



**Scheme for CAG's Awards
for
Innovation and Excellence in Public Auditing and
Accounting**

Office of the Comptroller and Auditor General of India

CAG's Awards for Innovation and Excellence in Public Auditing and Accounting

Introduction

1. The CAG of India instituted a scheme in July 2021 namely, "CAG's Awards for Innovation and Excellence in Public Auditing and Accounting" - to recognize and reward the extraordinary and innovative work done by the officers and staff of the Indian Audit and Accounts Department in the areas of public auditing, accounting, entitlement, and support functions.
2. Innovation and brilliance are the key drivers in taking any organization forward. The CAG of India is a people rich and people driven organization. While the CAG Awards Scheme 2021 recognized specific team excellence engendering a meritocratic environment, from an organizational perspective it is likewise important to nurture all round qualitative improvement. The contours of the revised scheme for CAG's Awards for Innovation and Excellence in Public Auditing and Accounting for the year 2022-2023 are detailed in the succeeding paragraphs.
3. CAG's Awards will be given in the following two categories:
Category I- CAG's awards for innovation and excellence in Public Auditing and Accounting; and
Category II- "Office of the Year Award" in Union Audit/State Audit/Accounts & Entitlements/Training
4. The Awards shall be conferred by the CAG of India on the '*Audit Diwas*'-16 November every year.

Category I- CAG's awards for innovation and excellence in Public Auditing and Accounting

5. The Award for innovation and excellence in Public Auditing and Accounting encourages members of the Department to go beyond the routine and challenge the status-quo, and instill values of innovation and excellence, which will support the overall mission of the Department in promoting accountability, transparency and good governance through high quality auditing and accounting.
6. The successful entries will feature as case studies in a 'Compendium of Innovation and Good Practices' to be published by the CAG of India annually and released on 'Audit Diwas'.

Scope of the Award

7. The CAG's Award seeks to promote innovation and excellence backed by demonstrated exceptional performance and initiatives taken in the field of functional areas, working environment and welfare.
8. The Award will be given to the team involved in conceiving and executing an innovative, extraordinary, and impactful initiative, and not to an individual or the entire office. The scope of the Award includes innovation and excellence to promote new and creative ideas in the functioning of the Department in the following areas -
 - i. Auditing processes, Audit Reports and other audit products
 - ii. Accounting processes and financial reporting
 - iii. Entitlement processes and service delivery
 - iv. Administrative efficiency
 - v. Capacity Building and Training
 - vi. Any other area that contributes to achievement of the overall mission of the CAG of India.

9. **Conditions for an eligible Entry:**

- 9.1. **Origin of Entry:** A team from any office of the CAG of India, which initiates an independent innovation or implements an extraordinary work shall be considered for the Award.
- 9.2. **Period of consideration:** The period of consideration will be one year preceding the financial year in which the Awards will be distributed (e.g. for awarding in the year 2023, the period of consideration would be 1st April 2022 to 31st March 2023, during which tangible achievement of milestones should be demonstrated). For Audit reports, only the reports that have been laid in the Parliament/Legislature in 2022-2023 will be considered for nomination.
- 9.3. **Nomination:** A nomination should include the name of members, specific contribution of each member, time spent and nature of engagement of each member on the initiative. Specific contributions may include conceptualization, advocacy, implementation, and stabilization of the project. The team nominated should comprise not more than 6 members covering all levels. Nomination of the team for the Awards would be done by the HoD (PrAG/DG, AG/PD) in the office, with approval of the controlling Dy. CAGs/Addl. Dy. CAGs. For nomination from the Headquarters office, the functional Dy. CAGs/Addl. Dy. CAGs will make the nominations. Officers who were involved with an initiative but are no longer working in that office may also be nominated.

9.4. **Demonstrated innovation, exceptional performance, and improvements.** There should be perceptible improvements in processes, practices, methodologies, systems, products, etc., in the functioning of the Department due to the initiative resulting either in:

- i. improved quality;
- ii. improved efficiency of processes leading to saving in time and cost;
- iii. improved effectiveness;
- iv. betterment of working environment; or
- v. improvements in governance and changes in policy.

The above said areas of impact are only indicative, not exhaustive.

9.5. **Clear Evidence:** There should be clear cut evidence that the initiative has had a demonstrable impact or a measurable improvement.

9.6. **Sustainable:** The improvements in the processes, practices, methodologies, systems, products, etc., should be sustainable i.e. these improvements should be robust and not short lived.

9.7. **Replicability:** The improved performance brought out in an office should be replicable in other offices with similar set-up or environment. It should not be cumbersome to replicate. There should be ease of adoption in other offices.

9.8. The criteria of sustainability and replicability are desirable. Exceptionally, innovations/solutions dictated by unprecedented or peculiar circumstances like natural disaster, specific

geographical terrains etc., which may not be sustainable and replicable, would also qualify.

10. Format for an Entry: The initiative proposed for consideration should be submitted in the form of a write up of about 5 pages (A4 size), including an executive summary, on the innovation/excellence/initiative along with supporting documents. This should be accompanied by a Power Point presentation of a maximum of 15 slides. The write up may include flow charts or other diagrammatic representations. It must have the elements discussed in the following paragraphs:

10.1. An overview: A brief description of the innovation/excellence/initiative and why the nomination merits the award. (Maximum 300 words)

10.2. The problem statement: What was the challenge and how was the problem defined? Where was the excellence/improvement exhibited? (Minimum 200 words)

10.3. Why is the solution exceptional? How did the innovation/excellence/initiative provide a solution to the problem and how the solution implemented was exceptional? In what way did it improve the earlier procedures, processes, products or conditions prevailing? (Minimum 300 words)

10.4. Benefits from the innovation/excellence/initiative: In what way the Department or stakeholders would be benefitted by this endeavor. (Minimum 300 words)

10.5. Sustainability and Replicability: In what way is the innovation/excellence/initiative taken sustainable and replicable? In case the innovation/initiative is not naturally

sustainable or replicable, then the relevance and impact of the innovation/ initiative may be explained with reference to the peculiarity of the circumstances. (Minimum 300 words)

10.6. Change Management Process: Explain the process of evaluation, planning and implementation of the innovation/initiative. What were the challenges encountered? How were these overcome? (Minimum 200 words)

10.7. Timeline: Timeline of conceptualization, planning and implementation should be indicated

10.8. Evidence to be attached with the proposal:

- i. Documentation/Files (Not exceeding 50 pages)
- ii. Photos/videos (Photos/videos not to exceed 10)
- iii. Testimonials

11. Eligibility:

11.1. All offices under the IAAD dealing with the relevant area would be eligible to submit an entry.

11.2. Each functional wing in the CAG office may be considered as one office for the purpose of entry application.

11.3. Normally every office should submit an entry. However, minimum number of entries would be 2 per functional wing.

12. Processing of applications:

12.1. Applications shall be invited from the offices in the format prescribed in para 10.

12.2. Applications with incomplete/ insufficient details shall be liable for rejection at the initial screening stage itself.

13. Record keeping and Secretariat: PPG section will service the various committees for evaluation of applications, and perform the following functions:

13.1. Calling for nominations.

13.2. Prima facie preliminary screening for completeness of the application; appropriateness of the team members nominated with regard to their association/contribution to the project/endeavor; and supporting documentation.

13.3. Organize all the meetings of expert and empowered committees.

13.4. Carry out necessary documentation for processing and record.

14. Finalization of awards:

Step I: Short-listing of the applications and verification of the proposals by an Expert Committee

The Expert Committee comprising of 3 Addl.Dy.CAG/DG/PD level officers will short list the applications and recommend not less than 10 or more than 15 entries to the Empowered Committee. Senior most member in the committee will be the Chairperson.

The Expert Committee will shortlist the applications based on completeness of the documentation and qualitative aspects of the proposals. Applications with incomplete/ insufficient details shall be rejected at the initial stage of screening. The Expert Committee may develop its own criteria for evaluation of the remaining proposals, which will necessarily include the four criteria mentioned in para 15. The deliberation of the Expert Committee and the inter se evaluation of the proposals done by it shall remain confidential and not disclosed

to the Empowered Committee, which shall treat each proposal recommended by the Expert Committee at par for its independent evaluation. The Expert Committee can conduct virtual meetings or field visits for seeking clarifications/verifications.

A mandatory vigilance clearance shall be obtained by PPG in respect of all the team members nominated in the proposals that are shortlisted by the Expert Committee, before proceeding to Step II of evaluation.

Step II: Evaluation by Empowered Committee:

A five-member Empowered Committee comprising three nominated external members and two nominated Dy. CAGs will evaluate and rank the proposal recommended by the Expert Committee. It may ask the applicants to make a presentation and/ or make such inquiry as deemed fit. The Empowered Committee shall independently evaluate each proposal recommended by the Expert Committee as per the point weightage given at para 15 and make its recommendations to the CAG of India for final selection of Awards.

15. Weightages for evaluation of entries:

- i. The solution: (40 points)
- ii. Benefits from the innovation/excellence/initiative: (30 points)
- iii. Sustainability and Replicability: (20 points). If due to the peculiarity of the circumstances, the solution is not sustainable or replicable, the 20 points may be equally distributed over evaluation criteria (i) and (ii) above.
- iv. Change Management Process: (10 points)

16. Timelines for the year 2023:

Invitation of nominations	15 th June 2023
Last date for submission of entries to PPG	20 th July 2023
Compiling of nominations by PPG and short listing by Expert Committee	14 th August 2023
Recommendations by Expert Committee to Empowered Committee	21 st September 2023
Recommendations by Empowered Committee	14 th October 2023
Preparation of Brochure	10 th November 2023
Award Presentation	16 th November 2023

PPG may notify revised dates if required.

17. Nature of Award:

- i. The Award shall consist of a scroll of citations along with a medal.
- ii. The awardees will also be given a Certificate of Recognition, a copy of which will be placed in the APAR of the officers.
- iii. An exclusive memento: CAG of India tiepin/ CAG of India brooch.

18. Number of Awards:

There will be a maximum of 6 Awards.

Category II- CAG's Award for "Office of the Year"

- 19.** CAG's Award for "Office of the Year" seeks to recognize offices working in the spheres of Accounting, Auditing and Training based on performance during the year 2022-23 as well as improvement over the previous year (2021-22).

Scope of the Award

- 20.** Awards will be given under four categories of field offices viz. Accounts & Entitlements, State Audit, Union Audit and Training. Participation in the scheme is mandatory for all the Accounts & Entitlement offices,

State Audit Offices, Union Audit Offices, and the Regional Training Institutes/Centres.

21. This category of Awards is not available to any of the External Audit Offices (Washington, London and Kuala Lumpur), International Audit Offices (Rome and Geneva), International Training Institutes (iCISA, ICED), National Training Institute (NAAA) and CAG (Hqrs), as these offices have varying mandates and attributes which are not comparable.

Format of the Award

22. A field office of the CAG of India as mentioned in para 20 shall be considered for the Award.
23. Each field office will carry out a self-assessment of its functions, activities and processes for a specific year in the prescribed assessment framework, which will include (i) a common framework for administrative functions and redressal of public grievances, applicable to all field offices (**Annexure IA & IB**); and (ii) a custom functional framework for A&E offices (**Annexure II**), Union Audit offices (**Annexure III**), State Audit offices (**Annexure IV**) and Regional Training Institutes/Centre (**Annexure V**), as applicable. Thus, each field office will be required to complete self-assessment in three formats, namely Annexure IA & IB and the framework applicable for the functional category.
24. The self-assessments by field offices should be carried out separately for each of the two preceding financial years i.e., for the awards of *Audit Diwas 2023*, the relevant period would be FY 2021-22 and FY 2022-23.

25. For field offices having branch offices, the self-assessment formats will be prepared by consolidating the data for the office along with the branch offices.
26. Field offices will submit their self-assessments to the concerned Dy.CAG/Addl.Dy.CAG. Verification of the data given by the field offices in the formats mentioned in para 23 above will be the responsibility of the concerned Dy.CAG/Addl.Dy.CAG.
27. Each functional Dy.CAG/Addl.Dy.CAG shall evaluate the field offices under his/her administrative control as per the applicable and approved assessment framework and provide the score to PPG wing.
28. **Finalization of awards:**
 - 28.1. PPG wing shall collate the scores received from the functional Dy.CAG/Addl.Dy.CAG.
 - 28.2. The score obtained by each office as per the applicable annexures will be normalized over 100 marks. In case more than one office has the same normalized score, the office which has the higher score in respect of the Administration function (Annexure IA & IB) shall be adjudged the 'Office of the Year'.
 - 28.3. The Administration framework (Annexure IA & IB) will carry a weightage of 20% for the category of Training and 30% for the other three functional categories (A&E, State Audit and Union Audit). The weighted score obtained by each office will be added to the performance assessment framework. In case of tie of scores amongst more than one office for the Award, the office scoring higher in respect of the Administration framework (Annexure IA & IB) shall be considered for the Award.

28.4. The annual rate of improvement of each office will be worked out as per the following formula:

$$\text{Annual Improvement (D)} = (Y2 - Y1)$$

Y1 - Normalized Office Score for Year 1-2021-2022

Y2 - Normalized Office Score for Year 2-2022-2023

$$\text{Total Score} = 0.5 * Y2 + 0.5 * D$$

Offices shall not be considered for "Office of the Year" award, if

- 1) Y1 is less than the mean score of Y1 for offices in the same functional category,
AND
- 2) Y2 is less than the mean score of Y2 for offices in the same functional category.

Scoring for the offices -

AA - Administrative framework (Annexure IA & IB) score normalized to 100.

AE - Accounts & Entitlement (Annexure II) score normalized to 100.

AF - Audit framework (Annexure III/IV) score normalized to 100.

AR - Regional Training Institute/Centre (Annexure V) score normalized to 100.

i. For Audit offices - Total score for the Year(Y) = $0.3 * AA + 0.7 * AF$

ii. For Accounts & Entitlement offices-
Total Score for the Year(Y) = $0.3 * AA + 0.7 * AE$

iii. For Regional Training Institute/Centre -
Total Score for the year(Y) = $0.2 * AA + 0.8 * AR$

28.5 PPG wing will identify and prepare a list of the top four ranked offices under each category as per the methodology mentioned in para 28.4. The list will be provided to Inspection

& Peer Review Wing at Headquarters, for independent validation of the assessment provided by each of the shortlisted offices.

28.6 On receipt of the validated list from Inspection & Peer Review Wing, PPG wing shall move the proposal for selection of the field office for the 'Office of the Year' Award.

29. Timelines for the year 2023:

Invitation for self-assessments	15 th June 2023
Last date for submission of self-assessment by field offices to the concerned Dy. CAGs/Addl. Dy. CAGs	14 th July 2023
Last date for submission of assessment scores by functional Dy. CAGs/Addl. Dy. CAGs to PPG	4 th August 2023
Compilation of the assessment of final scores by PPG and short listing of top ranked offices	25 th September 2023
Validation of shortlisted offices by Inspection & Peer Review Wing:	25 th October 2023
Preparation of Brochure	12 th November 2023
Award Presentation	16 th November 2023

PPG may notify revised dates if required.

30. Nature of Award:

The Award shall consist of a running shield for each of the four functional categories and a citation which will be presented to the office.

31. Number of Awards: The total number of awards in this category would be 4. The number of awards for each category of office is as follows:

State Audit Offices - One award

Union Audit Offices -One award

A&E Offices- One award; and

Regional Training Institute/Centre - One award

Annexure IA

Common framework for assessment of administrative functions

Sl. No.	Parameter	Quantitative Assessment Score	Remarks	Maximum score for the parameter	Score Awarded
1	Whether all the 28 mandatory quarterly, half yearly and yearly returns were sent to HQs office within due dates prescribed as per HQs circular no. 17-staff (J.C.M.)/2020 dated 27.5.2020?	Scoring to be based on the extent of compliance	For every quarterly/half yearly returns combined score for the year may be calculated as per scoring indicated.	5	
		i. If all 28 prescribed returns were sent within due date - 5 marks			
		ii. If 20 or more but less than 28 prescribed returns were sent within due date - 4 marks			
		iii. If 10 or more but less than 20 prescribed returns were sent within due date - 2 marks			
		iv. If less than or equal to only 9 prescribed returns were sent within due date - 0 marks			
2	Whether 56-J reviews are done on time as prescribed in DoPT OM No. 25013/03/2019- Estt.A-IV of 28 th August 2020?	Scoring based on time taken for the activity:	Review is expected to be done well before the employees meet certain age and service length criteria as prescribed in the DoPT OM of 28 th August 2020. The delay will be counted in days at the end of a quarter in which the review was due.	5	
		· By the due date for all the eligible cases - 5 marks			
		· With delay up to 30 days - 2 marks			
· Not done and the reviews are pending beyond 30 days - 0 marks					
3	Whether the intra office transfer and posting criteria has been complied with?	Scoring based on criteria met:		5	
	Criteria 1: Whether the intra office transfer and posting criteria are pre-decided/formulated by the office?	· All three criteria met - 5 marks			

Sl. No.	Parameter	Quantitative Assessment Score	Remarks	Maximum score for the parameter	Score Awarded
	Criteria 2: Whether the Intra Office Transfer and Posting Board (IOTPB) is formed in the office? <i>(For cadre controlling office, Inter Office Transfer and Posting Board should also be formed to satisfy this criteria)</i>	· First and second criteria is met but the third criteria are partially met with a deviation - 4 marks			
		· First criteria is not met but the second and third criteria is met - 3 marks			
	Criteria 3: Whether the IOTPB met as per pre- decided criteria or as per requirement in absence of criteria?	· First criteria is met but the second and third criteria are not met - 2 marks			
		· All the criteria are not met, and yearly intra office transfers are done by administration with approval of HoD - 1 mark			
		· All criteria are not met, and transfers are done without the approval of HoD - 0 marks			
4	Whether Meeting of Departmental Screening Committee (DSC) was held twice or more to consider the applications for appointment on compassionate grounds and the office gave compassionate appointment to the number of deserving applicants equal to the vacancies available therein?	Scoring to be based on extent of compliance - Fully complied with both the criteria and/or no application for compassionate appointment is pending in the office - 5 marks		5	

Sl. No.	Parameter	Quantitative Assessment Score	Remarks	Maximum score for the parameter	Score Awarded
	Whether the field office has forwarded the remaining applications to Headquarter office if they are otherwise found FIT by DSC and those are willing for consideration against the vacancies available in the other field offices? (Circular no.14 (letter no.52/Staff HakdariNiyam/AR/0 2-2021 dated 20.04.2021) and OM F.No.43019/9/2019-Estt. (D) dated 23 rd August 2021)	DSC constituted but office did not follow the timeline however no applications are pending (as all the applications were considered by DSC and action taken upon, though with some delay) - 3 marks DSC constituted, meetings held on time, but the application/s were not decided upon and kept pending for final decision either at DSC level or at HoD level - 1 mark Applications are pending with the office - 0 marks			
5	Whether the Disaster Management Committee is constituted and meets as per mandate? (Refer para 3.1.1 Chapter 3 of MSO(Estate) 2021) Whether the evacuation plan for all the buildings for all officials including <i>Divyang</i> is in place and displayed at the proper/prominent places? Whether regular drills are carried out to educate the staff.	Scoring based on extent of compliance · All parameters complied with - 5 marks. · Committee constituted but meetings not held on time, evacuation plan available and displayed and regular drills conducted - 4 marks · Committee constituted, meetings held on time, evacuation in place but not displayed prominently and regular drills not conducted - 3 marks	This parameter will consider various activities viz.: <ul style="list-style-type: none">• Constitution of DMC• Meeting of DMC as prescribed• Evacuation Plan in place• Evacuation plans displayed at proper/prominent places.• Regular drills being conducted	5	

Sl. No.	Parameter	Quantitative Assessment Score	Remarks	Maximum score for the parameter	Score Awarded
		<ul style="list-style-type: none"> Committee constituted, meetings held on time, but evacuation plan not finalised and regular drills not conducted - 2 marks Committee constituted, meetings not held on time, evacuation plan not in place and regular drills not conducted - 1 mark 			
6	Whether <i>e-Office</i> is being implemented effectively?	<p>Scoring based on percentage of files processed in e-office out of total files processed in office</p> <ul style="list-style-type: none"> 80% and above - 5 marks Above 60 up to 79% - 3 marks Above 40 up to 59% - 1 mark 39% and below - 0 marks 	Considering the nature of files being processed specially those related to confidential matters, Old IR settlement etc., highest marks are being restricted for 80% achievement. This can be reviewed after a year when all the old IR Files are on OIOS.	5	
7	Whether Review of Expenditure report for every month is being uploaded in iBEMS on or before 2 nd of the following month after due reconciliation with the Pay and Accounts office? (Hqrs. office letter no.111/FMD/Res-Bes/123-2021 dated 20th April 2022)	<p>Scoring based on compliance to set timeline -</p> <ul style="list-style-type: none"> On time - 5 marks With delay up to 5 working days - 3 marks With delay of more than 6 and up to 10 working days - 1 mark With delay of more than 10 working days - 0 marks 	Total 12 reports (Monthly) are furnished to the HQ's office during a financial year. The parameter will take into account timeliness in submitting the said report. Illustration- If field office gets 5 marks on submitting the report on time on 4 occasions during the financial year, 3 marks with delay up to 5 working days on 5 occasion and 1 mark with delay of more than 6working days on 3 occasions, then the following calculation would be made-	5	

Sl. No.	Parameter	Quantitative Assessment Score	Remarks	Maximum score for the parameter	Score Awarded
			(5x4) +(3x5) +(1x3) /12 FALSE The Office would thus get a score of 3.16 for this parameter.		
8	Whether the office has projected requirement on realistic basis in flash figures?	<p>Scoring based on % age of amount utilised against demand of funds projected in Flash figures under the head "Salaries"</p> <ul style="list-style-type: none"> · Utilization as per flash figures - 5 marks · Utilisation up to 99.5 % of flash figures - 3 marks · Utilisation less than 99.50 % of flash figures and Excess demand beyond flash figures more than 0.5% - 0 marks 		5	
9	Whether court cases, including contempt cases, are dealt with promptly?	<p>Scoring based on the timing of furnishing reply to w.r.t date of listing of the case in Courts</p> <ul style="list-style-type: none"> · Cases where replies are finalised at least two weeks before the date of first hearing - 5 marks · Cases where replies are finalised at least a week before/within a week of first hearing - 4 marks · Cases where replies are finalised a week after the first hearing and before the second hearing - 3 marks 	<p>Finalisation of Reply means- furnishing of para-wise reply approved by the HoD to the Standing legal counsel for preparation of reply to be placed before the Court on the date of its hearing.</p> <p><u>Illustration:</u></p> <p>If replies to 50 cases are finalised two weeks before first hearing, replies to 20 cases are finalised one week before first hearing/ within a week of first hearing, replies to 20 cases are finalised one week after the first hearing and before the second hearing, replies to 25 cases are finalised two weeks after the first</p>	5	

Sl. No.	Parameter	Quantitative Assessment Score	Remarks	Maximum score for the parameter	Score Awarded
		<ul style="list-style-type: none"> Cases where replies are finalised two weeks after the first hearing and before the second hearing - 2 marks Cases where replies are finalised a week before the second hearing - 1 mark Cases where replies are finalised after second hearing - 0 marks 	hearing and before second hearing, replies to 10 cases are finalised a week before the second hearing - the Office will get a score of $((50 \times 5) + (20 \times 4) + (20 \times 3) + (25 \times 2) + (10 \times 1)) / 125 = 3.6$		
10	Whether the procurement of Goods and Services is being done through GeM? If yes, the quantum of procurement in terms of percentage of procurement through GeM	<ul style="list-style-type: none"> 81 to 100% - 5 marks 61 to less than 81% - 3 marks 40 to less than 61% - 2 marks Below 40% - 0 marks 	The scoring will be based on the value of procurement of goods/ services through GeM, out of the total value of procurement during the financial year.	5	
11	Whether verification of forms (pension papers) received from retiree are done before 04 months of retirement and being sent to PAO through "Bhavishya Portal".	<p>Scoring based on time taken for the activity</p> <ul style="list-style-type: none"> On time - 5 marks With delay of 1- 20 working days - 3 marks With delay of 21 to 30 working days - 1 mark With delay of more than 30 working days - 0 marks 	The parameters will take into account the timelines in processing retirement cases. Illustration: If the field office gets 5 marks on 20 retirement cases processed, 4 marks for 12 retirement cases processed with delay of 10 working days, 3 marks for 10 retirement cases processed with delay of 20 working days, 2 marks for 5 retirement cases processed with delay of 25 working days, 1 mark for 2 retirement cases processed with delay of 30 working days and 0 marks for 1 retirement case processed with delay of more than 30 working	5	

Sl. No.	Parameter	Quantitative Assessment Score	Remarks	Maximum score for the parameter	Score Awarded
			<p>days, the following calculation can be made: $(5 \times 20) + (4 \times 12) + (3 \times 10) + (2 \times 5) + (1 \times 2) + (0 \times 1) / 50 =$ $(100 + 48 + 30 + 10 + 2 + 0) / 50 =$ $190 / 50 = 3.8$ The office would be getting a score of 3.8 on this parameter.</p>		
			TOTAL SCORE	55	

Annexure IB

Common framework for assessment of redressal of public grievances (Administrative and Technical)

Sl. No.	Parameter	Quantitative Assessment Score	Remarks	Maximum score for the parameter	Score Awarded
1	Whether complaints made to the CAG are addressed promptly?	Scoring is based on the time taken for disposal of the complaint case.	<p>The parameters will take into account the timelines in processing complaint cases.</p> <p>Illustration: If the field office gets 5 marks on 20 complaint cases processed within 1 month, 4 marks for 15 complaint cases processed within 2 months, 3 marks for 10 complaint cases processed within 3 months, 0 marks for 5 complaint cases processed beyond 3 months, the following calculation can be made:</p> $(5 \times 20) + (4 \times 15) + (3 \times 10) + (0 \times 5) / 50 = (100 + 60 + 30 + 0) / 50 = 3.8$ <p>The office would be getting a score of 3.8 on this parameter.</p>	5	
		• Cases where verification is completed within 1 month of receipt of the complaint - 5 marks			
		• Cases where verification is completed within 2 months of receipt of the complaint - 4 marks			
		• Cases where verification is completed within 3 months of receipt of the complaint - 3 marks			
		• Cases where verification is completed beyond 3 months of receipt of the complaint - 0 marks			
			TOTAL SCORE	5	
			TOTAL SCORE (ANNEXURE IA PLUS IB)	60	

Annexure II

Framework for assessment of Accounts & Entitlement offices

*Offices may provide data of 4 quarters separately for these annexures

I. Accounts

Sl. No.	Function: Accounts, item-wise grading	Parameters for Grading (A, B, C & C=0 if no activity takes place in particular item/area)	Internal or External factors	Points	Total Group Points	Points awarded
Timeliness in performing accounting functions						
1	Timely preparation of MCA with nil exclusion of Accounts (Target date: 25th of following month)	Within target date with nil exclusion of Accounts: A - 20	Internal	20	20	
		Delay below 20 days with exclusion up to 10% of Accounts: B - 15				
		Delay over 20 days with exclusion of more than 10% Accounts: C-10				
2	Timely Closure of Annual Accounts (As per Time schedule circulated from GA Wing). This item will be graded once in a year.	Closure As per target (31 July): A-15	Internal	15	15	
		Closure of accounts with delay of 1 month: B -10				
		Closure of Accounts with delay of more than 1 month: C - 5				
Correctness of Accounts						
3 (a)	Reconciliation of Expenditure by Amount (Reconciliation may be done with CCOs on quarterly basis preferably through online reconciliation by all the CCOs based on figures booked and webhosted in AG's website). For QE June- reconciliation of cumulative figures upto March, for QE September - cumulative figures from April-June, for QE December - cumulative figures upto September and for QE March - Cumulative figures upto December). PAG/AG may impress	For QE June: 100% reconciliation - A-5 , Below 100% to 80%- B-3 and below 80% - C-1 . For QE September: upto 60% reconciliation - A-5 , Below 60% to 50%- B-3 and below 50% - C-1 . For QE December: upto 70% reconciliation - A-5 , Below 70% to 60%- B-3 and below 60% - C-1 . For QE March: 80% reconciliation - A-5 , Below 80% to 70%- B-3 and below 70% - C-1 . C=0 if no reconciliation is done during the quarter.	Internal	5	5	

	State Govt. for online reconciliation only					
3 (b)	Reconciliation of Receipts by amount (Reconciliation may be done with CCOs on quarterly basis preferably through online reconciliation by all the CCOs on the basis of figures booked and webhosted in AG's website). For QE June- reconciliation of cumulative figures upto March, for QE September - cumulative figures from April-June, for QE December - cumulative figures upto September and for QE March - Cumulative figures upto December) PAG/AG may impress State Govt. for online reconciliation only	For QE June: 100% reconciliation - A-5, Below 100% to 80%- B-3 and below 80% - C-1. For QE September: upto 60% reconciliation - A-5, Below 60% to 50%- B-3 and below 50% - C-1. For QE December: upto 70% reconciliation - A-5, Below 70% to 60%- B-3 and below 60% - C-1. For QE March: 80% reconciliation - A-5, Below 80% to 70%- B-3 and below 70% - C-1. C=0 if no reconciliation is done during the quarter.	Internal	5		
					5	
4	8675-Reconciliation of Reserve Bank Deposits. Target: QE:Mar - posting upto Jan, QE June - posting upto - April, QE: Sep- Posting upto Jul, QE: Dec-Posting upto-Oct.)	Nil Arrear : A-10	Internal	10	10	
		Up to one month : B-6				
		More than one month : C-4				
5	Classification check- percentage of check applied on vouchers & checks applied for validation as per new guidelines (Target: to be re-fixed in view of recently issued circular from HQr.)	60% and above: A-10	Internal	10		
		50% and below 60%: B-6				
		Below 50%: C-4				10
Managing the quantum of outstanding DC Bills and UCs						
6	AC Bills - Clearance (as percentage of OB+Additions). Addition of amount may be made only for those AC bills for which DC bills are due during the quarter	Clearance 25% and Above - A-10	Internal-5, Ext.-5	10		
		20 % and below 25 % - B-6				
		Below 20% - C-4			10	
7	UCs - Clearance (as percentage of	Clearance 25% and above- A-10	Internal-5, Ext.-5	10		

	OB+Additions). Addition of amount may be made only for those GIA bills for which UCs are due during the quarter	20 % and below 25 % - B-6				
		Below 20% - C-4			10	
8	Clearance of Suspense accounts and minimizing accretion in Suspense heads					
		For Suspense & Remittance balances where External factors are involved - Clearance 60 % and above: A-3, 40 and below 60%: B-2 , Below 40%: C-1 . For Suspense balances where Internal factors are involved - Clearance 80 % and above: A-3, 60 and below 80%: B-2 , Below 40%: C-1 . Clearance of old balances 30% In case of Clearance of old balance is less than 30% grading will be downgraded by one grade.				
	8658-102- Suspense Account (Civil) - Dr		External	3+3	6	
	8658-102- Suspense Account (Civil) - Cr					
	8658-109-RBS (HQ) - Dr		Internal	3+3	6	
	8658-109-RBS (HQ) - Cr					
	8658-101- PAO Suspense -Dr		External	3+3	6	
	8658-101- PAO Suspense -Cr					
	8658-110- RBS (CAO) - Dr		Internal	3+3	6	
	8658-110- RBS (CAO) - Cr					
	8793-Inter-State Suspense - Dr		Internal	3+3	6	
	8793-Inter-State Suspense - Cr					
	ADDITIONAL PARAMETERS - ACCOUNTS					
9	Internal Loans & Advances from Central Govt. monitored by A&E offices. Timely issue of advice to RBI for recovery of Principal/Interest	Nil Arrear in sending advice : A -5	Internal	5	5	
		One month arrear : B-3				
		More than one month arrear : C-1				
10	Compliance of Annual Treasury Inspection Plan	100% of treasuries inspected as per annual plan: A-10	Internal	10	10	
		80% and below 100%: B-6				
		Below 80%: C-4				
11	Compliance of Treasury Inspection Reports paras (Subjudice/court cases issue may not be included in the target and specifically mentioned in KRA report.)	Nil pending paras of more than 3 years at the beginning of quarter: A-10	Internal	10	10	
		Nil pending paras of more than 5 years at the beginning of quarter: B-6				
		If TIR paras of more than 5 years are pending, C-4				
12	Review/analysis of Annual Budget Documents:	Review/analysis of Annual Budget and communication of comments/observations	Internal	10		

	Date of Passing of Annual Budget by State Legislature.....	to Fin. Deptt. have been completed with One month from date of receipt of Budget documents: A-10			10	
	Date of receipt of Annual Budget documents in A&E office.....	if above work is completed in more than 30 days and up to 45 days: B-6				
	Date of completion of review of Annual Budget documents.....	if work is completed beyond 45 days: C=4				
TOTAL POINTS				150	150	
INTERNAL						
EXTERNAL						

II. GPF functions

Sl. No	Function: GPF, item-wise grading	Parameters for Grading (A, B, C & C=0 if no activity takes place in particular item/area)	Internal or External factors	Poi nts	Total Group Points	Points awarded
	Timely settlement of Final Payment cases, Residual Balance Cases & posting of GPF Accounts					
1 (a)	Clearance of Final Payment cases (Clearance within 1 month). Timely receipt and complete cases are to be taken in the receipt of FP cases during quarter. Total no. of FP cases received during quarter: No. of Cases received late: No. of incomplete cases which have been kept on hold due to wanting documents from DDOs. PAG/AG may ensure that documents leading to incomplete/defective cases are called for from DDOs within 5 working days from date of receipt of case.	95% and above - A-10	Internal/External External if cases are received late or incomplete.	10	10	
		85 % and below 95% - B-6				
		Below 85% - C-4				
1 (b)	Clearance of Residual Balance cases (Clearance within One Month). <i>Timely receipt and complete cases are to be taken in the receipt of FP cases during</i>	<i>90% & above-</i> A-10	Internal/External External if cases are received late or incomplete.	10	10	
		<i>below 90% to 80%-</i> B-6				

	<i>quarter. Total no. of RB cases received during quarter: No. of Cases received late: No. of incomplete cases which have been kept on hold due to wanting documents from DDOs. PAG/AG may ensure that documents leading to incomplete/defective cases are called for from DDOs within 5 working days from date of receipt of case.</i>	<i>Below 80 % - C-4</i>				
2	Arrears in posting of GPF Accounts (Month up to which posting is completed: - QE:Mar - posting up to Jan, QE June - posting up to - April, QE: Sep-Posting up to Jul, QE: Dec-Posting up to-Oct.)	Nil Arrears - A-5 Up to 1 month - B-3 More than 1 month - C-1	Internal	5	5	
	Quality of accounts as evidenced by low levels of Missing Items, Unposted Items and minus balance cases etc.					
3 (a)	Clearance of Missing Credits. (no. of missing credits and no. of UP items-Cr. at the beginning of each quarter and closing of each quarter may be given here)	Annual target 80 % and above of OB at the beginning of the year (qtr. Target 20% and above of OB) - A-5 60% and below 80% - B-3 Below 60 % - C-1	Internal	5	5	
3 (b)	Clearance of Missing Debits. (no. of missing debits and no. of UP items-Dr at the beginning of each quarter and closing of each quarter may be given here) (Annual targets 80% and above of the OB at the beginning of the year) quarterly target 20% of OB)	80% and above: A-5 60% and below 80% - B-3 Below 60% - C-1	External	5	5	
4	Clearance of Minus Balance cases (A/B/C = 5/3/1)	Annual target 80 % and above of OB at the beginning of the year (qtr. Target 20% and above of OB) - A 70% and below 80% - B Below 70% - C		5	5	

Grievances and their timely redressal						
5	Disposal of complaint cases <i>(within One month) (A/B/C = 5/3/1)</i>	Disposal 100% - A	Internal	5	5	
		90% and below 100% - B				
		Below 90% - C				
6	Information to subscribers through website(a) Is there provision for viewing GPF balances, MCs, Final payment etc. by subscribers online? (b) Are subscribers being intimated through SMS regarding monthly credit/debit/Final Payment? Total number of GPF subscribers -----& total number of subscribers registered for SMS --- ----(%). (A/B/C = 5/3/1)	If both provisions available: A	Internal/External (for SMS)	5	5	
		If only online access available: B				
		If only SMS facility Available : C				
Timeliness in maintenance of GPF Accounts						
7(a)	Timely closing of GPF Accounts <i>(By due date for closure of March (Sy) accounts) (A/B/C = 5/3/1) to be graded once in a year.</i>	No delay - A	Internal	5	5	
		Delay upto 1 month - B				
		Above 1 month - C				
7(b)	Timely dispatch of Annual GPF slips <i>(By 31 July) (A/B/C = 5/3/1) to be graded once in a year.</i>	No delay in dispatch - A	Internal	5	5	
		Delay upto 1 month - B				
		Above 1 month - C				
ADDITIONAL PARAMETER (GENERAL PROVIDENT FUND)						
8	Digitization of GPF records(<i>quantum of records to be digitized Annexure</i>). <i>If the office has completed the digitization work in a particular quarter then no grading may be given in subsequent quarter. If office has yet not initiated work for this item, office may be graded as C=0. (A/B/C = 5/3/1)</i>	60% and above : A	Internal	5	5	
		30% and below 60%: B				
		Below 30%: C				
9	Annual Review of GPF Accounts	If completed within 3 months after dispatch of Annual Account slips - A-5	Internal	5	5	
		Between 3 to 6 months - B-3				
		Above 6 months - C-1				
TOTAL POINTS				70		
INTERNAL POINTS						
EXTERNAL POINTS						

III. Pension functions

	Item-wise grading	Parameters for Grading (A, B, C & C=0 if no activity takes place in particular item/area)	Internal or External factors	Points	Total Group Points	Points awarded
Function: PENSION						
	Timely authorisation of Original Pension, Family Pension and Revision of Pension cases.					
1	Clearance of Original Pension cases (<i>within one month</i>). Timely receipt and complete cases are to be taken in the receipt of Original Pension cases during quarter. Total no. of Pension cases received during quarter: _____, no. of Cases received late: _____, No. of incomplete cases: _____ which have been kept on hold due to wanting documents from DDOs. PAG/AG may ensure that documents leading to incomplete/defective cases are called for from DDOs within 5 working days from date of receipt of case. Grading 15/10/05 (A/B/C)	95% and above - A-30	Internal	30		
		85% and below 95% - B-20				
		Below 85% - C-10				
2	Clearance of Revision cases (<i>within one month</i>). Timely receipt and complete cases are to be taken in the receipt of Revision Pension cases during quarter. Total no. of Revision Pension cases received during quarter: _____, no. of Cases received late: _____, No. of incomplete cases: _____ which have been kept on hold due to wanting documents from DDOs. PAG/AG may ensure that documents leading to incomplete/defective cases are called for from DDOs within 5 working days from date of receipt	90% and above - A -30	Internal	30		
		80% and below 90% - B-20				
		Below 80% - C-10				

	Item-wise grading	Parameters for Grading (A, B, C & C=0 if no activity takes place in particular item/area)	Internal or External factors	Points	Total Group Points	Points awarded
	<i>of case. Grading 15/10/05 (A/B/C)</i>					
	Timely redressal of complaint cases indicates better and improved services to Pensioners.					
3	Disposal of complaint cases(<i>within One month</i>). 5/03/01 (A/B/C). <i>If there is nil complaint case during the quarter, office may be graded as A=5.</i>	Disposal 100% - A-5	Internal	5		
		90% and below 100% - B-3				
		Below 90% - C-1				
4	Information to Pensioners. (a) Is there provision for viewing status of pension online? (b) Are Pensioners being intimated through SMS regarding status of pension cases etc.? Grading 5/03/01 (A/B/C)	If both provisions available: A-10	Internal	10		
		If only online access: B-6				
		If only SMS facility Available : C-4, if none either online or SMS then C-0				
ADDITIONAL PARAMETER (PENSION)						
5	Digitization of pension records (<i>quantum of records to be digitized Annexure</i>) <i>If the office has completed the digitization work in a particular quarter then no grading may be given in subsequent quarter. If office has yet not initiated work for this item, office may be graded as C=0. Grading (A/B/C = 5/3/1)</i>	60% and above : A-5	Internal	5		
		30% and below 60%: B-3				
		Below 30%: C-3				
TOTAL POINTS			80	80		
INTERNAL			80			
EXTERNAL			0			

GAZETTED ENTITLEMENT FUNCTIONS (Timeliness)						
1	Issue of pay slips <i>within One Month</i> (increments, leave salary, promotion, pay revision, suspension, special authorisation , re-employment, transfer, continuous sanction, allowances, retrospective regularisation of period of absence, deputation - pay intimation (<i>data in Annexure S-2</i>). Grading 15/10/05 (A/B/C)	100 % - A-30	Internal	30		
		Below 100% to 90% : B-20				
		Below 90% - C-10				
2	Efficient internal processing leading to timely preparation of History of Service <i>within One Month</i> . Grading 15/10/05 (A/B/C)	95% and above - A-30	Internal	30		
		85% and below : 95% : B-20				
		Below 85% - C-10				
3	Disposal of complaint cases <i>within One Month</i> . Grading (A/B/C = 5/3/1). <i>If there is nil complaint case during the quarter, office may be graded as A=5.</i>	100%: A-5	Internal	5		
		90% and below 100%: B-3 Below 90%: C-1				
	Other Parameters	Better Services to GE Officers				
4	Information to Gazetted Officers through website (a) Provision for viewing payslips on website (b) Provision of SMS alerts. Grading (A/B/C = 5/3/1).	If both provisions available: A-10	Internal	10		
		Either online Access or SMS facility available: B-6				
		None: C-0				
5	Digitization of GE Records (<i>quantum of records to be digitized Annexure</i>) Grading (A/B/C = 5/3/1).	60% and above: A-5	Internal	5		
		30% to below 60%: B-3				
		Below 30%: C-1				
		60% and below 80%: B-15	External/Internal			
		Below 60%: C-10 and if registration is below 30 per cent then grading C-zero				
TOTAL POINTS			80	80		
INTERNAL			80			
EXTERNAL			0			

Overall Total score

Function	Maximum Score (Internal Only)	Score Obtained (Internal Only)
Accounts	150	
GPF functions	70	
Pension functions	80	
Gazetted Entitlement functions	80	
TOTAL	380	
NORMALISED SCORE	100	

Annexure III

Framework for Assessment of Union Audit Offices

	Parameters	Data	Applicable Sub-Grp Wt.	Group Wt.	Score for sub-group
A	Completion of Annual Audit Plan			10	
	1 No. of units planned as per Annual Audit Plan		15		
	2 No. of units audited as per Annual Audit Plan				
	3 % of completion	0.00%			
Score for Group (A)	-				
B	Timeliness in sending Report Material to HQ/Lead Office (only for first journey as prescribed by the Functional Wing)			40	
	1 Performance Audits (150 points)	150			
	a No. submitted in time (as per approved Schedule with grace of 5 working days)				100%
	b No. not submitted in time				0%
	c Total No. submitted	0			
	d % of timely submission	0.00%			
	e No of PAs planned for approval during the year				
	f No of PAs approved during the year (out of PAs planned as mentioned in Sl. No. B1(e) above)	0.00			
	g Score for Sub-Group B (1)				
	2 Thematic Audits (70 points)	70			
	a No. submitted in time (as per approved Schedule)				100%
	b No. not submitted in time				0%
	c Total No. submitted	0			
	d % of timely submission	0.00%			
	e No. of Thematic Audits planned for approval during the year				
	f No. of Thematic Audits approved during the year (out of TAs planned as mentioned in Sl. No. 2B(e) above)				
	g Score for Sub-Group B (2)	0.00			
	3 Compliance Audit Paras (10 points)	10			
	a No. submitted in time (as per approved Schedule)				100%
	b No not submitted in time				
	c Total No. submitted	0			
d % of timely submission	0.00%				
e No. of Compliance Audit paras submitted during the year					
f No. of Compliance Audit paras dropped during the year					

		g	Score for Sub-Group B (3)	0.00				
			Total Score for Group B	0.00				
			Score for Group (B)	0.00				
C	Issuance of Inspection Reports					10		
	1	Timeliness in issuance of IR			100			
		a	No. of IR due for issue for units audited in Annual Audit plan					
		b	No. of IR issued in time (within 30 days)				100%	
		c	No. of IR issued with delay (upto 15 days)				60%	
		d	No. of IR issued with delay (more than 15 Days)				0%	
		e	No. of IR not issued				-100%	
		f	% of timely issuance	0.00%				
		g	Score for sub-Group C (1)	0.00				
		Score for Group (C)		0.00				
D	Implementation of OIOS					10		
		<i>If applicable? (Enter Yes/No)</i>						
	1	Percentage of field audits conducted through OIOS			10			
		a	Total number of audits conducted after on-boarding on OIOS*					
		b	Number of field audits conducted through OIOS after on-boarding					
		c	% of field audits conducted through OIOS after on-boarding	0.00%				
		d	Score for sub-Group D (1)	0.00				
	2	Extent of issue of Inspection Reports through OIOS			10			
		a	Total number of compliance audits conducted after on-boarding on OIOS					
		b	Number of Inspection Reports issued through OIOS					
		c	% of Inspection Reports issued through OIOS after on-boarding	0.00%				
		d	Score for sub-Group D (2)	0.00				
		Score for Group (D)		0.00				
		Total Score for Group D		0.00				
E	Timeliness in finalisation of Accounts (only for first journey)					15		
		<i>If applicable? (Enter Yes/No)</i>						
	1	Accounts for Corporations			5			
		a	No. of Accounts Received					
		b	No. submitted in time (within 70 days) to HQ				100%	
		c	No. submitted with delay				-100%	
		d	% of timely finalisation	0.00%				
		e	Score for Sub-Group E (1)	0.00				
	2	Accounts for Companies			5			
		a	No. of Accounts Received					

	b	No. submitted in time (within 45 days) to HQ				100%
	c	No. submitted with delay				-100%
	d	% of timely finalisation	0.00%			
	e	Score for Sub-Group E (2)	0.00			
	3	Accounts for Autonomous Bodies				
	a	No. of Accounts Received				
	b	No. submitted in time (within 90 days) to HQ		5		100%
	c	No. submitted with delay				-100%
	d	% of timely finalisation	0.00%			
	e	Score for Sub-Group E (3)	0.00			
	Score for Group (E)		0.00			
F	Timeliness in issuing comments on Union Accounts by accredited Audit Office				15	
	<i>If applicable? (Enter Yes/No)</i>		<i>yes</i>			
	<i>Union Accounts - Statement of Central Transactions (SCT) and Grant Statement (Stage-2)</i>					
	1	No. of draft SCT and Grant Statement received from Accounts Rendering Bodies		15		
	2	No. of issuance of comments (IR) in time (within 30 days)				100%
	3	% of timely issuance	0.00%			
	Score for Group (F)		0.00			
Overall Score			-			
Normalised score						
*On-boarding date for OIOS will be provided by IS wing. Only Offices on-boarded up to 31st December 2022 may provide this data.						

Annexure IV

Framework for Assessment of State Audit Offices

	Parameters	Data	Applicable Sub-Grp Wt.	Group Wt.	Score for sub-group
A	Completion of Annual Audit Plan			10	
	1 No. of units planned as per Annual Audit plan.		10		
	2 No. of units audited as per Annual Audit Plan				
	3 % of completion	0.00%			
	Score for Group (A)	-			
B	Timeliness in sending Report Material to HQ/Lead Office (only for first journey as prescribed by the Functional Wing)			30	
	1 Performance Audits (150 points)	150			
	a No. submitted in time (as per approved Schedule with grace of 5 working days)				100%
	b No. not submitted in time				0%
	c Total No. submitted	0			
	d % of timely submission	0.00%			
	e No of PAs planned for approval during the year				
	f No of PAs approved during the year (out of PAs planned as mentioned in Sl. No. B1(e) above)				
	g Score for Sub-Group B (1)	0.00			
	2 Thematic Audits (70 points)	70			
	a No. submitted in time (as per approved Schedule)				100%
	b No. not submitted in time				0%
	c Total No. submitted	0			
	d % of timely submission	0.00%			
	e No. of Thematic Audits planned for approval during the year				
	f No. of Thematic Audits approved during the year (out of TAs planned as mentioned in Sl. No. B2(e) above)				
	g Score for Sub-Group B (2)	0.00			
	3 Compliance Audit Paras (10 points)	10			
	a No. submitted in time (as per approved Schedule)				100%
	b No. not submitted in time				
	c Total No. submitted	0			
	d % of timely submission	0.00%			
	e No. of Compliance Audit paras submitted during the year				
f No. of Compliance Audit paras dropped during the year					
g Score for Sub-Group B (3)	0.00				
Total Score for Group (B)	0.00				
Score for Group (B)	0.00				
C	Issuance of Inspection Reports			10	
	1 Timeliness in issuance of IR		100		

	a	No. of IR due for issue for units audited in Annual Audit plan				
	b	No. of IR issued in time (within 30 days)				100%
	c	No. of IR issued with delay (upto 15 days)				60%
	d	No. of IR issued with delay (more than 15 Days)				0%
	e	No. of IR not issued				-100%
	f	% of timely issuance	0.00%			
	g	Score for Sub-Group C (1)	0.00			
	Score for Group (C)		0.00			
D	Implementation of OIOS					10
	<i>If applicable? (Enter Yes/No)</i>					
	1	Percentage of field audits conducted through OIOS.				
	a	Total number of audits conducted after on-boarding on OIOS*				
	b	Number of field audits conducted through OIOS after on-boarding				10
	c	% of field audits conducted through OIOS after on-boarding		0.00%		
	d	Score for Sub-Group D (1)		0.00		
	2	Extent of issue of Inspection Reports through OIOS				
	a	Total number of compliance audits conducted after on-boarding on OIOS				
	b	Number of Inspection Reports issued through OIOS				10
	c	% of Inspection Reports issued through OIOS after on-boarding		0.00%		
	d	Score for Sub-Group D (2)		0.00		
	Score for Group (D)		0.00			
	Total Score for Group (D)		0.00			
E	Timeliness in finalisation of Accounts (only for first journey)					15
	<i>If applicable? (Enter Yes/No)</i>					
	1	Accounts for Corporations				
	a	No. of Accounts Received				
	b	No. submitted in time (within 70 days) to HQ				100%
	c	No. submitted with delay				-100%
	d	% of timely finalisation		0.00%		
	e	Score for Sub-Group E (1)		0.00		
	2	Accounts for Companies				
	a	No. of Accounts Received				
	b	No. submitted in time (within 45 days) to HQ				100%
	c	No. submitted with delay				-100%
	d	% of timely finalisation		0.00%		
	e	Score for Sub-Group E (2)		0.00		
	3	Accounts for Autonomous Bodies				
	a	No. of Accounts Received				
	b	No. submitted in time (within 90 days) to HQ				100%
	c	No. submitted with delay				-100%
	d	% of timely finalisation		0.00%		
	e	Score for Sub-Group E (3)		0.00		

		Score for Group (E)	0.00			
F	Timeliness in issuing comments on State Accounts by State Audit Office				10	
	<i>If applicable? (Enter Yes/No)</i>					
	Union Accounts - Statement of Central Transactions (SCT) and Grant Statement (Stage-2)					
	1	No. of draft SCT and Grant Statement received from Accounts Rendering Bodies		10		
	2	No. of issuance of comments (IR) in time (within 30 days)				100%
	3	% of timely issuance	0.00%			
	Score for Group (F)		0.00			
G	Timeliness in finalisation of State Finance Audit Report (only for first journey)				15	
	<i>If applicable? (Enter Yes/No)</i>		yes			
	1	Due Date of receiving Last draft Grants Statement from Accounts Rendering Bodies				
	2	Actual Date of receiving Last draft Grants Statement from Accounts Rendering Bodies				
	3	Due Date for vetting of Notes to Finance Accounts (NTFA)		5		
	4	Actual Date for vetting of NTFA				
	5	Delay in vetting of NTFA	0.00			
	6	Score for vetting of NTFA (No delay - 5 Marks, Delay upto 5 days - 3 Marks, Delay beyond 5 days - 0 Marks)	5.00			
	7	Due Date of submission of Report material to Headquarters		10		
	8	Actual Date of submission of Report material to Headquarters				
	9	Delay in sending Report Material to Headquarters (in days)	0.00			
10	Score for sending Report Material to Headquarters (Delay upto 5 days - 10 Marks, Delay between 5 to 10 days - 5 Marks, Delay beyond 10 days - 0 Marks)	10.00				
11	Score for Group (G)	15.00				
Overall Score						
Normalised score						
*On-boarding date for OIOS will be provided by IS wing. Only Offices on-boarded before 31st December 2022 may provide this data.						

Annexure V

Framework for assessment of Regional Training Institutes/Centres

Part 1: Self-Assessment to be done by RTIs

		Sub-Group points	Group Points	Points awarded
A	LEARNING AND TRAINING		35	
(i)	Faculty		10	
a	Core faculty adequacy and rating (1 point for person in position as per sanctioned strength or adequate efforts taken by RTIs to fill up the vacancies, 1 point each for average rating of core faculty above 80% - General & IS)	3		
b	Categorized database of guest faculty with profile, rating and domain exposure (1 point for each)	3		
c	Deputing of RTI faculty to handle sessions at other training institutions /institutes, IAAD offices (minimum 10 sessions in a year)	1		
d	Enhancement of Skill & Knowledge of faculty by obtaining additional qualification, attending training in other institutes/contributing researchpaper/article in magazine/journal/ attachment to field audit, passing of CPD, RAE etc. 1 point even if single faculty member obtains additional qualification.	1		
e	Sessions taken by IA&AS officers 10 or more sessions – 2, less than 10 – 1 point (inclusive of sessions taken by PD/DG excluding inaugural & valedictory sessions)	2		
(ii)	Training programmes		25	
a	Utilisation of annual training capacity(Linked to approved COTP (80% is 1 point, 80-90% is 2 points, above 90% is 3 points)	3		
b	All India Programmes (3 or above in a year is 2 points and 1 or 2 is 1 point.)	2		
c	Training Methodology (Use of STMs, lectures, case studies, group discussions, site visits, role play,quizzes - use of mix of at least 4 methodologies in 80% and above general courses is 10 points, and proportionately less score)	10		
d	Preparation and distribution of courseware to participants in soft copies/Pen Drives/ CDs/ emails.) (Above 90 % courses is 4 points, 80to 89% is 3, 70 to 79% is 2 and less than 70% is 1)	4		
e	End course evaluations (In 80% and above general courses and 80% EDP courses is 1 point each)	2		
f	Utilisation of training capacity by user offices for conduct of workshops,conferences and in-house trainings (minimum 20 sessions in a year)	1		

		Sub-Group points	Group Points	Points awarded
g	Maintenance of trainee database If all required fields included and updated information – 3points Proportionately 2/1 points	3		
B	KNOWLEDGE ACTIVITIES & DISSEMINATION		25	
(i)	Website		15	
a	Comprehensive information (1 point each for facilities, faculty information, calendar, course details, participant's profile, pre-course reading material)	6		
b	Comprehensive learning and knowledge resources (Course material, Newsletters, Research Papers, Case Studies, List of STMs (without KDs and sensitive material if any))	5		
c	Website updation (1 point for each quarter)	4		
(ii)	STMs		4	
a	Number prepared/updated/peer reviewed/Dissemination (1 point for each STM prepared, 1 point for each updated/ peer reviewed)	4		
(iii)	Case studies / Research papers		4	
a	Number prepared/modified/ peer reviewed/Dissemination (1 point for each)	4		
(iv)	Collaborative Alliances Collaborative alliance is defined as a tie up, whether formal through an MOU or not, with other academic bodies, PSUs or Government Departments for exchange of faculty, developing case studies and research papers, or for imparting to other department staff, one mark for each Alliance		2	
C	INTERNAL PROCESSES AND MANAGEMENT		25	
(i)	Training processes			
a	Training calendar development - consultation with user offices, Training Division	2		
b	Checklists for course implementation - training, administration, hostel (Checking and documenting readiness for organizing the course: * Academic infrastructure checklist - 1 mark * Faculty and study material checklist - 1 mark * Hostel checklist - 1 mark)	3	5	
(ii)	Administrative Processes		20	
a	Best practices followed (E- Learning, Yoga/ health, Entry Behaviour Test, Sight-seeing, Green Initiative etc.)	1		
b	Budget: Assessment, projection and follow up of requirements (BEMS)	1		
c	Record Maintenance including prompt submission of returns to Headquarters	1		
d	Use of e-Office	1		
e	Manpower management (efforts taken by RTI for filling up of non-faculty)	2		

		Sub-Group points	Group Points	Points awarded
	posts and timely tendering of outsourcing services)			
f	ADY.CAG (Inspection)'s Outstanding Paragraphs - Adequacy of follow up action taken by RTI within 2 years of issues of report 6 marks if all the RTI actionable paras were settled 4 marks if 50% of RTI actionable paras were settled 2 marks if 25% of RTI actionable paras were settled	6		
g	Maintenance and security of physical assets	4		
h	Environmental management and waste removal (Use of eco-friendly material)	2		
i	Management of utilities	2		
D	GOVERNANCE AND PLANNING		15	
(i)	Regional Advisory Committee meetings		5	
a	Frequency of Meetings (Two meetings - one mark for each meeting)	2		
b	Follow up action on decisions taken * Implementing all actionable points of last two RACs - 3 marks * Implementing 75% actionable points of last two RACs - 2 marks * Implementing 50% actionable points of last two RACs - 1 marks	3		
(ii)	Training Needs Analysis		10	
a	Incorporation of user office requirements as accepted by RAC	4		
b	Incorporation of headquarters requirements	4		
c	Implementation of SAI Training project	2		

Part 2: Assessment to be done by User Offices

		Sub-Group points	Group Points	Points awarded
E	ADEQUACY AND QUALITY OF PHYSICAL INFRASTRUCTURE		15	
(i)	Adequacy & quality rating by participants (If participant rating for each item (a to e below) is 4 and above in 80% courses - 2 points, if less - 1 point)			
a	Training facilities (Classroom/Conference Hall/ EDP Lab)	2	10	
b	Library (if utilised)	2		
c	Hostel Accommodation (if availed)	2		
d	In-house Dining facility	2		
e	Recreational facilities (if availed)	2		
(ii)	Safety measures			
a	Firefighting Equipment	1	3	
b	Provision for supply of safe drinking water	1		
c	Arrangements for Emergency Services (First aid box, display of 'do and don't', emergency numbers, Power back up arrangements, sarp-mitra etc.)	1		
(iii)	Internet facility (Wired/ Wi-Fi /LAN)		1	

		Sub-Group points	Group Points	Points awarded
(iv)	Transport Facility (for faculty/trainees in emergency)		1	
F	HOUSEKEEPING AND MAINTENANCE		10	
(i)	Cleanliness		8	
a	Classroom/ IT Lab/ Conference	2		
b	Dining Area	2		
c	Garden/external areas/corridors/entrance lobby	2		
d	Common Toilets	2		
(ii)	Prompt action on complaints from the participants		2	

Part 3: To be consolidated by RTIs for all the courses during the year

		Sub Group points	Group points	Points awarded
G	COURSE FEEDBACK FROM TRAINEES		25	
(i)	Participants feedback score for general courses (if participants rating for each items a to i below is four & above in 80% courses- one point, if below 0.5 points)		10	
a	Objectives clearly defined	1		
b	Objectives of the course were met	1		
c	Topics covered were relevant	1		
d	Coverage of topics was adequate	1		
e	Sequencing of topics/ Sessions was appropriate	1		
f	Course material was helpful	1		
g	Time allotted for course was sufficient	1		
h	Extent of learning	1		
i	User friendliness of RTI Staff	2		
(ii)	Participants feedback score for EDP courses (if participants rating for each item a to i below is four & above in 80% courses- one point, if below - 0.5 point)		10	
a	Objectives clearly defined	1		
b	Objectives of the course were met	1		
c	Topics covered were relevant	1		
d	Coverage of topics was adequate	1		
e	Sequencing of topics/ Sessions was appropriate	1		
f	Course material was helpful	1		
g	Time allotted for course was sufficient	1		
h	Extent of learning	1		
i	User friendliness of RTI Staff	2		

		Sub Group points	Group points	Points awarded
(iii)	Guest Faculty Rating If participants rating the guest faculty sessions as 4 & above <ul style="list-style-type: none"> ■ In 80% and above the total sessions ---5 points ■ In 70% to 80% of the total sessions ---4 points ■ In 60% to 70% of the total sessions --- 3 points ■ In 50% to 60% of the total sessions ---2 points ■ In less than 50% of the total sessions ---1 point 		5	
	GRAND TOTAL SCORE		150	
	NORMALISED SCORE		100	