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Government of India  
Ministry of Communications  
Department of Posts  
(Inspection Unit)

Dak Bhawan, Sansad Marg  
New Delhi 110001  
Dated: 13.04.2021

To

1. All Heads of Postal Circles
2. Director, RAKNPA
3. Army Postal Service Directorate, New Delhi
4. All Directors, Postal Training Centres

**Subject: Revision of Standard Inspection Questionnaire for inspection of Circle/  
Regional office.**

Kindly find enclosed herewith the revised Standard Inspection Questionnaire for inspection of Circle/ Regional office which is in supersession of the Inspection Questionnaire pertaining to these offices issued from time to time.

2. This Standard Inspection Questionnaire for inspection of Circle/ Regional office will come into force with immediate effect. This Inspection Questionnaire is also uploaded on [www.indiapost.gov.in](http://www.indiapost.gov.in) website.

3. This issues with the approval of the competent authority.

Encl: As above

*D. K. Singh*  
13/04/2021  
Assistant Director (Inspection)

Copy to:

1. CGM (PLI) Directorate/ CGM (BD) Directorate/ CGM Parcel Directorate
2. Sr. DDG (Vigilance), Dak Bhawan, New Delhi
3. All DDsG
4. GM, CEPT Mysuru is requested to kindly upload the above revised Inspection Questionnaire on India Post website at S. No. 15 (replacing 15 & 15A) under Sl. no. 34 i.e. Inspection Questionnaires, on web page at link <https://www.indiapost.gov.in/VAS/Pages/RTI/RTI-Manual-5.aspx>
5. Sr. PPS to Secretary (Posts) /DG
6. PS to all Members PSB, Addl. DG (Coord) and AS&FA
7. DDG (Estates) – It is requested to kindly have the questionnaire translated into Hindi from the Hindi Section within a month please.

*D. K. Singh*  
13/04/2021  
Assistant Director (Inspection)

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## INTRODUCTION

The revised Standard Inspection Questionnaire (SIQ) is an essential Inspection Questionnaire and document which should be comprehensively answered by the Inspecting Authority concerned. However, there could be other desirable questions/ issues which may relate to the inspecting office/ premise concerned which could also be attempted as desirable question based on experience of the Inspecting Authority and relevance of those questions for the particular Circle/ Unit. Inspecting Authority should obtain maximum compliance to the pending paras, if any, during the inspection itself.

The following are the broad guidelines/ points/ questions which shall be delineated and mentioned in the IR by the Inspecting Authority.

- i). Write preamble to the Inspection Report (IR), date on which current inspection is being carried out, date of last inspection and by whom carried out, and name(s) of the officer(s) who held charge since last inspection indicating the period of incumbency against each. If the office is to be inspected periodically by Inspection Division of the Directorate, the above particulars should be furnished since last inspection carried out by Head of the Circle as well as by the Inspection Organization.
- ii). Comment on the territorial jurisdiction of Circle/ Region. Does it call for any change for better Administrative control?
- iii). Ascertain the position of compliance of the last IR. Summarize the Para pending for compliance and comment on their non- compliance so far.
- iv). Has annual inspection of the CO/ RO been carried out regularly by the Head of the Circle? Is a proper watch kept on the compliance of orders passed on the inspection reports? See whether proper action has been taken on the orders passed at the last inspection.
- v). Are the relations between Administration and Staff Unions satisfactory? Are there any special causes for discontentment among the Staff? Are meeting with the Unions/Associations held regularly as prescribed?

### 1. MAIL OPERATIONS

1.1 Has the operational network redesigned as part of Mail Network Optimization Project (MNOP) for Speed Post, First Class, Registered and Unregistered mail and Second Class mail been implemented by the Circle? Have

necessary instructions in the wake of redesigned network been issued? Have changes communicated from time to time been implemented?

1.2 Has the redesigned operational network for parcels been implemented by the Circle? Have necessary instructions been issued from time to time? What mechanism has been adopted to periodically assess the level of implementation?

1.3 Has any comprehensive review of mail transmission arrangements been done? Have the Regions/ Divisions been instructed to revisit the mode of mail transmission between all kinds of mail offices and between mail offices and post offices? Has the review of transit sections in particular been carried out and any action taken to expedite mail transmission?

1.4 Is the Quality Monitoring Cell operational which monitors the quality of mail operations on a day-to-day basis at Circle / Regional office? Has any programme for visit to mail offices / post offices been drawn on the basis of outcome of quality monitoring? Is the Quality Monitoring Cell making use of the KPI website and its tools?

1.5 Has the Establishment Review of Mail offices and transit Sections has been carried out in accordance with Directorate instructions communicated vide OM No. 6-1/2013-D dated 28.02.2013? What has been the outcome of such review?

1.6 Has the nomenclature of Mail offices been standardized and rationalization of number of Business Post Centres carried out in accordance with Directorate instructions (O. M. No. 12-01/2013-D dated 28.02.2013)? Accordingly, has an updated MIS on mail offices been prepared and circulated?

1.7 Has the "All India Mail Survey" been conducted as prescribed? Have the trial cards been posted to cross-check the cases of delays observed? Has remedial action been taken? Is the periodical testing of mail routes through CTRLRs / DTLRs, trial cards etc. being carried out regularly?

1.8 Have the revised Establishment and Productivity norms for Speed Post Sorting Hubs / Intra-circle Hubs and Computerized Registration Centres been implemented (communicated vide Directorate memo No. 28-8/2011-D dated 17.01.2013 and 13.08.2013.)?

1.9 a) What steps have been taken by the Circle / Region to restructure mail and parcel delivery arrangements? What mechanism has been adopted to monitor delivery performance (and delivery data upload) of post offices regularly?

- b) Has fresh beat measurement and rationalization been undertaken in delivery post offices? Has adequate delivery staff been deployed based on the outcome of beat rationalization?
- c) Have the Circle / Region taken any steps to put in place a reliable parcel delivery mechanism?
- d) Has the circle examined the need to introduce second delivery for Speed Post in important / bigger cities?
- e) Have the local mail collection arrangements (from post offices and bulk customers) been revised? Have they resulted in more quantum of mail getting received at Speed Post Hubs/ IC Hubs / other mail offices early?
- f) Has division wise rationalization of Letter Boxes, inter-alia covering major cities been undertaken?

1.10 If an Automated Mail Processing Centre (AMPC) is functional in the Circle, what steps have been taken to increase the quantum of machineable mail? What is the average quantum of mail processed daily through the AMPC vis-à-vis the total mail handled in a city?

1.11 What steps have been taken by the Circle/ Region on Standardization of mail? Have the bulk mailers been involved in the initiative? Has the stationery being used at Circle / Region / Divisional office been standardized? Check the usage of barcode on speed post / parcel / registered articles including its stock position.

1.12 Has any programme for training/ workshops on issues in mail operations for Divisional Heads etc. been prepared? Have these workshops been conducted?

1.13 Has the processes at Business Post Centres been streamlined? Is pre-sorted mail being received from bulk mailers in the prescribed manner? Has the sorting scheme for this purpose been shared with bulk mailers? What kind of mechanism exists in the Circle/ Region to check the quality of pre-sorted mail received from bulk mailers?

1.14 What action has been taken to improve security of mail, especially that of parcels, in mail offices as well as in transit?

1.15 What steps have been taken by the Circle to monitor time-bound utilization of plan funds? Has the Circle upgraded infrastructure at mail offices?

1.16 Has the CCTV cameras been installed and working for improved Access Control System in the mail offices, especially in the areas where parcels and speed post articles are handled?

1.17 Has the Circles / Region held Co-ordination meetings with the Zonal Railways concerned as prescribed? Have the issues relating to maintenance of mail offices located at Railway stations been taken up with the Railway authorities? What has been the outcome of these deliberations?

1.18 Examination of Register of Railway Bills: Have the bills pertaining to Haulage charges been received from the Railways, dealt with properly and entered in the register? Has the Weighment system on relevant routes been reviewed?

1.19 Has the MMS arrangements on intra-city and inter-city routes been reviewed? What has been the outcome of such reviews? Have the registers/documents relating to Mail Motor Contracts been maintained properly?

1.20 What is the percentage of delivery of Speed Post Articles on the same day of receipt to total articles received? Look into the steps to improve the position.

### **International Mails**

1.21 See pendency of complaint relating to International EMS.

1.22 See pendency of complaints relating to International Parcels.

1.23 See pendency of complaints relating to International registered mails.

## **2. POSTAL OPERATIONS**

2.1 Whether use of electronic Franking Machines by private users has been stopped in the Circle beyond 30/6/2013? If not the reasons for the same and remedial action taken may be stated.

2.2 What is the position of changeover the Departmental electronic franking machines to remotely managed franking machine?

2.3 Whether physical targets and funds under the heads for procurement of remotely managed franking machine have been achieved/utilized. If there is any variation/shortcoming, the reason for the same may be looked into.

2.4 Review the revenue realized through remotely managed franking machines. Have adequate steps been taken for increase in revenue through the machine?

2.5 Whether the system of remotely managed franking machines working well. If not the reasons for the same and remedial action taken may be stated.

2.6 How many registered newspapers are posted under WPP license in the Circle/Region? Whether these are issued without delay and concerned offices and newspapers are informed of period of currency of license in time.

2.7 Is the Circle taking advance payment (including commission) for sale of revenue stamps from State Govt.? Is there any pendency in this regard? If so, what action has been taken to address that?

2.8 Are there any draft Audit Para pending with regard to regd. Newspapers and revenue stamps? What is their status?

**(I) Remotely Managed Franking Machines (RMFM):-**

2.9 Whether any case of post-dated frank came to notice of Circle/ Region? If yes, then what is the action taken so far? What is the amount involved in the case? Has the case reported to Directorate?

2.10 Whether any instance of Double Credit of Recharge of Franking Machines came to notice of Circle/ Region? If yes, then what is the action taken so far? What is the amount involved in the case? Has the case reported to Directorate?

2.11 Whether any instance of advanced date is franked on the franked articles presented by the customers came to the notice of Circle/ Region? If yes, then what is the action taken so far? What is the amount involved in the case? Has the case reported to Directorate?

2.12 Whether the details of breakdown period are taken into account for imposing penalty on the vendor as per the rates prescribed in the agreement?

2.13 Whether any minimum billing volume is provisioned in the agreement between the Postal authority and the RMFM Vendor in respect of Remotely Managed Franking Machines hired on click charged basis. If so, the minimum billing volume fixed so is being achieved by the hired RMFMs or not.

2.14 Whether periodic quarterly review is being done to ascertain that the minimum billing volume is being achieved or not.

2.15 How many License requests are found pending in Circle/ Region? What is the reason for the delay?

2.16 Are there any instances where RMFM license requests denied by the Divisional Office came into the notice of Circle/ Region Office? If yes, then on what grounds the license to the customer was denied?

**(II) Registered Newspapers (RNP):-**

2.17 Whether an updated list of all the registered newspapers registered in Circle has been prepared and circulated to all the mail offices and major Post Offices by email?

2.18 Whether any case of pendency of registration of the Newspaper came into notice? If yes, then what is reason of delay?

2.19 Are there any instances of denying RNP registration to the newspapers by Division Office came into the notice of Circle office? If yes, then what actions were taken in this regard?

2.20 Is any request for delayed posting of registered newspapers received in the Circle/ Region? If yes, then on what grounds the request was acceded to?

2.21 What is the volume of Registered Newspapers posted in the Circle/ Region for the current Financial Year?

**(III) Post Info App:-**

2.22 What are the various services being offered through Post Info App?

2.23 Whether staff has awareness about the facility of service request through Post Info App?

2.24 Whether the request submitted by the customer is being reviewed ? What are services for which service requests being received?

2.25 How many service requests being received during the current year? How many service requests being fulfilled? What is the percentage of fulfilled request?

2.26 What is the pendency of service requests in each category and reasons thereof?

2.27 Whether the status fulfillment of service request is being updated in the system by the Post Office?

2.28 Whether the pendency in service request is being monitored through MIS?

**(IV) Jeevan Pramaan Centres in Post Offices:-**

2.29 How many Jeevan Pramaan Centres are operational?

2.30 How many DLC has been registered in all the Jeevan Pramaan Centres operational in the Circle?

2.31 How many JPC are pending for verification in the Circle?

2.32 Whether all the Jeevan Pramaan Centres have active log in IDs? Whether they are doing log in on daily basis on Jeevan Pramaan Portal?

2.33 Whether Jeevan Pramaan application has been installed in the system of all the DDOs in the Circle?

2.34 Whether the DDOs log in into the Jeevan Pramaan application on daily basis?

2.35 Whether the staff is aware about the latest rulings/ guidelines on the time period of submission of DLC?

2.36 Whether the pendency is being monitored on daily basis through Jeevan Pramaan Portal?

2.37 Whether Circle Office/ Region Office made liaison with the concerned DAP for up-dation of Pensioners' data in HRMS Module?

**(V) Electronic Money Order:-**

- 2.38 Whether the staff is aware about the current rulings/ instructions on Electronic Money Order Service?
- 2.39 What steps have been taken to increase the revenue from eMO?
- 2.40 Whether the pendency of unpaid eMO is being monitored?
- 2.41 Whether the eMO is being delivered through Postman Mobile application?
- 2.42 Whether the eMO meant for delivery through Branch Post Offices are being sent to the concerned Branch Post Office through system?
- 2.43 Whether the delivery status of an eMO is being updated on daily basis?
- 2.44 Whether the pendency of unpaid eMO being reviewed by higher authorities?
- 2.45 What is the status of pendency of eMO? What corrective measures have been taken to decrease its pendency?

**(VI) Value Payable Post (VPP):-**

- 2.46 In how many offices facility of posting of VPP articles is available in Circle/ Region?
- 2.47 Review the traffic and revenue accrued of VPP articles booked in the Circle/ Region during last three years. Have adequate steps taken to increase the traffic?
- 2.48 How many bulk customers of VPP are there in Circle/ Region?
- 2.49 Is any case of complaint in respect of VPP article found pending in Circle/ Region Office? What actions have been taken so far in this regard?
- 2.50 What are the problems faced in booking and payment of VPP articles? What efforts are being made to overcome these problems?

**3. BUSINESS DEVELOPMENT**

- 3.1. What is the composition of BD cell in the Region/Circle?

- 3.2. Are statistics in respect of all premium products compared as to the traffic of articles booked/ delivered and revenue realized etc., being obtained and reviewed by the PMG/ CPMG? How do the trends compare vis-à-vis the targets fixed for the last 3 years? See the action pursued to achieve the targets. If any premium service had not got adequate response, look into the reasons.
- 3.3. How many Marketing Executives have been appointed? Is the number adequate? Have all of them been given adequate training? Is their performance closely monitored for increased business? See whether adequate training on marketing/ communication been given to the members of the Circle Business Development Cell from time to time.
- 3.4. (a). Review the marketing strategies adopted to see if the same had any bearing on the traffic growth. Can any local practice be adopted by other Regions/ Circles with advantage?
- (b). Are any new areas/ stations identified for increasing marketing activity? List the steps taken to tap the potential business of these areas/stations.
- 3.5. Are Speed Post Customer Meetings held regularly? What are the issues dealt with in such meetings and what follow up action taken?
- 3.6. Examine if funds allotted for Speed Post and other premium products publicity materials/ Gift items etc. are judiciously spent.
- 3.7. What is the general Grievance Management System available in the CO/ RO for premium products?
- 3.8 (a). Are the complaints dealt with promptly? Study the nature and number of complaints with reference to the traffic handled and see whether these could have been avoided? In how many cases such complaints led to refund cases? State whether refund cases are dealt with expeditiously? Record your suggestion.
- (b). How many complaint cases were pending for less than one month? Review 2 cases pending over one month to see whether action pursued is adequate.

(c). Are Speed Post Centers with the Circle and outside the Circle prompt in sending reply to enquiry notes in complaints, identified and matter taken up at PMG/ CPMG level for necessary action to ensure prompt response?

3.9. Examine the Plan Schemes of BD & MD under implementation to assess the progress in terms of physical targets and financial outlays. Comment on the quality of implementation.

3.10. Comment on the overall performance of the Circle Business Development Cell.

3.11. Whether the parcel business in the circle/ region is commensurate with the market potential? How many e-commerce customers have been enrolled and what is the revenue realized from them?

3.12. How many BNPL customers are there in the Circle?

3.13. Whether adequate Bank Guarantee has been obtained while granting BNPL facility?

3.14. Whether BNPL bills preferred within the stipulated time is being monitored? Whether any outstanding amount is pending for more than three months?

3.15. Whether action has been taken to discontinue the BNPL facilities to the defaulters?

3.16. Whether the BNPL customers are using latest version of software?

3.17. What are the steps taken to avoid use of duplicate barcode?

3.18. Whether the Circle has been sending the BPR report to BD & Marketing Directorate in time?

3.19. Whether consolidated BPR report received from BD & MD is being analyzed by the Circle on monthly basis?

3.20. Aadhar Enrolment cum Updation Centres:

(a). No. of Aadhar Centres setup in the Circle/ Region. No. of Aadhar Centres not working in the Circle/ Region and specific reasons for non-operation.

(b). Annual target assigned to the Circle/ Region and its proportionate achievement. Discuss reasons for shortfall, if any.

(c). Fund allotted to the Circle/ Region for procurement of Aadhar Kits/ maintenance of Aadhaar Kits. Status of utilization of fund.

### 3.21. Business Post Centres:

(a). No. of BPCs under the Circle/ Region. No. of BPCs migrated under CSI. Discuss reasons for non migration of BPCs, if any.

(b). No. of new customers which have been registered with BPC since last inspection. Annual target assigned to the Circle/ Region and its proportionate achievement. Discuss reasons for shortfall, if any.

### 3.22. ePost:

(a). Annual target assigned to the Circle/ Region and its proportionate achievement. Discuss reasons for shortfall, if any.

(b). No. of ePost pending for printing since last 7 days and 30 days. Discuss reason for pendency.

### 3.23. ePayment:

Annual target assigned to the Circle/ Region and its proportionate achievement. Discuss reasons for shortfall, if any.

### 3.24. Circle Business Package:

No. of MoU/ agreement signed under Circle Business Package. Total revenue earned through Circle Business Package during the last three years and current year.

### 3.25. Post Office Passport Seva Kendra:

(a). No. of POPSKs setup in the Circle/ Region.

(b). Whether any monitoring cell has been formed by the Circle Head to supervise the POPSK performance under Circle.

(c). Whether Circle Head is ensuring that the following arrangements in POPSKs are maintained?

(i). Housekeeping,

(ii). Security,

(iii). Electricity,

(iv). Drinking water for staff and applicants,

(v). Public convenience for staff and applicants

(d). Whether training has been imparted to the officials deployed in POPSK by MEA?

#### **4. RURAL BUSINESS**

4.1. See if the record (number of accounts, amount received/ paid, MO issued/ paid) to various social benefit scheme viz. MGNREGA pensions etc. is maintained month wise for each H.O. and kept up to date.

4.2. See whether there is mismatch (number of accounts amount of wages deposited and disbursed in accounts of Post Offices) in reports sent by the Circle Office to the Directorate and reports sent by Director Postal Accounts to the Directorate. If so what action has been taken?

4.3. See whether there is any case of payment of wages to beneficiaries before receipt of the necessary fund from State Government? If so, what steps have been taken for correcting it and to prevent occurrences of such cases in future?

4.4. See whether complaints relating to social benefit schemes are reviewed regularly with a view to expedite its processing and to reduce the incidence of complaints. Review the position of complaints relating to these schemes for the last one year and note the trend. How many complaint cases are pending over three months, six months and one year? Examine few cases and discuss reasons for its pendency.

4.5. See whether Directorate orders/ instructions are promptly attempted and circulated to field units.

4.6. Are inspection reports of HOs received in RO/ CO reviewed by DPS and seen by PMG/ CPMG? Peruse some of the inspection reports to ascertain quality of the work being done in SB, SBCO and other branches.

4.7. See whether social audit and vigilance and monitoring committee meetings are being conducted by State Government authorities at District and State level and the Circle Office has maintained Postal Division wise registers to this effect. Indicate whether suitable action has been taken on suggestions relating to disbursements through Post Office.

4.8. See whether Circle Office is attending co-ordination meetings held by State Government for MGNREGA and other social benefit schemes. Find out the number of meetings held in the last one year? Whether minutes of all meetings are received and complied by Circles. If no, record the reasons.

4.9. State the number of loss and fraud cases relating to MGNREGA and other social benefit schemes detected and finalized in the last one year. Are the loss and fraud cases processed promptly?

4.10. Are the Audit para and observations of Parliamentary Committees processed promptly?

4.11. See references regarding Rural CPI data collection received from MOS and PI and Directorate. Have these been attended properly? See whether the data is uploaded as per the stipulated time line? If not, find out reasons thereof.

## **5. PUBLIC GRIEVANCES AND QUALITY ASSURANCE**

5.1. (a). Are separate registers of complaints maintained in the prescribed proforma and written up to date for:

- (i) Directorate's cases,
- (ii) Minister's cases,
- (iii) Prime Minister's cases and Cases, received directly in Circle/ Regional office and
- (iv) DOPG cases.

(b). Are all the complaint registers checked by the Group Officer every month to endure expeditious disposal of cases?

- 5.2. (a). what is the time taken generally for redressal of Public Grievances?
- (b). How many complaint cases (category wise) were received, disposed and pending during the current year? How many are pending over 3 month, 6 months and one year?
- 5.3. (a). Whether daily log-in for CRM system is done at the Circle Office?
- (b). Is daily log-in by subordinate units also monitored? What are efforts made to ensure that daily log-in is done by all the subordinate units?
- (c). How many offices have been registered as users in CRM system? Have all the important Post Offices and Record Offices been registered as users? If not, what are the efforts being made to register the remaining offices?
- (d). How many complaint cases were received, disposed and pending during the current year? How many are pending for over 3 months, 6 months and over one year?
- (e). Are cases received through India Post Call Centre monitored and disposed of within the prescribed timeline of 5 days?
- (f). Are tickets received on twitter seva replied to properly and promptly? Are the replies approved by the concerned PMG/ DPS before posting them online? Are the complaints received on twitter disposed of within the prescribed timeline of 3 days?
- 5.4. (a). Whether daily log-in for CPGRAM System is done at the Circle Office?
- (b). Is daily log-in by subordinate units also monitored? What are efforts made to ensure that daily log-in is done by all the subordinate units?
- (c). Have all the Regional Offices, Divisional Offices and important Head Post Offices been registered as users in CPGRAM System? If not, what are the efforts being made to register the remaining offices?
- (d). How many complaint cases were received, disposed and pending during the current year? How many are pending for over 3 months?

5.5. Randomly examine two cases and discuss the reasons for their pendency.

5.6. Are monthly complaints statements received from the Units, complied and reviewed in CO/ RO and necessary follow up action taken as called for to expedite settlement of complaints?

5.7 (a). Whether suo moto review of grievances pending on CPGRAMS beyond 30 days is being done in the Quarterly Dak Adalats at Divisional/Regional/Circle levels and its monthly report in prescribed format has been sent by due date to the Postal Directorate.

(b) Further also see that review of grievances of such complainants who lodged 50 or more grievances on CPGRAMS portal has been done in Dak Adalats during the period since last inspection. The remedial action under process, policy and person parameters may be noted.

5.8. Are analytical reviews of complaints carried out intelligently with a view to reducing the incidence of complaints by identifying the areas of complaints or expeditious disposal of complaints?

5.9. Has the financing of Rural Post Offices and their authorized balances been reviewed with a view to minimize complaints arising due to delay in payment of money orders for want of cash etc.? The action taken in this regard in the last 2 years may be reviewed.

5.10. Identify the Divisions and Regions which contribute to a large incidence of complaints. Examine the position in details.

5.11. Examine the incidence and closure of complaints in the Region and as well as in the Circle as a whole with reference to a few quarters to determine whether there is any trend for increase in the incidence of complaints. If so, identify the reasons thereof.

5.12. Has the Circle taken any special steps to deal with the incidence of complaints which have all India repercussion? If so examine the same.

### **Dak Adalats and Post Forums**

5.13. Are the Dak Adalats held at prescribed periodicity at Divisional and Circle level and complaints settled expeditiously? Are the cases settled by or on the date of Dak Adalat? If not, ascertain the reasons for the same. What is the trend of receipt of cases in the Dak Adalats?

5.14. Are meeting-less days to interact with general public in connection with their grievances observed in the RO/ Circle Office and the subordinate Units and check-up whether the cases have been satisfactorily dealt with?

5.15. Are the references drawing attentions of RO/ CO administration towards public complaints handled promptly and watch on disposal kept? Are Units/ Offices figuring frequently identified and remedial measures taken for improvement?

5.16. Are the Post Forum meetings held at prescribed periodicity in subordinate units? Are the report received regularly? When was the last meeting conducted?

5.17. Is there any specific Post Forum meeting held with important Residents, Welfare Association, Chamber of commerce and other important Customer groups and follow up action thereof?

**CDRF cases:**

5.18. What is the trend of receipt and disposal of CDRF cases over the last 3 years? What is the success rate? See the steps taken to improve it.

5.19. Is the register of CDRF cases maintained?

**Quality Assurance and Citizen's Charter:**

5.20. Is the Citizen's Charter displayed and implemented in all Post Offices in the Circle?

5.21. How many Post offices are identified for implementation of SEVOTTAM and other quality certifications in the Circle?

5.22. What is the status of quality certification in selected offices?

5.23. Are the prescribed monitoring report being sent to the Directorate in time?

5.24. Examine if funds allotted for implementation of SEVOTTAM are judiciously spent?

5.25. Examine a few files relating to replies given to the Parliament Questions. Check-up if the replies have been approved by the Head of the Circle and have been correctly prepared.

### **Right to Information**

5.26. Whether all the proposals for appointment of CPIOs and first Appellate Authorities are approved by the CPMG?

5.27. Whether all RTI applications received in the Circle Office are transferred to concerned CPIO within prescribed time limit?

5.28. Is the list of CPIOs of DoP for RTI available in all CAPIO offices and Indiapost website? List of updated FAA should also be posted on Indiapost website.

5.29. What is trend of receipt and disposal of RTI cases over the last 3 years?

5.30. What is the fee received on account of RTI applications during last two years?

5.31. Is the updated list of CAPIO available in the Circle?

5.32. Whether periodical training activity on RTI carried out?

5.33. Whether statement in compliance to Section 25 of RTI Act sent in time to RTI Cell, Dak Bhawan?

### **Online RTI:**

5.34. Whether Training on the RTI online web-portal is periodically imparted to the CPIOs & FAAs of the Circle.

5.35. Whether pendency of RTI applications monitored by the designated DPS (HQ) (nodal officer) for RTI online?

5.36. Whether RTI application and appeals received through the RTI online portal are disposed of within the timeframe prescribed under the RTI Act 2005?

5.37. Whether the software developed by the DOP&T functions properly while the RTI online web portal is operated?

5.38. Whether steps are taken for suo-moto declaration of information in pursuance to DOP&T OM dated 15.04.2013

## **6. ESTABLISHMENT**

6.1. Generally see whether the Establishment Registers are maintained and kept updated.

6.2. Does the Director of Postal Services (Headquarters) personally check the establishment registers of CO / RO and ensure that proposals for review of sanctions are taken up six week in advance of their expiry? See whether any proposal is pending for submission to the Directorate.

6.3. See whether temporary posts in Circle/ Regional Offices and Subordinate Units are covered with valid retention sanction orders. Are proposals for retention of temporary posts received in time from the Units and orders issued promptly? Is CO/ RO administration alive to the need for coverage of temporary posts with valid retention sanction orders in time?

6.4. Is prescribed periodical review of establishment of Post offices and RMS offices carried out regularly and are the registers thereof maintained in the proforma prescribed? See whether surplus posts are identified during the process for redeployment to needy offices with the approval of the Heads of Circle. Indicate the position of reviews in the subordinate Units and review the steps taken to wipe out the arrears, if any.

6.5. Indicate the number of surplus posts and the offices where such posts are surplus. Similarly indicate name of offices and number of additional staff justified there as per norms. Is action for redeployment to needy offices prompt?

## **7. STAFF AND RECRUITMENT**

7.1. How many appeals are pending?

(a). On account of certain information or report being awaited from subordinate office? What action has been taken to receive the required information or report?

(b). After completion of action in all respects by subordinate offices, what are the reasons for delay?

7.2. State whether the appeals indicate that the Subordinate Punishing Authorities are or are not acquainted with the Disciplinary Procedures laid down in the CCS (Classification Control and Appeal Rules) 1965.

7.3. What is the trend of appeals received and decided in last 3 years? Give year wise data.

7.4. What is the total number of petitions pending? Is there any avoidable delay noticed in their disposal? Have petitions pending in the Directorate been pursued vigorously?

7.5. Satisfy yourself that the Confidential Records and Memos of Services are written up to date. Cross check information of punishments as in the Punishment Register/ extracts of Punishment Register with entries in the RR at random.

7.6. What is the number of pending Disciplinary cases (including GDS) and suspension/ put off duty cases in the Circle/ Region with break up? Is the pendency position reviewed at the appropriate level in RO/ CO to expedite disposal?

7.7. (a). Whether the DPC meetings have been held for all the cadres as per schedule circulated by the Directorate? If not, the cadres for which the DPC meetings have not been held and the target dates by which the meetings would be held.

(b). Have any ad-hoc promotions been made? If so, the details thereof with dates of such promotions and reason for resorting to ad-hoc promotions.

(b) (i). Whether instructions regarding ad-hoc promotions are followed scrupulously. Detail of ad-hoc promotion in all cadres as on date of inspection, to be given in following format.

Name of the Post (STS, JTS, PS Group 'B', ASP, IP, etc.)	No. of officers working on ad-hoc basis	No. of officers working on ad-hoc basis for less than one year	No. of officers working on ad-hoc basis for more than one year, even after giving some break	Reason for continuing such ad-hoc appointments for more than one year even after giving break

(b) (ii). If ad-hoc appointments are being continued for more than one year even after giving break, number of proposals referred in last one year to Directorate seeking approval of DoPT for continuing such appointment.

Details of vacancy in each cadre of the Circle:

Cadre Name	Total Sanctioned Strength	Total regular incumbents	Vacancy	Reason in detail for each mode of recruitment

(c). Are rotational transfers being carried out as per schedule?

(d). Whether inward/ outward registers for transfer under Rule 38 are being maintained as per guidelines and published on website.

7.8. Are Property Returns being submitted by all the Gazettes Officers of the Circle as on 1st January of each year? Has any comparison been made with the previous year's statement submitted by each Officer?

7.9. What is the general position of recruitment to various cadres in Region/ Circle? Is there any backlog? If so, what are the steps taken to remedy the position?

7.10. What is the vacancy position in different cadres vis-a-vis sanctioned strength?

7.10. (a). Whether, up-to-date statistics regarding the number of officials in position against the sanctioned strength in various grades is maintained in the Circle Office?

(b). Whether the gradation lists of various cadres have been updated after circulating to all concerned. If not, the cadres for which the gradation list have not been finalized/ upgraded and the reasons thereof.

(b) (i). Whether seniority lists of various cadres have been updated after circulating to all concerned. Details to be provided as under:

Cadre Name	Seniority as on..... (date)	If not up-to-date, reason thereof	Officials up to which recruitment year included in seniority	If officials belonging to previous recruitment year not included, reasons thereof

7.11. Status of petitions/ representations regarding personnel matters addressed by employees to CPMG, Director (HQ) etc. Whether the petitions/ representations received are disposed of in time?

7.12. (a). whether the direct recruitment in various grades has been done as per schedule. If not, the action being taken to remedy the position.

(b). The number of contempt petitions filed by individuals in Tribunals, Courts etc. What mechanism has been evolved to ensure timely action on contempt petitions?

7.13. Compassionate Appointment:

Whether CRC meetings are being held for considering compassionate appointment cases for Group C posts in time? How many compassionate appointment applications are pending and for how long?

7.14. Submission of due reports to Directorate

- a). e-Samiksha - 1st of every month
- b). Probity - 5th of every month
- c). Report from CVO to CVC - 10th of next month ending each quarter

Data in respect of last one year of date of Inspection			
No. of reports submitted before due date	No. of reports submitted after due date (reason thereof)	No. of reports not submitted (reason thereof)	Remedial measures taken for timely submission of reports

7.15. (a). Whether APAR of all IPs, ASPs, PS Group 'B' officers of Circle is kept under custody of DPS (HQ). If not, reason thereof.

(b). Whether APARs are complete in all aspect (disposing representations, if any) as per schedule prescribed in respect of IP, ASP, PS Group 'B' and other officials working in Circle Office. 5% of APARs to be randomly checked with observations thereof.

7.16. Details of VIP references received in Circle from Directorate:

Year	No. of cases received	No. of cases in which reply given to Dte.			Pending cases		
		<15 days	15-30 days	>30 days	<15 days	15-30 days	>30 days

Details of pendency:

Year	Total pendency	Age-wise pendency				
		<30 days	30-90 days	90-180 days	180 days to one year	More than one year

7.17. Litigations related to service matter:

i). Number of cases pending in various courts

- a. CAT -
- b. High Court -
- c. Supreme Court -

ii). Details of cases wherein judgment has been delivered:

Case No.	Court (CAT/ High Court/ Supreme Court)	Date of delivery of judgment	Date of implementing order, or, filing appeal, or, referring the matter to Directorate	Remarks, if any

iii). Status report of IPR in r/o Group A and PS Gr 'B':

Name of Officer	Date of filing the IPR

iv). Status of joining reports/ charge relinquishment reports forwarded to the Directorate in r/o Group A and PS Gr 'B' officers on promotion/ transfer/ retirement:

Name of the officer	Designation	Date of Assumption	Date of retirement	Whether charge report forwarded to the Directorate?

v). Details of sanctioned posts/ actual strength of JTS/ STS/ PS Gr 'B' along with the names of the incumbents and their designation:

Sanctioned Posts	Actual Strength	Vacant posts and date w.e.f. which they are vacant	Name & Designation of the incumbent	Whether holding the post on regular or on ad-hoc basis?

vi). W.r.t. para 7.15 (a) & 7.15 (b), status report in respect of APAR of JTS/ STS may also be called for.

vii). Compassionate appointment cases in r/o regular Govt. Employees:

Year	No. of new requests received during last Five years (Year Wise)	No. of cases considered by CRC (Year wise)	No. of applicants appointed on compassionate grounds (Year wise & Cadre wise)

### GDS CONDUCT AND ENGAGEMENT:

7.18. (a). Whether GDS online engagement process is going on as per latest Cycle? How many GDS post are lying vacant, reasons thereof and how many GDS vacancies notified? How many candidates have been issued provisional engagement? How many candidates joined?

(b). Number of cases in which documents produced by GDS candidates found fake. Number of cases in which FIR lodged. Number of cases under which action under Rule 8 have been taken.

(c). How many disciplinary cases under Rule 10 are pending beyond time limit in the Circle and reasons thereof?

(d). How many disciplinary cases under Rule – 10A (Now 10F) i.e. beyond date of discharge are pending for disposal and reason thereof?

(e). Whether Petitions under Rule 20 cases are timely forwarded to Directorate? How many such cases are pending at Circle Level?

(f). How many cases of retention beyond 65 years are pending at Circle Level, whether these cases are timely forwarded to Directorate?

(g). Whether Committee on Compassionate Engagement (CCE) for GDS is being conducted bimonthly? How many GDS cases are pending for consideration and reason thereof?

(h). Whether DDOs/ DAPs are timely processing exit withdrawal cases of NPS Lite (SDBS)? How many cases are pending in the Circle and reason thereof?

(i). Whether NPS Lite (SDBS) subscription are being sent timely to DA (P)/ NSDL (CRA) by the DDOs? How many cases are pending for exit withdrawal and reason thereof?

(j). Whether Severance/ GDS Gratuity are being paid to GDS immediately after discharged for engagement? How many cases are pending and reason thereof?

(k). Whether working hours of Branch Post Offices have been revised as per Department OM No. 17-31/2016-GDS dated 25.06.2018 and 29.07.2019?

## **8. TRAINING**

8.1. How many numbers of PTCs/ WTCs/ RTCs/ ZTCs are there in the Circle?

8.2. What is the availability of infrastructure in WTCs? Whether all the WTCs are having at least 10 nodes? Are all WTCs at CO/ RO equipped with required training environment/ equipments?

8.3. Whether all the WTCs have got full-time trainers and are drawing training allowance only after putting 1124 hours per annum?

8.4. Whether trainers of WTCs were selected as per procedure laid down by the Directorate? Whether trainers at WTCs deployed by outsourcing or by engaging retired Postal officers? If yes, kindly provide details.

- 8.5. What is the capacity utilization of WTCs?
- 8.6. How many seats were allotted by PTC to CO and/ or CO to RO for various training programs in Financial year and out of those, how many seats were utilized category wise/ program wise?
- 8.7. What is the number of employees including PH employees yet to be imparted Induction training (Cadre wise)?
- 8.8. What is the Physical and Financial Targets of Training allotted to Circle?
- 8.9. What is the achievement of Physical and Financial Targets by the Circle?
- 8.10. Expansion of Training Infrastructure, if any required in the Circle.
- 8.11. Whether feedback is received from trainees after completion of training at WTCs and the same is evaluated by the Competent Authority? Is there any 'Training Need Analysis' carried out keeping the feedback in mind?
- 8.12. Whether trainers of WTCs undergone Orientation training at PTC? If not, what efforts are being made in this regard?
- 8.13. Whether trainers of WTCs/ ZTCs serving for a period of minimum one year in any PTC as per instructions of Directorate? Whether request of any PTC pending with CO/ RO for deputing such trainers at PTCs? If yes, what actions are being taken to address the demand?
- 8.14. What steps have been taken by CO/ RO to achieve the main training objective set by the department i.e. "Training for all" under Postal Training Policy?
- 8.15. Is there any WTC/ ZTC trainer, who is working beyond the prescribed tenure of 4 years? If yes, what actions are being taken for his/ her replacement?
- 8.16. Whether approved Standard Training Packages being utilized for imparting training at WTCs?
- 8.17. Whether necessary order has been issued by HoC in compliance of Directorate letter no. X-20/7/2018-SPN II dated 12.04.2019 regarding identification of a feeder Postal Division for recruiting/ posting of officials on tenure basis at PTCs/ RTCs/ WTCs?

8.18. Whether monthly training programmes of WTCs are being approved by Regional PMG/ DPS (HQ) in advance? Whether copy of same is being sent to parent PTC for monitoring, comments and suggestions?

8.19. Whether consolidated monthly statement of training activities at WTCs/ ZTCs is being sent to Circle office besides Training Division immediately after the month-end?

## 9. TECHNOLOGY

9.1. (a). Are there AMCs existing in respect of all modern equipment's viz. computers etc.? Mention the details of the contracts with date of expiry.

(b). Are there Nodal Officers aware of the details of service provider and are concerned officials aware as to whom to contact for repairs etc.?

9.2. Whether Circle has worked out a plan for timely replacement of obsolete computers and other hardware and implementing the same for effective delivery of services to the customers?

9.3. Comment on the targets and achievement, funds allotted and utilized/ surrendered during the last 3 years.

9.4. Examine, if suitable care is taken to ensure proper upkeep and maintenance of the hardware/ software items procured under various projects of modernization through periodical checks and timely action. Is an inventory of all hardware items in the Circle/ Region available in the RO/ CO?

9.5. Examine the projects of modernization undertaken with local initiative assessing their utility, particularly, for application in other Regions/ Circles.

9.6. Does the Head of the Circle/ Region review the training needs of the manpower engaged in the operations of all modern mechanical gadgets? What are the Plans to update/ upgrade the skills of these personals?

9.7. Whether all departmental post offices computerized and functional?

9.8. Whether complete Meghdoot modules are functional?

- 9.9. Examine whether the network connectivity (both NSP1 & NSP2) is functioning properly. Does NSP2 get switched on automatically whenever NSP1 goes down? Check e-health reports?
- 9.10. Check whether tickets are raised immediately whenever problems in network connectivity & other technical problems crop up.
- 9.11. Check the time taken by the vendor to resolve the problem & whether it is within the defined Service Level Agreement (SLA) and breaches, if any, are raised at appropriate levels as per escalation matrix prescribed. Whether record of the above maintained?
- 9.12. What is pendency created due to breakdown of network?
- 9.13. Check that password security is maintained. Are the passwords changed frequently & secrecy of passwords is ensured. Please see that passwords of transferred/ retired staff.
- 9.14. Ensure that access to the software given to the personnel commensurate with their nature of work and the roles do not overlap. Also test check few roles vis-a-vis the designation of the officials and satisfy for its justification. Restricted access to certain modules, if found necessary, be examined.
- 9.15. Whether the router, switch etc., are kept in the rack?
- 9.16. Networking cables are properly laid out and do not interfere free movement.
- 9.17. Whether all the computers are covered under MAC binding AV/ AD rollout and GUP configuration is done.
- 9.18. Whether history sheet exists for all the hardware and peripherals? Whether inventory is maintained properly?
- 9.19. Check if no spurious applications are installed.
- 9.20. Whether all systems are drawing power from UPS?
- 9.21. UPS capacity is not being exceeded.

9.22. Check if all computer and peripheral are under warranty/ covered by AMC contract; Check if preventive maintenance is carried out periodically, whether the vendor has carried out the repairs in time and if there is delay whether standby equipment are given; Check whether officials are aware of the process of raising complaints and follow up. In case there is no AMC what is alternate arrangement.

9.23. Whether Office has worked out a plan for timely replacement of obsolete computers and other hardware and implementing the same.

9.24. Funds for procurement of computers and peripherals etc. allotted, utilized and surrendered during the last 3 years and targets and achievements, if any, in this regard.

## 10. PROJECT MANAGEMENT UNIT (PMU)

10.1. To see whether the Circle Monitoring Committee (CMC) has been constituted as per the guidelines issued by the Postal Directorate?

10.2. To see whether regular meetings are organized between Circle PMU and representatives of various vendors associated with IT Modernization Project.

10.3. To check the status of Change Management and Training Activities including End user training by user champions in the Circle.

10.4. To check Hardware, networking and Software deployment & maintenance activities in the Circle.

(a). To check daily report on network availability across the Circle in Sub offices and the business done by them.

(b). To check daily report on how many branch offices were connected previous day and the business done by them.

10.5. To see whether the monitoring of the progress of the project is being done and weekly reporting of project status to PMU in the Directorate & Project Implementation Committees is done on a regular basis.

10.6. To see whether the services of departmental personnel trained to replace NISG resources are being utilized optimally for effective management of the IT Modernization Project.

10.7. To see whether proper follow up action are taken on the observations of departmental resources (Who have replaced NISG resources) deployed at the Circle.

10.8. To see whether the fund allotted for the PMU from time to time are being utilized properly within the stipulated time.

10.9. To see the storage of ATM cards & PIN Mailers, their issuance procedure & stock statement (If ATM card/ PIN Mailer issued at Circle level).

## 11. PLANNING

11.1. Are registers showing particulars of requests for opening of new post offices properly maintained? How many requests for opening of post offices are pending? Are these being processed expeditiously? Have final replies been given to the sponsors after final examination of the requests? Is quarterly statement to that effect is being sent regularly to Directorate.

11.2. What are the Plan targets in respect of opening of post offices, franchise outlets and providing basic infrastructure equipment to EDBO etc. for the last 3 years in the Circle/ Region? Have registers to monitor allocations to subordinate units and their achievements maintained properly? Comment on the allocations made by the Circles to the units and efforts made to achieve the targets. In case of short fall, look into reasons.

11.3. Is the register for monitoring progress and RFD (Result Framework Document) targets maintained? Comment on the achievements.

11.4. Check whether the allocated funds for each activity of the Scheme under Plan Targets have been correctly booked under the appropriate Head of Account.

11.5. Have the Panchayat Sanchar Sewa Kendras (PSSKs) been opened in villages, which justify opening of Post office as per norms, but Post offices could not be opened for want of targets? Check the justification for its continuance.

11.6. Is the following statistical information of the Region/ Circle as regards Postal Network as on 31<sup>st</sup> March preceding the inspection available in the RO/ CO?

- i. Average area served by each Post office
- ii. Average population served by each Post office
- iii. Total number of rural BOs/ Urban EDBOs.
- iv. Total number of urban DSOs/ rural DSOs.
- v. Total number of HOs urban/ rural.
- vi. Total number of letter boxes urban/ rural.

11.7. In how many cases Heads of Circles have exercised their discretionary powers to relax the norms for opening of Franchise Outlets.

11.8. Are the Franchise Outlets in the Circle contributing to the postal operations revenue or adversely affecting the revenue of nearby post office?

## **12. CIRCLE MANAGEMENT COMMITTEE**

12.1. What issues are discussed in the CMC meetings? Do all officers concerned participate in the meetings? Are issues or renting our Post Boxes, Post Bags and revenue realized through Franking Machines discussed in these meetings?

## **13. FINANCIAL MANAGEMENT**

13.1. Is the cash in hand on account of undisbursed pay and allowances and the balance of the permanent advance for contingencies and amounts drawn for advance payment of contingent charges found correct?

13.2. Enter the amount found in the office and that arrived at by reference to the Cash Book.

13.3. Also state separately the amount in hand on account of undisbursed pay and allowances and balances on account of permanent advance and amount drawn for advance payments.

13.4. Is the amount of the permanent advance of contingencies covered by the cash in hand and vouchers for payments made out of the advance?

13.5. Are all the vouchers on hand on account of payments made during the current month? If not, ascertain and state why the charges were not included in the contingent bill for the month in which they were incurred?

13.6. See whether proper arrangements exist for the safe custody of cash and other valuables? Is the safe properly embedded; secured by two locks of different pattern? Who are the custodians of keys? Ascertain the position of duplicate keys.

13.7. Examine the register of losses, advances recoverable and retrenchment maintained in form AC. 60 in respect of all advances etc. See that it is properly kept and whether recoveries are affected regularly.

13.8. Are the registers for sanction of TA/ LTC advance maintained properly and advances regulated in accordance with the Rules?

13.9. Has suitable action been taken on the last Audit/ IC inspection reports and replies sent to Audit/ Postal Accounts Offices promptly? Are these inspections carried out regularly?

13.10. (a). Examine whether the monthly statements of contingent expenditure incurred by the Divisions are received and reviewed in CO/ RO. Ensure proper check is exercised over excess expenditure by the subordinate Units.

(b). Examine whether non-payable contingent bills of Head Post Offices are received in time and scrutinized carefully in the CO/ RO and satisfy that the expenses are reasonable and essential.

13.11. Examine whether non-payable contingent bills of HPO are received in time and scrutinized carefully in the CO/ RO before countersignature. Is the position current?

13.12. Are monthly reviews made to see that the allotment is adequate under all Heads and that expenditure has not been exceeded under any Head? Examine whether there is any tendency on the part of Units/ Region/ Circle to surrender the allotted funds under any Head?

13.13. (a). Is a regular watch kept in respect of expenditure relating to T.A, wages, OE, OTA and Medical Treatment with a view to seeing that the ceiling fixed for the purpose are not exceeded.

(b). Is there any genuine reason to enhance the allotment under any of these Heads?

13.14. Examine the expenditure incurred under ceiling items with reference to the allotment for the last 3 years and note the variations and enquire the reason thereof. Does the Circle/ Region take the remedial steps to avoid unjustified variations?

13.15. Assess the performance of the Circle/ Region with reference to the targets fixed for mopping up of Postal Revenue. Discuss the ways and means to improve revenue realization.

13.16. What is the revenue and expenditure ratio for the last 3 years? Does the Head of the Circle/ Region review the trends and take action to reduce expenditure and increase revenue leading to better financial management?

13.17. Examine the expenditure incurred on OTA in the Region/ circle as a whole for the last 3 years. See if the Units incurring heavy OTA expenditure are identified and reasons for the same looked into. Review the steps taken to curtail expenditure.

13.18. Has an officer been specially charged with the responsibility for initiating action in due time for completion of pension records and documents? Does he have a list prepared every six months i.e. on 1<sup>st</sup> July, of all officials who will attain the age of superannuation 12 to 19 months hence? Is a checklist and progress statement maintained to ensure that all necessary steps are taken well in time for the finalization of pension cases? Are there any cases in the list in which action has not been initiated?

13.19. Does Heads of the Circle/ Region scrutinize EST-3 consolidated return of pension cases every month to take note of any pension case delayed?

#### **14. FINANCIAL SERVICES**

14.1. Review the growth of (i) Savings Bank/ Certificate (ii) Domestic Remittances and (iii) International Money Transfer Business in the Circle in last 3 years with

reference to allotted targets. Review year-wise targets vis-à-vis achievements. Record reasons for non/under achievement of targets.

14.1.1. Review Mobile Seeding of POSB Account in the Circle, record reasons for under performance, if any.

14.1.2. Review the status of Intra Operable Net banking users in the Circle, record reasons for under performance, if any.

14.2. Ascertain the number of Post offices of different categories in the Circle (HOs/ SOs/ BOs) and the numbers performing Saving Bank, eMO, iMO and IMTS work. Examine, how many iMO and IMTS Post offices are not having any transaction (outward) and reasons why they are not performing CPMG to suggest steps to be taken to make them performing offices.

14.3. Number of SBCO Objections, Minus Balance cases and Generation of Interest Statement (for Non-CBS offices) pending in Circle, Post office wise and discuss with Head of Circle with reference to steps taken to liquidate the same.

14.4. Review position of Public Grievances relating to Financial Services during last three years and note the trend. Record remedial measures taken by Head of Circle in respect of Post offices generating large number of complaints, advising to improve services, if any issued.

14.5. Has DPS inspected O/o AO (ICO) every year? Peruse some of the inspection reports to ascertain quality of work being done in the SB as well as SBCO branches in the Circle.

14.6. See whether SB orders issued by the Directorate are promptly circulated to the field Units. What efforts has Circle made to enhance the knowledge level of the Staff working in SB/ SBCO branches? Are POSB books available in the Post offices for reference of Rules, Orders etc.?

14.7. Review the register of deceased claim cases received for sanction in the Circle office and also review few claim cases sanctioned. Ascertain the time taken in finalization of cases and whether queries are raised one at a time thereby leading to delay in settlement.

14.8. Review the action taken by the Circle in respect of publicity of Financial Services Products.

**Core Banking Solution (CBS):**

14.9. Review the status of TNF Post Offices in the Circle.

14.10. Find out as to what efforts the Circle has made on its level to provide connectivity to such TNF locations, for making them eligible for migration to CBS.

14.11. Review the training of manpower for implementation of CBS in the post offices.

14.12. Whether 5 members CBS Monitoring Team is constituted and put in place and contact number of SPOC have been conveyed to DOP's IT team.

14.13. Outline the major issues faced by CBS post offices, if any.

**15. POSTAL LIFE INSURANCE (PLI) / RURAL POSTAL LIFE INSURANCE (RPLI)**

15.1. What marketing strategy has been devised by the Circle to achieve business targets? Is there any periodic review of business performance and what remedial measures are taken for improvement? What are the business targets assigned to the Circle and achievements thereof? Growth of business over the preceding three years? What is sector-wise procurement of business?

15.2. How many DO, FO, Direct Agents, GDS and Departmental Employees are working as marketing staff for PLI/ RPLI?

15.3. What are the total numbers and types of different types of service requests indexed which are more than 15 days old and action taken to settle the pendency. Work out average time taken to settle different types of service requests. Which CPCs/ Divisions/ Regions show highest pendency separately for each type of request? What interventions are made at Circle/ Regional level to ensure settlement as per norms?

15.4. What is the total number of proposals pending for acceptance beyond 15 days, average time taken to issue policy after indexing? What mechanism the Circle is adopting to check the pendency?

- 15.5. List out all pending Loan/ Maturity/ Death/ Surrender/ Survival Benefit claim cases. Ascertain reasons for pendency and action to clear all cases pending beyond Citizen Charter's Norms. Is the circle following the SOP prescribed for such cases.
- 15.6. List out all the early death claim cases (where death of the insurant occurred within 3 years from the date of acceptance of the policy). Is there monitoring mechanism put in place by Circle in respect of such cases? What action is being taken in such cases of pendency beyond Citizen's Charter norms? Is the Circle following the SOP prescribed for such cases?
- 15.7. Checked the procedure adopted by Circle to know the number of cases are pending in Circle where disbursement details are not updated in the system after 7 days of issue of sanction of claim. What action has been taken for 100 % updation of disbursement details in the system.
- 15.8. Check to see whether the Circle is regularly monitoring the status of Mobile Number/ Aadhar/ e-Mail Address updation in PLI/ RPLI policies & what is the percentage of updation in respect of each in policies of the circle.
- 15.9. Draw up list of complaints relating to PLI/ RPLI pending with the Circle on CRM, CPGRAM, TWITTER & references from PLI Directorate. Ascertain reasons for pendency.
- 15.10. See that Circle has chalked out the schedule of in-house and licentiate training of Agent/ GDS employees and marketing personnel for the current year and training is imparted accordingly?
- 15.11. What is the number of Direct Agents/ GDS/ FO/ Departmental Employee who have been imparted in-house training at Division/ Sub Division level? Is there any data base of trained Agents/ Sales Force? How many have so far been imparted licentiate training and issued license?
- 15.12. Study the action plan for utilization of funds allotted under Training, Incentives to sales force and Advertising and Publicity & suggest ways for its better utilization, if any? Is the DDM (PLI) sending fortnightly report of progress of training and funds utilization by e-mail to PLI Directorate?

15.13. Check to see that all incentive bills of sales forces in the various divisions of the Circles are being paid timely. Is there any mechanism in the circle to monitor this issue?

15.14. Check to see whether Circle is monitoring all the reports in respect of their Circle posted in the employee corner of website of Indiapost by CEPT from time to time. Whether these reports are being put up to higher authority regularly for their knowledge?

15.15. Check to see the amount of suspense lying pending against various DDO codes in the Circle. What action has been taken by Circle to clear the pending suspense amount?

15.16. Whether Ticket IDs are being raised centrally by the Circle, for each technical issue being faced in the system functioning and if so their timely resolution within 15 days is being monitored?

15.17. Check to see whether Circle is monitoring data of .CSV file upload in respect of cash policies of the Circle. Whether Circle is receiving report from PLI-CEPT team relating to .CSV file uploaded in r/o Circle by the designated CPC on monthly basis for necessary cross-check by concerned DDMs/ ADMs (PLI).

## **16. PHILATELY**

16.1. Is the stamp advance with officer in charge of Philatelic Bureau and clerks in Philatelic Bureau correct?

16.2. Is the stock of postage stamps of each denomination sufficient and in good condition? Are the arrangements for stocking of stamps satisfactory?

16.3. Is the stamp balance with the clerk checked daily by the Officer in charge of Philatelic Bureau?

16.4. Is the staff conversant with the deposit account rules and is the procedure correctly followed, Test checks the balance in at least 6 deposit accounts with reference to various records and also by writing/ speaking to the depositors.

- 16.5. Is the supply of philatelic material timely made to the Philatelic Deposit Account holders? Test check 6 accounts to see whether the supply has been made as per standing orders.
- 16.6. Is the amount received by post from the Philatelists and deposit of account holders properly accounted for Test check at least 6 credit by reference to various records including of Treasuries cash book.
- 16.7. Are the orders received compiled with immediately after the issue of the stamps? Test check on at least 6 occasions and state result.
- 16.8. Is any Register for complaints/ suggestions maintained and kept at prominent place? Is proper action taken on complaints/ suggestions?
- 16.9. Is the Register of local stamp dealers and philatelists showing their names and addresses maintained for dispatching publicity materials to them?
- 16.10. Is a list of stamps issued since Independence available?
- 16.11. Is the annual programme for issue of stamps displayed?
- 16.12. Are the photographs of new issues of stamps displayed for advance publicity and technical data of the new issue of stamps duly sent to Philatelists and local dealers?
- 16.13. Are the counters comfortable and is the public attended to promptly and courteously?
- 16.14. Is the guard file properly maintained with the instructions issued from the Directorate from time to time?
- 16.15. Is the stock register of FDCs and Brochures maintained properly? Are the sale proceeds of FDCs and brochures credited into Govt. accounts immediately on occurrence?
- 16.16. Check the disposal of unsold FDCs and brochures remaining after six months of the release of the stamp.
- 16.17. Are the periodicals returns timely and correctly sent to Directorate?

16.18. Whether the updation of stock of stamp/ stationary on Philsim is done daily? If yes, the figure on Philsim should be tallied with the stock register of stamps maintained by treasurer.

## 17. BUILDINGS/ ESTATES

17.1. (a). Is the register of lands and building belonging to the Department maintained in the form of loose leaf ledgers kept up to date?

(b). Is Subsidiary Register of lands and buildings correctly maintained?

(c). Are the following registers properly maintained?

(i). Register of Plans and Estimates

(ii). Register of rents in data statement form of residential buildings

(iii). Registers showing particulars of Private buildings occupied under lease by (a) Post Offices (b) Other offices of the Department (c) Also details of rented buildings, which are due for renewal of lease

17.2. Have any Plans been drawn regarding construction of any systematic repairs/ maintenance to Departmental buildings housing Post offices and Administrative Offices and Staff Quarters?

17.3. Is the register of vacant sites/ plots belonging to the Department maintained? Does the Register contain details like vacant sites having boundary walls/ barbed wire and sites that are without boundary walls? Has the action taken to remove the encroachment is adequate? Are the details in respect of plot/ site with encroachment, if any and the site under litigation etc. noted in the said Register?

17.4. Has the Circle/ Region drawn up any proposal for utilization of excess accommodation in the Departmental buildings? If so, what are the details thereof?

17.5. What is the position of modernization of office buildings in the Circle/ Region? How many buildings have been modernized during the last 3 years and the amount spent on the same?

17.6. Have all the new projects provided in the budget for the current year been sanctioned and expenditure incurred on them? Examine this aspect particularly in respect of projects costing above Rs.5 Lakh.

17.7. Are the monthly statements of project wise progress of capital works and expenditure incurred obtained from the Civil/ Electrical Engineering Units in the Circle/ Region to note the progress of work vis-a-vis expenditure incurred on each of the project in relation to amount sanctioned in AA and ES for the respective project? What follow up action is taken as a result of the review?

17.8. Whether the staff quarters available in the circle are sufficient in view of demand and applications received for allotment of quarters? What is the overall percentage of satisfaction level of staff quarters?

17.9. Have adequate precautions for firefighting been taken? Are the fire extinguishers checked regularly to ensure that they are in good condition? Has a Fire Precaution Inspection Book been maintained in which condition of the fire extinguishers is recorded?

17.10. Has the staff been trained in the use of fire-fighting appliances and are fire drills and exercises being held? Is an entry regarding the drills and exercise made in the Fire Precaution Inspection Book?

17.11. What is the total number of on-going building projects and projects? In how many cases the expenditure has exceeded more than 10% of the AA & ES? What are the reasons for such increase? Are revised estimates for such Projects sanctioned expeditiously? Details of projects which are undergoing time overrun and cost overrun with reasons and justification for delay.

17.12. Whether monitoring of all the construction activities is being undertaken by a senior level officer, so that there should not be undue time and cost overrun?

17.13. How many Departmental buildings have been declared as Heritage Buildings? Whether Preservation of these Heritage Building is being carried out?

17.14. Whether the Post Office buildings available are having the infrastructural facilities for differently abled people? If not what action has been planned or taken by the circle/ region.

## 18. INVESTIGATION

18.1. (a). Is the register of loss and fraud cases maintained properly and kept updated?

(b). Is the quarterly statement of loss and fraud cases registered in the Circle/ Region submitted to the Directorate and to the Postal Accounts Office regularly in time with the approval of CPMG/ PMG?

18.2. (a). What is the total number of pending loss and fraud cases within 3 years and above 3 years?

(b). How many of them are pending on account of:

- (i). Departmental enquiry
- (ii). Police enquiry
- (iii). Disciplinary action
- (iv). Action in court
- (v). Adjustment of loss and
- (vi). Settlement of claims?

(c). What action is being taken to expedite finalization of fraud and loss cases especially those pending for over three years?

18.3. Does an Officer, not below the rank of AD/ APMG, carry out a thorough review of all fraud cases periodically to see that there is no avoidable delay in finalizing them?

18.4. Are the individual reports in respect of cases involving amount over Rs. 2, 00,000 being sent to the Directorate expeditiously? Are Circle Level Inquiries carried out expeditiously in these cases? In how many cases CLIs are pending and ascertain the reasons for the same.

18.5. State the number of loss and fraud cases detected and finalized during the last 3 years. Has the Circle/ Region been able to finalize more cases than detected every year during this period?

18.6. State the number of pilferage cases reported at Post Offices/ mail offices/ sections and what remedial action taken by the CO/ RO.

18.7. Are the diaries of Divisional Superintendents of Post offices/ RMS obtained and examined by DPS or PMG/ CPMG and review remarks communicated for necessary action?

18.8. Do Circle Checking Squads exist in the Circle/ Region? What is the performance of these Squads during last three years in checking/ detecting revenue leakage?

18.9. Whether Circle checking Squad/ Regional Checking Squads have paid regular visits to the running Sections of the RMS? If yes, whether their VRs were reviewed and follow up action was taken.

18.10. Whether Circle/ Regional Checking Squads had detected any leakage of revenue. If yes, details thereof and orders passed on such detection.

18.11. Whether any frauds have come to light in the new services/ operations offered by the Post Offices like eMOs, Western Union Money Transfer/ IMTS, EPPs and other technology oriented services. Whether adequate action was taken to prevent such frauds?

18.12. Whether any sanctions for prosecutions are pending to be issued to CBI/ other investigating agencies. Details thereof be mentioned in the IR.

18.13. Whether due care regarding password protection, data protection in computerized operations are being exercised.

**FRMU:**

18.14. Check if the official in-charge of handling the FRMU alerts has general awareness about the alerts and prescribed procedure for closure.

18.15. Check the MIS report of FRMU alerts assigned, closed and reported to investigation in past 1 year or since date of last inspection and the number of alerts pending.

18.16. Check if any alert is pending for more than 90 days. Record the reason for such undue delay.

18.17. Check randomly at least 10 closed alerts to verify that the official verifying the alert and the official closing the alert are not same by referring the 'Investigation done by' and 'closed by' columns in Web-portal.

18.18. Check whether the administration is familiar with First Response Mechanism procedure in case of fraud detection.

18.19 (a). Check whether any fraud has been detected in Regional office/ Circle office on the basis of FRMU alerts since last date of inspection.

18.19 (b). If yes, whether action has been taken to investigate the same in accordance with instructions meant for investigation of Loss/ Fraud cases.

## 19. VIGILANCE PETITION

19.1. Minor penalty proceedings instituted against any official due for retirement to be finalized before retirement?

19.2. Review of Rule 16 & 14 cases of CCS (CCA) Rules 1965 and Rule 9 cases of CCS (Pension) Rules 1972 with the objective to ensure that the cases are not delayed unnecessarily and the processing is free from technical infirmities?

19.3. Review of Rule 9 cases with a view to ensure that the cases have been referred to the Directorate in complete shape.

19.4. To ensure whether cases of appointment of Ad-hoc Disciplinary Authority under Rule 12 of CCS (CCA) Rule 1965 are referred to the Directorate well in time and complete in all respects.

19.5. Review of cases of suspension with a view to see whether the review committee has carried out review of each case well in time and there is no delay in convening DPC.

19.6. Review of Rule 19 cases with objective that they are not delayed unnecessarily.

19.7. Instructions have already been issued by the DOP&T vide their OM number 11013/02/2004-Estt. (A) dated 16.02.2004 under which accountability for delay in decision making have been prescribed. These instructions should be scrupulously followed by all concerned.

19.8. Appeal/ petition against the order of suspension have been promptly dealt with.

19.9. Application of bias against the IO by the officials should be properly dealt with.

19.10. Review of cases of initiation of disciplinary proceedings under Rule 9 of CCS (Pension) Rule 1972 with view to see that they are submitted to the Directorate complete in all respect.

### **Departmental Exam Branch**

19.11. To see the conduct of decentralized exams as per schedule/ calendar of exam.

## **20. INSPECTION**

20.1. Is Inspection Programme of the Officers of RO/ CO followed up as drawn?

20.2. Are Inspection Programme of Divisional Heads, along with their subordinate Inspecting Officers, received in time, examined promptly, approved and progress reviewed?

20.3. Are IRs being reviewed by the next higher authority? Check some IRs of various offices selected at random.

20.4. Are IRs of HPOs received in RO/ CO, reviewed by DPS and seen by PMG/ CPMG, action pursued on review remarks?

20.5. What is the position of Inspection Work in the Circle/ Region as a Whole? Are Inspections completed properly to avoid rush of inspections at any stage? Is the rule on inspection of offices within 12 months of the date of last inspection strictly being observed by all the inspecting officers?

20.6. Whether a certificate to the effect that all the inspections allotted for the year have been completed by Inspecting Authorities of that Circle and Inspection Reports thereupon have been issued by all Units in the Circle, has been furnished to Postal Directorate by 28th/ 29th of February of the following year by the Head of the Circle.

## **21. ANTI MONEY LAUNDERING/ COMBATTING FINANCIAL TERRORISM (CFT)**

### **21.1. GENERAL:**

21.1.1. Whether a nodal officer in the circle has been designated for PMLA?

21.1.2. Is Requisite User-id available to the Nodal Officer for Closure of Alerts?

21.1.3. Is SAS/ AML training provided to the Nodal Officer and Corresponding Staff?

21.1.4. Are the Guidelines for AML/ CFT available with the Circle Nodal Officer?

21.1.5. Is the pendency of the alert checked/ monitored by Circle nodal officer?

21.1.6. What are the total number of all PMLA alerts received since last inspection and their disposal. Breakup of disposal and pendency be provided.

21.1.7. Random Test Check, at least 3 closed alerts per scenario (Red Flag Indicators) on Quarterly basis, since last inspection. Cross Check whether the alerts are closed with correct closure nomenclature viz., 1. False Positive, 2. Verified - Filed, 3. Terror Financing –Investigated, 4. Terror Financing –Report Filed, 5. Money Laundering- Investigated, 6. Money Laundering- Report Filed.

21.1.8. Random Test Check, at least 3 pending alerts per scenario (Red Flag Indicators) on Quarterly basis, since last inspection. Reasons of pendency to be recorded and action thereon.

## 21.2. PLI

21.2.1. Has action been taken on IRs by SSPOs'/ DPSs' with reference to compliance of KYC Norms by insurants of PLI/ RPLI?

## 21.3. BD & MD

21.3.1. Whether any transaction related to sale of gold coins has been noticed to be suspicious or otherwise attracting provisions of PMLA.

21.3.2. If yes, action taken by the Circle to report the transaction to appropriate authority.

21.3.3. Whether Circle has entered into any tie-up under Retail Post wherein the per transaction value is Rs.50000/- or above? If yes, whether any case of not following AML guidelines is noticed?

21.3.4. If yes, action taken by the Circle to report such cases to appropriate authority.

## 21.4. IMTS

21.4.1. Whether all necessary up-to-date operational guidelines/ Circulars on AML/ KYC/ CFT have been circulated to all the field units for IMTS.

21.4.2. Is a regular training / refresher course being conducted by Circles for staff for the implementation of AML/ KYC / CFT guidelines?

21.4.3. Are regular checks for all field units being conducted to ensure the implementation of AML / KYC / CFT guidelines?

21.4.4. Whether the complied CTR/ STR for IMTS is being sent by the Circle to DDG (PCO) on time? If not, reasons thereof.

21.4.5. Is there a proper system put in place for proper maintenance and preservation of transaction records? Is this data retrievable easily and quickly whenever requested by competent authorities?

21.4.6. Whether all documents/ office records/ memoranda pertaining to complex, usually large transactions and all unusual patterns of transactions and purpose thereof are properly recorded and examined? Is a system put into place for preserving these records for a period of 10 years?

21.4.7 Are specific literature/ pamphlets for educating the customer on the objectives of KYC programme prepared by the field units?

## **21.5. POSB**

21.5.1. Whether Circle is sending the consolidated Post Office-wise list of CTR to DDG (PCO) in Directorate by 8<sup>th</sup> working day of the subsequent month of receipt of such report from Divisions.

21.5.2. If not, what is the pendency? Discuss the deficiency with Head of Circle.

21.5.3. Whether the Circle is sending the consolidated Post Office-wise list of STRs to DDG (PCO), PMLA (by name) at Directorate on the very same day of receipt of STR from D.O.?

21.5.4. If not, what is the average delay taking place at Circle Office? Discuss the deficiency with Circle Office.

21.5.5. Whether action on training of staff on AML/ CFT in WCTCs has been taken by the Circle? How many officials of different cadres have been trained since last inspection?

21.5.6. Whether information about number of Post offices inspected by divisions in a quarter is being shared with Regional Director NSI for external inspection?

21.5.7. Whether report on Offices inspected during the month and their status on implementation with action taken by the Circle is being regularly sent to DDG (PCO) PMLA in the Directorate? If not, what is the delay?

21.5.8. Are the CTR/ STR alerts monitored/ closed on Day to Day basis. What is the current pendency of alerts of CTR/ STR to be investigated in detail?

21.5.9 Also see whether the Nodal in-charge is closing CTR Alert within the 10th day of its occurrence and STR within 7th day of its occurrence or not.

## 22. INTERNAL AUDIT

22.1. Review the pending para of Internal Audit Inspection of Circle Offices conducted by Circle Postal Accounts Office (DAP's) by obtaining information in the proforma given below to see whether previous years para have been settled or not? If not, why?

Para pending as on 1 <sup>st</sup> April of the year	No. of para raised during the year	No. of para settled during the year	Para Pending as on the date of inspection

22.2. Review the pending para of the Audit inspection of Circle Office conducted by P&T Audit in the above proforma.

22.3. Review the position of pending paras of the Internal Audit Inspection of Circle Offices conducted by Internal Audit Division of Postal Directorate by obtaining information in the proforma given below to see whether previous years paras have been settled or not? If not, why?

22.4. Action may be taken to get the Paras settled especially the pending ones for more than one year.

### **23. WELFARE & SPORTS**

23.1. When was the Circle Postal Staff Welfare Board constituted in the Circle and its date of validity? Review the minutes of last meeting and Position of compliance thereto.

23.2. How much funds have been allotted to the Circle from the Central Welfare fund? Have the Accounts of Circle Welfare Fund for the year been audited by the P&T Audit. Please go through the findings of the Audit Report. Have any major discrepancies been noted? Are there any applications pending for financial assistance in the Welfare Branch of Circle Office? If so, the total amount of additional financial assistance required?

23.3. When was the Circle Sports Board constituted in the Circle and its date of validity? Review the minutes of last meeting and position of compliance thereto.

23.4. How much funds have been allotted to the Circle from the Central Sports fund? Have the Accounts of Circle Sports Fund for the year been audited by the P&T Audit? Please go through the findings of the Audit Report. Have any major discrepancies been noted? Are there any outstanding bills/out of account bills lying unadjusted, if so, the amount of such Bills?

23.5. How many Resident Welfare Associations (RWAs) are there in the Circles? Is financial assistance being granted to the RWA?

23.6. How many Holiday Homes are there in the Circle? Have any Holiday Homes been opened since last Inspection?

23.7. Is Financial assistance to Crèche's being granted regularly. How many Crèche's are there in the Circle?

23.8. Has the Circle Sports Board considered any cases for grant of monetary incentives to sportspersons who secure position in the All India Postal Meets? Please tests check a few cases.

## 24. OFFICIAL LANGUAGE

24.1. Examine the roster of persons to be trained in Hindi to ascertain the number of officers/ employees:-

- (i) who do not possess working knowledge of Hindi.
- (ii) Nominated for training in Hindi.
- (iii) Undergoing training in Hindi through correspondence course and
- (iv) To be trained in Hindi.

What action has been contemplated for (iv) above.

24.2. What is percentage of Officers and employees possessing working knowledge of Hindi?

24.3. Is the office notified under rule 10 (4) of the OL Rules 1976, if 80 % of the officers and employees have working knowledge in Hindi? If not what efforts are being made to notify the office?

24.4. If the office is notified under rule 10 (4) as referred to above, have orders under Rule 8 (4) with regard to the noting and drafting in Hindi by the officers/ employees having proficiency in Hindi been issued? If so, are all such employees submitting notes and drafts in Hindi? What action has been taken to ensure this?

24.5. Are all letters received in Hindi being replied to in Hindi? If not what are the reasons there for?

24.6. Are the provisions of section 3 (3) with regard to the issue to bilingual general orders implemented in Toto? If not, what are the reasons there for?

24.7. Has any check point been prescribed? If not, what are the reasons there for?

24.8. Are meetings of Official Language Implementation Committees held regularly at prescribed intervals? Minutes issued and action taken to be commented upon.

24.9. When was the office last inspected by Committee of Parliament on Official Language and what is the position of implementations of assurances given to the Committee?

**25. GENERAL**

- 25.1. List out the issues which the Head of the Circle/ Region may like to bring to the Directorate's notice where decision is pending.
- 25.2. List out points given by Circle/ Regional Office for discussion with the Inspecting Officer and note down the result of the discussion in brief.
- 25.3. What is the over-all impression of the Inspecting Officer on the functioning of the Circle/ Regional Office?

**CONCLUSION**

This paragraph will include a snapshot of overall findings of the Inspecting Authority.

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