

MCRHRD TI

Workbook

Noting and Drafting

January 31, 2022

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Activity- 1

Quiz – 1: Dak & File management

Tick the most appropriate response:

1. All written communications received in a centralized unit or section is known as:
 - a. Dak
 - b. Paper Under Consideration (PUC)
 - c. Receipt
 - d. Fresh receipt (FR)
2. The centralized unit or section referred to in Question No 1 is called:
 - a. Central Registry
 - b. Receipt and Issue Section
 - c. Facilitation Counter
 - d. Any of the above
3. Mostly, decisions in government are taken by the competent authority on the basis of a note submitted by her team members on a file.
 - a. True
 - b. False
4. Which of the following are the functions of Central Registry (CR) Section?
 - a. Receiving and scanning of physical dak into electronic dak and mail to sections concerned
 - b. Receiving, Distribution and Scanning physical dak into electronic dak and mail to sections concerned
 - c. Receiving, Registration, Distribution and scanning of physical dak into electronic dak and mail to sections concerned
 - d. Scanning physical dak into electronic dak and mail to sections concerned
5. Once a 'dak' reaches the section concerned, it is known as:
 - a. Receipt
 - b. Paper Under Consideration
 - c. Fresh Receipt
 - d. Note
6. A receipt the consideration of which is the subject matter of case file (normally, it is the 1st receipt on the file) is known as:
 - a. Dak
 - b. Receipt
 - c. Paper Under Consideration
 - d. Fresh Receipt
7. Receipts that bring in additional inputs to enable resolution of a problem arising out of the initial receipt in a file is known as:
 - a. Dak
 - b. Paper under consideration
 - c. Fresh Receipt
 - d. Note
8. Normally, a file contains ___ parts.
 - a. One
 - b. Two
 - c. Three

- d. Four
- 9. Parts of a file are called as 'Notes' portion and 'Correspondence' portion.
 - a. True
 - b. False
- 10. A manual file becomes bulky, say 500 pages. Ideally, in such cases
 - a. Part files should have been opened
 - b. Volumes of the file should have been opened
 - c. There is no problem in having all papers in the same single folder of a file

Reading material on 'Noting'

Objectives:

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

1. explain what noting is
2. explain the purpose of recording a note
3. identify noting skills required for effective noting
4. describe the concept of functional approach to noting (FAN)
5. apply the concept FAN to given situations
6. learn the process of developing a standard process sheet
7. get clarifications on noting skills

1.1 What is a 'note'?

Note means remarks recorded on a case. Notes recorded by the President, the Vice-president and the Ministers are called *minute*. The purpose of a note is to enable the competent authority to take a decision and dispose of a case; or to bring the latest development on a case to any of the officers in the hierarchy who might be away from office due to being on training, tour or leave.

1.2 Contents of a note:

- a) Brief introduction
- b) Facts of the case or background
- c) Additional inputs by office
- d) Reference to and application of the provisions of policy, rules, regulations, guidelines or precedents to a given case
- e) Suggested course(s) of action along with (financial and other) implications, if any
- f) Details of the competent authority
- g) Points on which decisions are required
- h) Signature

2 Noting Skills

Action	On
Check up	Facts
Supply	Missing facts, if any
Refer to	Rules/Regulations
Quote	Precedent
Suggest	Course of action to resolve the problem
Assess	Implications: financial, legal, etc.
Indicate	Who the competent authority is
Specify	Points on which decision is sought

3 Guidelines to Decide the Level of Noting

Nature of Case	Level of Noting
No noting cases	No noting, obviously!
Correspondence Handling	Not more than 2 to 5 sentences
Repetitive cases	Develop and use Standard Process Sheet (a template)
Problem solving cases	Detailed note (see para 1.2) (Comparatively less than the one for the policy case)
Policy cases	More detailed (with segments to cover various aspects of the policy including the context / reasons for formulating the policy, including the views of the stakeholders)

4 Searching Questions- One Dozen

- a) What is the problem?
- b) How has it originated the case?
- c) What is the nature of the case? (apply the concept of functional approach to noting)
- d) Is it worth detailed examination?
- e) Can it be broken into major and ancillary parts?
- f) Does any part involve any other department?
- g) Is there any rule/policy/guideline/precedent available?
- h) What are possible alternative solutions?
- i) Which is the best solution? Why?
- j) What should be its implications?
- k) If not worth detailed examination, is there any standard process sheet? Or can one be developed?
- l) Who will finally take the decision?

Activity- 2

Check Your Progress (FAN)

Certain situations are given below. On the basis of inputs on 'Functional Approach to Noting', please indicate the type of noting that you would adopt in each of the cases:

1. A research student visits your office and asks for a hard copy of the recruitment report of the last 3 years of your department (215 coloured pages). This is available on your website.

2. Your cadre controlling authority constituted a committee of experts to restructure your Group A cadre. The report contains 10 recommendations. You are to submit the recommendations for approval of the competent authority.

3. A file is to be submitted to furnish material to Ministry of Defence to frame reply to the Lok Sabha Unstarred Question. The file is to be approved by your Head of Deapartment.

4. Your Ministry is required to release grants-in-aid to about 10 NGOs to implement a scheme over a period of 3 years. The funds are released each quarter in line with approved guidelines terms and conditions.

5. Six technical officers (of the level of Director) from your department are required to visit abroad to attend international conference to present research papers. The Secretary of your department is empowered clear cases of officers except those relating to Joint Secretary and above.

6. Inquiry Officer has submitted her report against the vigilance case of an officer. This is to be processed for submission to the competent disciplinary authority for a decision.

7. One of the officers who is a member of your team applies for a casual leave application.

8. An NGO, has sought collaboration with your organization and has sent a draft MoU to be signed with your organization. One of the terms & conditions is that your Ministry will provide grants-in-aid for a research project. This case is to be processed to obtain decision of the competent authority.

F.No. A-12026/6/2013-Admn.
Government of India
Department of ABC
[Admn. Section]

S No. 1(Receipt) pp 1-15/Cor

Subject: Computer Advance to Shri Rigzin Chemit, Under Secretary – regarding

This is an application from Shri Ringzin Chemit, Under Secretary (Roads), PWD for grant of computer advance of Rs 50000. He has applied in the prescribed Form VI. He had earlier taken computer advance on 22.01.2011. He has fully repaid that advance with interest on 28.08.2020. He is therefore eligible to this computer advance as he has repaid the previous advance with interest.

2 The cost of laptop Shri Chemit proposes to buy is Rs 43,000. He is entitled to a maximum of Rs 50,000. He is therefore to sanctioned Rs 43,000. He will repay the advance, with interest, in 100 instalments, which is with the maximum prescribed instalments of 150. The rate of interest is ___ % per annum. There is adequate budget available to disburse the present advance.

3 It is proposed that the computer advance of Rs 43,000 may be sanctioned to Shri Ringzin Chemit, Under Secretary. A draft sanction order is placed below for approval.

Sd/-
Esa Dutta
11.08.21

Sd/-
(Mohan Kumar)
Section Officer (Admn.)
11.08.2021

~~US (Adm)~~

Sd/-

~~DS (A)~~

Sd/-

~~JS (A)~~

Sd/-

~~DS (A) (On tur) / US (A)~~ Sd/-
SO(A)
Ms ED

Space for work

Reading material on 'Drafting'

1 What is 'drafting'

'Drafting' is the process of preparing a draft for approval by a competent authority. **Draft** is rough sketch of a communication to be sent after approval to the party or parties concerned. It may be modified by any of the officers in the channel of submission of the case to the competent authority. There could be occasions when a communication to be sent a junior officer is to be approved by a senior officer as a draft to communicate a decision taken by an authority higher than the senior officer. Thus, drafting is an outcome of the collective wisdom of the hierarchy in communicating a decision. For example, rate of dearness allowance payable to Government employees is decided by the Cabinet. The communication to communicate the decision is cleared by a senior officer before it is issued under the signature of a Under Secretary or Deputy Secretary.

2 Drafting Skills

S No	What to do while drafting?	Purpose
1	Identity	Receiver
2	Adopt	The right form
3	Visualise	Response
4	Express	Clarity, Consistency & Uniformity
5	Avoid	Redundancy
6	Summarise	Complex & lengthy communications
7	Ensure	a) Clear, Concise, incapable of Misconstruction b) Complete c) Facts, direction, guidance d) Unity of idea e) Easy of flow

3 Checklist for drafting

1. Is the draft necessary or fair communication be submitted?
2. To whom the communication is to be addressed?
3. What is the relationship between the sender and receiver?
4. What is the purpose?
 - a. To give information?
 - b. To get some details – if so, target date? Is a format attached?
 - c. Contact person, in case clarification needed?
 - d. To get something implemented? If so, target date? Guidelines?
5. Is the form of communication appropriate?

6. Have references been given: theirs; and yours?
7. Has the "DTC" [Delete/ Transfer/ Concise] technique been adopted while drafting?
8. Check whether the language used is:
 - a. Simple?
 - b. Concise?
9. Have the following details given?
 - a. Your complete address
 - b. Designation & telephone number, fax no & e-Mail
10. Salutation, where necessary
11. Subject, where necessary
12. Subscription, where necessary
13. Enclosures, if any
14. Urgency grading:
 - a. Immediate
 - b. Priority
15. Classification of the document:
 - a. Secrete
 - b. Confidential
16. Mode of dispatch:
 - a. By special messenger
 - b. By speed post
 - c. By Registered post, etc.
17. Receiver's complete address & fax number
18. Endorsement, if any
19. Follow-up with persons concerned that the communication has been received (in important cases and Notice for important meetings)

Reading material on 'forms of communication'

There are various forms of written communications used in a Government Department. Each form has its use and phraseology of its own. The occasions on which these forms are to be used and salient points regarding each form are described below:

1. **Letter:** This form is used for corresponding with Foreign Governments, State Governments, the Union Public Service Commission and other constitutional bodies, heads of attached and subordinate offices, public enterprises, statutory authorities, public bodies and members of the public.
A letter being a formal form of communication is addressed on behalf of a department or Government to the Head of the Government/ organisation by designation, beginning with the salutation "Sir / Madam"; and ending with subscription "Yours faithfully." Where required, one may ensure that the letter reaches the officer concerned directly by writing [Attention: Ms ABC, Deputy Secretary].
2. **Demi-official letter:** This form is generally used in correspondence by one officer with another with the purpose of drawing his/her personal attention in an official matter of importance or urgency or both.
 - 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 level above or below.
 - 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 Central 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.
3. **Office Memorandum:** This form is generally used for communicating decisions to other Departments including its attached and subordinate offices. It is used for calling for or providing formation. Office Memorandum form is also used by Ministries and Departments for communicating to its employees. It is written in the third person and bears no salutation or subscription. The name and designation of the officer signing it will, however, be indicated.
4. **Inter-departmental note:** This is the form used for consultations between and among Ministries and Departments. It is generally use for obtaining advice, views, comments or concurrence of the other Ministry or Department on a proposal. It is also used to seek clarification from the nodal department on existing rules. It is used by a department while consulting its attached office or subordinate office or vice versa. It is either recorded on a case file and referred to the department; or it may take the form of an independent self-contained note with relevant documents attached.
5. **Order:** This form is generally used for conveying –
 - a. financial sanctions: and

- b. When a competent authority issues an order in exercise of powers conferred on him by a statute – For example: final order in disciplinary cases. Order is not addressed to anyone. There is, therefore, no salutation or subscription. Copies are sent to all the person/authority concerned.
6. **Office order:** This form is normally used for issuing instructions/ intimation in routine internal administrative matters, e.g., grant of regular leave, distribution of work among officers and sections, internal posting and transfers, etc. In other words, all administrative decisions except the ones for which Order is used.
7. **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 should be a letter.
8. **Notification:** This form is used in notifying promulgation of statutory rules and orders, appointments and promotions of certain category of officers etc. through publications in the official Gazette of India.

Format of a few forms of communication, namely, Letter, DO letter, Office Memorandum, Office Order, Order and ID note are at Annex – 1- 6 respectively.

Form of communication	Purpose	To whom	General
1. Letter	Seek or convey: <ul style="list-style-type: none"> • Information • comment • decisions • directions 	a) Foreign Government (As per procedure laid down by Ministry of External Affairs) b) State Government c) Heads of attached and subordinate offices d) Constitutional authorities like Union Public Service Commission e) Central Public Sector Enterprises f) NGOs	a) Salutation: “Sir” or “Dear Sir(s)” b) Subscription “Yours faithfully”. c) Official letter from a department to convey the views or order of the Govt. of India must specifically be expressed to have been written under the directions of Government d) Give telephone number and email ID

		g) Member of Public	
2. Demi Official Letter (DO Letter)	To inter-change or communicate opinion or information without the formality of prescribed procedure or where matter should receive personal attention due to importance or urgency or both	a) Another Govt. Officer (of more or less equivalent status). An officer in a Ministry/Deptt should address it, who is ordinarily not more than one or two levels below the officer to whom such communication is addressed (for this purpose Secretary/Addl. Secretary/and Director/Deputy Secretary is considered as one level) b) Non-official	a) Does not follow the formality of prescribed procedure. b) Written in the first person in a personal and friendly tone c) Name (without Shri or other honorific) designation and tel. No of the sender at the top of letterhead. d) Subject may be given in the first sentence to avoid a lengthy opening sentence. e) Begins with salutation "My dear" or "Dear Shri" or even "Dear Sir/Madam" as may be appropriate and ends with phrase "With regards" and subscription" Yours sincerely".
3. Office Memorandum (OM)	i) Inter departmental communication ii) To call for information from or to convey information (not amounting to an order of Govt. to employees.	a) Another Ministry/ Secretariat/ Deptt b) Attached and Subordinate Offices c) Employees	a) Written in the third person b) Bears no salutation or subscription except name designation and tel. No. of signatory.
4. Order	To communicate financial approval or When a competent authority issues an order in exercise of powers	Departments, Officers or Sections Units within the department	Copies are endorsed to the administrative/ financial authorities concerned

	conferred on him by a statute		
5. Office Order	To communicate internal administrative decisions like granting of leave, redistribution of work etc. (other than financial approval or final decision in a disciplinary or vigilance case)	Officers or Sections Units within the department	Copies are endorsed to the administrative/ financial authorities concerned
6. Endorsement	Reply on the original communication itself or to forward copy to another Department or office for information or action	Sender of the original communication or Another Department or officer	

Activity- 4

Quiz on forms of communication

Indicate the form of communication to be used in the following situations:

1. Secretary, Ministry of Textiles asks for submission of a draft from her officers to write to the Secretary, Union Ministry of Finance to provide for a financial package for revival of the sector.
2. You are to send a communication to an employee asking for an explanation for not being punctual on 8 out of 25 days in August, 2022.
3. You are to submit a draft communication for approval of competent authority in case of an employee after completion of a disciplinary case. This is to communicate the decision of imposing a penalty.
4. On the basis of an All-India direct recruitment examination, an offer of appointment to a post is to be sent to successful candidates.
5. A proposal was sent to the Department of Finance about two months ago. Minister is keen that the proposed scheme takes off without further delay. Two communications requesting to expedite the matter has already been sent. A fresh reminder is to be sent.
6. A communication to transfer 2 items of work from the Registration & Monitoring Division to Administrative Law Division is to be issued.
7. A communication to purchase 5 personal computers and 5 Laptops in the office at a cost of Rs 3.5 lakh is to be issued to the vendor.
8. The Minister is to issue brief the Press regarding a new scheme to provide for drinking water.
9. A new Chairperson of a statutory body ABC has been selected in terms of the provisions contained in the statute. Her appointment is to be notified by the Department concerned.

Activity – 5 Editing exercise

F No 11/21/2020 – Adm
Department of XYZ
(Administration Section)

To
Dr Satyjit Misra
The Director General,
National Power Training Institute,
Faridabad.

New Delhi, dated the 8th August, 2020

Sir,

Please refer to the discussions the undersigned had with Smt ABC last week regarding revision of various inputs given in different training programmes in National Power Training Institute (NPTI). It was agreed that NPTI would set up a committee to conduct a review and submit its recommendations by 30.09.2020. Smt MM, Director, Department of Power has been nominated as a member of the said committee. All communications regarding the meeting of the committee may be addressed to her with a copy to the undersigned

2 This is issued with the approval of Secretary (Power).

Yours sincerely,

(DEF)

Under Secretary to the Government of India
Tel: 12345
eMail: ustrg@nic.in