

**The Comptroller & Auditor General of India**  
**Procedure for handling of complaints under**

**The Public Interest Disclosure and Protection of Informers (PIDPI) Resolution**

PIDPI, which stands for Public Interest Disclosure and Protection of Informers, is a mechanism in India designed to protect individuals who report corruption or misuse of office by public servants. It ensures confidentiality for the complainant and safeguards them from potential victimization. Department of Personnel and Training's (DoPT) Resolution No. 89 dated 21st April, 2004, commonly known as *Public Interest Disclosure and Protection of Informers Resolution, 2004*, envisages a mechanism by which a complainant can lodge a complaint and also seek protection against his victimization for doing so.

The following guidelines for receiving the complaints under PIDPI mechanism are based on the PIDPI resolution notified by the DoPT on 21 April 2004 and the subsequent notification dated 14 August 2013, vide which Chief Vigilance Officers (CVO) of the departments have been authorised as Designated Authority to receive written complaints or disclosure on any allegation of corruption or misuse of office by any employee of the department.

Accordingly, the Director General (Vigilance) is the authorized Designated Authority to receive written complaints under PIDPI.

Complaints marked 'PIDPI' received by all other Officers / Offices (other than DG (Vigilance)) shall be forwarded to DG (Vigilance). These complaints shall remain unopened and shall be duly enclosed by the recipient in another envelope which shall be sealed, superscribed with '**Complaint under PIDPI – To be opened by addressee only**' and sent to DG (Vigilance) at HQ for further processing.

**A. Pre-Requisitions of the Complaint for being dealt with under PIDPI Resolution**

- (i) All complaints where the envelopes are properly sealed/secured and super-scribed with "Complaint under the Public Interest Disclosure" or "Complaint under PIDPI resolution" will be dealt with the procedure discussed below. All other complaints would be dealt with as per the complaint handling policy of the Department.
- (ii) The complaint should be sent through post only and the envelope should not contain the name of the complainant. The complainant should give his/her name and address in the beginning or end of complaint or in an attached letter. The complainant may also use a double envelope, keeping the complaint in the inner envelope with his name and the outer envelope super-scribed with "Complaint under the Public Interest Disclosure". The Vigilance Wing will not entertain anonymous/pseudonymous complaints.
- (iii) The details of the complaint should be specific and verifiable.

- (iv) Only the complaints having Vigilance angle will be considered under PIDPI.
- (v) Certain categories of complaints received under PIDPI Resolution where it is not possible to maintain confidentiality about the identity of the complainants, are considered as Non-Public Interest Disclosure and Protection of Informers (Non PIDPI) Complaints, but before processing such complaints, the identity of the complainant is masked, thus taking adequate safeguard in an attempt to maintain confidentiality about the complainant's identity. Some categories of complaints, which are similarly dealt with are as under: -
  1. The complaint has been received in an open condition
  2. The complaint has been addressed / endorsed to several authorities.
  3. The issues raised in the complaint had earlier been taken up with other authorities.
  4. The information has been sought / obtained under the provisions of RTI Act, by the complainant himself.
  5. The complainant makes a complaint through email or seeks status / information regarding his earlier PIDPI Complaint by sending an email, thus making his identity public
  6. The complainant had earlier taken up the issue with IA&AD in the form of an ordinary complaint, under the IA&AD's Complaint Handling Policy.
  7. The complaint has been addressed / endorsed to many authorities/Wings of the IA&AD, thus, disclosing identity of the complainant.

Complaints as mentioned above will not be considered as PIDPI.

- (vi) In cases enumerated in point (v) above, the matter will be returned to the complainant, explaining that the matter cannot be treated as a PIDPI complaint, clearly enumerating the reasons.
- (vii) The complainant has the avenue of resubmitting the complaint, if he so desires, either under the Complaint Handling Policy as a general complaint or after removing the deficiencies as a PIDPI complaint under the provisions of "The Public Interest Disclosure and Protection of Informers (PIDPI) Resolution".
- (viii) In case the matters are personal in nature or it is very difficult to hide the name / identity of the complainant, the complaint shall be filed without any further action. The complainant may also refrain themselves from giving a clue about their identity in the body of the complaint.

## **B. Processing complaints under PIDPI Resolution**

- (i) The DG (Vigilance) shall authorize an officer not below the level of SAO (designated official) for receiving complaints under the PIDPI Resolution, who shall maintain full confidentiality of all cases covered under PIDPI resolution.

- (ii) The complaints are to be opened by the concerned designated official in the presence of the DG (Vigilance).
- (iii) In respect of those complaints which are considered fit for processing under PIDPI Resolution, a letter shall be sent to the complainant to obtain (a) confirmation as to whether he / she has made the complaint or not and (b) a certificate that he / she has not made similar / identical allegation of corruption / misuse of office to any other authorities to qualify as a Whistle Blower complainant. Prescribed time limit for receiving the confirmation and the certificate from the complainant is 30 days from the date of receipt of letter by the complainant. In case of no response within the prescribed time limit, a reminder shall be issued, giving additional two weeks' time to the complainant for sending confirmation and the certificate to this office. If there is still no response from the complainant, the complaint would be dealt with as per the complaint handling policy of the Department.
- (iv) If the complainant does not confirm his/her identity, the complaint may be filed as pseudonymous/anonymous.
- (v) After confirmation, the identity of the complainant is removed from the complaint and the dummy complaint may be given a diary number linked with the original complaint diary number.
- (vi) The original complaint would be kept in a safe/almirah and at no time that complaint can be accessed without proper authority from the DG (Vigilance).
- (vii) After a decision whether the matter requires to be looked into, separate files will be opened for each complaint.
- (viii) Further information or particulars from the persons making the disclosure may be called, if deemed fit.
- (ix) In the event of the identity of the informant being disclosed, appropriate action as per extant regulations, may be taken against the person or agency making such disclosure.
- (x) In order to protect identity of the person, no acknowledgement will be issued and the whistle-blowers are advised not to enter into any further correspondence with the Department in their own interest.
- (xi) The Vigilance Wing shall maintain a separate list of the complaints received under 'PIDPI resolution and monitor its progress periodically.
- (xii) No action will be taken on the complaints of administrative issues like recruitment, promotions, transfers that are not having vigilance angle and such complaints would be filed. However, in case of serious irregularities in these matters the same could be brought to the notice of Staff Wing or the concerned Wing/Field office dealing with the matter.

### **C. Investigation of the matter**

- (i) Where it is decided to investigate a matter, records may be called for from the concerned Field office or Wing of this office with a strict time line of 2 weeks of receiving such intimation calling for records/reports. A reminder may be sent if the desired records are not submitted in time.
- (ii) Action may also be taken against the complainants making false frivolous complaints against any officer.
- (iii) An investigation team may be constituted, with the approval of DAI (HR), to visit the field office with a copy of dummy complaint. The team shall then investigate the matter and submit a report within 2 weeks from the day of conclusion of such investigation.
- (iv) The DG (Vigilance) would submit the investigation report alongwith recommendations to the DAI (HR) for approval/directions from the C&AG of India.
- (v) It may be ensured that no punitive action is taken by any concerned Administrative authority against any person on perceived reasons/suspicion of being “whistle blower”.

### **D. Protection to the Whistle Blower**

- (i) In case a complainant seeks protection and reports that his life is in danger, the matter may be taken up with the Field office of the concerned State for providing security cover to Whistle Blower in consultation with the Police authorities. If deemed necessary, the Headquarters may also take up the matter directly with the Police authorities.

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