanned copies in PDF format) may be forwarded to all concerns through NIC mail and through e-Office platform or as e-Receipt through e-Office. Subsequently, the Orders/Instructions be uploaded on IR website in Directorate section under the concerned branch.

--xxxx--

BACK

Appendix – 14.1.1.
[Para 14.5.1 (k)]

Specimen of the letter :-

GOVERNMENT OF INDIA (BHARAT SARKAR)
MINISTRY OF RAILWAYS (RAIL MANTRALAYA)
(RAILWAY BOARD)

No……. New Delhi, the……...

To,

……

Subject.—

Sir,

*With reference to your letter No…….. dated…….. I am directed to say that…….

Yours faithfully
Sd./-
(Name)
(Designation)
Tel. No.:……..
E- mail ID:
(Minimum level US/DD)

Encl :

@(Endorsement)
No…….New Delhi, the dated
Copy forwarded for information / necessary action to :
(1)……..
(2)……..

Sd./-
(Name)
(Designation)
Tel : No……..
E- mail ID:
(Minimum level US/DD)

Room No ____, (present address with PIN code) Rail Bhawan, Raisina Road, New Delhi-110001

*Other alternative forms of the introductory phrases commonly used are.---

(i) In continuation of my / this Ministry's letter No……..dated……..

(ii) With reference to the correspondence resting / ending with your /this Ministry's letter No…….. dated……

@ To be typed on copies intended for (1) and (2) referred to in the endorsement.

BACK

Appendix – 14.1.2
[Para 14.5.2 (h)]

Specimen of Demi-Official Letter :

XYZ
Designation

(National Emblem)
GOVERNMENT OF INDIA (BHARAT SARKAR)
MINISTRY OF RAILWAYS (RAIL MANTRALAYA)
RAILWAY BOARD)

D. O. No. ……. New Delhi, the……20……...

My dear / Dear Shri

We propose to draw up a model scheme for …… . Attention is invited to my earlier D.O. letter No……..dated……..…. enclosing copy of the outline prepared for the scheme.

I shall be grateful if you would let me have your comments as soon as possible. I may add that we intend circulating the draft scheme formally to all other Ministries in the due course for their comments.

With regards,

DA : Yours Sincerely
(XYZ)

Shri……
Desig……..
Address:

Room No ____, (present address with PIN code) Rail Bhawan, Raisina Road, New Delhi-110001
Tele. No._____, Fax No._____, Email ID:_____

BACK

Appendix – 14.1.3
[Para 14.5.3]

Specimen No.1 of Office Memorandum :

GOVERNMENT OF INDIA (BHARAT SARKAR)
MINISTRY OF RAILWAYS (RAIL MANTRALAYA)
(RAILWAY BOARD)

No…… New Delhi, the……..

OFFICE MEMORANDUM

Subject :

The undersigned is directed to refer to this Ministry's O.M. No……. Dated……..and to say that……

Sd./-
(Name)
(Designation)
Tel. No.:……..
E- mail ID:
(Minimum level US/DD)

To

The Department of……
(……Vibhag)
……Bhavan
New Delhi – 110001

Specimen No.2 of Office Memorandum :

GOVERNMENT OF INDIA (BHARAT SARKAR)
MINISTRY OF RAILWAYS (RAIL MANTRALAYA)
(RAILWAY BOARD)

No…… New Delhi, the……..

OFFICE MEMORANDUM

Subject :

Reference this Ministry's O.M. No……dated……...

2. Doubts have been expressed whether the provisions of …… also apply to…….It is hereby clarified that……

Sd./-
(Name)
(Designation)
Tel. No.:……..
E- mail ID:
(Minimum level US/DD)

To

The Department of……
(……Vibhag)
……Bhavan
New Delhi – 110001

Appendix – 14.1.4
[Para 14.5.4]

Specimen of Office Order :-

GOVERNMENT OF INDIA (BHARAT SARKAR)
MINISTRY OF RAILWAYS (RAIL MANTRALAYA)
(RAILWAY BOARD)

OFFICE ORDER NO……OF 20…..

It has been decided that the following items of work being dealt with by……will be routed through……. instead of ……till further orders.

Sd./-
(No…….) (Name)
Dated…….. (Designation)
Tel. No.:……..
E- mail ID:
(Minimum level US/DD)

To

All officers & Branches in Board's Office, COFMOW Building and at Dayabasti .

Appendix – 14.1.5
[Para 14.5.5]

Specimen No.1 of Order :-

GOVERNMENT OF INDIA (BHARAT SARKAR)
MINISTRY OF RAILWAYS (RAIL MANTRALAYA)
(RAILWAY BOARD)

No……..

O R D E R

Sanction of the President is accorded to the grant of an honorarium of Rs. 1000/- to Sh……ASO……..Branch for performing arduous additional duties in connection with, the…….w.e.f. 1-5-2022 to 31-7-2022.

2. This issues with the concurrence of Finance Directorate of Ministry of Railways.

Sd./-
(Name)
(Designation)
(Minimum level US/DD)

1. Pay & Accounts Officer, Min. of Railways, Railway Board

2. Cash Sanction

No…….. New Delhi, dt……..

Copy forwarded to

1) The Principal Director of Audit, Northern Railway, Baroda House, New Delhi.
2. Deputy Comptroller & Auditor General of India, R.No.224, Rail Bhavan, New Delhi.

For Member (Finance)

Copy to:

Shri ……., ASO

[Para 14.5.5]

Specimen No.2 of Order :-

GOVERNMENT OF INDIA (BHARAT SARKAR)
MINISTRY OF RAILWAYS (RAIL MANTRALAYA)
(RAILWAY BOARD)

No…… **New Delhi, dt……..**

O R D E R

Shri…….., JSA……. is here by informed that it is proposed to take action against him under rule……..of…….

2. Shri…….. is hereby given an opportunity to make such representation as he may wish to make against the proposal.

3.

Sd./-
(Name)
(Designation)
(Minimum level US/DD)

To

Shri…….

BACK

Appendix – 14.1.6
[Para 14.5.6]

Specimen No. 1 of Notification

(TO BE PUBLISHED IN THE GAZETTE OF INDIA PART I, SECTION 2)

GOVERNMENT OF INDIA (BHARAT SARKAR)
MINISTRY OF RAILWAYS (RAIL MANTRALAYA)
(RAILWAY BOARD

New Delhi, the……..20……..

NOTIFICATION

No._____ ____ Shri XYZ, Deputy Director , Railway Board, is appointed to officiate as Joint Director, Railway Board vice Shri _____ transferred to Railway.

Sd./-
(Name)
(Designation)
(Minimum level ED/JS)
Tele. No. /Email

To

The Manager,
Government of India Press,
Minto Road,
New Delhi

*No._____ Dated: _____

*Copy forwarded to :

(i)…….
(ii)……
(iii)……..

(DEF)
JD/DS, Railway Board
(Minimum level DD/US)

Room No ____, (present address with PIN code) Rail Bhawan, Raisina Road, New Delhi-110001

* Endorsement to be typed on all copies except the one intended for the Press.

BACK

[Para 14.5.6]

Specimen No. 2 of Notification

(TO BE PUBLISHED IN THE GAZETTE OF INDIA PART II, Subsection (ii) of SECTION 3)

GOVERNMENT OF INDIA (BHARAT SARKAR)
MINISTRY OF RAILWAYS (RAIL MANTRALAYA)
(RAILWAY BOARD

No_____ **New Delhi, the……**

NOTIFICATION

No. S.O. ……. (E)- In exercise of the powers conferred by section _____ of the Indian Railway Board Act, 1905 (_____ of 1905), the Central Government hereby invests the Railway Board with all the powers and functions of the Central Government under _____ of section ____of the Railways Act 1989(24 of 1989).

Sd./-
(Name)
(Designation)
(Minimum level ED/JS)
Tele. No. /Email

To

The Manager,
Government of India Press,
Minto Road
New Delhi

*No._____ Dated: _____

*Copy forwarded to :

(i)…….

(ii)……

(iii)……..

(DEF)
Deputy Secretary, Railway Board
(Minimum level DD/US)

Room No ____, (present address with PIN code) Rail Bhawan, Raisina Road, New Delhi-110001

* Endorsement to be typed on all copies except the one intended for the Press.

BACK

Appendix – 14.1.7
[Para 14.5.7]

Specimen 1 of Resolution

[To be published in the Gazette of India, Part 1, Section 1]

GOVERNMENT OF INDIA (BHARAT SARKAR)
MINISTRY OF RAILWAYS (RAIL MANTRALAYA)
(RAILWAY BOARD)

No……. New Delhi, the .....20....

RESOLUTION

The Government of India have had under consideration the question of further improving the efficiency of the departments and services concerned with …….. As a first step in that direction the President has been pleased, under the powers vested in him/her under Article..... of the Constitution of India, to decide that a Class Central Service to be known as 'India Railways……' should be constituted with effect from.....

-sd/-
(A.B.C)
Secretary, Railway Board
Tele No./email:
(minimum ED/JS level)

ORDER ORDERED that a copy of the Resolution be communicated to ……..

ORDERED also that the Resolution be published in the Gazette of India for general information.

-sd/-
(A.B.C)
Secretary, Railway Board
Tele No./email:
(minimum ED/JS level)

The Manager,
Government of India Press,
(Bharat Sarkar Press)
Minto Road, New Delhi

Not to be published or broadcast before …… a.m./p.m. on …….. day, the 20……

Specimen 2 of Resolution

[To be published in the Gazette of India, Part 1, Section 1]

GOVERNMENT OF INDIA (BHARAT SARKAR)
MINISTRY OF RAILWAYS (RAIL MANTRALAYA)
(RAILWAY BOARD)

No……. New Delhi, the .....20....

RESOLUTION

In pursuance of Cabinet decision of 24th of ……20…. for comprehensive re-structuring of Railways' Organisation, Government has decided to ……..

In line with above decision Ministry of Railways have decided to adopt following norms for filling up the post of …….. as appended below:

1……..
2……..
3……..

-sd/-
(A.B.C)
ED/JS, Railway Board
Tele No./email:

ORDER

ORDERED that a copy of the Resolution be communicated to ……..

ORDERED also that the Resolution be published in Part-I, Section-I in the Gazette of India for general information.

-sd/-
(A.B.C)
ED/JS, Railway Board
Tele No./email:

The Manager,
Government of India Press,
(Bharat Sarkar Press)
Minto Road, New Delhi

Not to be published or broadcast before…… a.m./p.m. on …….. day, the 20……

Appendix – 14.1.8
[Para 14.5.8]

Specimen of Press Communiqué/Note :-

PRESS COMMUNIQUE / NOTE

In response to public demand, the Government of India have appointed a commission to go into the problem of……..and make suitable recommendations to the Government.

2. The Commission will consist of Shri…….as Chairman and the following as members:

(i)

(ii)

3. In making its recommendation the Commission is expected to give consideration to the following matters :

(a)

(b)

4. The Commission is expected to submit its report to the Government by……..

GOVERNMENT OF INDIA (BHARAT SARKAR)
MINISTRY OF RAILWAYS (RAIL MANTRALAYA)
(RAILWAY BOARD

No…….

Forwarded to the Principal Information Officer, Press Information Bureau, Government of India, New Delhi, for issuing the communiqué and giving it wide publicity.

(A.B.C)
ED(I&P), Railway Board
Tel. No/Email-ID.

Room No ____, (present address with PIN code) Rail Bhawan, Raisina Road, New Delhi-110001

BACK

Appendix – 14.1.9
[Para 14.5.9]

Specimen of Endorsement:

GOVERNMENT OF INDIA (BHARAT SARKAR)
MINISTRY OF RAILWAYS (RAIL MANTRALAYA)
(RAILWAY BOARD

No……. New Delhi, the…….199

A copy each of the papers mentioned below is forwarded for information and necessary action.

Sd./-
(Name)
(Designation)
(Minimum level US/DD)
Tele No./Email:

List of papers forwarded :--

(1)……..
(2)…….
(3)…….

To,

……..
……..
……..

Room No ____, (present address with PIN code) Rail Bhawan, Raisina Road, New Delhi-110001

Note.—The above is a specimen of endorsement as an independent form of communication. There can, however be endorsements below other forms of communication also by endorsing as copy to in letter, notification, O.M. etc.

BACK

Appendix – 14.1.10
[Para 14.2.2(ix)]

Specimen of Inter-Departmental Note :

GOVERNMENT OF INDIA (BHARAT SARKAR)
MINISTRY OF RAILWAYS (RAIL MANTRALAYA)
(RAILWAY BOARD)

Subject.—

1. The present rules regulating the issue of privilege passes provide inter alia that ……

2. A question has now arisen whether……..

3

4

5. The Ministry will be grateful for the advice of the Departmental of Legal Affairs on the issue raised in para 4 above.

Sd./-
(Name)
(Designation)
(Minimum level US/DD)
Room No./Tele No./Email:

Department of Legal Affairs (Vidhi Karya Vibhag), (Shri_____), Shastri Bhawan, New Delhi.

Ministry of Railways (Railways Board) I.D. No…….dt……

BACK

Appendix – 14.2
[Para 14.5 (6)]

Composition of the Gazette of India and instructions for sending material for publication therein

PART	SECTION & SUB-SECTION	TYPE OF MATTER TO BE PUBLISHED
Part-I (To be Published from Government of India Press, Minto Road, New Delhi)	1.	Notification relating to Non Statutory Rules, Regulations, Orders and Resolutions issued by the Ministries of the Government of India (other than the Ministry of Defence) and by the Supreme Court of India.
	2	Notifications regarding Appointments, Promotions, Leave etc. of Government Officers issued by the Ministries of the Government of India (other than the Ministry of Defence) and by the Supreme Court of India.
	3	Notifications relating to Resolutions and Non-Statutory Orders issued by the Ministry of Defence.
	4	Notifications regarding Appointments, Promotions, Leave etc. of Government Officers issued by the Ministry of Defence.
Part-II (To be Published from Government of India Press, Minto Road, New Delhi)	1	Acts, Ordinances and Regulations.
	1A. (Hindi)	Authoritative texts in Hindi language of Acts, Ordinances and Regulations.
	2	Bills and Reports of Select Committee on Bills.
Part-II (To be Published from Government of India Press, Maya Puri, Ring Road, New Delhi)	3 *Sub-Section (i)*	General Statutory Rules (including Orders, Bye Laws, etc., of a general character) issued by the Ministries of the Government of India (other than the Ministry of Defence) and by Central Authorities (other than the Administration of Union Territories).
	3 *Sub Section (ii)*	Statutory Orders and Notifications issued by the Ministries of the Government of India (other than the Ministry of Defence) and by Central Authorities (other than the Administration of the Union Territories)

BACK

PART	SECTION & SUB-SECTION	TYPE MATTER TO BE PUBLISHED
Part-II (To be Published from Government of India Press, Maya Puri, Ring Road, New Delhi)	3 *Sub Section (iii)*	Authoritative texts in Hindi (other than such texts published in Section 3 or Section 4) of the Gazette of India of General Statutory Rules and Statutory Orders (including Bye-Laws of general character) issued by the Ministries of the Government of India (including the Ministry of Defence) and by Central Authorities (other than Administrations of Union Territories)
	4	Statutory Rules and Orders issued by the Ministry of Defence.
Part-III (To be Published from Government of India Press, Minto Road, New Delhi)	1	Notifications issued by the High Courts, the Comptroller and Auditor General, Union Public Service Commission, the Indian Government Railways and by Attached and Subordinate offices of the Government of India
	2	Notifications and Notices issued by the Patent Office, relating to Patents and Designs.
	3	Notifications issued by or under the authority of Chief Commissioners.
	4	Miscellaneous notifications including Notifications, Orders, Advertisements and Notices issued by the Statutory Bodies.
Part-IV (To be Published from Government of India Press, Minto Road, New Delhi)	-	Advertisements and Notices by the Private Individuals and Private Bodies.
Part-V (To be Published from Government of India Press, Minto Road, New Delhi)	-	Supplement showing Statistics of Births and Deaths, etc. both in English and Hindi.

Note.—Notifications to be published in Sub-Section (i) of Section 3 of Part II are serial-numbered by press as 'G.S.R…….' and those Published in Sub-Section (ii) as 'S.O…….' The identification numbers given by the Ministries will appear within brackets at the end of notification.

BACK

Procedure to be followed in respect of Gazette Notification:

I. The Part, Section and sub-section of the Gazette in which the matter is to be published should invariably be indicated on the top of the copy for the guidance of the Press. In case of doubt as to whether a notification should be treated as a statutory rule or order and published in sub-section (i) or sub-section (ii) of Section 3 or Section 4, as the case may be of Part II, the Ministry of Law should be consulted.

II. All notifications to be published in the Gazette should be sent to the press bilingually (i.e. in Hindi and English), except in case of Supreme Court of India, invariably signed by the competent authority.

III. All the matters to be furnished in both the formats i.e. Soft and Hard copy with the certificate from the competent authority that both the versions are same.

IV. The original typescript copy, duly signed in ink by an officer not below the rank of ED/JS, should be sent to the Press.

V. The soft copy of the Hindi including tabular matter and English matter should be sent in a single MS-word file.

VI. The hard copy or a copy without the Officer's signature in ink and without indication of Part and Section will not be accepted by the Press.

VII. All authorities forwarding the Notification should take care of duplication to avoid publication more than once.

VIII. Gazette Notifications except in exceptional circumstance should always be sent to the Press during normal working hours.

IX. The Directorates requiring printed hard copies of the Gazette Notifications may submit a separate request in the prescribed proforma to the respective Press, for not less than 1000 copies.

e-Gazette

(i) From 01/06/2016 content of Gazette notification is to be submitted electronically only and signed digitally by the Nodal Officer since physical printing of Gazette Notification of Government of India have been dispensed and exclusive e-publishing of the same has been started in compliance to the provision of Section 8 of the Information Technology Act 2000 with effect from 1st October, 2015.

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(ii) Ministry of Railways has also nominated Nodal Officer for uploading /E-publishing of Gazette Notification through e-Gazette portal (Office Order No. 29 of 2022). The list of Nodal Officer nominated in Railway Board is available at link given below:
https://indianrailways.gov.in/railwayboard/uploads/directorate/secretary_branches/Office_Order_2022/Office%20Order%20No_29%20of%202022.pdf

(iii) The role of Nodal Officers is limited to just uploading the approved content of Gazette Notification by digitally signing through DSC. There is no change in existing procedure of taking approval for issue of Gazette Notification by the concerned Directorate. Only after approval, the file along with the signed copy/digitally signed copy (incase the file has been processed electronically) by the officer under whose signature the Gazette Notification is being issued alongwith soft copy of the Gazette Notification both in Hindi and English, is to be forwarded to the Nodal Officer for uploading the notification on 'e-gazette. nic.in'.

(iv) The nominated Nodal Officers are to register themselves on e-Gazette portal https://egazette.nic.in/(S(qkczd52nzjncgfazzdwvqz2k))/Default.aspx for uploading the Gazette Notification.

System requirement for e-publishing of Gazette Notifications:

Sl. No.	Features	Specifications
1.	Page Size	A-4 Size (21.2 cms. x 30 cms)
2.	Matter Size	17 cms. x 24 cms.
3.	First Page	`11 cms, margin from the Top
4.	English Font, Size and Name	10 points Times New Roman
5.	Hindi Font Size and Name	11 points Mangal Unicode
6.	Space between lines	Normal/Auto
7.	File Type	MS Office document file (open file)
8.	Document Type	Soft copy and Hard copy (both)
9.	Authentication	A certificate confirming that Soft and Hard copy are same
10.	Competent authority for Extra ordinary Gazette	Under the signature or the approval of not lower than the rank of Joint Secretary
11.	Contact Details of indenting Ministry/Department	(i) Telephone No. (ii) E-mail (iii) Mobile No.

BACK

CHAPTER 15

GUIDELINES ON DRAFTING OF COMMUNICATIONS

15.1. <u>Procedure for preparing draft communication and its approval</u>.

(i) No draft is required to be prepared in simple and straight-forward cases or those of a repetitive nature for which standard forms of communication exist. Such cases may be submitted to the appropriate officer with fair copies of the communication for signature.

(ii) In cases which are complex in nature or wherein proposed line of action or decision is not clear or having more than one option, the draft communication will be put up for consideration and approval along with the notes by the initiating level officer.

(iii) After a final decision is taken by the competent authority, he may have the fair communication made for his signature, or authorize its issue under signature of an officer not below the rank of an Under Secretary/Deputy Director. All draft communications put up for approval must be specified accordingly by writing 'Draft' at top centre.

(iv) Computer print -out of draft is to be submitted for approval.

(v) The drafts of letters having crucial policy, financial, vigilance implication and where the drafts have been changed by Senior Officers in the process of movement of files upwards, barring grammatical corrections, should also form a part of the correspondence portion i.e. the draft indicating corrections/amendments by senior officers is to remain as part of file . The officer approving the issue of a draft appends his initials with the date on the draft, after editing.

15.1.1. In the eFile system, there is a provision for initiating a draft at any level in the hierarchy and getting it approved and signed by any level with a pre-defined approver and signatory role respectively. There is also a provision to initiate a draft without a file in case of receipts received. Once the draft is approved, no change can be made in the draft content by any authority. There is also option for appending eSign/Digital Signature by the signatory. If necessary, the file has to be resubmitted for amendment of the approved draft.

15.2. General instructions for drafting –

(i) A draft should carry the message sought to be conveyed in a language that is clear, concise and unambiguous.

(ii) Lengthy sentences, abruptness, redundancy, circumlocution, superlatives and repetition, whether of words, observations or ideas, should be avoided. If unavoidable, lengthy communications are generally concluded with a summary specifying the action(s), if any, expected from the addressee(s).

BACK

(iii) Official communication purporting to convey the views or orders of the Ministry of Railways must specifically be expressed to have been written under the directions of the Ministry.

(iv) Where appropriate, the subject should be mentioned in communications(including reminders)

(v) Communications of some length or complexity should generally conclude with a summary.

(vi) The number and date of the last communication in the series, and if this is not from the addressee, his last communication on the subject, shall always be referred to. Where it is necessary to refer to more than one communication or a series of communications, this shall be done on the margin of the draft.

(vii) While asking for information, comments, etc. from the addressee(s), specify the date by which they are required. Example: Instead of stating, "…….may be sent immediately." state, "…..may be sent by 28-02-2019".

(viii) All drafts put up on a file should bear the file number. When two or more communications are to be issued from the same file to the same addressee on the same date, a separate serial number may be inserted in bracket just after the sub-head and serial number of file opened during the year to avoid confusion in reference, e.g., 2022/O&M/25/2(i); 2022/O&M/25/2(ii); etc. wherein bracket (i) and (ii) refers to communication first and second respectively on same date and same file.

(ix) A draft should clearly specify the enclosures which are to accompany the fair copy. In addition, short oblique lines should be drawn at appropriate places in the margin for ready reference by the Dealing Officers who fair and compare the draft with the fair. The number of enclosures should also be indicated at the end of the draft on the bottom left of the page as-`Encl. 3'.

(x) If copies of an enclosure referred to in the draft are available and are, therefore, not to be photocopied, an indication to that effect is to be given in the margin of the draft below the relevant oblique line.

(xi) If the communication to be dispatched by post is important (e.g., a notice cancelling a license or withdrawing an existing facility) or encloses a valuable document (such as an agreement, service book or certificates) instructions as to whether it should be sent through registered post or speed post or in an insured cover, is to be given on the draft by the Section Officer concerned with its issue.

(xii) Draft is to be prepared in double space to provide space between the lines for editing by officers.

(xiii) Urgency grading to the draft is to be so marked by or under the orders of an officer not lower in rank than a Section Officer.

BACK

(xiv) The name, designation, telephone number, fax number, e-mail address, office address alongwith Room Number at footnote of the officer, over whose signature the communication is to issue, should invariably be indicated on the draft. It would be beneficial to indicate the telephone number and the fax number of the person to whom the communication is being addressed on the envelop.

(xv) A flag 'DFA' is to be attached to the draft. If two or more drafts are submitted on a file, the drafts as well as the flags attached thereto will be marked `DFA I', `DFA II', `DFA III' and so on.

15.2.1.

(a) In the eFile system, there is a provision for creating a draft in a template. Also the draft created in word can be uploaded directly to the system. There are other ways like typing directly on the editor of the draft and using copy & paste function from a compatible source.

(b) In respect of multiple communications on same date under same file in eFile, the differentiation is done by different issue numbers which appear on the left corner of the letter as well as in the table of correspondence of the file from which the issues are made. The file number is present on the top of the letter.

15.3. Authentication of Government Orders –

In exercise of the powers conferred by clause (2) of article 77 of the Constitution of India, President has made 'Authentication (Orders and Other Instruments) Rules 2002' in supersession of the Authentication (Orders and other Instruments) Rules, 1958. The said rules have been notified by M/o Home Affairs vide notification dated 16.02.2002.

{Clause (*2) of Article 77 of the Constitution of India states that Orders and other instruments made and executed in the name of the President shall be authenticated in such manner as may be specified in rules to be made by the President, and the validity of an order or instrument which is so authenticated shall nor be called in question on the ground that it is not an order or instrument made or executed by the President*}.

In terms of these rules, all Orders and other instruments made and executed in the name of the President should be expressed to be made in his name and signed by an officer having regular or ex-officio secretariat status of and above the rank of Under Secretary, or other specifically authorized to authenticate such orders under the Authentication (Orders and other Instruments) Rules, 2002 as amended from time to time. As per sub-clause (1), (2) and (38) of Clause (2) of these rules, such authorized officers shall be a/an Secretary, Special Secretary, Additional Secretary, Joint Secretary, Director, Deputy Secretary or Under Secretary to the Government of India or Director or Desk Officer in the Ministries, Departments, Secretariats and Officers specified in the First Schedule to the Government of India (Allocation of Business) Rules, 1961 or in the case of Orders and other instruments relating to Ministry of Railways, a/an Secretary, Additional Secretary, Joint Secretary, Deputy Secretary or Under Secretary to Government of India or a/an Additional Member, Adviser, Executive Director, Director, Joint Director, or Deputy Director of the Railway Board.

BACK

15.3.1 Where the power to issue orders, notifications, etc., is conferred by a statute of the Government of India, such orders and notifications will be expressed to be made in the name of the Government of India (the complete name of the relevant statute and the number of relevant Section of the statute should also be mentioned).

15.4. Addressing communications to officers by name -

Normally no communication, other than that of a classified nature or a demi official letter, should be addressed or marked to an officer by name, unless it is intended that the matter raised therein should receive his personal attention either because of its special nature, urgency or importance, or because some ground has already been covered by personal discussions with him and he would be in a better position to deal with it. In such cases, the communication is to be addressed to the Head of the organization drawing his attention and "Attention: Km XYZ, Deputy Secretary(Pol)" may be written above "Subject".

15.5. Drafting of Demi-official letters:

(i) As the objective of writing a Demi-official (D.O.) letter is to invite the personal attention of the addressee, the style of writing should be direct, personal and friendly. More usage of active voice is to be preferred.

a). (Example 1: `I notice' rather than `It is noticed').
b). Example 2: `I seek your cooperation in the matter of.....……' rather than 'It is expedient to come to the issue at the beginning itself'.

(ii) A D.O. letter should preferably not exceed one page. If the message to be conveyed is lengthy, it is better to condense it into one page in a few small paragraphs in a manner that holds the interest of the addressee. The detailed arguments can be set out in appendices. A draft D.O. letter is to be faired by the personal staff of the officer who signs it.

(iii) The colour code and use of National Emblem on D.O letter will be as per instructions issued by the Ministry of Home Affairs from time to time.

15.6. Responsibility mapping regarding issue of communications

Sl. No	**Action**	**Primary responsibility**	**Secondary responsibility**
1.	Fair copying the draft approved by the competent authority. This includes ensuring that all corrections made have been carried out.	Dealing Officer	Section Officer
2.	Fair copying the draft demi-official letter approved by the competent authority, This includes ensuring that all corrections made have been carried out.	Personal staff of the officer signing the D.O. letter	Dealing Officer
3.	Ensure that all enclosures are attached to the draft	Dealing Officer	Section Officer

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4.	Issue of fair communications (fax or email) with enclosures, if any, as approved by the competent authority,	P.S. of the officer signing the D.O	Dealing Officer
5.	Issue of fair Demi-Official letter with enclosures if complete set of enclosures is attached to the draft. In case the enclosure is to be attached, the D.O. letter will be issued by the Section. This includes sending of fax or email as approved by the competent authority	Personal staff of the officer signing the D.O. letter	Dealing Officer
6.	In case the communication is to be issued through the Issue (D) Section, making entries in the Peon/ Messenger book; obtaining signature of the dealing officer of Issue (D) Section and receiving the Peon book back for safe custody.	Dealing Officer or Personal staff of the officer signing the D.O. letter as the case be	Nil
7.	Retaining office copy of the communication sent. This includes print of emails sent, including attachment(s) or downloading and filing it in appropriate folders in e-Office system.	Dealing Officer or Personal staff, if email sent by the officer	Section Officer or officer concerned, if email sent by the officer
8.	Docketing and referencing of office copy and safe custody of the file	Dealing Officer	Section Officer

(i) On receipt of papers after issue, the dealing officer will check that the office copies bear the stamp 'Issued', place office copies with draft, if any, on the relevant file, docket the communication issued and if the reply to the communication issued is to be awaited or further action on the file is to be resumed at a later date, the Section Officer will mark the file for being brought forward on specified date and pass on the file to the dealing officer for keeping a note of it.

(ii) After obtaining approval of the competent authority, as per the extant instructions, the Section/Officer designated for the purpose of uploading on different electronic monitoring platform will upload the approved version on the online platform like PRAGATI, eSamiksha, CPGRAM, etc. besides uploading on IR website at Directorate Section. Screen shot of the portal or printed copy of the uploaded version is retained as office copy.

(iii) Stationery Branch will ensure that complete address is printed on letter heads and particularly on envelops meant for sending communication. Issue (D) branch will rubber stamped on the office copy of the communication indicating date and signature of Dealing Officer receiving the same.

(iv) The Section Officer is to scrutinize the Section Dispatch Register **(Appendix 15.1)** once a week to see that it is being properly maintained and append his dated initials in token of scrutiny.

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(v) *Issue of Inter-Departmental notes:* Fair self-contained Inter-Departmental notes (i.e. Note sent to other Ministries alongwith File as ID Note) are issued in the same manner as any other communication. Inter Departmental notes sought to be recorded on files are fair typed in the Sections concerned but dispatched through the Issue (D) Section. Before sending the files to the Issue (D) Section for dispatch, the Dealing Officer in the Section has to:

a. mark the movement in the file movement register (where relevant, in electronic form) in the case of Section's own file and in the Section Register in other cases (movement is to be updated against file or registration number);

b. in respect of Section's own files, prepare a challan in duplicate and place one copy on the file and make over the other to the dealing Officer concerned as under:

Ministry of Railways (Railway Board):
Directorate/Section:_____
File No:_____
Subject:_____
Notes: Page no: 1 -- ……
Correspondence: 1--……
Linked File No:_____
Sent to: Ministry of ____ (Smt/Sh……., Designation…….)
ID No. & Date:_____

Signature of Dispatcher:

c. enter the file in the messenger book; and
d. send it to the Issue (D) Section for dispatch.

Procedure in eFile:

i) In eFile, the issue can be made electronically through emails and an office copy of the issue gets automatically attached to the file along with any enclosures sent. In eFile fairing of approved drafts is not required as it is automatically done by the system at every level of correction / editing / contribution. Therefore, at the initial stage itself the draft is prepared as necessary for issue from amongst the formats available.

ii) In eFile the dispatch is made electronically as well as manually and all data relating to the issue is saved in the system. In case of electronic dispatch of e-files, it can be done directly from one Officer to another through the eFile system. However, for such a movement to take place both the offices should be working in the eOffice environment.

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iii) In eFile, the signatory signs the approved draft with his Digital Signature / eSign.

iv) In eFile the dispatch of communication can be done through email and in return, it should be encouraged that the correspondence is received through emails.

v) Electronic files containing ID notes can be sent directly from one Office to another using the eOffice, however both the offices sending and receiving, should be using eFile.

vi) In eFile, a copy of the fair copy / office copy is automatically attached in the file once the dispatch is done through the eFile.

vii) In eFile, there is a provision for setting up reminders for the reply awaited against an issue and also for sending of reminder against it.

The difference in the various activities in the physical, the transition and the electronic modes

ACTIVITY	**PHYSICAL MODE**	**TRANSITION MODE (Processing of Receipts and File is done physically and tracking is done electronically through eFile)**	**ELECTRONIC MODE (Processing of Receipts and File is done electronically through eFile)**
Registration	Manual registers	Electronic	Electronic
Distribution	Through Manual registers	Manual as well as Electronic – Record of distribution– Electronic Document sent - Manually	Electronic
Receiving	Manual registers	Manual and Electronic – Record of movement – Electronic Document received - Manually	Electronic
Processing (Note and Draft)	Manual	Manual	Electronic
Outward Communication	Manual	Physical and/or Electronic	Electronic and / or Physical
Retrieval	Manual	Electronic	Electronic

Note:
To use the eFile in eOffice application, one needs to comprehend the procedure given in the User manual at http://www.reis.railnet.gov.in/eoffice/UserManualeFile7.0.pdf

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APPENDIX 15.1.
(Para: 15.6 (iv))

Section Dispatch Register

Date:

Sl. No.	Number of the issue	Addressee	Issued			Remarks- (Nature of the issue e.g., letter etc.
			In Hindi	In English	Bilingually	
1	2	3	4	5	6	7

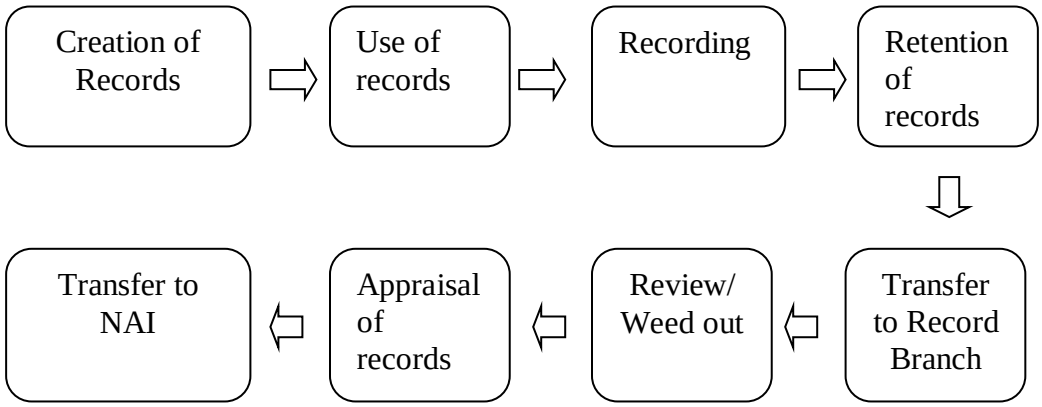
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CHAPTER 16

RECORDS MANAGEMENT

16.1 Activities involved in record management.—Records management covers the activities concerning recording, retention, retrieval and weeding out or transfer of records to National Archives of India and to follow the provisions as contained in Public Record Act 1993 and Public Record Rules 1997 in liaison with the National Archives of India. Section Officer/Record Branch is the nominated Departmental Record Officer (DRO) of Ministry of Railways in terms of Public Record Act 1993 and Public Record Rules 1997.

16.2 Stages of Records Management:



16.2.1 Stage of recording.—Files should be recorded after action on all the issues considered thereon has been completed as per the record retention schedules. However, files of a purely ephemeral nature containing papers of little reference or research value may be destroyed after one year without being formally recorded. Extract from the file, copies of important decisions, documents, etc. as are considered useful for future reference be added to the standing guard file/standing note/precedent book/reference folder etc. Recording of files shall be governed by the provisions in the Record Retention Schedules (RRS) and that of NAI issued from time to time.

16.2.2 In eFile System, the facility of recording a file is given for the files on which processing is done physically. An electronic file on which action is complete is closed and kept in a separate folder (closed folder). This may be closed by the creator of the file after getting approval of the competent authority, which may be of the level of Section Officer or above based on the roles assigned in the application. The closed file may be seen by the official who has closed the file and official who has authorized the closure of the file. The closed file can be re-opened/retrieved by the official who has closed the file with the approval of the competent authority (Through RBCC/Railway Board by sending an email at eOffice dedicated helpdesk).

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16.3 **Categorization of Records**.— Files may be recorded under any one of the following categories as prescribed by NAI :--

(i) **Category 'A'** meaning 'keep and microfilm'.—This categorization will be adopted for.--

(a) files which qualify for permanent preservation for administrative purposes (as per indicative list in para 16.3.2 (A) below) and which have to be microfilmed because they contain:--

(i) a document so precious that its original must be preserved intact and access to it in the original form must be restricted to the barest minimum to avoid damage or loss; or

(ii)material likely to be required for frequent reference by different parties simultaneously/frequently.

(b) files of historical importance as those listed in sub-para (B) of para 16.3.2 below.

(ii)**Category 'B'** meaning keep but do not microfilm'.---- This category will cover files required for permanent preservation for administrative purposes as indicated in para 16.3.2 (A) below but not containing material of the kind mentioned in para 16.3 (i) (a) for Category 'A' above and therefore need not be microfilmed.

(iii) **Category 'C'** meaning 'Keep for specified period only'.-- This category will include files of secondary importance and having reference value for a limited period not exceeding '10' years. In exceptional cases, if the record is required to be retained beyond 10 years it will be upgraded to 'B' category.

16.3.1 The eFiles may be recorded under two categories :

Category – 'A' – eFiles which qualify for permanent preservation for administrative purposes or historical reason as listed in para 16.3.2 (A) & (B) below.

Category –'C' – eFiles which are of secondary importance having reference value for a limited period not exceeding 10 years, however in case it is to be retained beyond 10 years it will be upgraded to 'A' or 'B' Category.

16.3.2 An illustrative list of records fit for permanent preservation because of their administrative purpose or because of their historical importance are indicated below:-

A-Records of value for administrative purposes

Papers of the following categories will normally be among those required to be kept indefinitely for administration's use:

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(i) Papers containing evidence of rights or obligations of or against the government, e.g., title to property, claims for compensation not subject to a time limit, formal instruments such as awards, schemes, orders, sanctions etc.

(ii) papers relating to major policy decisions, including those relating to the preparation of legislation.

(iii) Papers regarding constitution, functions and working of important committees, working groups, etc.

(iv)Papers providing lasting precedents for important procedures, e.g., administrative memoranda, historical reports and summaries, legal opinions on important matters.

(v)Papers concerning rules, regulations departmental guides or instructions of general application.

(vi)Papers relating to salient features of organization and staffing of government department and offices.

(vii)Papers relating to important litigation or 'cause célèbre' in which the administration was involved.

B-Records of Historical importance

Much of the material likely to be preserved for administrative purposes will be of interest for research purpose as well; but papers of the following categories should be specially considered as of value to historians:

(i) Papers relating to the origin of a department or agency of government; how it was organized; how it functioned; and (if defunct) how and why it was dissolved.

(ii) Data about what the department/agency accomplished. (Samples by way of illustration may be enough; but the need for such samples may be dispensed with where published annual reports are available).

(iii) Papers relating to a change of policy. This is not always easy to recognize, but watch should be kept for (a) summary for a Minister, (b) the appointment of a departmental or interdepartmental committee or working group, and (c) note for the Cabinet or a Cabinet Committee. Generally there should be a conscious effort to preserve all such papers, including those reflecting conflicting points of view. In the case of inter-departmental committees, however, it is important that a complete set of papers be kept only by the departments mainly concerned –usually the one providing secretariat assistance.

(iv) Papers relating to the implementation of a change of policy, including a complete set of instructions to executing agencies etc., and relevant forms.

(v) Papers relating to a well-known public or international event or cause célèbre, or to other events which gave rise to interest or controversy on the national plan.

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(vi) Papers containing direct reference to trends or developments in political, social, economic or other fields, particularly if they contain unpublished statistical or financial data covering a long period or a wide area.

(vii) Papers cited in or noted as consulted in connection with, official publications.

(viii) Papers relating to the more important aspects of scientific or technical research and development.

(ix) Papers containing matters of local interest of which it is unreasonable to expect that evidence will be available locally, or comprising synopsis of such information covering the whole country or a wide area.

(x) Papers relating to obsolete, activities or investigations, or to abortive scheme in important fields.

(xi) Files containing papers which are important or are likely to become important in future, however, indirectly, as sources of information on any aspect of history whether political, military, social, economic, etc. of which are, or may in future prove to be, of biographical or antiquarian interests are not to be destroyed. Specific categories of records of the Ministry of Railways which may be treated as genuine source files containing papers of the following type, which have a definite historical value should invariably be preserved :--

(a) Originals of dispatches from and to the former Secretaries of State.

(b) Holograph and autograph letters and originals of the notes of the former Viceroys and Governors General, former Members of Viceroy's Executive Council, the President, the Prime Minister, the Ministers, the Commanders-in-Chief and other eminent parsonages on important matters.

(c) Papers containing discussions of important principles and questions of policy.

(d) Papers relating to legislation enacted by the Centre.

(xii) Any other specific category of records which, according to the departmental instructions issued in consultation with the National Archives of India, have to be treated as genuine source of information on any aspect of history, political, social, economic, etc., or are considered to be of biographical or antiquarian interest.

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16.3.3 Procedure for recording :

After action on the issue(s) considered on the file has been completed, the Dealing Officer/Initiating Officer, in consultation with his supervisory officer, should close and record the file in the manner prescribed below:

i. indicate the appropriate category of record (Para 16.3) and in the case of category `C', also specify the retention period and the year of review/weeding/destruction on the topsheet; for non-file documents, indicate the number of years for retention on the topsheet/file cover. e.g. "C/5 – Destroy (or Review) 2/2023 on topsheet/file cover of the file to be retained for 5 years from the date of closure in 2/2018". This is done after the Dealing Officer has specifically obtained approval of the Section Officer;

ii. where necessary, revise the title of the file so that it describes adequately the contents at that stage;

iii. get the file indexed (Paras 16.4 & 16.4.1) for Category 'A'&'B' files;

iv. Take extract from the file, copies of important decisions, documents, etc. as are considered useful for future reference and add them to the standing guard file/standing note/precedent book;

v. remove from the file all superfluous papers such as reminders, acknowledgements, routine slips, working-sheets, rough drafts, surplus copies, etc. and destroy them, unless they have audit or legal value;

vi. complete all references and, in particular, mark previous and later references on the subject on the file cover;

vii. complete columns 4 and 5 of the file register (Case Book) (**Appendix – 12.2**) and correct the entry in column 2 where necessary;

viii. enter the file number in column 2 of the register for watching progress of recording (**Appendix 16.2**);

ix. write the word `recorded' prominently in red ink, across the entries in the file movement register;

x. indicate page numbers and other references in ink which were earlier made in pencil;

xi. prepare fresh topsheet, where necessary, with all the entries already made thereon; and

xii. hand over the file to the MTS who will repair the damaged papers, if any, and, show it to the person entrusted with the responsibility by the Section Officer for making entries in the register for watching progress of recording before keeping it in the bundle of recorded files for forwarding to Record Branch for stitching, allotting proceeding number, bundling and keeping it at designated rack.

xiii. In eFile, change of file title and removal of any paper from any part of the electronic file is not permissible. In eFile, file maintenance is a continuous and automatic activity.

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16.4 Indexing & Stage of indexing.— An index of the records of a Ministry provides a means of tracing previous papers on a particular subject. Files will be indexed at the time of their recording. Only those file which are categorized as 'A' and 'B' & those in the 'C' category which are to be retained subsequent to review and re-categorised as B on completion of 10 years of retention period will be indexed as per procedure mentioned below:-.

16.4.1 Constituents of an Index Slip - An index slip is 'composed' of two parts, namely (i) Title and (ii) File Number.

(i) **Title of a file.—**The subject given to 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 paper. It must not be too wide.

(b) **Sub-Head**.—The 'head' will be followed by a 'sub-head' or 'sub-heads' which should be more indicative of the précise subject of the file than the '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 paper contained in the file. Where it is necessary to have more than one sub-head in a title, the wider and more abstract should generally come before the narrower and more concrete.

(c) **Content**.—After the 'head' and 'sub-head' will come the 'content'. This must be as brief as is compatible with expressing clearly the exact subject of the file. If the content shows at a glance, like a newspaper headline, the exact subject of the paper, it is a good content. A content worded in general terms is of little practical use, for, if it does not distinguish a file from others relating to closely similar but not identical subjects, time may be wasted in taking out and examining several files before what is wanted is found.

(ii) **File Number**.—The 'title' on an index slip will be followed by a reference to the file number.

16.4.2 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 members each consisting of as few words as possible and each expressing an element in the subject matter. Each will begin with a capital letter and separated from the proceeding one by a bold dash.

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16.4.3 Examples of Titles.—(i) A few examples of indexing indicating titles and file number are given below :--

	Subject dealt with	**Title prepared**.
(i)	Question whether it is necessary under the U.P.S.C. (Consultation) Regulations to consult the U.P.S.C. in proposals regarding extension of service of officers holding tenure posts.	**U.P.S.C (Consultation) Regulations.**—Tenure Posts Extension of service in Consultation necessary. 1973/ERB-I/29/2
(ii)	Question whether merit should be regarded as the sole criterion in making promotions and Confirmations in selection posts	**Selection Post**.—Promotions and confirmations merit sole criterion. 1981/E(GP)/16/3
(iii)	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. 2002/SCC/30/1

Note: In each of the above 'titles' the words in bold letters are 'heads', those underlined are 'sub-heads' and the rest of the 'title' is 'content'. File number is also indicated separately.

16.4.4. Index slip will be prepared by the concerned section recording the file while Record Branch will indicate the proceeding number on the index slip after receipt of file for recording and would paste proceeding number on the Index slips.

16.5. Preparation and custody of index slips.— (i) Index slips will be prepared only at the time of recording of files. Only those files will be indexed which are proposed to be retained for a period of more than ten years. Index slip would invariably be prepared by the concerned section at the time of review of 'B and 'C' category proceedings, if their life is being extended.

(ii) Index slip will remain in the custody of Record Branch. However, a copy of the same is also to be kept in branch appropriately at a convenient place for reference by all. Index slips for Secret files will be maintained in the custody of the Section Officer.

(iii) Record Branch would also maintain a compilation of Annual Index comprising Index slips of all Directorates/Branches referred to Record Branch during the year.

16.5.1. In eFile, the meta-data of the file along with the recording information and record movement helps in easy tracking and retrieval of the file along-with monitoring the status of recording. In eFile, the files may be searched using meta-data like file number, subject/part of the subject, category and other parameters used while creating a file / on the cover page of the file.

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16.6. Precedent Book.—Every section will maintain a precedent book for keeping note of important rulings and decisions having a precedent value for ready reference. Entries in this regard will be made at the earliest opportunity and, in any case, at the stage of recording the file.

16.7. Record Retention Schedule.—

(i) To ensure that files are neither prematurely destroyed, nor kept for periods longer than necessary, every Directorate/Branch/Cell will:--

(a) In respect of records connected with accounts, observe the instructions contained in Appendix 9 to the General Financial Rules, 2017 (website of the Ministry of Finance, Department of Expenditure https://www.finmin.nic.in/);

(b) In respect of records, relating of establishment, personnel and housekeeping matters which are common to all Ministries/Departments, follow the 'Record Retention Schedule' in respect of Records Common to All Ministries/Departments', which is available on Department of Administrative Reforms and Public Grievances' website https://www.darpg.gov.in/ as amended from time to time.

(c) In respect of records prescribed in this Manual, observe the retention periods specified in the **Appendix 16.3**.

(d) In respect of records connected with its substantive functions of the Directorates, follow the Retention schedule prescribing the periods for which files dealing with specified subjects is to be preserved in consultation with the National Archives of India or retention period as per Directorate's own instructions/codal provisions etc.

(ii) The above schedules should be reviewed at least once in five years.

16.8 Custody of records.— (i) All Recorded proceedings would be kept in Record Branch. Record Room will be under the charge of Section Officer/Record Branch under the direct supervision of Under Secretary/O&M. SO/ Record Branch would also be the Departmental Record Officer (DRO) of Ministry of Railways.

(ii) In the event of transfer of work from one section to another, in addition to transfer of the relevant files, the proceedings kept in Record branch are also to be transferred in the form as indicated in the **Appendix 16.1**. One copy of this list will be retained by the section taking over the files for its record and the other acknowledged and returned to the section transferring them.

(iii) Files transferred by a section to Record Branch will be accompanied by a list of files (**Appendix 16.1**) in duplicate. The Record branch will verify that all the files mentioned in the list have been received, retain one copy of the list and return the other, duly signed, to the section concerned. In the Record Branch, these lists will be kept section-wise in separate file covers.

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(iv) The Record Branch will maintain a record review register in which a few pages will be allotted for each future year. Category `C' files marked for review in a particular year will be entered in the pages earmarked for that year in the register.

(v) Files surviving the review undertaken on their attaining the 25th year of life will be stamped prominently as `transferred to NAI' and sent to the National Archives of India (Other than classified proceedings/files). Files transferred to the National Archives of India will be accompanied by a list (in triplicate) (**Appendix – 16.1**), one copy of which will be returned by the National Archives of India, duly signed, to the Record Branch.

(vi) Record Room will be properly ventilated with adequate lighting and fire-safety equipment and avoid exposure to moisture. The records will be arranged serially section wise and will be regularly dusted. The Records in Record Room are to be preserved scientifically and properly i.e Record Room should be free from pests and rodents etc. For proper preservation the records should be periodically fumigated.

16.8.1 Closed eFiles will be reviewed as per Record Retention Schedules and marked for weeding out/transfer to NAI as per extant procedure of NAI.

16.9 **Custody of Confidential and Secret recorded proceedings**.—Confidential and secret proceedings will be arranged and stacked in a locked cupboard in the Record Room, the keys of which will remain in the custody of the Section Officer, Record Branch.

16.10 **Review and weeding of records**.—

(i) No proceeding is to be weeded out without review by the concerned section.

(ii) A category ‘C’ file will be reviewed on the expiry of the specified retention period and weeded out unless there are sufficient grounds warranting its further retention. Justification for retaining a file after review has to be approved by the concerned ED/JS duly indicating in brief the reasons for retention for each and every proceeding separately. Retention after review will be for a period not exceeding ten years, including the period already retained. If a file was originally retained for a period of 10 years, any further retention will require up-gradation of the category to either B or A.

(iii) Category ‘A’ & ‘B’ files will be reviewed on attaining the 25th year of their life in consultation with the National Archives of India. In these reviews the need for revising the original categorization of category ‘B’ files may also be considered.

(iv) The year of review of category ‘C’ files will be reckoned with reference to the year of their closing and that for category ‘A’ and category ‘B’ files with reference to the year of their opening.

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(v) Every month Record Branch will send proceedings which have completed their retention period to the sections concerned for review with list indicating details of proceedings.

a. Files received for review will be examined by, or under the direction of, the Section Officer/DD/US concerned and those files which are no longer required will be marked for destruction. Other files may be marked for further retention. It may, however, be ensured that in case an inquiry has been initiated internally or by a Commission of Inquiry or as a result of Court proceedings having a bearing on the subject matter contained in the files/documents concerned or the files/documents which are required in connection with the implementation of order/judgment of any court of law, such files/documents will not be destroyed, even if, such files/documents have completed their prescribed life as per the Record Retention Schedule.

b. Files/documents referred to above may be, destroyed only after submission of the Report by the Commission or completion of inquiry or implementation of the judgment/order of the court(s), with the approval of the concerned JS/ED/PED/AM. In case the implementation of the court order has been challenged/ appealed against either by the Government or by the applicant in a higher court, the concerned files/documents will not be weeded out until the appeal/challenge is considered and finally decided. In such cases, the limitation period prescribed for appeals should also be kept in mind.

(vi) After review the Dealing Official entrusted with that responsibility by the Section Officer will make entries of revised categorization/retention period in the File Registers (Case Book) and return them to the Record Branch indicating in table form, list of file with Proceeding Number, Subject and Remark indicating extended retention period or to be destroyed.

(vii) The Record Branch, under the supervision of Departmental Record Officer (DRO)/SO(Record), will:

(a) transfer category `A' & 'B' files surviving the review undertaken at the 25th year of their life to the National Archives of India;
(b) in the case of other files:

(i) destroy those marked for destruction, after keeping a copy of the list in separate folder/register; and
(ii) restore the rest i.e. those marked for further retention, to the specific rack after keeping a copy of the list in the Record review result folder/register.

(viii) Records not falling within the definition of file, e.g., publications, orders, etc., will also be subject to periodic reviews at suitable intervals and those no longer needed should be weeded out. To facilitate such reviews each section will maintain a register for this purpose.

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(ix) Considering the urgency to reduce the volume of records now being retained without any significant need for their retention, the following measures may be taken:-

(a) A special drive may be launched at regular interval or atleast once in a year to record/review and weed out files/proceedings.

(b) Each JS/ED/PED should personally review the record management aspects in respect of branches under their control particularly laying emphasis towards cleanliness in their section and proper review of proceedings kept in Record Branch.

(x) The following manner of Weeding/Destruction of records will be adopted:

(a) Routine files/records will be manually torn into small pieces and disposed off.

(b) Classified files/records will be destroyed by use of shredder, and

(c) Secret files/records will also be incinerated after being shredded as per provision contained in Manual of Departmental Security Instructions 1999 issued by Board's Office based on Manual of Departmental Security Instructions issued by Ministry of Home Affairs.

16. 10.1. In eFile, once the physical file gets reviewed, Records Management System (RMS) takes care of the file that has been sent for weeding out. The provisions relating to weeding out in the RMS is as per the procedure prescribed as above

16.11 Maintenance/transfer of records in the personal offices of Ministers:

(a) The personal offices of Ministers shall maintain necessary records such as registration, dispatch, file movement registers and other records/registers as brought out in this MoP. The above records will be in addition to files and folders for papers of secret nature connected with the Cabinet meetings, etc. and for such subjects as considered necessary;

(b) When a file or paper is given to the Minister for seeking orders or for any other purpose, informally, the PS/EDPG/OSD to Minister will be informed. PS/EDPG/OSD to Minister will on receipt of these particulars, will satisfy that such a file has been received by the Minister and watch its further movement. The file will be returned to the officer concerned as soon as the matter has received the attention of the Minister and the file has been disposed of.

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(c) Procedure for transfer of records/papers when Ministers demit office:-

(i) The instructions laid down by the Cabinet Secretariat in the 'Rules of Procedure in regard to the Proceedings of the Cabinet' will be followed so far as transfer of records pertaining to Cabinet meetings are concerned. As regards other classified documents and papers the procedure prescribed in Manual of Departmental Security Instructions, 1999 issued by the Ministry of Railways and Manual of Departmental Security Instruction 2022 issued by Ministry of Home Affairs will be followed. As per these instructions, copies of classified papers should be passed on to the appropriate authorities. In case of doubt as to whom these papers should be transferred, the PS/EDPG/OSD to Minister will transfer such papers to the Secretary, Railway Board along with separate inventories of such papers transferred to various authorities and to the Secretary, Railway Board. The register, maintained for entering the particulars of secret papers will also similarly be transferred to the Secretary or his Private Secretary. The Secretary, Railway Board may in turn, pass on all these papers to Adviser (Admn.)/ Joint Secretary in-charge of administration for safe custody. These papers will be handed over to the succeeding Minister as soon as he takes over the office.

(d) As regards other papers, the following procedures will be followed:-

(i) The folders containing office copies of orders issued by the Minister or Private Secretary/EDPG/OSD to the Minister, serially numbered, will be handed over to the O&M Officer, [Adviser (Admn.)/Jt. Secretary] by the PS/EDPG/OSD to the Minister with the list of such papers. These papers will remain in the safe custody of the O&M Officer/Director (GA) being the custodian of Minister/Personal Staff's Room. The papers will be periodically reviewed and weeded out as and when they are no longer required, with the approval of Secretary, Railway Board so as to ensure that unnecessary papers do not accumulate.

(ii) Records like the registers and diaries and other papers shall also be taken over by the O&M Officer/ Director (GA) and will remain in his custody till the next PS/EDPG/OSD of the succeeding Minister takes over charge to whom they may then be handed over.

(iii) The entire records need not physically be taken over by the O&M Officer but a list of records and papers left by the relinquishing PS/EDPG/OSD to Minister may be made available by the latter to the O&M officer/Director(GA) to whom the keys of Ministers' /Personal Staff's Room are handed over. The records themselves being kept under lock and key in the room generally occupied by the PS/EDPG/OSD to Minister. The

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O&M Officer or his section will, however, check that all the records are there in the almirah(s) as mentioned in the list.

(e) Miscellaneous:-

(i) The personal section of the Minister shall prepare at the end of every month a list of files pending with the Minister which will be submitted to PS/EDPG/OSD who will suitably remind the Minister for their disposal.

(ii) As soon as an officer leaves a file or any paper with the Minister for seeking his orders, or for any other purpose, informally, PA/PS to that officer will report the brief particulars of the files, etc. to the PS/EDPG/OSD to Minister in the form at **Appendix 16.4.** PS/EDPG/OSD to Minister will, on receipt of these particulars, satisfy himself that such a file has been received by the Minister and watch its further movement.

(f) It shall be the specific responsibility of the PS/EDPG/OSD or whosoever may be the senior most officer in the personal office of the Minister to ensure that these instructions are observed.

16.12 Requisitioning of record.—

(i) No recorded file will be issued from Record Branch or from NAI except against a signed requisition in form prescribed under Public Record Act 1993/Public Record Rules, 1997 in the case of Archival Records and in the form as indicated below in respect of other records.

Record Requisition Slip

Date	File Number & Proceeding Number Requisitioned	File No/ Purpose of Requisition	Requisitioning Official	Signature of Requisitioning Official	Date of Return	Initials of Record Custodian

(ii) The requisition will be kept in the place of the file issued.

(iii) Files obtained by a section from the Record Branch/Room will normally be returned within 6 months. If they are not received back within this period, the Record Branch will remind the section concerned. For this purpose, the Record Branch will maintain a simple register for keeping a record of the files issued to the various sections each month. A similar register will be maintained by each section as a record of files borrowed from it by other Sections.

(iv) Requisitions for files belonging to other Departments / Directorates and in the custody of the National Archives, will be got endorsed by the Directorate concerned before they are sent to the Archives. If the requisitioned file happens to be a confidential one, the

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Archives will not supply the file direct to the requisitioning Department / Directorate but route it through the Department / Directorate to which it belongs.

(a) The requisition will be kept in place of the file issued by NAI.

(b) If the requisitioned file is one that has been microfilmed or printed, normally a microfilmed or printed copy and not the original will be issued to the requisitioning Directorate/Section/unit.

(c) Files obtained by a Directorate from the National Archives will not normally be retained for more than a year except with the latter's specific knowledge and consent.

(v) If a requisitioned file initially obtained for being put up in one case is subsequently put up on another, a fresh requisition should be sent to the Record Branch or the National Archives, as the case may be, for replacing the original requisition which will be returned to the party concerned. In the case of records obtained from the National Archives, the fresh requisition slip will be prominently marked 'change slip'.

(vi) On return, the requisitioned file will be restored to its place and the requisition returned to the section / official concerned.

16.12.1. In eFile, based on the category defined on the files, the list of files that are to be reviewed in a particular year is available in the system.

The Record Management System has provisions to take care of requisitioning of files from the department and / or NAI.

In eOffice, the system, Records Management System, provides all the facilities for recording of physically processed files in eFile, beginning with categorization, sent to record room for recording, keeping the location of recorded file(s) in record room, reviewing of recorded files, sending the file(s) to the NAI if required and weeding out. Presently, all electronic files are retained in the eFile system.

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APPENDIX 16.1.
[para16.8.(ii)&(iii)]

List of files transferred to National Archives of India/Record Branch/other Sections on transfer of work

Ministry/Department of……
Section……

Sl. No.	File No.	Subject	Catagorisation and year of review	Date of actual destruction
1	2	3	4	5

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APPENDIX 16.2.
[para16.3.3.(viii)]

Register for watching the progress of recording

Directorate……
Section……. **Months and Year……**

Sl. No.	File No. marked for recording	Date of Marking	Date of Recording.
1	2	3	4

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APPENDIX 16.3.
[para 16.7(i) (c)]

Retention schedule for records prescribed in the Manual of office Procedure

Sl. No.	**Description of record**	**Retention period (in years) from the date of closure**
1	**2**	**3**
1	Dak register	3
2	Standing guard files	Permanent. To be weeded out when the revised version becomes available
6	Section Dispatch Register	5
7	Messenger book	3
9	File register	Permanent
10	File movement Register	3
11	Register for watching the progress of recording	3
12	Precedent book	Permanent
13	List of files transferred to Departmental record room	25
14	List of files transferred to National Archives	Permanent
15	Record review register	1
16	List of files received for review	1
17	Record requisition slip (NAI)	To be destroyed after the file has been returned to NAI
19	Monthly Progress report on recording of files	1
20	Register for keeping a watch on communications received from MPs /VIPs	3
21	Register of Parliamentary Assurances	3
22	Check-lists for periodical reports	1

NOTE:
The retention period will be reckoned with reference to the date from which the record ceases to be current/active. Where, however, it is proposed to weed out a register wherein certain entries are still current, e.g., file movement register where certain files entered therein have not been recorded or the register of assurances, where certain assurances have not been implemented, the current entries will first be transferred to the new register and the old register weeded out thereafter.

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APPENDIX 16.4.
[para 16.11(e) (ii)]

Particulars of files given informally to Minister

File No.	Brief Subject	Designation of officer who handed over the file	Date	Initials of P.S./EDPG/OSD to Minister
1	2	3	4	5

Note: This shall be prepared in duplicate. While the original is handed over to P.S/EDPG/OSD to Minister, who will initial the duplicate in token of having received these particulars, the duplicate will be kept by PA/PS to the officer concerned, till the file is received back from the Minister.

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CHAPTER 17

MONITORING OF TIMELY DISPOSAL

17.1. Disposal of work:

The Primary responsibility for expeditious disposal of work and timely submission of arrear and disposal statements rests with the Section Officer and Under Secretary/Deputy Director. To this end, each SO, US/DD would undertake/ initiate necessary action as deemed fit to ensure;

(a) that no papers or file has been overlooked; and

(b) that no receipt or case actually pending with the dealing officer/in the branch is excluded from necessary action;

(c) The US/DD or JD will also ensure that all administrative orders /instructions/circulars issued from time to time are strictly complied/adhered to by the staff, cell/branch under their control.

17.1.1. Necessary MIS reports are available in eFile to monitor the progress of work.

17.2. Time limits for disposal of cases-

(i) Time Limits fixed for disposal of different types of cases handled in the Ministry of Railways (Railway Board) as issued from time to time through various Office Orders/Circulars by Parliament branch, Budget Committee, RTI Cell, Chasing Cell, O&M Unit etc. are to be adhered to by all Directorates/Sections. As a general rule, no official shall keep a case pending for more than 7 working days unless higher limits have been prescribed for specific types of cases. In the situation of a case remaining with an official for more than the stipulated time limit, an explanation for keeping it pending shall be recorded on the note portion by him.

ii) In respect of cases referred to Finance and Legal Directorates, the comments shall be tendered within five days. If discussions with Executive Director/Director or detailed scrutiny are needed, views may be tendered within seven days. If further delay is anticipated, the Executive may be advised of the probable time by which the case would be cleared (Days would mean working days).

iii) In the case of letters which are received by Board's Office from ZRs/PUs and other units under the control of M/o Railways, following time limits should be observed for their disposal:-

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Ordinary Reference Not Requiring Policy Decision:

a)	In case a reference to another Branch is not necessary	10 days from the date of receipt of communication in the branch.
b)	In case a reference is to be made to another branch	17 days from the date of receipt of communication in the branch
c)	In case a reference is to be made to more than one branch	10 days + 7 days for each branch from the date of receipt of communication in the Branch.
d)	In case a reference is to be made to other Ministries	10 days as against (a) above and 15 days extra time to be allowed for each Ministry to furnish information or remarks.

iv) In case of letters which require policy decisions, a period upto 60 days should ordinarily suffice.

v) For timely disposal and monitoring of Parliament Questions, Assurances, Applications under RTI Act, MP/VIP/Members of Public references, court/judicial/quasi-judicial references etc each Branch/Unit shall maintain separate records of such cases. Use of electronic mechanism/electronic maintenance of such data may be preferred mode.

vi) Electronic monitoring mechanism suiting to the requirement like through various reports from e-office module or any other appropriate electronic mechanism be adopted by Joint Secretary/Executive Director and above level officers towards monitoring and tracking of important cases/receipts as mentioned in sub-para 17.2 (i) above.

Note: Directorate/Section dealing with large number of Court Cases as per the nature of work handled by them or Court Cases are regularly dealt with by them, specific monitoring mechanism for Court/CAT cases and implementation of Court/CAT orders as indicated in Central Secretariat Manual of Office Procedure, 2022 may be followed (Para 12.4 of Chapter 12 of CSMoP-2022).

MONITORING OF DISPOSAL OF RECEIPTS /CASES

17.3. Watch on disposal of communications received from Members of Parliament and VIPs:

(i) The personal staff of each Joint Secretary / Executive Director/Director (if the Director reports directly to AM/PED/DG) will maintain a separate detail of communication received from MPs/VIPs (as per format indicated below) through use of electronic mechanism/reports from e-office.

Format for monitoring disposal of MPs/VIPs reference to be maintained at JS/ED level

S. No.	e-office receipt Number & Date or Diary No and Date	Number and date of Communication	Name of MP/VIP/ Member of Public	To whom addressed	Brief Subject	Date of Acknowledgement	Section /DD/US concerned	Remarks

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(ii) To keep a special watch on speedy disposal of communications received from Members of Parliament, each section where such communications are received in bulk will :--

(a) Maintain a separate register as in form as indicated below;

Format for monitoring Disposal of MPs/VIPs reference to be maintained at Section Level

S. No.	e-office receipt Number & Date or Diary No and date	Number and date of Communication	Name of MP/VIP / Member of Public	To whom addressed	Brief Subject	Date of Receipt in Section	e-office file No and details	Date of interim /Final reply	Remarks

(b) mark out prominently those communication finally disposed of by rounding off the serial numbers of the register in red ink.

(c) If for any reason an M.P.'s letter is received by a section without being registered in the personal section of the Joint Secretary/Executive Director/Director, it should be registered there immediately.

(iii) On the 1st working day of each month, each section will submit the report in the format as indicated below to the Joint Secretary/Executive Director/Director concerned for their information and necessary action as deemed appropriate.

Format for sending MPs/VIPs reference pending in the section as on 1st of every month for information of JS/ED/Director.

S. No.	e-office receipt Number & Date or Diary No and Date	Name of MP/VIP/ Member of Public	Date from which pending	Brief Subject	Reason for Delay	Remarks of US/DD	Remarks of JS/ED

iv) **Time Limits for Disposal of references received from MPs/VIPs/Members of Public**: Each such communication is to be acknowledged immediately within 15 days and reply be submitted within 10 days (where no information is required from Railways/PUs) and 15 days (where information is required from Railways/PUs) from the date of acknowledgement. In case final reply is like to take time, an interim reply should be sent immediately indicating the possible date by which the final reply would be issued.

v) An illustrative list of VIPs is available at **Appendix 17.1.**

17.3.1. In eFile, utmost importance has been given to deal with VIP cases. Every letter received from VIP is tagged with unique VIP tag and their details are saved automatically. Mechanism for easy tracking and monitoring of VIP letters are also provided in the system.

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17.4. Register of Parliamentary Assurances:

(i) Every section will keep a record in the form at **Appendix 17.2** of Assurances given by a Minister to either House of Parliament, whether in replies to questions or in the course of discussions on Bills, Resolutions, Calling Attention Notices, Motions, etc. A separate register will be maintained for each House and entries therein will be made session-wise.

(ii) The Section Officer will :

(a) scrutinize the registers once a week;

(b) ensure that necessary follow-up action is in fact being taken; and

(c) submit the registers to the Branch Officer every fortnight if the House concerned is in session and once a month otherwise, drawing his special attention to the Assurances which are not likely to be implemented within a period of three months.

(iii) The Branch Officer will keep the higher officers and the Minister informed of the progress made in the implementation of assurances given by him in Parliament. Cases, in which there is likely to be any delay in the implementation of a promise or an undertaking should be particularly brought to their notice well in advance.

(iv) Instructions issued in respect of Parliamentary Assurances by Parliament branch be strictly adhered to by all concerned.

17.4.1. In eFile, facility for tagging Parliament Assurance matters and subsequently generation of MIS report for timely monitoring of such cases is available.

17.5. Electronic Monitoring for prompt disposal of MPs/MLAs/VIPs and Parliamentary References/Assurances

Ministry of Railways has developed an specific IT application- an MIS portal *https://morpr.cris.org.in* since May 2022 for online handling & monitoring of (i) **MP/MLA/VIP References and (ii) Parliamentary References** (Assurances, Rule 377, Special mention, Zero Hour and Petitions). This monitoring is being done by the officers of the level of Director and above who have been given access to the application.

(i) **VIP References Module** for handling & monitoring MP/MLA/VIP references. It is a paperless system that enables real time management & monitoring of VIP references received across Indian Railways viz. office of Minister, Chairman & CEO, Board Members, General Managers and DRMs. References containing multiple subjects, can be marked to multiple Directorates and field offices/Zone(s)/PU(s) and they can in turn upload reply on the same Application.

A glance at the Dashboard indicates the pendency with the Ministry, Zonal Railway/Division, pendency of more than 3 months / 6 month etc. The Application can generate pendency reports Subject-wise, Time Period wise, Unit-wise (Railway Board/Zonal Railway/Production Units), VIP-wise (name) and State-wise. The system generates weekly alerts on pendency to concerned officials through e-mails and SMS. The special feature of viewing the individual

letter/references and its reply in juxtaposition on the screen enables the Hon'ble Minister/concerned Official to show the reply to the particular public representative.

(ii) **Parliamentary Reference Module** is also an online system for replying to parliamentary references and real time monitoring of pendency and disposal during a specified period. Further, in this system, the individual references can be viewed along with the reply in juxtaposition and chronological history of the action taken.

Note: *At branch level, monitoring may be done as per manual process indicated in para 17.3(ii) & (iii) and Para 17.4 (i). However, efforts may be made to switch over to complete electronic monitoring as indicated in para 17.5 above.*

17.6. Time Limits for Disposal of references addressed to Ministers:—
The time limits shall be as under :-

	Category	**Target Date for Submission to Ministers**
i)	Papers marked 'Most Immediate'	As per the time schedule indicated by PS/EDPG/OSD to Minister or 2 weeks from the date of receipt
ii)	Papers marked 'Immediate'	As per the time schedule indicated by PS/EDPG/OSD to Minister or 3 weeks from the date of receipt
iii)	Other references	As per the time schedule indicated by PS/EDPG/OSD to Minister or within a month.

17.6.1. In the case a reference containing number of points concerning different Directorates, the co-ordination of replies and putting up a consolidated reply will be undertaken by the Directorate to whom the maximum number of items pertains. However, in case equal number of items concern more than one Directorate, the Chasing Branch will then co-ordinate information and put up a consolidated reply covering all the points raised in the reference.

17.6.2 A close watch should be kept to get a reply from them within the prescribed time limits from the ZR/PU/Other units from where comments/remarks have been called for. If there is any delay, reminder or D.O. letters from appropriate level be addressed to the officers concerned on Railways asking them to expedite furnishing of comments/ reports. Where a Railway fails to send a reply within a target date they should be asked to furnish reasons for delays.

17.7. Check-list of periodical reports:

(i) To ensure timely receipt, preparation and dispatch of periodical reports, each section will maintain two check-lists, one for incoming reports and the other for outgoing reports, in the forms at **Appendices 17.3 and 17.4** respectively. All periodical reports will be listed in column 2 of the appropriate check-list in the order of their frequency, weekly reports being entered first, fortnightly reports next, and so on.

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(ii) The check-lists will be prepared at the commencement of each year, approved by the Section Officer and shown to the Branch Officer.

(iii) The Section Officer will go through the check-lists once a week to plan action on items requiring attention during the following week or so. After a periodical report has been received or dispatched the relevant entry in the date column of the appropriate check-list will be circled in red ink.

17.8. Review of periodical reports/returns:

All periodical reports and returns relating to each section will be reviewed at the level of Joint Secretary/Executive Directors or above every three years with the following objectives;

a. to eliminate unnecessary report and returns.;

b. to redesign reports and returns which do not provide information/data in usable form;

c. to rationalise/simplify the essential ones by combining two or more of them, if possible; and

d. to revise the frequency in relation to the need with due regard to constraint of time required for collection of information/data from field levels.

17.9. Updation of data on IR Websites:

Every Directorate is to upload their Orders/Instructions in a systematic manner at IR Website through RBCC under Directorate/Section and physical circulation of hard copies of Orders/Instructions be kept to bare minimum. Data uploaded on IR Website should also be updated regularly. To ensure updation of relevant data, every month each Directorate will review the content uploaded on IR Website under the Directorate Section/ homepage and subsequently ensure deletion which have outlived their utility /purpose. Uploading of data is to be done through RBCC.

17.10 Disposal of Pending Matters:

(i) With the objective of disposing of references from Members of Parliament, State Governments, Parliamentary Assurances, Grievances and references for Inter-Ministerial Consultation, the Department of Administrative Reforms and Public Grievances is regularly conducting campaign seeking data as mentioned below from all Ministries/Departments of Government of India, their Attached/Subordinate Offices, Autonomous Bodies and PSUs:

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S.No.	Subject	Information to be furnished by
1.	References from MPs	All Directorates
2.	Parliamentary Assurances	Parliament Branch
3.	IMC References (Cabinet Proposals)	All Directorates
4.	State Government References	All Directorates
5.	Public Grievances (including Rail Maddad and PG PMO references other than PM references received by CC Dte.)	Public Grievances Dte.
6.	PMO References	CC Dte.
7.	Record Management	O&M Branch
8.	Cleanliness & office scrap disposal (Indoor, outdoor & office scrap disposal and space freed)	JS
9.	Easing of Rules/Processes	All Directorates
10.	Public Grievances Appeals	Public Grievances Dte.

(ii) All Directorates are to undertake the following actions on a regular basis to reduce pending matters to the minimum possible:-

(a) Dedicate three hours every week for the special campaign item as indicated above.

(b) All JSs/EDs/Directors reporting directly to AMs/PEDs will ensure identification of pending matters and monitoring disposal on weekly basis, and to forward the report to nominated nodal officer of Railway Board for forwarding it to DARPG.

(c) AMs/PEDs would also monitor progress on monthly basis.

(d) The Campaign shall also be implemented in all Zonal Railways /PUs / other Units working under the control of Ministry of Railways including PSUs under MoR.

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APPENDIX 17.1
(Para17.3 (v))

Illustrative list of VIPs

1. President
2. Vice President
3. Prime Minister
4. Governors of States
5. Former Presidents
6. Deputy Prime Ministers
7. Chief Justice of India
8. Speaker of Lok Sabha
9. Cabinet Ministers of the Union
10. Chief Ministers of the States
11. Vice Chairman (Niti Aayog)
12. Former Prime Ministers
13. Judges of the Supreme Court
14. Chief Election Commissioner
15. Comptroller & Auditor General of India
16. Ministers of State of the Union
17. Attorney General of India
18. Chief Justice of High Court
19. Cabinet Ministers in States/Chief Ministers of Union Territories
20. Chairman, Minority Commission
21. Chairman, Scheduled Castes and Scheduled Tribes Commission
22. Chairman, Union Public Service Commission
23. President's Office
24. Prime Minister's Office

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APPENDIX 17.2.
(Para17.4 (i))

Register of Parliamentary Assurances

Section…… Lok Sabha/Rajya Sabha

Sl. No.	File No.	Ques. No. discussion date and name of MP raising the point	Reference	Subject	Promise made	Dt. of receipt from Parliament unit	Due dt. For implementation of the assurance	Sources from which information is required to be collected	Extension sought /granted	No. and dt. Of the communication under which IR/Part IR was sent to M.P.A	Dt. On which IR/Part IR laid on the Table of the House	Remarks
1	2	3	4	5	6	7	8	9	10	11	12	13

INSTRUCTIONS

1. Column 3 : Show date on which the Assurance was given.

2. Column 4 : Show name of Bill, Resolution, Motion, etc. in connection with which the Assurance was given and also reference to the communication from the Ministry of Parliamentary Affairs with which it was received.

3. Column 5 : Show specific point on which Assurance was given

4. Column 13: Show whether request for deletion/dropping of the Assurance has been made

Note:

IR = Interim Reply
M.P.A.= Ministry of Parliamentary Affairs

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APPENDIX 17.3.
(Para 17.7(i))

Check list for watching receipt of incoming periodical reports for the year.....

Directorate. .....
Section.. .....

SI. No	Title of the Report & File No.	Periodicity	Due date of Receipt											
			Jan.	Feb.	Mar.	Apr.	May	June	July	Aug.	Sept.	Oct.	Nov.	Dec.
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15

INSTRUCTIONS

1. If the periodicity of a report is more than a month, the prescribed date(s) will be shown under the appropriate months only. For example, if a quarterly report is due on 15th January, April, July and October, only cols. 4, 7, 10 and 13 will be filled by indicating the figure 15 under each.

2. If a report is to be received more than once in a month, two or more entries depending on the frequency of the report will be made in columns 4 to 15. Thus, for instance, fortnight report will require two entries to be made under each month.

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APPENDIX 17.4.
(Para 17.7 (i))

Check list for Watching dispatch of outgoing periodical reports for the year.....

Directorate….....
Section…….....

SI. No	Title of the Report & File No.	Periodicity	Due date of Receipt											
			Jan.	Feb.	Mar.	Apr.	May	June	July	Aug.	Sept.	Oct.	Nov.	Dec.
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15

INSTRUCTIONS

1. If the periodicity of a report is more than a month, the prescribed date(s) will be shown under the appropriate months only. For example, if a quarterly report is due on 15th January, April, July and October, only cols. 4, 7, 10 and 13 will be filled by indicating the figure 15 under each.

2. If a report is to be dispatched more than once in a month, two or more entries depending on the frequency of the report will be made in columns 4 to 15. Thus, for instance, fortnight report will require two entries to be made under each month.

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CHAPTER 18

SECURITY OF OFFICIAL INFORMATION AND DOCUMENTS

18.1. **Communication of official information**.—Every Government Servant shall, in performance of his duties in good faith, communicate information to a person or any organization full and accurate information, which can be disclosed under the Right to Information Act, 2005 (22 of 2005) and the rules made thereunder. Nothing stated above shall be construed as permitting communication of classified information in an unauthorized manner or for improper gains to a Government Servant or others. It may also be noted that unless authorized by general or specific orders, no official will communicate to another official or a non-official, or any other person to whom he is not authorized to communicate such document or classified information which has come into his possession in the course of his official duties.

18.2. **Treatment of classified papers**.—

(i) The provisions contained in this manual apply primarily to unclassified papers. In handling classified papers, the official concerned will have to exercise special care and follow the provisions as contained in the booklet 'Manual of Departmental Security Instructions 1999'- as amended from to time based on M/o Home Affairs booklet 'Manual of Departmental Security Instructions-1994'. Since according to these instructions classified papers (other than confidential) are expected to be handled by officers themselves or personal custody of subordinate officer not below the rank of an Under Secretary/Deputy Director, it is essential that:--

(a) a separate set of registers and other records (e.g. dak register, Section Diary, File Register, File Movement Register, Precedent Book, Index Slips, various arrears, disposal statements and electronic storage devices) are maintained by the Section Officer herself/himself; and

(b) the recording of such files and their review is also undertaken by her/him personally, keeping in view the provisions of Manual of Departmental Security Instructions, 1999.

(ii) Every classified file shall be reviewed once in five year for declassification. A declassified file considered fit for permanent preservation will be transferred to the National Archives of India.

18.3 **Confidential character of I.D. notes/files**.—

(a) A file or ID Note referred by a Ministry/Department to another will be treated as confidential and will not be referred to any authority outside the Board's Office without the general or specific consent of the Ministry/Department to which the file belongs. If the information is in the electronic form it will be handled by the authorized official only.

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(b) Where the general consent has been obtained under sub-para [18.3-(a)] above, such consent will however, exclude classified files or to files in which the officer to whom the file is proposed to be referred or shown to, is personally affected or in which his official conduct is under consideration.

(c) For the purpose of attending meetings/discussions outside office an Officer not below the level of Section Officer may carry confidential papers/files or an officer not below the level of Under Secretary/Deputy Director may carry Secret papers/files in a special circumstance with the written authorization of Joint Secretary/Executive Director concerned. The authorization will be produced by the officer on demand. Besides above, provisions contained in the manual of Departmental Security Instructions-2022 issued by the Ministry of Home Affairs shall be followed in this regard. In respect of Top Secret papers only officers of the level of Joint Secretary/Executive Director and above can take such papers outside office for official meetings and discussion but not at their residence. No officer below the rank of AM or equivalent is to carry Top Secret papers to their residence.

18.4. Opening of Sealed cover containing classified documents:-

a) Confidential – By the addressee or in his absence the officer performing his duties.

b) Secret - By the addressee or in his absence an officer not below the rank of Under Secretary/Deputy Director specially authorized by him.

c) Top Secret- Only by the addressee or by an officer directly superior to him. If addressed to the Board Members or the Head of the Directorate in his absence, by an officer not below the rank of Joint Secretary/Executive Director specially authorized by him. If the cover is not marked urgent and the addressee is absent for a short period, it should wait for the addressee in the personal custody of his immediate subordinate officer.

18.5. Transmission of classified document in electronic form:

(a) No classified information/document be transmitted through telephone, FAX, e-mail, SMSs or any such type of electronic mode which can easily be intercepted or tapped. However, confidential documents can be transmitted over internet to leased lines only.

(b) Top Secret and Secret documents cannot be transmitted over internet. In e-office platform, these documents can be transmitted in Railnet environment of Ministry of Railways with SAG approved encryptors over dedicated point-to-point leased line network.

(c) Remote access or access on personal device in respect of Top Secret and Secret documents is not allowed. However, in respect of Confidential documents, access is permitted provided health check (virus/malware) of personal device is regularly conducted to ensure that no compromised systems or apps are being used to access official documents.

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18.6. Communication of information to the press.

(i) Functions of Information Officers.—Information Officers of the Press Information Bureau are attached to every Ministry of the Government of India. The information Officer attached to the Ministry of Railways is designated as the DG/ADG/Director, Public Relations and it is his duty, on the one hand, to arrange to give due publicity to the activities and developments on Railways and, on the other, to keep the Railway Ministry informed of the popular reactions thereto. In order to discharge his duties properly, he will maintain a close liaison with other officers in the Railway Board and the latter will give him the necessary facilities.

(ii) Official information to the press and other news media, i.e. radio and television, will normally be communicated through the Press Information Bureau.

(iii) Only Ministers, Board Members, Secretary/Railway Board, ED(I&P), DG/ADG(PR) and Director(I&P)/JD(I&P) or any officer specially authorized in this regard may give information or be accessible to the representatives of the press/media. In case, an Officer other than those authorized to deal with media/press is approached by media/press directly for information, the same may be given only after consultation with any of the above officials.

(iv) As a general rule, any Officer (other than Board Member) specially authorized to give information to the Press, should immediately submit a gist of subjects discussed with the press to the concerned Member of the Railway Board.

(v) Whenever it is proposed to release an official information to the press, or to hold a press conference or press briefing, or to give publicity to an official report, resolution or any other publication, the ED(I&P), DG/ADG(PR) and Director(I&P)/JD(I&P) will be consulted in advance.

(vi) Detailed procedure in respect of matters mentioned in this para, as laid down by the Ministry of Information and Broadcasting, shall be followed.

(vii) Press Conference.—

(a) Press Conferences are generally held by Ministers and Members of the Railway Board. The purpose of such conferences is :--

- to explain to accredited correspondents and selected editors the scope and purpose of an important report or an official statement etc. which is likely to be of wide-spread public interest ; or
- to give the Press a general review of the policy and activities of the Government; or
- to explain to the Press any specific important developments.

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(b) Whenever it is proposed to hold a Press Conference, the Press Information Bureau should be consulted in advance about the purpose, venue, date and time of the conference.

18.6.1. Brief for Media coverage:

Whenever extensive media coverage is required for major meetings/events/ programmes organized/participated in by the Ministry of Railways, especially the ones where Hon'ble Minister(s) of Railways are gracing the occasion, ED(I&P), DG/ADG(PR) may be informed about such events / programmes with details as indicated below at least 2 to 3 days in advance:

(a) Event flow details/minute-to-minute programmes indicating participation details about MR/MSRs/CRB&CEO and other Members of the Board including date, time, venue and particulars about the nodal officer of the event;
(b) Inputs for the press release;
(c) Data for informative media stories with respect to the event.

18.7. Use or restrictive classification for printed reports etc.-

(1) The restrictive classification 'For official use only' will not be assigned to any printed report, pamphlet or compilation unless it contains information disclosure of which would not be in the public interest. In doubtful cases, the test that may be usually applied is whether the publication, whose circulation is proposed to restrict to official use only, is such that the Minister would be justified in refusing to lay it before the Parliament.

(2) No official publication (including in electronic form) shall be marked "For official use only" except with the prior approval of an officer not below the rank of Deputy Secretary/Joint Director, who will obtain the orders of the Joint Secretary/Executive Director, Board Member or the Minister in case of doubt.

Note: In eFile, the system allows movement of envelopes, receipts and files with security grading among any / all users in the Directorate.

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