

No. ITPO/ ITSD/ SOPs/ 2019  
INDIA TRADE PROMOTION ORGANISATION  
I.T. Services Department

New Delhi, the 1<sup>st</sup> July 2019

Office Order No. (...709/2019)

**Subject: - Manual for Dak/ Receipt/ File Management - I.T. Department, ITPO.**

The efficiency of an organization depends largely on evolution of adequate processes and procedures and the ability of its employees to follow them. Accordingly, the efficiency of employees handling secretarial work in a government department can be judged by their ability to dispose-off matters - mostly receipts, cases etc. with speed and quality, following the procedures prescribed for the purpose. With an objective to ensure that the work be performed in a systematic and faster manner, this **'Manual for Dak/ Receipt/ File Management'** issues with immediate effect for maintaining concordance between organizational goals, procedures of work and functionaries entrusted with the responsibility of discharging them.

**1. DAK/ RECEIPT MANAGEMENT: -**

- a) The entire Dak of the I.T. Department will be received from R&I Section by the Diarist designated for the said work.
- b) The receipt of Dak, in person, will be acknowledged by the Diarist signing his name in full and in ink with date and designation.
- c) Emails received in the department will be downloaded centrally by the Diarist and forwarded to the concerned officers within the I.T. department and concerned officers of other departments. In case of ambiguity, the emails may be forwarded as per the instructions of the superior officer.
- d) **Registration of Dak:** - It shall be the responsibility of the Diarist to diarize the physical Dak received (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 Annexure, the sender may be requested to send a soft copy or as per instructions of the appropriate authority.
- e) **Distribution of Dak:** - The receipts/ Dak may be forwarded to the officer/ section concerned the same day they are received in the department. It shall be the responsibility of the attendant to collect all Dak/ Receipts (after every hour or as per urgency communicated by the Diarist/ Superior Officer) from the desk of the Diarist and distribute to the officer/ section concerned.

The bills/ invoices related to the contracted/ outsourced jobs received in the department should be forwarded to the concerned officials designated to handle the same similarly in the manner prescribed above.

  
11/7/19

In case of ambiguity, the correspondence may be forwarded as per the instructions of the superior officer.

## 2. FILE MANAGEMENT

### a) Standard Process Sheets

For dealing with cases of repetitive nature, e.g. leave sanction, I.T. equipment indenting etc., devised standard process sheets may be used. No notes need be recorded in such cases.

### b) Guidelines for Noting

- a. All notes shall be concise and to the point. Additional material, if any, may be placed in the appendix. Blue or black ink shall be used by all categories of staff and officers. In case of hand written noting, only black or blue ink shall be used.
- b. The dealing hand shall append full signature, name and date on the left below the note. An officer shall append full signature on the right hand side of the note with name, designation, stamp and date. In an electronic environment, wherever applicable, digital signature shall be appended at each level.
- c. Pasting over a note or a portion of it to conceal, shall not be done. Where a note recorded in the first instance requires any modification on account of additional facts or any error having come to notice, a subsequent note may be recorded, keeping the earlier note intact.
- d. If the reference seeks the opinion, ruling or concurrence of I.T. Department and requires detailed examination, such examination may be done at Officer Level and notes recorded on the file by the concerned officer.
- e. Where the reference requires information of a factual nature or other action based on clear precedent or practice such as bill processing, EMD submission/ return/ refund, Performance Guarantee submission/ return/ refund etc., the dealing hand designated with the job in the department may record notes on the files straightway.

### c) Aids to processing-

Section Officer at the level of Deputy Manager with assistance of an official designated for the job should keep in the Knowledge Management System of the department the following records/ electronic records for important subjects:

- a. Precedent Book.
- b. Standard Process Sheets.
- c. Transcripts of important Record of Discussions (RoD)/ Minutes of Meeting.
- d. Copies of relevant Acts, Rules, Orders and instructions issued by different departments precisely Admin. & F&ACs Deptt. concerning the subjects dealt with by I.T. Department. **(Both in physical and Softcopy form)**
- e. Guard file of all contracts.

  
11/7/19

**d) Filling of Papers-**

- a. 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 right to left.
- b. Both `notes portion and `correspondence portion` will be placed in a single file cover.
  - i. Left end of tag in the note portion will be tagged on to the left side of the file cover and right end of the tag will remain as such i.e. untagged.
  - ii. In the case of correspondence portion, right side of the tag will be tagged onto the right side of the same file cover and left side of the tag will remain as such i.e. untagged.
- c. Reference to previous communications should invariably be indicated in the fresh receipts, if there is a mention about it.
- d. (a) 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 (s).  
  
(b) If the file is bulky, separate file covers may be used for keeping appendix to notes and appendix to correspondence.
- e. When the `notes` plus the `correspondence` portion of the file becomes bulky (say exceeds 150-200 pages), it may be marked `Volume I`. Further papers on the subject may be added to the new volume of the same file, which will be marked as `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 in note portion/ correspondence portion of the earlier volume.
- f. On the top of the first page of the note portion in each volume of the file, file number, name of the organization, name of the department/ section, subject of the file and classification of file will be mentioned. A similar procedure will be followed on file cover also.

**e) Arrangement of papers in a case-**

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

- a. Reference books;
- b. Notes portion of the current file ending with the note for consideration;
- c. Running summary of facts;
- d. Draft for approval, if any;
- e. Correspondence portion of the current file ending with the latest receipt or issue, as the case may be;
- f. appendix to notes and correspondence;

  
01/7/19

- g. standing guard file, standing note or reference folder, if any;
- h. 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;
- i. recorded files, if any, arranged in chronological order, the latest being placed on the top; and
- j. Routine notes and papers arranged in chronological order and placed in a separate cover.

**f) Referencing -**

- a. Every page in each part of the file (viz. Notes, correspondence, appendix to notes and appendix to correspondence) will be consecutively numbered in separate series on the top right hand corner. The docketing will also take place immediately below the note which has culminated in issuance of fair signed communication(s) in question.
- b. The drafts of letters issued having crucial policy, financial and vigilance implications, 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, which shall be numbered ad seriatim.
- c. The document under consideration on a file shall be flagged "PUC" and the latest fresh receipt noted upon, as "FR". If there is more than one "FR" they shall be flagged separately as "FR I", "FR II" and so on.
- d. To facilitate the identification of reference to documents contained in other files after the removal of linked file(s), the number of the file referred to will be quoted invariably in the note. 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 notes.

**g) Linking of files-**

If the issues raised in two or more current files are inter-connected, the relevant files shall be linked. After completion of action, the linked files be de-linked after taking relevant extracts.

**h) Use of urgency grading -**

- a. The urgency grading advised are "Immediate", "Priority" and "Top Priority".
- b. 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.

  
01/02/2019

**i) Part File:-**

- a. 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. 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. Once the main file returns the part files will be merged with it, after removing duplicate papers, if any.
- b. Appropriate entry will be made accordingly in the File Tracking System (FTS), so that easy tracking is facilitated for the purpose of merging of the part file with the main file.

**j) Transfer, reconstruction and numbering of files**

Whenever work is transferred from one section/ officer to another, the former shall transfer all the related records including file both current and closed to the latter. In case of transfer of files from one section/ officer to the other a list will be prepared and approval of the Head of the Department taken. The section/ officer taking over the records will not divide, reclassify or renumber the closed files transferred to it. In the case of current files, the endeavor should be to close them at the earliest possible stage and open new files according to the Department's own scheme for dealing with the matter further.

A paper based file will be reconstructed if it is misplaced. The copies of the various correspondences will be obtained from the corresponding department/ agencies and papers will be arranged in chronological orders and a new duplicate file prepared. A self-contained note will be prepared based on the correspondences.

**k) Movement of files**

Movement of files will be entered in the `**File Movement Register**` to be maintained by the Diarist in the format as prescribed by ITPO or as finalized in consultation with superior officer. This will be done invariably through the electronic based **File Tracking System** also. No files should be physically accepted/ distributed from/ to concerned officer/ section without making/ checking entry in the `**File Movement Register**` and `**File Tracking System**`.

Attendant will collect files / receipts/ issue from the desk of all the officers and officials (after every hour or as per urgency communicated by the Diarist/ Superior Officer) and distribute the files to the officer/ section concerned.

**l) Checks on Delays:-** Time limits for disposal of routine cases shall be as follows:-

- a. As a general rule, no officer/ official should keep a case pending for more than seven (7) working days unless higher limits have been prescribed for specific types of cases through departmental instructions. In case 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.

 02/07/2019

- b. Any invoice/ bill should be examined by the concerned official within a period of three (3) working days and put up on file (with facts, contract clause and rule position, if any required) for further action by the concerned officer. The concerned officer should invariably ensure processing of the bill within a period of one (1) month from date of its receipt in the section.
- c. Attendant will collect files / receipts/ issue from the desk of all the officers and officials (after every hour or as per urgency communicated by the Diarist/ Superior Officer) and distribute the files to the officer/ section concerned.

This issues with the approval of the competent authority.



(Abhishek Chauhan)  
Manager  
I.T. Services Department

To: - All officers/ officials (I.T. Department)

Copy to:-

- Office Order File
- PS to CMD
- PS to ED
- SGM (JD)/ FA&CAO/ GM (VM)/ GM SRS)/ GM (AV)/ GM (AKV)/ GM (HM)/ DGM (ACMK)/ DGM (NK)/ DGM (SK)