

**AIDS TO PROCESSING & CHECKS ON  
DELAYS,  
PUBLIC GRIEVANCES etc.**



**CHECKS  
ON  
DELAYS**

# AIDS TO PROCESSING

## STANDING GUARD FILE

### Need:

- **Helps the new-comers;**
- **Faster disposal of cases;**
- **Useful for quick reference;**
- **Helps locating previous papers.**

# AIDS TO PROCESSING

## COMPONENTS:

- **Running summary of policy, Number & particulars of decisions & orders;**
- **Copies of decisions & orders in chronological order;**
- **Helps using forms of communication.**

# AIDS TO PROCESSING

## **STANDING NOTE:**

**Continuing note explaining the history & development of existing policy & procedure.**

- **Complete background material for review of existing policy/procedure;**
- **A brief for Parliament Questions;**
- **Induction Training Material.**

# AIDS TO PROCESSING

## **PRECEDENT BOOK:**

- **Prescribed Register (Appendix 27);**
- **Important rulings/decisions for ready reference;**
- **Entries under appropriate heads, sub-heads in alphabetical order:**
- **Numbered pages, allotted to each head.**



# AIDS TO PROCESSING

## PRECEDENT BOOK

### FORMAT (Appendix 27)

**Heading: .....**

**Decision/ruling in brief**

**File No.**

# AIDS TO PROCESSING

## **STANDARD PROCESS SHEET:**

- **Skeleton Note for repetitive item of work;**
- **Indicates predetermined points of check/aspects to be noted upon;**
- **Application for leave applications recruitment, GPF advance, license etc.**



# AIDS TO PROCESSING

## **REFERENCE FOLDER:**

- **Copies of relevant rules, orders, instructions on a particular subject issued by various authorities;**
- **Arranged in chronological order.**

# WEEKLY ARREARS STATEMENT

- Prepared the 1<sup>st</sup> day of every week (App. 34);
- Separate detail of receipts pending for more than 7 days (Appendix 35);
- Compiled by diarist for entire Section (Ap. 36)
- S. O. to check, scrutinise, give remarks/ instructions and submit it to Branch Officer;
- Branch Officer will watch and give suitable directions if necessary.

# MONTHLY STATEMENT OF PENDING

- **Dealing Hand to prepare for each case pending for over a month-Case Sheet (Ap. 37)**
- **The Diarist compiles for the Section, prepares numerical abstracts (App. 38);**
- **Report with numerical abstracts is put up to the SO latest by 3<sup>rd</sup> day of month;**
- **SO scrutinises it & submits to the Branch Off. By 5<sup>th</sup> of the month & sends a copy to IWSU;**

# MONTHLY STATEMENT OF PENDING

- **Statement of pending along with numerical abstracts goes up to the level of JS;**
- **JS may like to show it to Secretary or the Minister;**
- **Any level may remark at any stage;**
- **Work Study/O & M Unit compile this data for the whole department and analyse the trend of pending.**

# CALL BOOK

- **When no action can/need be taken for at least six months, enter in 'Call Book';**
- **Closed cases for which a review is contemplated after six months;**
- **No mention in monthly Statement of Pending Cases if included in Call Book;**
- **If retrieved from Call Book, monitoring of cases should go in usual manner;**
- **SO to scrutinise in last week of every month & submit to Branch Officer once in a quarter;**

# COMMUNICATION FROM MP/VIP

- **Separate Register should be maintained in the Section for this purpose;**
- **Should not be diarised in the Section Diary;**
- **Section should submit the Register on first working day of every month to the Branch Officer;**
- **Round off the serial number in red ink in respect of disposed off communications before submitting to Branch Officer.**

# COMMUNICATION FROM MP/VIP

- **Should be attended to promptly;**
- **If addressed to Minister, reply from Minister**
- **In other cases, over the signature of an officer of the rank of Secretary;**
- **In routine matters, minimum rank of US;**
- **If addressed to Head of Organisation/PSU, reply by the addressee himself;**



# **HANDLING COURT/CAT CASES**



# MONITORING OF COURT/CAT CASES

- **Separate Register should be maintained in the Section for this purpose;**
- **Section should submit the Register on first & 15<sup>th</sup> working day of every month to the Branch Officer;**
- **Any significant development should be brought to the notice of the senior officer immediately;**
- **Cases should be handled with due diligence and speed;**
- **Time limits should be strictly followed;**

# HANDLING COURT/CAT CASES

## ➤ NOTICES

### ✓ Pre-admission stage

- To show cause against admission;

### ✓ Post-admission stage

- Notice after Admission – for contesting the case;

### ✓ OTHER CIRCUMSTANCES:

- Notice meant for the employees working under the respondent department;
- (Private respondents – serve immediately and obtain acknowledgement)

# HANDLING COURT/CAT CASES-ACTION

## ➤ SCRUTINY:

- Check the respondent/s involved;
- Co – respondents:
  - Where applicant challenged action of department based on guidelines issued by another department;
  - Where the facts of the case relate to more than one department.

# HANDLING COURT/CAT CASES-ACTION

## ➤ COMMON DEFENCE:

- Defence of the case handled by the department whose order challenged;
- In consultation with other co-respondent/s;
- Obtain comments of other respondents on specific paragraphs;
- Prepare draft reply;
- Inform respondents the progress of case;

# HANDLING COURT/CAT CASES-ACTION

## ➤ ENGAGE A COUNSEL:

- As per the practice;
- Before date of hearing as far as possible;
- Contact the Counsel engaged;
- Take care of the interim relief;
- Draft reply ready before the hearing.

# PREPARATION OF REPLY

## ➤ **Carefully prepared:**

- **Averments made in the application are clarified & correct position stated;**
- **Reply forms the basis of defence;**
- **If not brought out correctly, difficult to contest the case effectively;**
- **Final disposal depends on documents on record;**
- **Filed within the time allowed.**

# PREPARATION OF REPLY

- **Common reply on behalf of official respondents;**
- **Facts stated in the application should be specifically admitted or denied or explained;**
- **Additional facts, found necessary, may be stated for just decision of the case.**

# PREPARATION OF REPLY

## ➤ **Tasks before framing reply:**

- **Ascertain veracity of facts stated;**
- **Ascertain correct facts relating to issues agitated in the OA/Petition;**
- **Explore possibility of raising preliminary objections;**
- **Collection of related documents in support of the defence;**



# PREPARATION OF REPLY

## ➤ **Tasks before framing reply:**

- **Identify identical cases if filed by other employees for similar relief linking them for disposal together;**
- **Identify any precedents/reported cases;**
- **Identify unreported cases, if any, known to the department.**

# PREPARATION OF REPLY

## STRUCTURE OF REPLY

### ➤ 1. Introductory paragraph

- Identification of official filing the reply;
- Recitation that the officer filing reply on behalf of respondents is competent and authorized;
- Confirm that he has read the OA/Petition and understood the contents;

[Include: 'Except as has been expressly admitted hereunder, all the material averments in the OA are denied.']

# PREPARATION OF REPLY

## **2. Second Part:**

- **Facts of the case stated in chronological, logical and cohesive manner;**
- **Advisable to start with 'Brief background of the Case for proper appreciation of case.**

## **3. Third Part:**

- **Preliminary objections, if any.**

# PREPARATION OF REPLY

## 4. Fourth part

### ➤ Para-wise reply on merits:

- Reply on merits;
- Every averment made viewed in proper perspective;
- Respondent's version of the averments made should be stated clearly.
- Attention drawn to paragraphs in the OA/Petition to avoid repetition;

# PREPARATION OF REPLY

- **State ignorance if facts not known to the respondents;**
- **State ignorance if respondents not in a position to comment;**
- **To formal paragraphs – ‘...being formal, does not call for any reply.’**
- **Mark in the body Annexure enclosed;**
- **Copies of documents to be attested;**

# PREPARATION OF REPLY

## ➤ **Language:**

- **Names of persons, places spelt in reply accurately;**
- **Avoid abbreviations;**
- **Avoid pronouns;**
- **While quoting statutory provisions, use exact language of the statute/rules;**

# PREPARATION OF REPLY

## 5. Fifth part

- **Prayer:**

- **State clearly the relief sought;**
- ✓ **Specimen – ‘In view of the submissions made hereinabove, in the Brief background of the case, preliminary objections and the para-wise comments, the applicant is not entitled to any of the reliefs sought for and the application is liable to be dismissed with costs.**

**It is prayed accordingly.’**

# PREPARATION OF REPLY

**Last part**

**Verification:**

➤ **Verification by the officer signing the reply.**

**Vetting.**

**Delivery of the reply.**



# ACTION ON FINAL ORDER

- Obtain a copy of the judgment;
- Date of receipt of copy of judgment is important for further course of action;
- OA/Petition dismissed & without any observation for respondent – No action;
- OA/Petition dismissed but with observations for the respondents – Identified and pursued.
- OA/Petition allowed- Implement within the time prescribed.

# CONTEMPT PROCEEDINGS

- **Failure to comply with the orders within the prescribed time;**
- **Same jurisdiction, power, authority as High Court;**
- **If extension of time for required, separate application should contain:**
  - **Efforts made to implement;**
  - **Difficulties faced in implementation;**
  - **Justification for additional time.**



# **HANDLING PARLIAMENT QUESTIONS & ASSURANCES**

# QUESTIONS

- **To obtain information;**
- **Notice of not less than 10 days;**
- **Three types –**
  - ✓ **Starred – Answered orally by Minister;**
  - **Supplementary questions by 2 members;**
  - ✓ **Unstarred – Written answer placed on the Table of the House;**
  - ✓ **Short-notice – matters of public importance with short notice;**

# ASSURANCES

- **Undertaking by the Minister during a reply to a question or debate which involves further action by the Govt.;**
- **‘the matter is under consideration’;**
- **‘I shall look into it’;**
- **‘Enquiries are being made’;**
- **‘I shall inform the Hon’ble member’;**
- **‘Statistics are being collected’;**

# ASSURANCES

- **Sent to the Ministry by Department of Parliamentary Affairs;**
- **Entered in the Section in the Register for Parliamentary Assurances;**
- **Fulfilled within 3 months;**
- **Extension if necessary;**
- **Extension should be sought before the expiry of time limit of 3 months;**
- **Scrutiny by Committee on Government Assurances;**

# REGISTER FOR PARLIAMENTARY ASSURANCES

- Each Section should maintain a Register separate for each House [Lok Sabha & Rajya Sabha];
- SO should scrutinise it once in every week;
- He should ensure necessary follow up and put up to BO fortnightly;
- BO should bring it to the knowledge of higher officers, if so desired.



# **PERIODICAL REPORTS/ RETURNS**



# CHECKLISTS OF PERIODICAL REPORTS

- Each Section should maintain 2 checklists – one for incoming and other for outgoing returns;
- Checklists should be prepared at the commencement of each year;
- Approved by SO, shown to BO;
- Should be displayed prominently;

# REVIEW OF PERIODICAL REPORTS/RETURNS

- All periodical reports & returns are reviewed at the level of JS once in every 3 years;
- The objective is to:
  - ✓ Rationalise, Simplify, Revise, redesign;
  - ✓ Eliminate if required;
- Yearly report of this review sent to Work Study on 7<sup>th</sup> April every year;
- A report in respect of whole department sent to D/AR & PG by 30<sup>th</sup> April every year.



**REDRESSAL  
OF  
PUBLIC GRIEVANCES**

# REDRESSAL OF PUBLIC GRIEVANCES

## ➤ ORGANISATIONAL STRUCTURE

- Department of Administrative Reforms & Public Grievances (DAR&PG);
- Public Wing in Rashtrapati Bhawan Secretariat;
- Public Wing in Prime Minister's Office;
- Directorate of Public Grievances in Cabinet Secretariat (DPG);
- Department of Pensions & Pensioners' Welfare.

# PUBLIC GRIEVANCES

- **Director of public grievances – JS/Director/DS level officer;**
- **Name, designation, telephone number displayed prominently;**
- **Wednesday should be a meeting-less day;**
- **Hours to be specified to hear public grievances;**

# PUBLIC GRIEVANCES

- **Members of public should be allowed to meet Director of Public Grievances on Wednesdays;**
- **Locked complaint box – to be opened regularly;**
- **Director of public grievances can call for cases for over 3 months and dispose them off with the approval of secretary;**
- **Citizens' Charter of the Ministry/Department/ other authorities should be up-dated and displayed on the website;**

# PUBLIC GRIEVANCES

- **Each grievance should be acknowledged within 3 days;**
- **Fixed time limits for disposal of each type of grievance;**
- **If not, within 2 months;**
- **If likely to take longer, interim reply must;**
- **Reasons/rules should be communicated in case a grievance is rejected;**
- **Publicity will be given about the grievance redressal machinery;**

# PUBLIC GRIEVANCES

- **If case to be closed, intimation with reasons must be given;**
- **Organisation should identify grievance-prone areas;**
- **Reports/returns on redressal of grievances should be sent to Dept. of administrative reforms and public grievances;**
- **The machinery & work relating to this aspect should be a part of annual report & annual action plan;**
- **Record of grievances should be retained in the computer for 1 year after final disposal.**



# REDRESSAL OF PUBLIC GRIEVANCES

## ➤ **ONLINE SYSTEM**

- **PG Portal-Centralised Public Grievance Redress & Monitoring System (CPGRAMS);**
- **Lodging of grievances from anywhere anytime 24X7;**
- **Enables Organisations' close monitoring of grievances for expeditious disposal and up-load Action Taken Report;**
- **Citizens can view status of action taken;**
- **Feedback mechanism;**

# REDRESSAL OF PUBLIC GRIEVANCES

- **PUBLIC GRIEVANCES APPEARING IN COLUMNS OF NEWSPAPERS**
- **Ministries/Departments to regularly examine the Grievances column of Newspapers;**
- **Pick up cases & take expeditious action to redress the grievances in 'time bound manner'**
- **Action to be taken within 2 months;**
- **If likely to take longer, send interim reply;**

# REDRESSAL OF PUBLIC GRIEVANCES

- **Following steps to strengthen Grievance Redress mechanism**
- ✓ **Careful analysis of grievances;**
- ✓ **Decision taken at a fairly senior level;**
- ✓ **Forwarding grievances to concerned departments for prompt redress;**
- ✓ **Reply to complainant informing details of authorities settling grievances;**
- ✓ **Obtaining reply/report from concerned Dept.;**
- ✓ **If grievance cannot be settled, reasoned reply.**

# GOVT. OF NCT DELHI-REDRESS OF GRIEVANCES

## ➤ **PUBLIC GRIEVANCES COMMISSION**

- **Comprehensive mechanism for the effective redress of grievances from members of public;**
- **Different departments under GNCT, Delhi, Local Bodies, Undertakings/other organizations substantially financed by Govt. of Delhi;**
- **Functions exercised in the same measure of functional autonomy and independence as that of UPSC;**

# GOVT. OF NCT DELHI-REDRESS OF GRIEVANCES

## ➤ **COMMISSION RESPONSIBLE FOR**

- **Speedy redressal of complaints of the public;**
- **Taking action against acts of omission or commission on the part of public officials working in organisations of Delhi Govt.;**
- **Recommending such action as considered necessary for removal of such grievance;**
- **Takes suo moto cognizance of matters coming to its notice through newspapers/magazines/other media channels or verbal complaints.**

# GOVT. OF NCT DELHI-REDRESS OF GRIEVANCES

- **POWERS AND FUNCTIONS OF COMMISSION**
- Examines complaints by public against acts of omission and commission including cases of
  - ✓ Inaction;
  - ✓ Harassment;
  - ✓ Extortion;
  - ✓ Corruption;
  - ✓ Abuse of power or authority;
- Ensure publication of information as required under the Act.

# GOVT. OF NCT DELHI-REDRESS OF GRIEVANCES

## ➤ **PROCEDURE FOR FILING COMPLAINTS**

- **Complaint in writing to the Secretary of the Commission giving details supported by the following:**
- ✓ **Supporting documents like the application made to the concerned Dept. /public body indicating inaction/wrong action by such body;**
- ✓ **Copies or orders passed by Dept./bodies (except judicial/quasi judicial bodies);**
- ✓ **Sworn affidavit on plain paper & declaration that it is not sub-judice;**

# GOVT. OF NCT DELHI-REDRESS OF GRIEVANCES

## ➤ **PROCESS FOLLOWED BY THE COMMISSION**

- **Calls for records;**
- **Summons concerned officials;**
- **Hears the complainant;**
- **Emphasis on speedy disposal of complaints;**
- **Passes speaking order;**
- **Recommends action against concerned officers if allegations made against the officers are prima facie established.**



# GOVT. OF NCT DELHI-REDRESS OF GRIEVANCES

## ➤ **CASES NOT TAKEN UP BY COMMISSION**

- **Complaints which are Anonymous or contain vague and superfluous allegations;**
- **If the matter is sub-judice;**
- **Where the complainant has not exhausted the channel available to him within the concerned department/organisation;**
- **Complaints by serving govt. servants against their department;**
- **Complaints pertaining to service matters;**



# HANDLING AUDIT PARAS

# HANDLING AUDIT PARAS

## ➤ TYPES OF AUDIT

- **Internal Audit** conducted by Internal Audit Wing of Controller of Civil Accounts/Controller of Accounts;
- **Statutory Audit** conducted by C & AG;
- **Local Audit** conducted by Audit parties inspecting the office of the organisation to be audited;

# HANDLING AUDIT PARAS

## ➤ **BROAD PROCEDURE**

- Issue of Inspection Notes/Memos by Audit Party during inspection;
- Reply to Inspection Notes/Memos by organisation during inspection;
- Draft Audit Paras in respect of Notes/Memos not satisfactorily replied to during audit;
- Draft Audit Paras sent by Audit to organisation for reply within 6 weeks;
- Paras not satisfactorily replied to appear in C & AG Report;
- PAC examines the Report & draft PAC Paras;
- Action Taken Note on PAC Paras/Recommendations.



**THANK  
YOU**