

CHAPTER-X

CHECKS ON DELAYS

10.1 Time Limit for Disposal of References – Besides matters related to the Business of the House (like Question, Notices for Motions, etc.) and required to be disposed off within the time limits specified in the Rules, Directions of Chairman or exigencies of the case, processing of the other cases needs to be monitored.

10.1.1 The work of the Secretariat at all levels involves processing of papers containing information, instructions or decisions. Their quick and efficient processing is therefore the first step towards improving office efficiency. According to their nature and importance all fresh receipts are generally divisible into three categories viz '*Immediate*', '*Urgent*' and '*Ordinary*'. The time limits for the disposal of references in each of these three categories at various level are as follows:

Nature of the Reference	Time Allowed for Dealing	Time Allowed for Disposal at the Level of the Section in-Charge and Branch Officer
1	2	3
<i>Immediate</i>	2 days	1 day at each level
<i>Urgent</i>	4 days	2 days at each level
<i>Ordinary</i>	6 days	3 days at each level

10.1.2 A reference that remains undisposed off at the end of the above time limits will be considered as delayed. The time allowed to the dealing Assistant includes the time for which the papers are held up by the reference clerk. If any attached to the dealing Assistant and the time required for tracing/opening file, referencing and linking, etc. The time limit for the disposal of the cases at the level of officers higher than the Branch Officer will be one week from the date of receipt of a reference/case by them.

10.2 Final Disposal –

10.2.1 At present, there is no check on the final disposal of references. It is possible that in many cases back references may have to be made from time to time delaying the final disposal of a case. It is essential that whatever information is wanting in a case should be asked for in the first back reference and there should normally be no need to make further back reference. To check this tendency of repeated back references and to ensure prompt disposal of references, it has been decided to lay down the time limits for final disposal of references. These time limits for the three categories of references are as follows:

<i>Immediate</i>	1 month
<i>Urgent</i>	2 months
<i>Ordinary</i>	3 months

These time limits are to be reckoned from the date of receipt of the first or original reference. It is made clear that the final disposal does not mean disposal by interim replies, etc. and final disposal means disposal of the case by finally deciding on the issues raised in the original reference and sending reply/clarification/orders, etc. Till then the

receipt is to be shown as pending and this pendency has to be mentioned in the statements of cases pending over three months from the months that the receipt of the original reference has become over three months old.

10.2.2 The above periods are the maximum limits within which the cases should be finally-disposed off. However, every efforts should be made to finalise the cases in the shortest time possible.

10.3 Disposal of Immediate/Important Receipts – A Register in the format shown at the end of the paragraph will be separately maintained for immediate/important receipts (in the proforma given below) and will be put up by the Diarists to the Section in-Charge daily. The Section in-Charge will ensure that all such cases have been duly put up by the dealing Assistants in time. In cases where the files have not been received back from the higher authorities by due dates, the Officers or their personal staff should be reminded by him/her to expedite action.

Date _____

Sl. No.	Dy.No.	Receipt From	Subject in brief	Remarks including deadline fixed by superior officers at dak stage

10.4 Weekly Arrears Statement – The Weekly Arrears Statement is intended to give a statistical picture of the number of receipts and cases received and dealt with by each dealing hand posted in an Office during a particular week. This Statement also exhibits a detailed analysis of undisposed references pending with the dealing hands. It enables the Officer Incharge to keep a watch on the progress of work of each dealing hand and to take suitable remedial measures by giving proper guidance for disposal of pending papers and preventing accumulation of arrears.

The format for the weekly arrears statement is given below:

Weekly Arrear Report for the Week ending _____

Name of Dealing Hand	Pendency at start of week	Receipts during week	Proposals during week	Pending at end of week		
				Less than 1 week old	1-2 week old	Over 2 weeks old

The report will be prepared by the Section Diarist on the basis of the Section Diary. The report will be checked by the Section in-Charge and put up to the Deputy Director/Joint Director/Director on each Monday.

The following Sections need not prepare weekly reports during Session period:

- (i) Table Office
- (ii) Bill Office
- (iii) Notice Office
- (iv) Legislative Section
- (v) Question Branch
- (vi) Reporters Branch
- (vii) Synopsis & Editorial and Translation Branches

10.5 Arrears Clearance Campaign — It has been observed that despite the best of efforts, sometimes arrears in the Section do accumulate. Accordingly, it is necessary to organise Arrears Clearance Campaigns to liquidate all pending cases by passing final orders, the word ‘Final’ meaning final decision by the authority competent to pass final orders. Whenever such campaigns are organised, it is essential that a nodal officer is designated for the purpose, who should be responsible for:

- (i) taking a stock of all pending undecided work;
- (ii) gearing up the machinery for the execution of the programme and, if necessary, organising meetings at periodical intervals to identify and remove bottlenecks and procedural problems; and augmenting resources;
- (iii) issuing detailed directions to all the concerned staff; prescribing a method for the disposal of cases;
- (iv) personal daily check of disposal by all concerned and specially by the Officer in-charge;
- (v) drawing up a well planned calendar of operation for attending to old cases on priority basis, without letting the urgent current cases suffer; and
- (vi) monitoring progress and reporting to the Head of the Service/Joint Secretary.

These are not rigid guidelines and the Section in-charge/Branch Officer can amplify or add to these guidelines depending upon their own peculiar circumstances, keeping in view the objective to be achieved. It must, however, be kept in view that final disposal of cases is a joint responsibility and has to be shared all along the line.

10.6 Assistant's Diary —

10.6.1 After a case has left the Section, sometimes it remains undisposed off at higher levels and it becomes necessary to pursue it personally. This can be done if up-to-date movement of the cases is known to the dealing officials. Every Assistant or dealing hand is, therefore, required to maintain a running record of the papers received and dealt with by him/her in the Assistant's Diary Register in the form given below. Besides the fresh receipts, the cases coming back for re-examination or further action, must also be noted in the register. The proper maintenance of this register will help the dealing hands in keeping a track of all cases besides helping in the completion of the registers of the ordinary and important references. Final disposal of receipts should be recorded against every receipt.

FORM OF ASSISTANT'S DIARY

Sl. N.	Dy. No.	Letter from	Subject	Dealt on File No.	Date of dealing	Date of Final disposal	Sign. of Section in-Charge

10.6.2 The dealing hand should submit the Assistant's Diary for inspection of the Branch Officer through the Section in-Charge, on the first working day of every week alongwith the arrears statement. The Branch Officer should record, briefly, his/her remarks on the Assistant's Diary in token of his/her inspection and in evaluating quantitative output of work. For proper checking the Branch Officer should also occasionally glance through the files claimed to have been dealt in the diary on particular dates.

NOTE: Keeping in view the practice prevailing in some Sections, notices for Questions, Calling Attention/Zero Hour/Special Mention need not be entered into Assistants Diaries.

10.7 Reminder Diary –

10.7.1 Every dealing hand will maintain a Reminder Diary in which he/she will enter date-wise:

- (a) all cases which have-been marked for re-submission on a particular date;
- (b) cases on which reminders are to be issued on specified dates; and
- (c) cases which have been referred un-officially to other departments and the return of which is awaited.

The dealing hand will examine the Reminder Diary every morning and will take necessary action in the relevant file. If a file is not available, the dealing hand will consider whether he/she can send a reminder or take any other action without the file or with the orders of the Branch Officer mark the file to be brought forward to a subsequent date. The Section-in-charge will check the reminder diaries from time to time to ensure that timely action is taken by the dealing hand. In important cases, he/she will himself/herself keep a note in his/her reminder diary.

10.7.2 Reminder Diaries of Officers: A Reminder Diary in a suitable form will also be maintained by every officer to make a note of important cases required to be submitted by or to him/her on a particular date.

10.8 Handbook for Monitoring Disposal of Receipts and Files – A mechanism for monitoring disposal of receipts and files is at **Annexure-VIII** of this Manual.

10.9 Document Management Information System (DMIS) is a web based application which enables tracking the movement of files and receipts. The system facilitate users to maintain a constant watch over the movement of receipts/ files in the process of decision-making. It requires minimal inputs and has a user-friendly interface. The system has been designed in such a manner that the controlling officer of an organization/division/ section can view the movement of the documents and can take appropriate decisions.

10.9.1 DMIS has three modules:

- (a) Diary
- (b) File
- (c) Dispatch

10.9.1.1 Diary Module: The following options are available in the Diary Module:

- Create Receipt
- Edit Receipt
- Forward Receipt
- Multiple Forwarding
- Merge Receipt in a File
- Get Receipt Sent Outside
- Receipts from CRU
- Close Receipt
- Open Receipt
- De Merge Receipt
- Cancel Last Movement
- Physically Receive Receipt
- Physically Un-Receive Receipt
- Query
- Reports

Date is entered in the above-mentioned fields by the Junior/Senior Clerk operating the software in the Section. Query, History, Reports can be viewed on the basis of data so entered.

10.9 1.2 File Module: The following options are available in the File Module:

- Create Main File
- Create Part File
- Edit File
- De-Link File
- Merge Part File
- Cancel Last Movement
- Open File
- Record File
- Un-Record File

- Forward File
- Receive File Sent Outside
- Link File
- Physically Receive a File
- Physically Un-Receive a File
- Close File
- Query
- Reports

A file is opened/created in the Section and is forwarded by each dealing official to the next official in the hierarchy. File movement and current location of each file can be viewed with the help of this module.

10.9.1.3 Dispatch Module: The following options are available in the Dispatch Module:

- Add
- Edit
- Query
- Reports

10.9.2 This application is developed in ASP as front-end with MS-SQL as back-end. The DMIS can be used by any machine in LAN and having Internet browser software like Internet Explorer, Mozilla or Opera. Each user has been provided with USER ID and PASSWORD to login. Password can be changed by the user whenever desired.

10.9.3 Other Important Features of DMIS:

- (a) **File Query:** File query is an important feature of DMIS. It provides the details of the desired file of a Section. Desired fields which are required to be displayed need to be selected. Whenever a file number is clicked/ selected, the entire history of the file *i.e.* the date on which it was opened, name of the dealing hand, current status, current location, file movement can be viewed by every official in the hierarchy of that Section. Information about existence of pan file, if any, is also reflected in the file query.
- (b) **Receipt Query:** This feature provides the details of the receipts of a Section on the basis of data entered while opening, forwarding a receipt. Desired fields about a receipt which are required to be displayed need to be selected, Diary number of each receipt, subject of the receipt, sender's name, present position, current status of each receipt, dealing hand can be viewed through receipt query. Total number of receipts during a year can also be viewed through receipt query.
- (c) **Status Reports on:**
 - Files Inflow/Outflow status;
 - Receipts Inflow/Outflow status;
 - Files Pendency status; and
 - Receipts Pendency status of each section can be generated on the basis of data entered in diary module, file module, dispatch module.
 - (a) Files Inflow/Outflow status of a particular Section may be seen after entering the period for which data is required, file category *viz.* Budget, Court cases, Financial matter, General, Medical, Personal file, VIP reference.
 - (b) Inflow/Outflow status of receipts of Division/Section may be obtained after selecting Section's name, period of the data, receipt category *viz.* Confidential, Court summons, General, MP reference, PMO reference, Public grievances, VIP reference.
 - (c) Status of files pending in a Division/Section may be viewed by selecting a Division, section/officer and file category *viz.* Budget, Court cases, Financial matters, General, Medical, Personal file, VIP reference.

- (d) Status of receipts pending in a Division/Section can be obtained by selecting a Division, Section/Officer and receipt category *viz.* Confidential, Court summons, General, MP reference, PMO reference, Public grievances, VIP reference.

10.9.4 As on 31.03.2009 DMIS Software is operational in the complete hierarchy (upto Secretary-General level) of the following Sections (and their hierarchy) of the Rajya Sabha Secretariat:

- (i) I.T. Sections (H&S)
- (ii) Personnel Section
- (iii) Committee Section (MPLADS)
- (iv) Estt. (General) Section
- (v) Stores Section
- (vi) Committee Section (S&T)
- (vii) O&M Section
- (viii) Distribution Section
- (ix) Training Cell
- (x) Committee Section (Commerce)
- (xi) Committee Section (Industry)
- (xii) Pay & Accounts Office
- (xiii) Estt. (Accounts) & Budget Section