

GOVERNMENT OF NATIONAL CAPITAL TERRITORY OF DELHI
HEALTH AND FAMILY WELFARE DEPARTMENT
LEVEL 9, A WING, DELHI SECRETARIAT
I.P. ESTATE, NEW DELHI – 110 002

No.F.2 (145)/H&FW/Admn./Misc./2014/1972-81

Dated: 06/07/15

ENDORSEMENT

URGENT /
PERSONAL
ATTENTION

The copy of the under mentioned paper is forwarded herewith for information and necessary action to the following:

1. All Spl. Secretaries / Addl. Secretaries / Joint Secretaries / Deputy Secretaries / Superintendents, H&FW Department, Government of NCT of Delhi.
2. All Medical Superintendents / Principals / Directors of Hospitals / Medical Institutions / Medical Societies, Government of NCT of Delhi.
3. Director, Directorate of Health Services, Government of NCT of Delhi.
4. Director, Directorate of Family Welfare, Government of NCT of Delhi.
5. Commissioner of Food Safety, Government of NCT of Delhi.
6. MD, NRHM, A & B Wing, 6th Floor, Vikas Bhawan II, Delhi - 110054
7. Drug Controller, Drug Control Department, Government of NCT of Delhi.
8. Project Director, CATS, Upper Bela Road, Delhi – 54.
9. PA to Secretary (H&FW), Government of NCT of Delhi.
10. Website of H&FW Department, Government of NCT of Delhi under the heading 'Circulars'.

(S. K. VARMA)
DY. SECRETARY (ADMN.)

List of paper forwarded

S. No.	Name of the Ministry / Department	OM No. & date	Subject
1	AR Department, Government of NCT of Delhi	No.F.19/10/2015/AR/4462-4621 dated 28.05.2015	Actionable points of Hon'ble Chief Minister's Office

AP/2015/624
Office of the Pr. Secy. (H&FW)
Dairy No. 10/15
Dated 11/05/15

CHIEF MINISTER'S REFERENCE
MOST URGENT/TIME BOUND

GOVERNMENT OF NATIONAL CAPITAL TERRITORY OF DELHI
ADMINISTRATIVE REFORMS DEPARTMENT
7TH LEVEL, C-WING, DELHI SECRETARIAT, I.P. ESTATE, NEW DELHI

No.F.19/10/2015/AR/ 4462-4621

Dated : 28/05/15

To

1. All the Pr. Secretaries/Secretaries/Heads of Departments, Govt. of NCT of Delhi.
2. All the Head of Local Bodies/Autonomous Bodies/Boards/PSUs/Corporations, Govt. of NCT of Delhi.

Sub: Actionable points of Hon'ble Chief Minister's Office - Reg.

Cabinet of Ministers of GNCT of Delhi held a review of functioning of AR Department on 30.04.2015. While considering the observations of AR Department regarding Administrative Reforms towards reducing the time being taken for processing various matters and introducing measures for fast and efficient decision making/discharge of work, Hon'ble Chief Minister made following observations :

"....that as per hierarchy in every department there are dealing clerks, Dy. Secretaries, Jt. Secretaries & Secretary and if a file is put up by dealing assistant and goes upward then all the officers give their opinion but nobody clearly gives the decision. This lack of decisiveness in every channel leads to pile up of files at the last level i.e. C.M's Office. He further pointed out that if the CM is the last authority to finalize the note put up by the Under Secretary/Dy. Secretary then what is the need to move the file to various levels? There is an urgent need to chalk out a procedure wherein we fix the responsibility of an officer/official and delegate the powers to take decision at his own level within the existing rules and guidelines. If we find any flaw or discrepancy, the concerned official/officer would be held responsible and action will be taken against him. This way we can find out whether we need more officers in the department or else we can abolish the posts which do not have much importance and became redundant over the period of time." Action has to be taken by 25.05.2015.

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In this connection, AR Department has accordingly examined the matter in order to put in such a system as desired by Hon'ble Chief Minister. In this regard, it is observed that the Government work falls broadly in following categories :

1. Matters involving use of financial powers
2. Matters involving policy formulation/decisions
3. Matters involving discharge of functions relating to Field Offices/Public dealing.

With regard to Point No.1, it is informed that Delegation of Financial Rules and General Financial Rules, 2005 have well defined financial powers for various Officers. However, various Offices tend to involve extra levels of Officers to discharge such functions either by submitting such matters higher authorities other than competent authority or subordinate authorities who are not related to said work. As a result, attempts are made to dilute and defuse the responsibility.

It is, therefore reiterated that only the Competent Authorities and the persons/officials involved in actual execution of a work/purchase/any action involving financial decision/ transaction should deal such matters and no extra level be involved for such decisions. For this purpose, the departments may bring out a list of various tasks involving financial transactions and specify officials /levels who/which will be involved in processing of such matters. This will also help scrutinizing authority /investigating agency to sift out the levels, which may not be attributed any responsibility in case of any irregularity.

With regard to point No.2, it is informed that Manual of Office Procedure (MOP) has clearly defined the levels of moving proposals for decisions (at secretariat/policy related matters) as under :

- (a) In cases where the Minister's approval is required, the file should be initiated by the Deputy Secretary/Director concerned and should be moved through Joint Secretary (or Additional Secretary/Special Secretary) and the Secretary (or Special Secretary) to the Minister.
- (b) Cases requiring approval of the Secretary should go through just two levels (e.g. either US and DS/Director or US and JS or DS/Director and JS).

- (c) Cases requiring approval of the JS/Director/DS should come through just one level. The exact combination of levels should be spelt out in the scheme of delegation by each Ministry/Department.

AR Department vide its letter No.F.2(5)/2014/AR/8419-8578/C Dated 26.05.04 (copy enclosed) circulated these instructions with the request to all the Departments etc. to set up teams to define and fix levels of proposals moving Officers/Officials for their various functions. Despite reminders, only a few Departments responded.

From above, it is very much clear that there are clear instructions in place regarding levels of decision making which Departments themselves need to identify and fix for their various functions. These levels also identify the responsibilities that may be ascribed to proposing, supervising/filtering/endorsing and deciding authorities. It may be observed here that for any decision making process in administrative matters, there can be only three levels as mentioned herein. Therefore, in Administrative matters, all the three levels are equally important. Any level beyond these three can be termed as superfluous.

With regard to point No.3, the position is to be viewed in light of above instructions and field offices/ need to specify their decision making levels to the minimum subject to the limit of three levels. For this, the Departments need to identify their processes and decide.


From above position it is clear that policy/instruction frame work for the purpose mentioned in the directions of Hon'ble Chief Minister already exists. However, its implementation has to be ensured by the departments.

In view of aforesaid position, in order to ensure action on the directions of Hon'ble Chief Minister, all the departments are, therefore, requested to immediately reduce the levels of decision making in all the processes as per instruction on the subject matter under mentioned in the Manual of Office Procedure (MOP) and send a report to AR Department by 30th June, 2015.

Further, it is advised that in the matters involving exercising of financial powers, the departments may bring out a list of various tasks involving financial decisions/transactions and specify officials /levels who/which will be involved in processing of such matters and only the Competent Authorities and the persons/officials involved in actual execution of a work/purchase/any action involving financial decision/ transaction should deal such matters and no extra level be involved for such decisions. Such lists shall be provided to AR department, Finance department and Dte. Of Audit.

With regard to the matters involving administrative decision making, instructions referred to above with regard to categories 2 and 3 are re-iterated and Departments are requested to intimate levels of their decision making/matter processing as per said instructions under MOP and report the same to AR Department by 15th July 2015.

With regard to the functions relating to public dealing, the departments are requested to identify their most common functions and take action for reducing their processing/decision making levels as per said instructions in the first instance. List of such functions may be submitted to AR Department by 15th July 2015.


28/05/2015
(V.C. PANDEY, IAS)
SPL. SECRETARY (AR)
Ph. 23392143


Encl: As Above.

No.F.19/10/2015/AR/4462-4621

Dated : 28/05/15

Copy forwarded for information to :

1. Secretary to C.M, Govt. of NCT of Delhi .
2. Secretary to Dy. C.M, Govt. of NCT of Delhi
3. All Secretaries to Ministers, Govt. of NCT of Delhi
4. OSD to Chief Secretary, Govt. of NCT of Delhi .


28/05/2015
(V.C. PANDEY, IAS)
SPL. SECRETARY (AR)
Ph. 23392143

GOVERNMENT OF NATIONAL CAPITAL TERRITORY OF DELHI
ADMINISTRATIVE REFORMS DEPARTMENT

7th Level, C-Wing, Delhi Secretariat, I.P. Estate, New Delhi 110002.

No. F.2(5)/2014/AR/ 8419-8578/C

Dated : 26/05/14

1. All the Pr. Secretaries/Secretaries/Heads of Departments, Govt. of NCT of Delhi.
2. All the Heads of Local Bodies / Autonomous Bodies / Boards / DSUs / Corporations, Govt. of NCT of Delhi.

Subject: Provision of Central Secretariat Manual of Office Procedure regarding 'Action on Receipts' : Reg. number of levels for processing the matter.

Sir/Madam,

Kindly refer to Chapter VI titled "Action on Receipts" (copy enclosed) of Central Secretariat Manual of Office Procedure which states about principles of Actions on Receipts for an organized, speedy and correct decision-making process. Clause 27 (3) under heading 'Level of disposal and channel of submission' of said Chapter VI states as under :-

The number of levels through which a file passes for a decision should not exceed three.

- (a) In cases where the Minister's approval is required, the file should be initiated by the Deputy Secretary/Director concerned and should be moved through Joint Secretary (or Additional Secretary/Special Secretary) and the Secretary (or Special Secretary) to the Minister.
- (b) Cases requiring approval of the Secretary should go through just two levels (e.g. either US and DS/Director or US and JS or DS/Director and JS).
- (c) Cases requiring approval of the JS/Director/DS should come through just one level. The exact combination of levels should be spelt out in the scheme of delegation by each Ministry/Department.

In this regard, feed backs through O&M studies conducted by AR Department over the period show that a large number of departments are still continuing with levels of processing and decision making matters exceeding beyond 3 levels. In this regard, it is important to stress here that excessive number of levels of processing and decision making leads to delays in decision making and implementation, carelessness and inefficiency while diluting the responsibility of the officers/officials involved. This causes adverse public perception about the functioning of the Government.

Considering above position, all the Departments/Autonomous bodies/Local Bodies/Undertakings/Boards/Corporations of GNCT of Delhi are requested to set up a group of officers headed by an officer of the rank of Additional Secretary/Joint Secretary to scrutinize all the administrative and decision making processes to identify those involving excessive number of levels beyond 3 levels. The group may also draw parallels from MOP, as indicated above, and suggest to the Competent Authority, protocol for number of levels and pattern for processing and decision making in the matters.

Action taken in this regard may kindly be intimated to AR department.

Yours faithfully,

Amitabh Joshi

(Amitabh Joshi)

Deputy Director (AR)

Telephone no. : 23392422

Encl. : as above.

CHAPTER VI

ACTION ON RECEIPTS

22. General principles:—

Action on receipts will be so organized that it results in speedy and correct decision-making process. All records creating agencies will use good quality paper (IS : 1774-1986 Type II Grade II) and ink (IS:1581-1950) as prescribed by the Bureau of Indian Standards while transacting official business so as to ensure longevity of records and easy retrieval of information. While the detailed drill to be followed is given in the succeeding paragraphs, certain general principles to be observed in this regard are given below :

- (1) An officer will himself initiate action on as many receipts as possible, keeping in view the priority requirements.
- (2) Number of levels at which a case is examined will be reduced to the minimum.
- (3) Paper work will be kept at an essential minimum.
- (4) Least possible time will be taken for examination and disposal of cases.
- (5) While disposing of cases, an officer will aim at optimizing the quality as well as the quantity of work performed by him.
- (6) Simplified and pre-structured formats will be devised for processing routine i.e. repetitive cases. Simplified formats should also be devised for the benefit of the citizen in his interaction with the offices.

23. Action by dealing hand—

The dealing hand will:

- (1) go through the receipts and separate urgent receipts from the rest;
- (2) enter the receipts in the assistant's diary (**Appendix 6**); it is not necessary to maintain this diary separately in a computerized environment, as the system can generate information through query;
- (3) deal with the urgent receipts first; Code indicating the priority may be given in a computerized environment.
- (4) check enclosures and if any found missing, initiate prompt action to obtain it;
- (5) see whether any other section is concerned with any part or aspect of a receipt and if so, send copies or relevant extracts to that section for necessary action;
- (6) bring the receipt on to a current file if one already exists or open a new file as per paras 94 and 95; indicate file No. in column 4 of the Assistant's diary. If the current file is under submission, a part file will be opened, which will be subsequently merged with the main

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one by the dealing assistant when he accesses both. In a computerized environment the relevant file number, whether of existing file or a new file, should be indicated in the relevant column in the diary register itself.

- (7) file papers in accordance with para 41 ;
- (8) assign the receipt page number (s) and a serial number in terms of paras 43(1) and 43 (2);
- (9) docket the receipt and reproduce on the notes portion of the file remarks, if any, recorded by an officer on the receipt;
- (10) with the help of file registers (para 97 and Appendix 22), indices, precedent book (para 110 and Appendix 27), standing guard files (para 35), reference folders (para 35), etc. locate and collect other files or papers, if any, referred to in the receipt, or having a bearing on the issues raised therein;
- (11) identify and examine the issues involved in the case and record a functional note vide instructions in paras 25, 32 and 34;
- (12) arrange papers and reference them in the case properly (vide paras 42-44);
- (13) Where necessary, attach a label indicating the urgency grading appropriate to the case (vide para 45);
- (14) put up the case to the appropriate higher officer; and
- (15) indicate the date of submission in column 5 of the assistant's diary. In the computerized diary system, indicate the details of submission, at the appropriate column.

24. Action by section officer—

- (1) The Section Officer will:
 - (a) scrutinise the note of the dealing hand;
 - (b) finally dispose of routine cases;
 - (c) take intermediate routine action;
 - (d) record, where necessary, a note setting out his own comments' or suggestions; and
 - (e) submit the case to the appropriate higher officer.
 - (f) in computerized environment also make a suitable entry in the electronic diary register
- (2) What constitutes 'routine cases' or 'intermediate routine action' in terms of (b) and (c) above will be specified by each department in its departmental instructions.

25. Examination by section—

When the line of action on a receipt is obvious or is based on a clear precedent or practice, or has been indicated by a higher officer, and a communication has to issue, a draft/fair communication for approval/signature will be put up without any elaborate note. In other cases, the section, while putting up a case, will :

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- (6) A Joint Secretary can submit cases directly to Secretary/Minister and not necessarily through the Additional Secretary.
 - (7) Additional Secretaries in large ministries should be allowed to function independently in day-to-day administrative and functional matters. In matters requiring orders of the Minister, other than those relating to policy/important cases, Additional Secretary can submit files directly to the Minister.
 - (8) In Ministries/Departments with a Special Secretary and Secretary, there should be a clear delegation of authority to the Special Secretary so that in most matters he can function independently.
 - (9) Wherever level jumping is done in respect of any category of cases, each such case on its return, will pass through all the levels jumped over who in suitable cases could resubmit the cases for reconsideration.
 - (10) In a computerized environment, the system will provide scope for level jumping.

28. Direct submission of cases by senior assistants.—

- (1) An assistant in a conventional section who has more than five years service in the grade including at least six months in the section concerned may be required to submit all his cases direct to the branch officer. In appropriate cases, assistants with less than five years service in the grade may also be permitted to submit cases direct to branch officer.
- (2) All the cases directly submitted by assistants to the branch officer will as a rule, go back to the assistants through the section officer. The section officer will be free to bring to the notice of the branch officer any omission or flaws in the submission of cases or the decisions taken and thus give an opportunity to the branch officer to reconsider the matter.

29. Examination by Officer—

- (1) An Officer will regularly discuss with and guide his staff to decide the course of action to be taken on various cases. Normally a single note will be put up to the decision making level after the line of action is decided.
- (2) For dealing with important problem solving issues, the technique of writing a self-contained "Note" may be used. This involves entrusting an officer or a group of officers with preparing a comprehensive note which will be put up straight to the decision making level. The note will contain the background of the problem, issues arising out of its precedents, if any, analysis of all relevant facts, and recommendations.

30. Deviation from normal procedures or rules: — In every case where a major or minor infraction, other than trivial, of the existing procedures or rules, is sought to be made, it shall be the responsibility of the decision making authority to ensure that reasons are recorded in writing, justifying such a deviation from the rules or procedures.

31. Running summary of facts—To facilitate consideration and obviate repeated recapitulation of consecutive noting, a running summary of facts will be prepared and placed on the file in a separate folder labeled as such in every case in which it is evident that such a summary would contribute to its speedy disposal. This summary will also include the advice or views of other departments consulted in the matter but not opinions of individual officers within a department. It should be kept up to date, incorporating changes whenever further developments take place. Running summary of facts will also be maintained in electronic form in a computerized environment. It is essential in long drawn cases calling for consideration at senior levels from time to time.