

APPENDIX - 56

**Inspection Questionnaire on Organisation & Methods(O&M)
[Vide para 135(1)**

**(To be filled-in by all Sections / Desks / Units)
For the Year ending _____**

MINISTRY/DEPARTMENT: _____

OFFICE / SECTION _____

1. Subjects allotted to Section / Desk / Unit, in brief :

2. (a) Number of Receipts received :

(b) Number of New Files opened :

(c) Registers & Folders

(i) Whether Section Diary Register, Assistant Diary, Dispatch Register, File Register, File Movement Register, Call Book, Guard File, Reference Folders, Precedent Book, Subject Distribution Chart, Reminder / Suspense / Diary, Register for Communications from MPs, Register for Parliamentary Assurances, etc. are being maintained and kept neat and tidy:

(ii) Registers / folders not being maintained along with the reasons:

(d) Consolidation of Orders and Review of Rules / Manuals etc.

(i) Whether orders / instructions are being consolidated, if so, details of consolidation of orders made during the year :

(ii) Whether there is any regular mechanism for undertaking revision of old rules, regulation, manuals, etc.:

(iii) Details of rules, regulations, manuals etc. revised / updated / reprinted during the year:

(e) Work Environment

(i) Whether work environment in office is congenial keeping in view the general cleanliness, seating arrangements etc:

(ii) If not, specify the areas of deficiency and action being taken to improve the same :

(f) Items of work which have been computerized

3. Staff Strength

Sl. No.	Name of Post / Grade	Sanctioned	In position	Number of vacancies and date from which vacant	Cause of vacancy (Transfer, retirement, death, long leave, etc.)	Remarks
(1)	(2)	(3)	(4)	(5)	(6)	(7)

4. Rotation of Staff : (Details of persons working in the same section/unit for more than five years)

Sl. No.	Name & Designation of employee	Name of Section / seat in which working	Date from which working	Whether his/her case of transfer was considered	Justification for such retention
(1)	(2)	(3)	(4)	(5)	(6)

5. Training of Staff

Groups	Number of persons in Section/ Unit	Number of persons who have undergone in-service training during the year	Number of persons who require short-term training (i.e. upto 3 months) in work related jobs	Number of persons who require long-term training (i.e. more than 3 months) in work related jobs	Area of Training (Please indicate)	Remarks
(1)	(2)	(3)	(4)	(5)	(6)	(7)
Group – A						
Group – B						
Group – C						
Group – D						

6. Punctuality

- (i) Is Attendance Register maintained properly (Please specify, Manual or Electronic) :
- (ii) Is late Attendance marked showing the time of arrival of late comers :
- (iii) Is Attendance Register checked by an officer daily :
- (iv) Is forfeiture of casual leave etc. done as per instructions :
- (v) Whether surprise visits conducted by senior officers? If so, frequency per month :

7. Security of Official Documents

- (i) Whether Classified files and papers (other than those in hand) are being kept in locked almirahs?
- (ii) Whether separate record (e.g. section diary, file register, index slip) is being maintained in respect of secret papers (unless the section itself is designated as secret or top secret) ?
- (iii) Whether any instances of violation of prescribed instructions for treatment and safe guarding of secret / top secret papers / information have come to notice and, if so, action taken thereon.:
- (iv) Whether a periodical review is done to de-classify the existing classified documents and if so, the result thereof

8. Processing, Submission and Monitoring of Cases

(a) Processing and Submission of Papers (Take a sample of 5 current cases at draft stage)

- (i) Number of cases, which were properly referenced, flagged and enclosures clearly marked :
- (ii) Whether name, designation, complete address and telephone number of the signatory were marked :
- (iii) Number of files which were found neat and tidy :
- (iv) Extent of computerization of file movement / tracking of papers:

(b) Monitoring of Pending Cases

(i) Whether Weekly / Monthly statements of pending cases are being submitted on due dates :

(ii) Number of Pending Cases

Upto One month	Between 1 to 3 months	Between 3 to 12 months	Over 1 year	Total
(1)	(2)	(3)	(4)	(5)

(iii) Whether cases pending over a month are being brought to the notice of concerned Joint Secretary or higher officers :

9. Compliance of Official Language Policy

- (i) Number of letters received in Hindi :
- (ii) Number of letters out of (i) above replied in Hindi :
- (iii) Percentage of correspondence in Hindi with Government offices located in Hindi Speaking States/UTs. :
- (iv) Whether all the documents like orders, notifications, contracts, agreements etc. are issued bilingually:

10. Records Management

- (a) (i) Number of files due for recording :
- (ii) Number of files recorded :
- (iii) Number of files pending for recording :
- (b) (i) Number of files received for review :
- (ii) Number of files reviewed :
- (iii) Number of files pending for review :
- (iv) Number of files marked for further retention after review and its percentage to (ii) above :
- (c) (i) Number of files weeded out :
- (ii) Whether proper record has been maintained of such files :
- (d) Whether Index Slips prepared for recorded files alphabetically :
- (e) (i) Number of files sent to Departmental Record Room :
- (ii) Number of files sent to National Archives of India (NAI) :
- (f) (i) Whether Retention Schedule for records has been drawn up relating to substantive work :
- (ii) If yes, whether the schedule is reviewed every 5 years :

13.(c) Disposal of Complaints of SC/ST Employees

Number of Complaints			Number of Complaints disposed	Number of pending Complaints	Details of each pending Complaint				
Brought forward	Received during the year	Total			Name of the SC/ST employee(s)	Date of receipt of Complaint	Nature of Complaint	Whether any hearing has taken place and if so, date thereof	Present Status
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)	(10)

14. Mechanism of Public Grievances and Transparency

- (i) Whether a senior officer has been appointed as the Director of Public Grievances :
- (ii) Whether the office has been empowered to pursue the matters represented to pursue the matters represented and liaise with all branches and sections :
- (iii) Whether a day of the week has been earmarked for attending to public grievances by senior officers :
- (iv) Whether a complaint box has been placed at the reception :
- (v) Have suitable arrangements been made for visitors for lodging their complaints :
- (vi) Have Information and Facilitation Counters been opened :
- (vii) Has a Complaint Register been opened and are the complaints being entered therein :
- (viii) Has time-frame been fixed for disposal of complaints :
- (ix) Does Head of Office / Department review the action taken for redressal of Public Grievances :
- (x) Whether release of information to the public on Department's activities is taking place through :-
- (a) Book-lets : (b) Information & Facilitation Counters : (c) Internet :

15. Disposal of Petitions from the Public

Number of Petitions			Number of Petitions disposed	Number of Petitions pending for disposal (from date of receipt)					Reasons for pendency of cases over six months	Broad nature of Petitions received
Brought forward	Received during the year	Total		Less than 3 months	Between 3 to 6 months	Between 6 to 12 months	Over One year	Total Pending		
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)	(10)	(11)

16. Maintenance of Office Support Systems

(a) Equipments / Machines (like Typewriters, Computers, etc.)

Equipment	Whether in working order	If not in working order, date from which not working	Action taken for repairing the fault	Whether the number of equipments provided are adequate vis-à-vis Staff/workload
(1)	(2)	(3)	(4)	(5)

(b) Furniture

Action taken for replacing the old furniture by modular furniture:

17. Scheme (s) of Awards for Suggestions

- (i) Whether any 'Scheme of Cash Awards to the Staff / Public' is in operation for suggesting innovative ideas/ new methods / procedures / techniques for improving the efficiency and productivity of the Organisation :
- (ii) Number of suggestions made by the Staff and Public separately during the year :
- (ii) Whether any of the suggestions were accepted for implementation and, if so, details of awardees and their suggestions :

18. Inspection of Attached / Subordinate Offices (Details of inspections conducted by the Head of the Department / Senior Officers during the year)

Name of Office inspected	Date (s) of Inspection	Name & Designation of Officers who conducted the inspection	Suggestions / Recommendations / Defects pointed out (in brief)	How many Suggestions / Recommendations have been implemented	Suggestions / Recommendations not so far implemented and reasons therefore	Remarks
(1)	(2)	(3)	(4)	(5)	(6)	(7)

19. Implementation of Suggestions / Recommendations of Last Inspection

- (i) Have all the suggestions / recommendations / defects pointed out in the previous inspection been implemented / rectified :
- (ii) If not, specific reasons for not implementing the same in each case :

20. Brief recapitulation of defects or shortcomings noticed and any other comments which inspecting Officer (s) may have to make

Section Officer/Desk officer
(Signature with seal)

Inspection Officer
(Signature with Seal)

APPENDIX 57

Inspection Questionnaire for Departmental Record Room

[Vide para 135(2)]

Ministry/Department.....

Date of present Inspection.....

Date of last Inspection.....

PART I—GENERAL

PERSONAL DATA

Factual data to be furnished by S.O./

Asstt. /UDC In-charge of record

Room.

S.O. or equivalent
grade like Archivist

Asstt. - UDC - LDC

Daftry/Record

Peon

Attendant/

Record sorter

Sanctioned strength

Actual Deployment at the time of inspection

2. *Physical condition of the Record Room*

(i) Location such as e.g. Basement/Ground
Floor/Other floors.

(ii) Area occupied by records

(iii) Area occupied by staff.

(iv) Total Area

Is there sufficient space in the Record
Room for further accrual and storage of records?

(v) Number of shelves

(a) Steel

(b) Wooden

(vi) Mode of keeping the record :

(a) Are the files kept in bundles with plywood/
cardboard support or in carton boxes?

(b) If in bundles, how they are kept? (horizontal/
vertical)

(c) Are the bundles properly labeled indicating
their contents?

(vii) Are there proper ventilation and lighting arrangement?

(viii) Are there security arrangement against fire hazards,
theft and pilferage?

(ix) Is there enough space for reception and consultation
of record?

(x) Does the Record Room have gangways?

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- (xi) Whether naphthalene bricks/balls are being used? If not, what are the other arrangement for satisfactory preservation of record (e.g. spray of Insecticides like DDT, Pip and Flit etc.
- (xii) Is vacuum cleaner being used for Record Room? If not, state the arrangements for proper dusting and cleaning?
- (xiii) Whether records are being fumigated periodically?
- (xiv) What arrangement exists for mending and repair of records? What materials are used for mending and repair work? [Para 98(3)]
- (xv) General condition of cleanliness and proper stacking of files etc.

PART II-RECORD-KEEPING AND THEIR PERIODICAL REVIEW/APPRAISAL

Number of records: Wherever possible please furnish the information for inclusive years (i.e. oldest and the latest year)

- (i) Total number of record (indicating the oldest and the latest on the date of inspection)
 - (a) Files
 - (b) Registers
 - (c) Other records like Maps/Charts/Drawings/ Audio-Visual.
- (ii) Total number of records which are more than 25 years old at the time of inspection
 - (a) Files
 - (b) registers
 - (c) Other records like Maps/Charts/Drawings/ Audio-Visual.
- (iii) If the Record Room is also accepting classified records the arrangement for their safe custody
- (iv) Security arrangement for inspection of Secret Record Room where they exist.
- (v) Whether all the files due for review have been sent to respective sections.
- (vi) Number of 'C' category records sent for review to respective sections during the last year. [Para 107(4)]
- (vii) Number of record reviewed during the last year. [Para 107(5)]

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- (viii) Number of records lying unreviewed indifferent sections.
- (ix) Number of records marked for further retention by concerned sections and sent to departmental record room [Para 107(1) & (5)]
- (x) Percentage of files marked "keep" to total files reviewed and whether it is excessive?
- (xi) In case further review is called for (if excessive percentage has been marked for retention) number of files checked and advice or measure suggested for improvement.

Weeding out :

- (xii) Number of files/records marked for weeding out during the year. [Para 107(1)].
- (xiii) Whether the records marked for weeding out have been destroyed? If not, when it is proposed to destroy them. [Para 107(7)(b)(i)].

Transfer:

- (xiv) **Number of more than 25 years old files appraised by the National Archives of India during the last year. [Para 107(2)]**
- (xv) Whether the files recommended for retention by National Archive of India have been transferred to that organisation. If not, give reasons.

Retention Schedule:

- (xvi) State if the Retention Schedule for substantive records has been complied. If not, when it is proposed to be compiled. [Para 105(1)(d)]

PART III – MAINTENANCE

1. *Files:*

Please take a sample of 20 files at random and examine

- (i) Whether the files have been properly recorded and classified into , 'B' and 'C' categories. Has the retention period of 'C' category files has been distinctly indicated? (Para 99)
- (ii) Whether they have been stitched properly? [Para 98(3)]
- (iii) Number of files not found at appropriate places in bundles of recorded files.

- (iv) Are the requisition slips kept in proper places in bundles? If not, state reasons. [Para 109(3)]
- (v) Number of files lying on the ground. If so, indicate number and reasons therefor.
- (vi) Whether files opened under functional and conventional filing system are kept separately and arranged sectionwise, chronologically in a serial order.

2. *Register:*

Whether the following registers are being maintained properly and entries are up-to-date:

- (i) Record Issue Register
- (ii) Record Review Register [Para 106(4); Appendix 30
- (iii) Accession Register
- (iv) Record Transfer Register [Para 106(2); Appendix29].

PART IV – INDEXING

- (i) Has the departmental index been compiled in the consolidated form? [Para 103]
- (ii) What types of finding aid (Reference Aids/Information retrieval) sets are available in the Record Room?

PART V – INSPECTING OFFICERS' REPORT

- (i) Additional functions, if any, being performed by the Departmental Record Room.
- (ii) General Remarks of the Inspecting officers about the state of Record Room.
- (iii) Recapitulation of defects or shortcomings noticed and any other comments which Inspecting officers may have to make.
- (iv) *General Remarks, if any :*

Signature of the Inspecting Officers
with date

One copy of the inspection report may be forwarded to the National Archives of India for their information and record. [Para 136(1)].

3.(a) Ad-hoc Promotion

Sl. No.	Name of Post/Grade	Number of ad-hoc promotees	Reasons for resorting to ad-hoc promotion	Date of promotion	Level of authority whose approval was obtained	Whether the concurrence of DOPT etc. was obtained for continued promotions beyond one year
(1)	(2)	(3)	(4)	(5)	(6)	(7)

3.(b) Details of requests received for Appointments made on Compassionate Grounds

Sl. No.	Name & designation of Government servant (s) expired, while in service	Date of death	Date of receipt of application from Dependent	Relationship with the Government servant to whom appointment was given / to be given	Post & Pay Scale for which appointment was made / to be made	Date of appointment	In case pending, reasons for delay
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)

4. Completion of Probation

Details of cases in which satisfactory completion of probation has not been declared :

Sl. No.	Name of Post/Grade	Number of the probationers	Number of cases in which probation period has been extended	Number of cases of termination of service during probation period, if any.	Number of remaining cases	Reasons for delays in each category
(1)	(2)	(3)	(4)	(5)	(6)	(7)

5. Recruitment Rules (RRs) for the Posts

Posts for which RRs to be finalized	Whether action has been initiated. If so, the present status.	Reasons for delay in finalization of RRs	Posts for which RRs have not been reviewed/modified as per instructions	Reasons for non-review in each case
(1)	(2)	(3)	(4)	(5)

6. Maintenance of Service Books

(a) Take a sample of 10 and service books and note the following :

Are Service Books available for all categories of staff?	Whether Service Books are complete and upto date?	Are nomination forms duly filled in and attached?	Are records of Leave, LTC, CGEGIS, HBA, annual increments etc. maintained?	Has verification of service been done particularly for officials retiring in next five years?	Whether Service Books have been shown to the persons concerned every year?
(1)	(2)	(3)	(4)	(5)	(6)

**(b) Where Service Books are not complete, whether any special drive was undertaken :
and if so, the results thereof.**

7.(b) Details of Pending Review / Appeal Cases

Sl. No.	Name & designation of delinquent official	Nature of Penalty imposed	Date of receipt of appeal / review application	Present Status
(1)	(2)	(3)	(4)	(5)

8. Number of Vigilance Cases Pending :

Group-A : _____:

Group-B : _____:

Group-C : _____:

Group-D : _____:

9. Number of Suspension Cases Pending :

Group	Number of Cases Pending	Whether Charge-sheet served within 3 months, if not reasons thereof
Group-A		
Group-B		
Group-C		
Group-D		

10. Review for Premature Retirement [under FR 56 (J)]

Group / Post	Number of cases ripe for review	Number of cases actually reviewed	Number of cases recommended for continuance in service	Number of cases recommended for premature retirement	Remarks
(1)	(2)	(3)	(4)	(5)	(6)
Group A					
Group B					
Group C					
Group D					

(b) Pending Cases for Settlement of Pensionary Benefits etc. to Persons Died in Harness in the office

Sl. No.	Name & designation of employee	Date of Death	Date of sanction of immediate relief	Date of receipt of application alongwith death certificate and other papers for sanction of family pension	Date of sanction of family pension	Details of non-settlement of claims like DCRG, PF, CGEIS, encashment of leave, Deposit Link Insurance	Specify the reasons for non-settlement of each item
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)

12. Court Cases (*Pendency may be taken from the date of filing the petition/application in CAT/Court*)

(a) Number of Court Cases pending for

Less than 6 months	Between 6 months to 1 year	Between 1 to 2 years	Over 2 years	Total
(1)	(2)	(3)	(4)	(5)

Details of Pending Court Cases

Petition / OA No. with date	Name of Court / Bench of CAT	Major issues involved	Date on which Counter Affidavit was filed	Date of filing subsequent affidavits, if any	Present Status of the case
(1)	(2)	(3)	(4)	(5)	(6)

13. Delegation of Powers by the Head of Department / Senior Officers

- (i) Whether the Administrative / Financial Powers have been delegated to Subordinate Offices / Officers :
- (ii) If so, the order numbers and date vide which such powers were delegated :
- (iii) Whether delegated powers are being exercised :

14. Maintenance of Advance Registers and Cash Book *(Take a sample of five registers)*

- (a)
 - (i) Whether registers for long-term advances and short-term advances being maintained properly :
 - (ii) Whether entries of all advances like GPF, HBA, Scooter/Car advances are made in the pay book Register :
 - (iii) Are these registers being submitted to officers :
 - (iv) Whether proper account of the Imprest Money is being maintained :
- (b)
 - (i) Is the Cash Book being maintained as per rules / instructions :
 - (ii) Are all receipts and payments entered daily in the Cash Book :
 - (iii) Is physical verification of Cash in Hand done once in a month by the officers :

16. Vehicle-wise details of Petrol / Diesel consumption (Month-wise consumption during the year may be given)

Make of Vehicle	Registration Number	Whether the Log Book is maintained properly	Actual consumption of Petrol / Diesel	Excess, if any, over the prescribed ceiling of consumption	Whether excess consumption was got regularized with IFD's approval	Remarks
(1)	(2)	(3)	(4)	(5)	(6)	(7)

(Signature)