

**Lower Division Clerk : Selection will be based on written test and skill test.**

Syllabus for the skill Test and written test .

- a. Typing Test (Lower)
- b. Essay writing (General topics mentioned below)
- c. Précis writing
- d. Comprehension
- e. Administrative Knowledge (Tottenham system of Office Procedure & Management) {study material provided below }
- f. GFR- 2005 - Procurement of Goods & Services {study material provided below }

**Topics of essay writing**

Essay writing (General topics) :

1. Right to Information
2. Integrity in Public Service
3. Consumer Rights
4. Women's Rights
5. Right to Education
6. Right to Employment
7. Conservation of Natural Resources
8. Pollution
9. Leadership
10. Human Rights
11. e-governance
12. Civil Society and Public service.

**Study material for Administrative Knowledge ( TOTTENHAM SYSTEM OF OFFICE PROCEDURE & MANAGEMENT):**

**INTRODUCTION :**

This Module is divided into 3(three) Units namely:

- 1: Office and Office System
- 2: Salient Features of Tottenham system
- 3: General discipline

The above Units have been further divided into sub units depending on the contents being discussed. In these, we will be discussing the following:

- What is an Office
- What is a System
- Why we need a System in office
- Duties and responsibilities of
  - o Section Heads
  - o Dealing Assistants
- Various Registers to be maintained
- Discipline

## **OFFICE AND OFFICE SYSTEM**

### **Introduction:**

Every one of us, even children (say, 3 or 4 years), in our day-to-day life use the words office & system in various contexts. In fact we are working in Government offices and we will discuss in this unit what is an office, why do we need a system and how it helps in our day to day office administration.

### **Definition of an Office:**

Almost in every house the real drama will start from the early morning, say, at 7.00 am onwards or even early that children may shout that Mummy! Where are my shoes? Where are my socks? I am to go to school or college. Please get ready my lunch box. At the same time, you may also ask for arrangements for you to go to “office”. If both are employees, she may seek your support in making arrangements. You might have done similarly the way children were shouting when you were in your childhood. That means we will be hearing the term “Office” right from childhood. Children may use the word “office” with out having proper understanding of the word. The children will only know that their father/mother went to office where they work.

But you will be knowing more about the term Office. Before you go for further reading, please jot down in the box given below what you think is an office? This would help you in a better understanding of the issues that are being discussed in this unit.

You have noted down some points. Interestingly, most people continue to define an “Office” as a workplace where people perform a series of activities for achieving the organizational goals/objectives. For example, “we both are working in the side by side offices”. “My office is very close to my husband’s office”. Office is also used to refer to the people who work there. for example, “the whole office knows that you got promotion”. Or “Boss is going on leave for next two weeks”. Here office refers to the people working there. More interestingly, a mother who is a housewife is also working: but we do not say that she is working in an office. Why? Because she does not get “paid” for her services.

You may therefore, add that the organization pays its employees a salary. That is, work is done in an office for monetary considerations. You may consider that this completes the definition of an office. While this is partly true, this definition does not give us the complete picture. Office may also refer to an important job or position of authority in Government or in an organization. For example, “the Chairperson of the Institute holds the office for one year” or “the office of the President of the society is an honorary one”. Here, office refers to the position held.

One of your friends could be working in a factory. Another friend could be a farmer who would be working in the field. When you apply the definition of office you have in mind at this stage to these situations you may find it odd to say that they work in an office. Some of us may even say that a person who works in the field or a farm does not work in an office. Similarly, you may say that a person who works in the factory does not work in an office. If you think a little deeper, you may say that the definition of office excludes manual work. You would appreciate that a complete definition of office has still not emerged.

You may like to try to define office from a different angle. Do you agree that you work in an office? The chances are that you would say “yes”. In that case, let us see what you do in an office. Most of you may be receiving communications, recording them somewhere or may be filing them. In general, what you do in an office is something relating to paperwork. But it is not the paper you are dealing with; it is “something” that paper contains. What is that “something”?

If you did not get a satisfactory reply, consider the issue from yet another angle. An organization is set up with specific goals/objectives. Whichever organization you work with, you do work to achieve the organizational goals/objectives. To achieve these, frequently, various decisions are taken by people who are

authorized to decide, as and when the clientele group approaches them.

Let us now see what are the various means through which the clientele can approach people who decide. In a small organization, like a private sector office, the clients can directly reach the decision maker. As the organization grows there would be intermediaries, primarily to let the decision maker concentrate only on major issues. People working under them could decide the smaller issues. As the organization grows further or in most Government offices, there could be officers and an office. Those in the office do the necessary preparatory work to let the officers take decisions. These preparatory works would include dealing with “something” which the paper contains.

This could either be facts or figures or diagrams or codes or even maps. Basically, these are information. The information is processed so that persons who are authorized could take decisions. ( We generally call them as the “competent authorities”). From functional point of view, we may now define an “Office” as “**Information Processing Center**”. (If you are a computer literate you may slightly differ on the use of the words ‘information’. You may prefer to use word data, instead!). We have already seen that the reason why information is processed is to take decisions to achieve organizational goals.

You have seen that the term ‘office’ is used in different context. Therefore, there are different ways of defining ‘Office’. One of the most common definitions is from the geographical point of view. Another refers to people working there. Yet another is from the point of view of the position held. These are normally the definitions from the common man point of view. For someone concerned with office management, from the functional point of view. Hence, the most appropriate one may be in terms of processing of information, since all offices are collecting data, processing it, taking decisions, communicating and storing the information.

**One of the definitions of ‘office’ could be that an Office is a work place where teams of people work together, mostly in a hierarchy. People are paid for their efforts by the organization. An office is a kind of control tower where information is processed to facilitate a competent authority to take decisions to achieve organizational goals.**

## **SYSTEM:**

### **What is a System?**

From the above experiences, we understood that there should not be any ambiguity either in carrying out any activity or in the roles and responsibilities. Everyone expects that things should happen in an office as routine on the basis of certain prescribed procedures or norms without waiting for any individual. In fact, a system is very much required for smooth and effective functioning of an office.

Think of a situation in your house. How, since morning, will you prepare your self to go to office? Don’t you follow a routine in this regard? Definitely “Yes”.

When you go to a bank for withdrawing money, a certain procedure is followed in the bank. Even in your office, you follow a specified procedure in processing the information till a decision is taken and communicated to the concerned. Also, you are having a clear job and responsibilities to be carried out in the day-to-day administration.

In government offices the procedure to be followed is prescribed by rules. From all the above, simply, we can define a “**System**” as “**doing the things methodically by following certain procedures laid down with a clearly defined roles and responsibilities for smooth and effective functioning of the office**”.

### **Common Office Functions:**

Now, let us have a look at the office functions. “Function” here refers to the activities you perform in office, irrespective of the kind of work assigned to you. In other words, whether you work in administration section

or accounts section or any other section, you all perform “some” common office functions. Would you like to list these common office functions? Remember that all you have to do is think of those activities you would perform irrespective of the section you are working in. Record your points in the box given below:

We are in the process of learning what office functions are. Therefore, what you have listed would be something to do with information because it is an information-processing center. The first of these functions would be to **collect information**. You may do so by voice communication, that is over telephone or you may walk across and get it orally or someone may pass on information personally or you would in most of the occasions get it through some written communication.

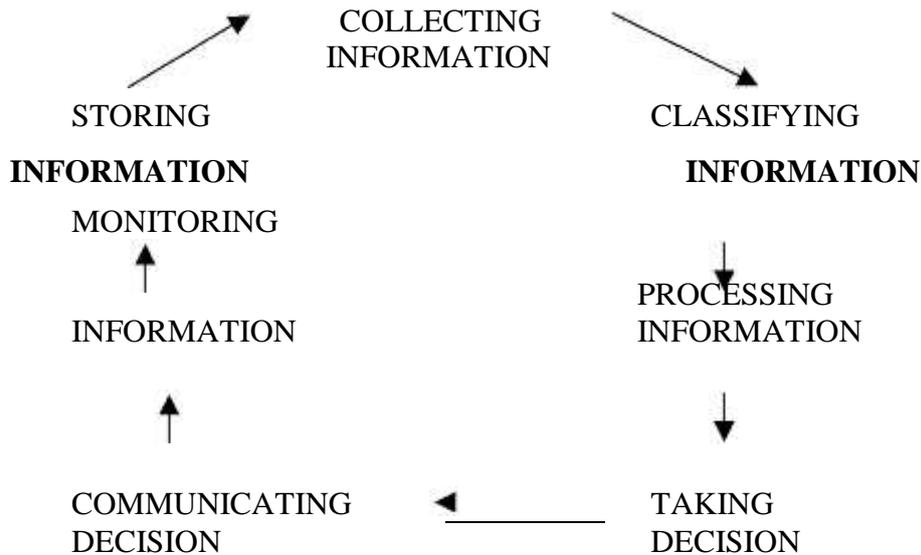
Once you start collecting information, you would like to keep them in such a manner that you are able to retrieve it when it is time to take a decision. For this purpose, you have to **classify the information**. Classification of information means putting papers containing information in files in such a way that you know which file to look for when you need the information. For example, if you are in administration section you may keep papers relating to appointment of directly recruited clerks in one file and representations received from the section head/superintendents regarding their seniority in another folder. Similarly, if you are working in cash section, you may keep papers seeking advance to celebrate festivals in one file and so on. One of the mechanisms you most commonly use in office to perform this function is through filing of information.

The next function after you have filed the receipts is to **process information**. Processing is the act of bringing all the relevant **facts** at one place, apply the relevant rules or guidelines or quote precedent to enable the competent authority to take decisions. The tool used to achieve this purpose is “Noting” Noting is a process of recording a note. A note is nothing but written remarks on a case recorded by the competent authority after examining the case with reference to the relevant rules, regulations or precedents and to **take decisions**. After the competent authority has taken the decision, it will have to be communicated to the person(s) concerned for implementation. Therefore, the next function is **communication of decision or the desired information**. Unless the decision is conveyed to the party concerned it cannot be carried out. The tool found useful to perform this function is called “Drafting”.

The next function is **monitoring the progress**. This is an area that needs greater attention, particularly, in government offices. Monitoring helps the conveyor of the decision whether it has been implemented in the manner the conveyor desired. The tools used to perform this function are “Reports” and “Returns” obtained on an annual, half -yearly, quarterly, monthly or fortnightly basis. One must, however, resist the temptation to call for too many “Reports” and “Returns”. In such cases, the task of analyzing the data received becomes difficult. In fact, too many “Reports” and “Returns” may lead to situations where calling for such “Reports” and “Returns” may become a ritual defeating the very purpose. You must, therefore, review the need for the “Reports” and “Returns” at regular intervals.

After you receive a feedback that the decision has been implemented, you have to ensure whether action on the case is complete. If it is, you need **to store this information** for future use. The principles of record management are the tools that are to be adopted to perform this function. If there is a need in future, to use the stored information, they are retrieved. If necessary, such retrieved information are updated by collecting the latest information and used again. The cycle thus, keeps on going the various functions performed in an office could be schematically presented in the following manner:

## COMMON OFFICE FUNCTIONS



The general/common office functions are:

1. Collection of Information: Information will be collected either by orally or through written communication form.
2. Classify the Information: The information collected will have to be classified according to subject area and put into different files which helps us to retrieve any specific paper as and when required.
3. Processing of Information is nothing but bringing all relevant papers/facts/information relating to specific area/subject at one place and put up to the competent authority to facilitate to take a decision.
4. Communication of Decisions: Once a decision is taken on any issue/ activity, the decision will be communicated to the concerned people/organisation.
5. Monitoring the Progress: This is one of the very important functions of an office and needs more attention. We have to follow up our communication to get the required information or reports or returns. This should be done periodically.
6. Storing the Information: This broadly refers to “record management”.

## INTRODUCTION

Sir Richard Tottenham was a British ICS officer who worked as District Collector of North Arcot District in pre independent India. North Arcot is a district in the State of Tamilnadu now. The district of Chittoor was a part of North Arcot in those days. You can see some details in this regard if you happen to visit the District Collector’s office in Chittoor. The office system developed by Sir Richard Tottenham is being called in his name as “Tottenham System of office procedure”.

## ORGANISATIONAL STRUCTURE OF OFFICE

You might have studied in your college that the present system of administration is called Bureaucracy, which is also called Desk Government and it is blamed for all the evils of delays and red tapism. The salient features of bureaucracy are:

1. Hierarchy
2. Following Rules and Procedures
3. Written Documents
4. Impersonal Order

Bureaucracy aims at rational or impersonal Government because all the decisions are taken based on rules and regulations on written documents.

Tottenham system is based on the principles of Bureaucracy. The first step in the system is to divide the office in to various sections. In this system the office appears like a pyramid. The Management head will be at the top and the cutting edge level functionaries will be at the bottom of the pyramid.

Depending on the size and functions of the office, the nomenclature will be different. It may be Commissioner or Director or District Collector who will be at the top level. The common feature you might have noticed is whether it is a State Headquarter or District or Divisional or Mandal Headquarter, there will be an officer on the top of the pyramid, which becomes large at the base. Different levels of functionaries are working in a hierarchy. It is the same with the office where you are now working.

### **SECTIONS:**

You have observed in the organisational structure discussed above that the office is divided in to “Sections”. You are hearing this term “Section” everyday.

Simply, “Section” means a small part. The organisation (Office) is divided into several sections for administrative convenience. Each “section” deals with specific assigned activities of the organisation. For example; Establishment section deals with all service and establishment matters; Accounts Section deals with all money matters of the organisation; fair copying section deals with all typing related work etc.

That means, in Government administration, every office is divided in to various sections depending on the activities/functions of the office. These functions are allotted to the sections.

Dividing into sections and allotting the functions to each section will alone not sufficient. Personnel are required to work in the sections to process the information. Hence depending on the strength of the employees, some employees will be posted in each section clearly defining their roles and responsibilities for processing the papers/information relating to the section.

Normally a Section consists the following personnel: 1. Section head or superintendent, Four or Five Senior/Junior Assistants Typist

You may wonder why 4-5 people are under the control of each section head. This is based on the principle of ‘Span of Control’. You can see from the top person in the pyramid to the section head, under each officer 4-5 subordinate officers are working. This doesn’t mean that the head of the department is not having control on all the other subordinates. But, four or five people are made responsible of particular activities and they come in direct contact and others generally through them. Is it not so in your office? Effective supervision and monitoring is expected to be possible on limited number of persons only.

### **ADMINISTRATIVE OFFICER:**

You may be aware the present Administrative Officer till recently in District Collectorate used to be called as Shiristadar in Andhra Area and as Revenue Assistant in Telangana area of the State. In every department you may notice that the administrative functions are entrusted to either an Administrative officer or a Joint/Deputy /Assistant Director or Commissioner. In small offices in district or mandals and other places the person who deals with administrative functions be treated as administrative officer.

### **DUTIES OF SECTION HEADS:**

The section head is being called as superintendent or section officer or supervisor. Whatever name is used you may notice similar functions are entrusted to the section head. It is said that the Supervisor should not only ‘supervise’, he/she should be ‘Super wise’ and have ‘super vision’ in discharging his/her functions.

- i. You have listed out some functions of your supervisor.
- ii. Let us list the functions of a “Supervisor”: -
- iii. Exercise overall control and supervision over the section and employees working in the concerned section
- iv. Review of the currents and mark to the concerned dealing assistant for appropriate action and give proper direction to the concerned assistant on the endorsement, if any,
- v. made by the officers
- vi. Scrutinize the papers/files thoroughly before sending to the higher authorities for decision
- vii. Closely monitor whether the approved letters/communications are despatched properly in time
- viii. Check various registers maintained by dealing assistants periodically to ensure that they are maintained properly
- ix. Oversee the maintenance of files and suggest for improvement
- x. Check the Personal Registers maintained by the
- xi. concerned assistants periodically to arrest the delays in processing of papers
- xii. Ensures discipline in the section
- xiii. Maintain the attendance register and mark late attendance, if any
- xiv. Support and suggest the higher authorities for smooth and effective functioning of the office

That means, the ‘Supervisor’ (Section Head) is having greater role in the office and is expected to Control; Manage; and Supervise the activities of the section as well as the employees working in the section for effective and efficient functioning.

He should also be able to guide the employees what to do; how to do; and demonstrate, where ever necessary. He should be available and accessible to his/her staff in the section. Simply to say, *“he/she should be the “role model” to the employees working in his/her section”*.

#### **Duties of Assistants:**

You have a clear idea about what a Superintendent/Supervisor is expected to do in an office. Then what is the role of an Assistant in the section?

#### **Now let us list out:**

- i. Follow the instructions of the supervisor in conduct of office business
- ii. Acknowledge the receipt of the currents
- iii. Enter the currents in the Personal Register immediately after receipt and fill the relevant columns as and when action is taken
- iv. Put up the papers, normally, within three days of their receipt or as ordered
- v. Put up DO letters and other urgent communications with in 24 hours of their receipt or as per directions of the superior officers
- vi. Prompt submission of drafts as and when files are received
- vii. Timely fair copying and despatch of the letters
- viii. Put up reminders at regular intervals as prescribed and maintain Reminder Dairy
- ix. Maintain and update Periodical Register and submit the periodicals with required information in time
- x. Close the files as per the prescribed procedure as and when action is not required in that file and send them to “Record Room”
- xi. Prepare index slips before sending the disposal to record room
- xii. Maintain Stock File(s)

- xiii. Prepare monthly arrear list and submit for check to the section head and other officers along with other registers (PR, Pdl. Reg., SF etc. as per time schedule)
- xiv. Take appropriate action suggested by the superiors in the run on note within 24 hours
- xv. Not divulge any official secrets

### **Registers to be Maintained:**

Tottenham system prescribes various Registers to monitor the progress of work in the office. These Registers will help not only to watch the progress but also arrest the delays and cut down the arrears.

1. Inward Register
2. Distribution Register
3. Personal Register
4. Security Register
5. Register for Despatch by Local Delivery
6. Register of Stamp Account
7. Periodical Register

### **Inward Register:**

All tappals received in an office, after the Head of the office sees them, will be entered in the "Inward Register".

It is maintained for a calendar year. Continuous serial number is given starting from 1<sup>st</sup> January to 31<sup>st</sup> December of each year. The tappal once entered in this register with a serial number is called a "Current".

You might have seen different practices exist in different offices. In many offices signature of the Assistant receiving the currents is obtained as an acknowledgement in the same Inward Register.

### **Distribution Register:**

This is also in practice that the currents are separated section wise and distributed to each section through a "Distribution Register" and Acknowledgement from the concerned Assistant is taken in the register.

### **Personal Register:** (PR)

You are aware that every Dealing Assistant (Junior/Senior assistant) will have to maintain a Personal Register. Two types of Registers are maintained in government offices. In Heads of Departments and State Secretariat, the PR contains 15 columns. Whereas the PR maintained in District and other offices contains 10 columns.

The difference is that columns 4,5,&6 of the PR maintained in the offices of HODs dealing with "Title; from whom; & out side No. & Date" are clubbed into one column i.e., column No. 4 in the PR maintained in the subordinate offices. Similarly columns 9,10,&11 are clubbed into one column No. 8 of PR maintained in subordinate offices.

All currents received will have to be entered in the PR by each Dealing Assistant. *Remember that Personal Register is one of the most important Registers to be maintained by each and every Dealing Assistant without any exception.*

### **Security Register:**

The title of the register itself is communicating the purpose of maintaining this Register. All valuables, such as, Cheques, Demand Drafts and valuables received in the office are entered in this Register instead of Inward Register.

### **Stamp Account:**

In case of the letters to be sent to places outside the place where your office is located, you have to send them by "Post" for which postal stamps to be pasted. That means, sending by post involves money. Please remember and make it a point that whenever money is involved in any transaction, you should take adequate precautions for proper accounting. Further details on this subject will be discussed in the Module 4.

### **Periodical Register:**

Any Report/Return, which is to be sent at regular intervals, is called as Periodical Register/Return. To monitor this activity, a “Periodical Register” will be maintained in every office in which the details about all the periodicals, their receipt and the date of sending etc., will be entered. You must note that:

1. No current numbers are given to the papers received in respect of periodicals
2. A Periodical Register is maintained for each year starting from 1<sup>st</sup> January to 31<sup>st</sup> December.
3. Continuous serial numbers are given to all periodicals
4. Every Dealing Assistant will maintain a Periodical Register in respect of periodicals dealt in his/her seat.
5. The dates of incoming periodicals and out going periodicals are to be entered in to the register.
6. Every Dealing Assistant should take adequate care for timely sending of the out going periodicals and also to obtain in coming periodicals.

## **GENERAL DISCIPLINE**

### **Introduction:**

Do you remember the question put at the end of Unit 2? Though a system, which is time tested and foolproof, is prescribed, we will not be getting the required results unless persons implementing the system are

### **Office hours:**

You are aware that the office hours presently are from 9.00 am. to 5.30 pm. except on holidays declared by the Govt. There is time provided for lunch break of half an hour between 1.00pm to 1.30 pm. Think for a minute for whom these timings are meant for? You may say that the timings are for the employees to attend office. Govt Service is a full time employment, that means 24 hrs we are at the disposal of the Government. Secondly the conduct rules prohibit a government employee of taking any private employment after the officer hours.

Here, everyone must remember the saying of Mahatma Gandhi. It reads out as follows:

“The customer/public is the most important visitor in our premises. We are not doing any favour to him by attending on him. He is doing a favour to us by providing opportunity to attend on him”

### **General Discipline**

Normally you see that we expect a lot of discipline from our children. Will it not apply to us? However the General Discipline prescribed in the District Office Manual refers to:

1. Quiet & dignified behaviour
2. Courteousness
3. No wastage of time
4. Perfect silence
5. Promptness
6. Punctuality
7. Regular attendance
8. Obedience
9. Non acceptance of presents/gifts/remuneration
10. Tidiness & cleanliness

## **DISCIPLINE**

The dictionary meaning for “Discipline” is of a particular situation or activity is the necessity of acting in a strictly controlled way according to a set of expected rules or standards that this activity or situation involves. We are sure that many of the above items are listed by you. However we would like to discuss them one after the other.

### **1) Quite & Dignified behaviour**

You might have seen in some offices employees talking, shouting & quarrelling among themselves. What

impression it gives to a visitor who visits the office? How the other employees can do their work if some are disturbing them? As public servant the first thing you should note is that one should be quiet in the office doing his/her own work and should not disturb others. The dignity of the organisation depends on how we behave.

## **2) Courteousness**

You should not only be courteous with your colleagues (both superior & subordinate) but also with the **public visiting our office. In fact you should be more courteous with the public/customer Remember you are a Government Servant.**

## **3) No wastage of time**

You might have noticed that whenever you visit some office, people may be spending their time doing work, talking to each other or reading magazines etc. The first one is what is needed. Second one is only wastage of time, because of which you may not be able to take timely action in an important matter!

## **4) Perfect Silence**

We have discussed above

## **5) Promptness**

The dictionary meaning is “done immediately and without any delay”. You think of the situation discussed at 3 above and relate to this

## **6) Punctuality**

The dictionary meaning is “arriving at same place or doing something at exactly the right time”

You please think of the difference between prompt & punctual. We normally hear that “some one is a very good worker if he/she comes. But rarely comes in time”; also “regularly irregular” etc. what does this mean. It is something like “doing the right things at the right time” you should also remember that promptness, punctuality are most important qualities by which you will be rated.

## **7) Regular Attendance**

We have just discussed about this above.

## **8) Obedience**

The dictionary meaning says “behaviour when you do what someone asks or tells you to do especially someone in authority. You may recall the APCS (conduct) rules, which says, “An employee will exercise best judgement in performance of official duties except when he/she is acting under a direction from his/her official superior”. It means that when a superior officer gives a direction/order it should be obeyed. Disobedience will be treated as indiscipline.

## **09) Non acceptance of Presents/gifts/remuneration**

We would like to draw your attention to a situation where you are forced to enter into a public transport fully crowded and no place to stand. If someone sitting shares his/her seat, generally we accept isn't it? Think the same person after sometime came to your seat. In fact he/she was coming to your office on a particular work. You look after the subject. After reaching the place of work he/she could find out the information & reached your seat. What would be your reaction? Somewhat favourable or not? Why favourable? Because, the person offered to share the seat.

Now think of a situation where a person not a relative, not a friend & no occasion gives a gift etc. try to catch the emotive. The APCS (conduct) rules allows you to accept a gift the value of which should not exceed Rs. 200/- from a near relative/friend on ceremonial occasions. Remember this.

## **10.) Tidiness & cleanliness**

Anyone who visits the office first see the surroundings, then office building and then only you. If the office is not tidy & clean it gives a bad opinion about the staff and their capacity to work. Secondly unclean offices are tend to cause ill health to us. That is why it is said, “cleanliness is next to godliness”. Hence you are required to keep your seat & papers tidy & at least your surroundings clean.

At this stage we would like to ask you a question. Are you ready? If the traffic rules we do not follow on the road. What happens?

Yes, the possibility of meeting an accident. If we are not disciplined there is every possibility of meeting an accident or unwanted situation in office. Hence we suggest you to be careful in this regard.

## **TAPPALS AND FILE MANAGEMENT**

### **Introduction**

We have discussed about why & what of 'office' and 'system' and the common office functions. In Unit 2 we have discussed the Tottenham system and its salient features. At the end of the module, in Unit 3, general discipline expected of a public servant in an office was discussed.

Now we should go deep into each of the common office functions and know about them. As you are aware any office do the work of processing the information. Information processing again starts with receipt of information, isn't it? Do you know how information is received in an office? Yes, by way of letters etc. All communications, which pass on some information, are called tappals, as per Tottenham system.

**Once tappals are received in an office they should be disposed properly i.e. reply should be communicated to the sender of the tappal. The action that is taken to send a reply is processing information. To process the information a file is managed.**

The present module 2 deals with **Tappals and File Management**

The module is divided into the following 3 units

- 1: Receipts and distribution of tappals
- 2: Maintenance of Personal Register (PR)
- 3: File Management

You have already seen in module 1 that units are further divided into sub units. Same thing here also. You may ask questions now. The introduction says about Tappals and file management but Unit 2 says about PR why? It is because this is the way it is to be worked. The details we will see now.

#### **- Tappals**

-Ordinary -Urgent

- **Receipt of tappal**
- **Perusal by officer**
- **Entry in Inward register/ Security register**
- **Distribution of Tappals**
- **Registry in PR**
- **File Management**

-Note file -Current file -Flagging -Referencing -Linking

## **RECEIPT AND DISTRIBUTION OF TAPPALS**

### **INTRODUCTION**

Everyone of us visit post office in our day to day life for purchasing cards or stamps or for sending money order or registered letters or in some other context. You would have seen in almost all central places and at the entrance of the post office a post box where you can post your letters. Post office is also generally called Tappal Office. You are well aware that the main function of the post office is to receive letters, sort them and send/ distribute them to the concerned.

In Government offices also similar to a post office, letters or communications are received, sorted out and distributed to the concerned

dealing assistants. In big offices where the strength is more, a separate section may be looking after this actively. In small offices a clerk/Assistant may be entrusted with this work. In very small office where there is only one assistant he/she has to attend to the receipt of communications also besides other work.

We are discussing about receipt of communications. You might be wondering why all this?

You are aware that in Government offices also large number of communications are received. All such communications are termed as

## **Tappal**

### **OBJECTIVES:**

On completion of this unit, you will be able to

- \* Describe the procedure involved in Receipts & Opening of tappal
- List out the instances where tappal need not be entered in the Inward Register
- \* Describe the distribution process of tappals and its significance **TAPPALS**

We have already mentioned that all communications received in an office are called tappals. The communications may be in the form of memos, letters, DO letters, proceedings, GOs etc received either from government i.e. Secretariat or other government offices or common public. The tappal is generally received in two ways:

- i) Either by messenger from local offices or public who visit our office or
- ii) By post.

- **Tappal** refers to all written communications received in an office. Examples of Tappal include letter, telegram, file etc. received either by post, special messenger or by other means like the telex, fax , e mail etc.

### **Receipt of Tappals**

The tappal clerk in an office receives tappal in the tappal section. Normally, when we write a letter to any person, by name. However, in the official style of communication, the letters are normally addressed by designations except in few cases. In such situations, letters received addressing the Head of Office or senior most officers in the organization by designation will first reach the tappal section. The concerned functionary in tappal section would send it to the officer concerned.

We generally call the tappal section as Inward section. In many offices, the inward and outward i.e. sending letters to other offices is being dealt in one section generally called as Inward and Outward section. The tappal clerk is called as inward clerk. It is the responsibility of the Head of the office to issue proper orders entrusting the inward/tappal work. Irrespective of the size of office, proper office order should be there entrusting the work.

### **Confidential tappals**

By this you refer to tappals bearing security grading. Security grading means tappals with markings like confidential, Secret and top secret etc.

### **Urgent Tappal**

It means tappals marked as immediate, Top priority. You may like to note that there are only two types of urgency grading in govt. Others like most immediate, urgent, most urgent, today etc are not to be used. The reason why there are only two urgency grading is that having too many grading would necessitate their own inter se urgency. More difficult part is to remember the inter se urgency grading.

### **Care to be taken**

**Whenever a communication is received locally, the tappal/inward assistant affixing the office seal and date should acknowledge it. Whenever he/she receives letters from the postman they should be verified to the correctness of the address and if any letters of other offices are delivered wrongly they should be returned to the postman**

### **Perusal by officer**

Previously there used to be an inward box duly locked in all offices. The duty of the tappal clerk is to acknowledge, receive the letters and put them in the box. The box is opened before the AO or the officer to whom the responsibility of opening the tappals is entrusted and the covers opened.

The officer entrusted with this responsibility should see that all-important communications received from government & superior officers etc. should be perused by the Head of the Office/Dept or Collector. Other communications should be marked to the officer concerned for his/her remarks and further action.

Depending on the nature, the officer should give endorsement on the tappal. To save time and for easy understanding certain endorsement are indicated in the Tottenham system. They are:

**N Dis.:** Return it in original. When such endorsement is given, the communication will be returned to the sender indicating the reasons for returning. The gist of which is entered in the inward register and sent back

**X N Dis.:** In the earlier case it was entered in the inward register. In this case there is no need to enter and simply it will be returned to the sender

**L dis. Or Lodge: Papers** marked L Dis./lodge are simply closed. No further action on these is needed. However an entry in the inward register and personal register will be made

**X L dis.:** Purpose is the same i.e. closing it without any action. But no entry is made in the inward register

**F Dis.:** Means simply file the paper

**FI:** File it but index them

These are discussed in detail in the chapter dealing with disposals in DOM.

**DO letter:** You may be knowing that the purpose of DO letter is to draw personal attention of the addressee. The officer whoever receives a DO letter should take care to see that it is replied. In case more time is needed for furnishing the information etc called for in the DO Letter, intimate the position immediately. For this purpose it is advised that the PAs of the officers should maintain a DO letter Register and watch action on such communications. The officer should also check the register once in a fortnight to ensure prompt action.

### **Reminders:**

Normally reminders are sent when the information asked for has not received. It is the duty of the officer to verify the reasons for not sending or giving the information and to see that it is sent. If adequate care is taken at tappals stage receipt of reminders will be reduced and the section will take prompt action

### **Entry in the Inward Register/Distribution Register**

Distribution Register format is given in Form 1, Appendix 8 of the DOM. The tappal clerk will make entries in it only under the specific orders of the officer opening the tappal or mail. The papers to be entered in it are those of the loss of which would be serious or inconvenient or might lead to something important being overlooked. To give few examples, A Government order on an important subject on which specific action has to be taken, or calling for a report on an important subject, any letter or petition, any file of original papers reporting on an appeal, plans, maps and estimates, title deeds and similar documents. The criteria is the paper which is irreplaceable or the loss of which though it is not irreplaceable would cause inconvenience, or draw down the govt. If the answer to all these questions is no the paper is not likely to be one that need to be entered in the distribution register/Inward Register.

It needs to be entered in the distribution register with sufficient particulars to enable the communication to be identified. If it is an official communication, the designation of the officer from whom it came, and its reference number with the date need alone be entered. If it is a letter from a private person, his/her name, number of the letter if it has and its date are usually be sufficient. Subject may be added in few words indicating the particulars, for easy identification. The tappal clerk will enter each paper in the distribution register, the section to which the paper relates and the number of the clerk concerned. The officer opening

the tappal or the subordinate supervisory officer like AO or Superintendent or Manager will initial the register after each batch of entries in it. The tappal clerk is responsible for seeing that the clerk who has to deal with the paper acknowledges it in the distribution register. If the serial number of that current in the PR is entered in the DR it will enable to trace the status of the case more easily, if necessary.

There is no need to maintain a separate register for communications received by registered post. Because a man thinks fit to send a communication by a registered post, it may not be of any special importance. Even if it is so, it will be entered in the distribution register and no special precautions are required in regard to it.

### **Security register**

Valuables, cash notes, etc having an actual monetary value will be entered in the usual security register

### **Distribution of Tappals**

You have seen the various stages of receipt of communication in an office i.e. receipt by tappal clerk, opening of the tappal, endorsement by officer, entry in the inward or distribution register.

What to do next? You might have noticed that the tappal is still in the inward/tappal section and not reached the concerned caseworker for taking necessary action on it.

So the next step is to distribute the tappal to the concerned caseworker(s) i.e. the dealing assistants. Let us see how it is done

To be simple the tappal once entered in the inward/distribution register and affixed with the date stamp and numbered is called "current". The section head/superintendent will note the endorsement given by the officer and then the current(s) will be handed over to the concerned dealing Assistant duly obtaining the initials of the Assistant in the Inward/Distribution Register.

The Section head/Superintendent will, whenever necessary, give proper guidance to the concerned Assistant in taking necessary action on the currents and supervise the activity.

/////

## Study material for PROCUREMENT OF GOODS AND SERVICES

### I. PROCUREMENT OF GOODS

**Rule 135.** This chapter contains the general rules applicable to all Ministries or Departments, regarding procurement of goods required for use in the public service. Detailed instructions relating to procurement of goods may be issued by the procuring departments broadly in conformity with the general rules contained in this Chapter.

**Rule 136. Definition of Goods :** The term 'goods' used in this chapter includes all articles, material, commodities, livestock, furniture, fixtures, raw material, spares, instruments, machinery, equipment, industrial plant etc. purchased or otherwise acquired for the use of Government but excludes books, publications, periodicals, etc. for a library.

**Rule 137. Fundamental principles of public buying :** Every authority delegated with the financial powers of procuring goods in public interest shall have the responsibility and accountability to bring efficiency, economy, transparency in matters relating to public procurement and for fair and equitable treatment of suppliers and promotion of competition in public procurement.

The procedure to be followed in making public procurement must conform to the following yardsticks :-

- (i) the specifications in terms of quality, type etc., as also quantity of goods to be procured, should be clearly spelt out keeping in view the specific needs of the procuring organisations. The specifications so worked out should meet the basic needs of the organisation without including superfluous and non-essential features, which may result in unwarranted expenditure. Care should also be taken to avoid purchasing quantities in excess of requirement to avoid inventory carrying costs;
- (ii) offers should be invited following a fair, transparent and reasonable procedure;
- (iii) the procuring authority should be satisfied that the selected offer adequately meets the requirement in all respects;
- (iv) the procuring authority should satisfy itself that the price of the selected offer is reasonable and consistent with the quality required;
- (v) at each stage of procurement the concerned procuring authority must place on record, in precise terms, the considerations which weighed with it while taking the procurement decision.

**Rule 138. Authorities competent to purchase goods :** An authority which is competent to incur contingent expenditure may sanction the purchase of goods required for use in public service in accordance with Schedule V of the Delegation of Financial Powers Rules, 1978, following the general procedure contained in the following rules.

**Rule 139. Procurement of goods required on mobilisation :** Procurement of goods required on mobilisation and/or during the continuance of Military operations shall be regulated by special rules and orders issued by the Government on this behalf from time to time.

**Rule 140. Powers for procurement of goods :** The Ministries or Departments have been delegated full powers to make their own arrangements for procurement of goods. In case however, a Ministry or Department does not have the required expertise, it may project its indent to the Central Purchase Organisation (e.g. DGS&D) with the approval of competent authority. The indent form to be utilised for this purpose will be as per the standard form evolved by the Central Purchase Organisation.

**Rule 141. Rate Contract :** The Central Purchase Organisation (e.g. DGS&D) shall conclude rate contracts with the registered suppliers, for goods and items of standard types, which are identified as common user items and are needed on recurring basis by various Central Government Ministries

or Departments. Definition of Registered suppliers is given in **Rule 142 below**. The Central Purchase Organisation will furnish and update all the relevant details of the rate contracts in its web site. The Ministries or Departments shall follow those rate contracts to the maximum extent possible.

**Rule 142. Registration of Suppliers :**

- (i) With a view to establishing reliable sources for procurement of goods commonly required for Government use, the Central Purchase Organisation (e.g. DGS&D) will prepare and maintain item-wise lists of eligible and capable suppliers. Such approved suppliers will be known as "Registered Suppliers". All Ministries or Departments may utilize these lists as and when necessary. Such registered suppliers are prima facie eligible for consideration for procurement of goods through Limited Tender Enquiry. They are also ordinarily exempted from furnishing bid security along with their bids. A Head of Department may also register suppliers of goods which are specifically required by that Department or Office.
- (ii) Credentials, manufacturing capability, quality control systems, past performance, after-sales service, financial background etc. of the supplier(s) should be carefully verified before registration.
- (iii) The supplier(s) will be registered for a fixed period (between 1 to 3 years) depending on the nature of the goods. At the end of this period, the registered supplier(s) willing to continue with registration are to apply afresh for renewal of registration. New supplier(s) may also be considered for registration at any time, provided they fulfil all the required conditions.
- (iv) Performance and conduct of every registered supplier is to be watched by the concerned Ministry or Department. The registered supplier(s) are liable to be removed from the list of approved suppliers if they fail to abide by the terms and conditions of the registration or fail to supply the goods on time or supply substandard goods or make any false declaration to any Government agency or for any ground which, in the opinion of the Government, is not in public interest.

**Rule 143. Enlistment of Indian Agents :** As per the Compulsory Enlistment Scheme of the Department of Expenditure, Ministry of Finance, it is compulsory for Indian agents, who desire to quote directly on behalf of their foreign principals, to get themselves enlisted with the Central Purchase Organisation (eg. DGS&D). However, such enlistment is not equivalent to registration of suppliers as mentioned under **Rule 142 above**.

**Rule 144. Reserved Items :** The Central Government, through administrative instructions, has reserved all items of handspun and handwoven textiles (khadi goods) for exclusive purchase from Khadi Village Industries Commission (KVIC).

It has also reserved all items of handloom textiles required by Central Government departments for exclusive purchase from KVIC and/or the notified handloom units of ACASH (Association of Corporations and Apex Societies of Handlooms). The Central Government has also reserved some items for purchase from registered Small Scale Industrial Units. The Central Departments or Ministries are to make their purchases for such reserved goods and items from such units as per the instructions issued by the Central Government in this regard.

**Rule 145. Purchase of goods without quotation :** Purchase of goods upto the value of Rs. 15,000/- (Rupees Fifteen Thousand) only on each occasion may be made without inviting quotations or bids on the basis of a certificate to be recorded by the competent authority in the following format.

"I, \_\_\_\_\_, am personally satisfied that these goods purchased are of the requisite quality and specification and have been purchased from a reliable supplier at a reasonable price."

**Rule 146. Purchase of goods by purchase committee :** Purchase of goods costing above Rs. 15,000/- (Rupees Fifteen Thousand) only and upto Rs. 1,00,000/- (Rupees One lakh) only on each occasion may be made on the recommendations of a duly constituted Local Purchase Committee consisting of three members of an appropriate level as decided by the Head of the Department. The

committee will survey the market to ascertain the reasonableness of rate, quality and specifications and identify the appropriate supplier. Before recommending placement of the purchase order, the members of the committee will jointly record a certificate as under.

"Certified that we \_\_\_\_\_, members of the purchase committee are jointly and individually satisfied that the goods recommended for purchase are of the requisite specification and quality, priced at the prevailing market rate and the supplier recommended is reliable and competent to supply the goods in question. "

**Rule 147. Purchase of goods directly under rate contract :**

- (1) In case a Ministry or Department directly procures Central Purchase Organisation (e.g. DGS&D) rate contracted goods from suppliers, the prices to be paid for such goods shall not exceed those stipulated in the rate contract and the other salient terms and conditions of the purchase should be in line with those specified in the rate contract. The Ministry or Department shall make its own arrangement for inspection and testing of such goods where required.
- (2) The Central Purchase Organisation (e.g. DGS&D) should host the specifications, prices and other salient details of different rate contracted items, appropriately updated, on the web site for use by the procuring Ministry or Department.

**Rule 148.** A demand for goods should not be divided into small quantities to make piece meal purchases to avoid the necessity of obtaining the sanction of higher authority required with reference to the estimated value of the total demand.

**Rule 149. Purchase of goods by obtaining bids:** Except in cases covered under **Rule 145, 146 and 147(1)**, Ministries or Departments shall procure goods under the powers referred to in **Rule 140** above by following the standard method of obtaining bids in :

- (i) Advertised Tender Enquiry;
- (ii) Limited Tender Enquiry;
- (iii) Single Tender Enquiry.

**Rule 150. Advertised Tender Enquiry.**

- (i) Subject to exceptions incorporated under **Rules 151 and 154**, invitation to tenders by advertisement should be used for procurement of goods of estimated value Rs. 25 lakh (Rupees Twenty Five Lakh) and above. Advertisement in such case should be given in the Indian Trade Journal (ITJ), published by the Director General of Commercial Intelligence and Statistics, Kolkata and at least in one national daily having wide circulation.
- (ii) An organisation having its own web site should also publish all its advertised tender enquiries on the web site and provide a link with NIC web site. It should also give its web site address in the advertisements in ITJ and newspapers.
- (iii) The organisation should also post the complete bidding document in its web site and permit prospective bidders to make use of the document downloaded from the web site. If such a downloaded bidding document is priced, there should be clear instructions for the bidder to pay the amount by demand draft etc. along with the bid.
- (iv) Where the Ministry or Department feels that the goods of the required quality, specifications etc., may not be available in the country and it is necessary to also look for suitable competitive offers from abroad, the Ministry or Department may send copies of the tender notice to the Indian embassies abroad as well as to the foreign embassies in India. The selection of the embassies will depend on the possibility of availability of the required goods in such countries.
- (v) Ordinarily, the minimum time to be allowed for submission of bids should be three weeks from the date of publication of the tender notice or availability of the bidding document for sale, whichever is later. Where the department also contemplates obtaining bids from abroad, the minimum period should be kept as four weeks for both domestic and foreign bidders.

**Rule 151. Limited Tender Enquiry.**

- (i) This method may be adopted when estimated value of the goods to be procured is up to Rupees Twenty-five Lakhs. Copies of the bidding document should be sent directly by speed post/registered post/courier/e-mail to firms which are borne on the list of registered suppliers for the goods in question as referred under **Rule 142 above**. The number of supplier firms in Limited Tender Enquiry should be more than three. Further, web based publicity should be given for limited tenders. Efforts should be made to identify a higher number of approved suppliers to obtain more responsive bids on competitive basis.
- (ii) Purchase through Limited Tender Enquiry may be adopted even where the estimated value of the procurement is more than Rupees twenty- five Lakhs, in the following circumstances.
- (a) The competent authority in the Ministry or Department certifies that the demand is urgent and any additional expenditure involved by not procuring through advertised tender enquiry is justified in view of urgency. The Ministry or Department should also put on record the nature of the urgency and reasons why the procurement could not be anticipated.
- (b) There are sufficient reasons, to be recorded in writing by the competent authority, indicating that it will not be in public interest to procure the goods through advertised tender enquiry.
- (c) The sources of supply are definitely known and possibility of fresh source(s) beyond those being tapped, is remote.
- (iii) Sufficient time should be allowed for submission of bids in Limited Tender Enquiry cases.

**Rule 152. Two bid system :** For purchasing high value plant, machinery etc. of a complex and technical nature, bids may be obtained in two parts as under :-

- (a) Technical bid consisting of all technical details alongwith commercial terms and conditions ; and
- (b) Financial bid indicating item-wise price for the items mentioned in the technical bid.

The technical bid and the financial bid should be sealed by the bidder in separate covers duly superscribed and both these sealed covers are to be put in a bigger cover which should also be sealed and duly superscribed. The technical bids are to be opened by the purchasing Ministry or Department at the first instance and evaluated by a competent committee or authority. At the second stage financial bids of only the technically acceptable offers should be opened for further evaluation and ranking before awarding the contract.

**Rule 153. Late Bids :** In the case of advertised tender enquiry or limited tender enquiry, late bids (i.e. bids received after the specified date and time for receipt of bids) should not be considered.

**Rule 154. Single Tender Enquiry.**

Procurement from a single source may be resorted to in the following circumstances :

- (i) It is in the knowledge of the user department that only a particular firm is the manufacturer of the required goods.
- (ii) In a case of emergency, the required goods are necessarily to be purchased from a particular source and the reason for such decision is to be recorded and approval of competent authority obtained.
- (iii) For standardisation of machinery or spare parts to be compatible to the existing sets of equipment (on the advice of a competent technical expert and approved by the competent authority), the required item is to be purchased only from a selected firm.

Note : Proprietary Article Certificate in the following form is to be provided by the Ministry /

Department before procuring the goods from a single source under the provision of sub **Rule 154 (i) and 154 (iii)** as applicable.

(i) The indented goods are manufactured by  
M/s.....

(ii) No other make or model is acceptable for the following reasons :

.....  
.....  
.....

(iii) Concurrence of finance wing to the proposal vide :

.....

(iv) Approval of the competent authority vide :.....

\_\_\_\_\_  
\_\_\_\_\_  
(Signature with date and designation  
of the procuring officer)

**Rule 155. Contents of Bidding Document :** All the terms, conditions, stipulations and information to be incorporated in the bidding document are to be shown in the appropriate chapters as below :-

Chapter – 1 : Instructions to Bidders. Chapter – 2 : Conditions of Contract. Chapter – 3 : Schedule of Requirements.

Chapter – 4 : Specifications and allied Technical Details.

Chapter – 5 : Price Schedule(to be utilised by the bidders for quoting their prices).

Chapter – 6 : Contract Form.

Chapter – 7 : Other Standard Forms, if any, to be utilised by the purchaser and the bidders.

**Rule 156. Maintenance Contract :** Depending on the cost and nature of the goods to be purchased, it may also be necessary to enter into maintenance contract(s) of suitable period either with the supplier of the goods or with any other competent firm, not necessarily the supplier of the subject goods. Such maintenance contracts are especially needed for sophisticated and costly equipment and machinery. It may however be kept in mind that the equipment or machinery is maintained free of charge by the supplier during its warranty period or such other extended periods as the contract terms may provide and the paid maintenance should commence only thereafter.

**Rule 157. Bid Security :**

- (i) To safeguard against a bidder's withdrawing or altering its bid during the bid validity period in the case of advertised or limited tender enquiry, Bid Security (also known as Earnest Money) is to be obtained from the bidders except those who are registered with the Central Purchase Organisation, National Small Industries Corporation (NSIC) or the concerned Ministry or Department. The bidders should be asked to furnish bid security along with their bids. Amount of bid security should ordinarily range between two percent to five percent of the estimated value of the goods to be procured. The exact amount of bid security, should be determined accordingly by the Ministry or Department and indicated in the bidding documents. The bid security may be accepted in the form of Account Payee Demand Draft, Fixed Deposit Receipt, Banker's Cheque or Bank Guarantee from any of the commercial banks in an acceptable form, safeguarding the purchaser's interest in all respects. The bid security is normally to remain valid for a period of forty-five days beyond the final bid validity period.

- (ii) Bid securities of the unsuccessful bidders should be returned to them at the earliest after expiry

of the final bid validity and latest on or before the 30<sup>th</sup> day after the award of the contract.

**Rule 158. Performance Security :**

- (i) To ensure due performance of the contract, Performance Security is to be obtained from the successful bidder awarded the contract. Performance Security is to be obtained from every successful bidder irrespective of its registration status etc. Performance Security should be for an amount of five to ten per cent. of the value of the contract. Performance Security may be furnished in the form of an Account payee Demand Draft, Fixed Deposit Receipt from a Commercial bank, Bank Guarantee from a Commercial bank in an acceptable form safeguarding the purchasers interest in all respects.
- (ii) Performance Security should remain valid for a period of sixty days beyond the date of completion of all contractual obligations of the supplier including warranty obligations.
- (iii) Bid security should be refunded to the successful bidder on receipt of Performance Security.

**Rule 159.**

- (1) **Advance payment to supplier :** Ordinarily, payments for services rendered or supplies made should be released only after the services have been rendered or supplies made. However, it may become necessary to make advance payments in the following types of cases :-
  - (i) Advance payment demanded by firms holding maintenance contracts for servicing of Air-conditioners, computers, other costly equipment, etc.
  - (ii) Advance payment demanded by firms against fabrication contracts, turn-key contracts etc.

Such advance payments should not exceed the following limits :

- (i) Thirty per cent. of the contract value to private firms;
- (ii) Forty per cent. of the contract value to a State or Central Government agency or a Public Sector Undertaking; or
- (iii) in case of maintenance contract, the amount should not exceed the amount payable for six months under the contract.

Ministries or Departments of the Central Government may relax, in consultation with their Financial Advisers concerned, the ceilings (including percentage laid down for advance payment for private firms) mentioned above. While making any advance payment as above, adequate safeguards in the form of bank guarantee etc. should be obtained from the firm.

- (2) **Part payment to suppliers :** Depending on the terms of delivery incorporated in a contract, part payment to the supplier may be released after it despatches the goods from its premises in terms of the contract.

**Rule 160. Transparency, competition, fairness and elimination of arbitrariness in the procurement process :** All government purchases should

be made in a transparent, competitive and fair manner, to secure best value for money. This will also enable the prospective bidders to formulate and send their competitive bids with confidence. Some of the measures for ensuring the above are as follows:-

- (i) the text of the bidding document should be self-contained and comprehensive without any ambiguities. All essential information, which a bidder needs for sending responsive bid, should be clearly spelt out in the bidding document in simple language. The bidding document should contain, inter alia;

- (a) the criteria for eligibility and qualifications to be met by the bidders such as minimum level of experience, past performance, technical capability, manufacturing facilities and financial position etc.;
  - (b) eligibility criteria for goods indicating any legal restrictions or conditions about the origin of goods etc which may be required to be met by the successful bidder;
  - (c) the procedure as well as date, time and place for sending the bids;
  - (d) date, time and place of opening of the bid;
  - (e) terms of delivery;
  - (f) special terms affecting performance, if any.
- (ii) Suitable provision should be kept in the bidding document to enable a bidder to question the bidding conditions, bidding process and/ or rejection of its bid.
  - (iii) Suitable provision for settlement of disputes, if any, emanating from the resultant contract, should be kept in the bidding document.
  - (iv) The bidding document should indicate clearly that the resultant contract will be interpreted under Indian Laws.
  - (v) The bidders should be given reasonable time to send their bids.
  - (vi) The bids should be opened in public and authorised representatives of the bidders should be permitted to attend the bid opening.
  - (vii) The specifications of the required goods should be clearly stated without any ambiguity so that the prospective bidders can send meaningful bids. In order to attract sufficient number of bidders, the specification should be broad based to the extent feasible. Efforts should also be made to use standard specifications which are widely known to the industry.
  - (viii) Pre-bid conference : In case of turn-key contract(s) or contract(s) of special nature for procurement of sophisticated and costly equipment, a suitable provision is to be kept in the bidding documents for a pre-bid conference for clarifying issues and clearing doubts, if any, about the specifications and other allied technical details of the plant, equipment and machinery projected in the bidding document. The date, time and place of pre-bid conference should be indicated in the bidding document. This date should be sufficiently ahead of bid opening date.
  - (ix) Criteria for determining responsiveness of bids, criteria as well as factors to be taken into account for evaluating the bids on a common platform and the criteria for awarding the contract to the responsive lowest bidder should be clearly indicated in the bidding documents.
  - (x) Bids received should be evaluated in terms of the conditions already incorporated in the bidding documents; no new condition which was not incorporated in the bidding documents should be brought in for evaluation of the bids. Determination of a bid's responsiveness should be based on the contents of the bid itself without recourse to extrinsic evidence.
  - (xi) Bidders should not be permitted to alter or modify their bids after expiry of the deadline for receipt of bids.
  - (xii) Negotiation with bidders after bid opening must be severely discouraged. However, in exceptional circumstances where price negotiation against an ad-hoc procurement is necessary due to some unavoidable circumstances, the same may be resorted to only with the lowest evaluated responsive bidder.
  - (xiii) In the rate contract system, where a number of firms are brought on rate contract for the same item, negotiation as well as counter offering of rates are permitted with the bidders in view and for this purpose special permission has been given to the Directorate General of Supplies and Disposals (DGS&D).
  - (xiv) Contract should ordinarily be awarded to the lowest evaluated bidder whose bid has been found to be responsive and who is eligible and qualified to perform the contract satisfactorily as per the terms and conditions incorporated in the corresponding bidding document. However, where the lowest acceptable bidder against ad-hoc requirement is not in a position to supply the full quantity

required, the remaining quantity, as far as possible, be ordered from the next higher responsive bidder at the rates offered by the lowest responsive bidder.

- (xv) The name of the successful bidder awarded the contract should be mentioned in the Ministries or Departments notice board or bulletin or web site

**Rule 161. Efficiency, Economy and Accountability in Public Procurement System :** Public procurement procedure is also to ensure efficiency, economy and accountability in the system. To achieve the same, the following keys areas should be addressed :-

- (i) To reduce delay, appropriate time frame for each stage of procurement should be prescribed by the Ministry or Department. Such a time frame will also make the concerned purchase officials more alert.
- (ii) To minimise the time needed for decision making and placement of contract, every Ministry / Department, with the approval of the competent authority, may delegate, wherever necessary, appropriate purchasing powers to the lower functionaries.
- (iii) The Ministries or Departments should ensure placement of contract within the original validity of the bids. Extension of bid validity must be discouraged and resorted to only in exceptional circumstances.
- (iv) The Central Purchase Organisation (e.g. DGS&D) should bring into the rate contract system more and more common user items which are frequently needed in bulk by various Central Government departments. The Central Purchase Organisation (e.g. DGS&D) should also ensure that the rate contracts remain available without any break.

**Rule 162. Buy-Back Offer :** When it is decided with the approval of the competent authority to replace an existing old item(s) with a new and better version, the department may trade the existing old item while purchasing the new one. For this purpose, a suitable clause is to be incorporated in the bidding document so that the prospective and interested bidders formulate their bids accordingly. Depending on the value and condition of the old item to be traded, the time as well as the mode of handing over the old item to the successful bidder should be decided and relevant details in this regard suitably incorporated in the bidding document.

Further, suitable provision should also be kept in the bidding document to enable the purchaser either to trade or not to trade the item while purchasing the new one.

## **II. PROCUREMENT OF SERVICES**

**Rule 163.** The Ministries or Departments may hire external professionals, consultancy firms or consultants (referred to as consultant hereinafter) for a specific job, which is well defined in terms of content and time frame for its completion or outsource certain services.

**Rule 164.** This chapter contains the fundamental principles applicable to all Ministries or Departments regarding engagement of consultant(s) and outsourcing of services. Detailed instructions to this effect may be issued by the concerned Ministries or Departments. However, the Ministries or Departments shall ensure that they do

not contravene the basic rules contained in this chapter.

**Rule 165. Identification of Work / Services required to be performed by Consultants :** Engagement of consultants may be resorted to in situations requiring high quality services for which the concerned Ministry/ Department does not have requisite expertise. Approval of the competent authority should be obtained before engaging consultant(s).

**Rule 166. Preparation of scope of the required work / service :** The Ministries / Departments should prepare in simple and concise language the requirement, objectives and the scope of the assignment. The eligibility and pre-qualification criteria to be met by the consultants should also be clearly identified at this stage.

**Rule 167. Estimating reasonable expenditure :** Ministry or Department proposing to engage consultant(s) should estimate reasonable expenditure for the same by ascertaining the prevalent market conditions and consulting other organisations engaged in similar activities.

**Rule 168. Identification of likely sources :**

- (i) Where the estimated cost of the work or service is upto Rupees twenty-five lakhs, preparation of a long list of potential consultants may be done on the basis of formal or informal enquiries from other Ministries or Departments or Organisations involved in similar activities, Chambers of Commerce & Industry, Association of consultancy firms etc.
- (ii) Where the estimated cost of the work or service is above Rupees twenty-five lakhs, in addition to (i) above, an enquiry for seeking 'Expression of Interest' from consultants should be published in at least one national daily and the Ministry's web site. The web site address should also be given in the advertisements. Enquiry for seeking Expression of Interest should include in brief, the broad scope of work or service, inputs to be provided by the Ministry or Department, eligibility and the pre-qualification criteria to be met by the consultant(s) and consultant's past experience in similar work or service. The consultants may also be asked to send their comments on the objectives and scope of the work or service projected in the enquiry. Adequate time should be allowed for getting responses from interested consultants

**Rule 169. Short listing of consultants :** On the basis of responses received from the interested parties as per **Rule 168 above**, consultants meeting the requirements should be short listed for further consideration. The number of short listed consultants should not be less than three.

**Rule 170. Preparation of Terms of Reference (TOR) :** The TOR should include

- (i) Precise statement of objectives;
- (ii) Outline of the tasks to be carried out;
- (iii) Schedule for completion of tasks;
- (iv) The support or inputs to be provided by the Ministry or Department to facilitate the consultancy.
- (v) The final outputs that will be required of the Consultant;

**Rule 171. Preparation and Issue of Request for Proposal (RFP) :** RFP is the document to be used by the Ministry / Department for obtaining offers from the consultants for the required work / service. The RFP should be issued to the shortlisted consultants to seek their technical and financial proposals. The RFP should contain :

- (i) A letter of Invitation
- (ii) Information to Consultants regarding the procedure for submission of proposal .
- (iii) Terms of Reference (TOR).
- (iv) Eligibility and pre-qualification criteria incase the same has not been ascertained through Enquiry for Expression of Interest.
- (v) List of key position whose CV and experience would be evaluated.

- (vi) Bid evaluation criteria and selection procedure.
- (vii) Standard formats for technical and financial proposal.
- (viii) Proposed contract terms.
- (ix) Procedure proposed to be followed for midterm review of the progress of the work and review of the final draft report.

**Rule 172. Receipt and opening of proposals :** Proposals should ordinarily be asked for from consultants in 'Two-bid' system with technical and financial bids sealed separately. The bidder should put these two sealed envelopes in a bigger envelope duly sealed and submit the same to the Ministry or Department by the specified date and time at the specified place. On receipt, the technical proposals should be opened first by the Ministry or Department at the specified date, time and place.

**Rule 173. Late Bids :** Late bids i.e. bids received after the specified date and time of receipt, should not be considered.

**Rule 174. Evaluation of Technical Bids :** Technical bids should be analysed and evaluated by a Consultancy Evaluation Committee (CEC) constituted by the Ministry or Department. The CEC shall record in detail the reasons for acceptance or rejection of the technical proposals analysed and evaluated by it.

**Rule 175. Evaluation of Financial Bids of the technically qualified bidders :** The Ministry or Department shall open the financial bids of only those bidders who have been declared technically qualified by the Consultancy Evaluation Committee as per **Rule 174** above for further analysis or evaluation and ranking and selecting the successful bidder for placement of the consultancy contract.

**Rule 176. Consultancy by nomination :** Under some special circumstances, it may become necessary to select a particular consultant where adequate justification is available for such single-source selection in the context of the overall interest of the Ministry or Department. Full justification for single source selection should be recorded in the file and approval of the competent authority obtained before resorting to such single-source selection.

**Rule 177. Monitoring the Contract :** The Ministry / Department should be involved throughout in the conduct of consultancy, preferably by taking a task force approach and continuously monitoring the performance of the consultant(s) so that the output of the consultancy is in line with the Ministry /Department's objectives.

### III OUTSOURCING OF SERVICES

**Rule 178. Outsourcing of Services :** A Ministry or Department may outsource certain services in the interest of economy and efficiency and it may prescribe detailed instructions and procedures for this purpose without, however, contravening the following basic guidelines.

**Rule 179. Identification of likely contractors :** The Ministry or Department should prepare a list of likely and potential contractors on the basis of formal or informal enquiries from other Ministries or Departments and Organisations involved in similar activities, scrutiny of 'Yellow pages', and trade journals, if available, web site etc.

**Rule 180. Preparation of Tender enquiry :** Ministry or Department should prepare a tender enquiry containing, inter alia :

- (i) The details of the work or service to be performed by the contractor;
- (ii) The facilities and the inputs which will be provided to the contractor by the Ministry or Department;
- (iii) Eligibility and qualification criteria to be met by the contractor for performing the required work / service; and
- (iv) The statutory and contractual obligations to be complied with by the contractor.

**Rule 181. Invitation of Bids :**

- (a) For estimated value of the work or service upto Rupees ten lakhs or less : The Ministry or Department should scrutinise the preliminary list of likely contractors as identified as per **Rule 179** above, decide the prima facie eligible and capable contractors and issue limited tender enquiry to them asking for their offers by a specified date and time etc. as per standard practice. The number of the contractors so identified for issuing limited tender enquiry should not be less than six.
- (b) For estimated value of the work or service above Rupees ten lakhs: The Ministry or Department should issue advertised tender enquiry asking for the offers by a specified date and time etc. in at least one popular largely circulated national newspaper and web site of the Ministry or Department.

**Rule 182. Late Bids :** Late bids i.e. bids received after the specified date and time of receipt, should not be considered.

**Rule 183. Evaluation of Bids Received :** The Ministry or Department should evaluate, segregate, rank the responsive bids and select the successful bidder for placement of the contract.

**Rule 184. Outsourcing by Choice :** Should it become necessary, in an exceptional situation to outsource a job to a specifically chosen contractor, the Competent Authority in the Ministry or Department may do so in consultation with the Financial Adviser. In such cases the detailed justification, the circumstances leading to the outsourcing by choice and the special interest or purpose it shall serve shall form an integral part of the proposal.

**Rule 185. Monitoring the Contract :** The Ministry or Department should be involved throughout in the conduct of the contract and continuously monitor the performance of the contractor.