



OFFICE ORDER

In compliance to the PFRDA (Redressal of Subscriber Grievance) Regulations, 2015, the Uttarakhand Electricity Regulatory Commission (UERC) has laid down "Grievance Redressal Policy" for its staff/officers covered under National Pension System. The policy document is available in Commission's website www.uerc.gov.in. Also, a copy of the document is enclosed with this order.

Sh. Mukesh Verma, Deputy Director (IT) has been nominated Grievance Redressal Officer (GRO) in the office of the Commission.

By Order of the Commission

(Neeraj Sati)
Secretary

Copy to:

1. Assistant Vice President, NSDL e- Governance Infrastructure Limited, 1st floor, Times Tower Kamala Mills Compound, Senapati Bapat Marg, Lower Parel, Mumbai- 400013 for information and alongwith approved Policy.
2. Chief Executive Officer, NPS Trust, 1st Floor, ICADR Building, Plot No.6, Vasant Kunj Institutional Area, Phase-II, New Delhi-110070 for information and alongwith approved Policy.
3. ✓ Sh. Mukesh Verma, Deputy Director (IT)/GRO, UERC, Dehradun for information and necessary Compliance.
4. Deputy Director (IT), UERC, Dehradun for uploading "Grievance Redressal Policy" in Commission's website.
5. Sh. Radhyshyam, Nodal Officer, NPS, UERC, Dehradun for information.
6. All officer/ Staff of UERC, Dehradun for information.

(Neeraj Sati)
Secretary

Grievance Redressal Policy

for

**Uttarakhand Electricity Regulatory
Commission**

Under

National Pension System

M. J. C.

Uttarakhand Electricity Regulatory Commission

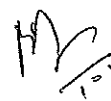
Grievance Redressal Policy under National Pension System

A. Introduction:-

Uttarakhand Electricity Regulatory Commission (hereinafter referred to as "UERC" or "the Commission") is a quasi-judicial body constituted by Government of Uttarakhand, vide Notification 03/9-3- URJA/2002 dated 1st January, 2002 under the Electricity Regulatory Commission Act, 1998 and now functioning under the Electricity Act, 2003. The Commission has been functioning as a State Regulator in the electricity sector.

The broad objectives of the Electricity Act, 2003 as incorporated in its preamble is to consolidate the laws relating to generation, transmission, distribution, trading and use of electricity and generally for taking measures conducive to development of electricity industry, protecting interest of consumers and supply of electricity to all areas.

The Government of India has introduced a New Pension Scheme replacing the defined benefit pension scheme. The New Pension Scheme comes into operation w.e.f from 01-01-2004 and is applicable to all new entrants of Central Government service on or after 01-01-2004. The State Government of Uttarakhand approved the implementation of the New Pension Scheme in the State for all new employees recruited on or after October 01, 2005. The New Pension Scheme is working on defined contribution basis and will have two tiers-Tier-I and Tier-II. Tier-I is mandatory for all Govt. servants / employees of autonomous institutes. In Tier-I, the Commission will have to make a contribution of 10% of the Basic Pay, GP and DA which will be deducted from the salary bill of the employees covered under the NPS every month. UERC will also make an equal matching contribution and will deposit the same in non-withdrawal Pension Tier-I account. Tier II account is a voluntary savings account from which subscribers are free to withdraw the savings whenever he/she wishes. An active



Tier I account is a pre requisite for opening of a Tier II account. Furthermore, since Tier II is a voluntary savings account, the Commission will not contribute any amount into Tier II account.

B. Scope

As an autonomous regulatory body, the correct and timely deposit of contribution in Tier-I account is the prime concern of the Commission. As a part of PFRDA (Redressal of Subscriber Grievance) Regulations, 2015 (hereinafter referred to as "Regulations"), every intermediary is required to follow the Grievance Redressal Policy. Accordingly , the below stated Grievance Redressal Policy (GRP) is made for the grievances arising out of the daily action carried out by UERC in the capacity of an intermediary. The scope of this GRP is restricted to redressal of grievances raised against the intermediary (UERC).

The term "Grievances or complaint" includes any communication that expresses dissatisfaction, in respect of the conduct or any act of omission or commission or deficiency of service on the part of, an intermediary (UERC) and in the nature of seeking a remedial action but do not include the following;

- (i) complaints that are incomplete or not specific in nature;
- (ii) communications in the nature of offering suggestions;
- (iii) communications seeking guidance or explanation;
- (iv) complaints which are beyond the powers and functions of the UERC or beyond the provisions of the PFRDA Act and the rules and regulations framed thereunder; and
- (v) Complaints that are sub-judice (cases which are under consideration by court of law or quasi-judicial body) except matters within the exclusive domain of the PFRDA under the provisions of the Act.

C. Objectives:-

The purpose of this Policy is to set forth the policies and procedures to be followed in receiving, handling and responding to any grievance against the Commission in



respect of the services offered by it. The following are broad objectives for handling the customer grievances:

1. To provide fair and equal treatment to all employees of the Commission without bias at all times.
2. To ensure that all issues raised by employees of the Commission are dealt with courtesy and resolved in stipulated timelines.
3. To develop an organizational framework to promptly address and resolve employees Grievances fairly and equitably.
4. To provide enhanced level of satisfaction.
5. To provide easy accessibility to the employees of the Commission for an immediate Grievance redressal.
6. To put in place a monitoring mechanism to oversee the functioning of the Grievance Handling Policy.

D. How to raise the grievance

The subscribers can raise grievances through the following modes:

- a. By raising a grievance in writing through letter /representation addressed to the Grievance Redressal Officer, UERC.
- b. By emailing the grievance to the Grievance Redressal Officer, UERC.

E. Resolution mechanism for grievances

- a. The grievances received through e-mail or letter will be recorded in the system.
- b. The grievance will be resolved and then appropriate reply will be sent to the complainant.

F. Turn Around Time (TAT) for grievance redressal

TAT as defined in the Regulations shall be adhered to. Following are the salient points with respect to TAT:

- (a) An acknowledgement shall be sent to the complainant within three working days of the receipt of the grievance. The acknowledgement shall contain the name and designation and contact details of the officer who shall be dealing

with the grievance received.

- (b) The complainant is provided with a unique grievance number for future reference for every grievance registered. The grievance redressal proceedings of the complaint shall be deemed to have commenced on the first date of receipt of the grievance.

Every grievance has to be disposed-off within a period of thirty days of its receipt at both the redressal tiers and a final reply shall be sent to the complainant, containing details of resolution or rejection of the complaint, with reasons thereof recorded in writing.

- (c) While disposing off the complaint, the GRO shall inform the complainant the manner in which he or she may pursue the complaint, if dissatisfied with such resolution or rejection, as the case may be.

G. Closure of grievance

A grievance shall be considered as disposed off and closed in any of the following instances, namely:--

- (a) when the request of the complainant has been fully acceded to by the Commission;
- (b) where the complainant has indicated in writing, its acceptance of the response of the GRO;
- (c) where the complainant has not responded within forty-five days of the receipt of the written response of the GRO;
- (d) where the Grievance Redressal Officer has certified under intimation to the subscriber that the Commission has discharged its contractual, statutory and regulatory obligations and therefore closes the complaint;

H. Grievance Redressal Officer (GRO)

- (a) The details of present Grievance Redressal Officer (GRO) are:

Sh. Mukesh Verma, Dy. Director (IT)
Grievance Redressal Officer (GRO), NPS.

- (b) If the complainant is not satisfied with the redressal of his grievances or if the

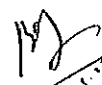


grievance has not been resolved by Grievance Redressal Officer, UERC by the end of thirty days of the filing of the complaint, he/she may escalate the grievance to the National Pension System Trust. If the grievance remains unresolved after its receipt at the National Pension System Trust, on the expiry of a period of thirty days from the receipt thereof, the complainant may file a representation with the Ombudsman to be appointed by the Pension Fund Regulatory and Development Authority (hereinafter referred to as Authority) under the regulations for redressal of the grievances of the complainant.

- (c) The GRO is required to maintain records of each complaint received by it and the measures taken by it for its redressal and also submit periodic reports to the National Pension System Trust or Authority as may be specified from time to time.
- (d) Changes in the GRO shall be reflected on the said website of the Commission as and when made.

I. Filing of appeal with Ombudsman

- (a) An appeal may be filed with the Ombudsman:
 - (i.) by a complainant whose grievance has not been resolved within thirty days from the escalation of the grievance by filing a representation with the National Pension System Trust; or
 - (ii.) by a complainant, where a complaint has been made directly against the National Pension System Trust and no other intermediary and the same remains unresolved within the specified period of thirty days; or
- (b) The complainant may, himself or through an authorised representative (not being a legal practitioner) file an appeal with the Ombudsman within whose jurisdiction the registered office of the Commission, is located.
Provided that if the Authority has not notified any Ombudsman for a particular locality or territorial jurisdiction, the complainant may request the Ombudsman located at the Head Office of the Authority for forwarding his appeal to the Ombudsman of competent jurisdiction.
- (c) The appeal shall be in writing duly signed by the complainant or his authorised representative (not being a legal practitioner) in the Format specified by the



Authority and supported by documents, if any.

(d) No appeal to the Ombudsman shall lie -

- (i.) unless the complainant had, before making an appeal to the Ombudsman concerned, made a written complaint to the GRO of the Commission and the GRO has rejected the complaint or the complainant has not received any reply within a period of thirty days after the GRO received his complaint or the complainant is not satisfied with the reply given to him by the GRO and thereafter the grievance has been escalated by making a representation to the National Pension System Trust and the complainant has not received any reply or where the complaint has been made directly against the National Pension System Trust and no other intermediary, and remains unresolved within the specified period of thirty days, or is not satisfied with the reply given to him as the case may be;
- (ii.) unless the appeal is made within forty-five days from the date of receipt of response of the National Pension System Trust, or within next forty-five days, following the date of expiry of thirty days from the date of filing a representation or complaint with the National Pension System Trust, as the case may be, and no reply having been received to such representation or complaint:
Provided that the Ombudsman may entertain any appeal beyond the specified time limit for filing of appeal, for sufficient cause or reasons thereof provided by the complainant. The Ombudsman may reject any appeal where he feels that such delay is not justifiable, for reasons to be recorded in writing;
- (iii.) if the appeal is in respect of the same subject-matter which was settled through the office of the Authority or Ombudsman concerned in any previous proceedings, whether or not received from the same complainant or along with any one or more or other complainants or any one or more of the parties concerned with the subject matter;
- (iv.) if the appeal pertains to the same subject-matter for which any

proceedings before the Authority or any court, tribunal or any other forum is pending or a decree or award or a final order has already been passed by any such competent authority, court, tribunal, or forum;

(v.) if the appeal is in respect of or pertaining to a matter for which action has been taken by the Authority under the Act or under any other regulations made under the Act.

(e) An award of the Ombudsman shall be final and binding on the parties and persons claiming under them respectively.

(f) Any party aggrieved by the award passed by the Ombudsman may within thirty days from the receipt of the award, file an application for revision before the Authority setting out the grounds for revision of the award in accordance with the conditions specified in the Regulations.
