



क्षेत्रीय क्षमता निर्माण एवं ज्ञान संस्थान, मुंबई
(भारतीय लेखापरीक्षा एवं लेखा विभाग)
**Regional Capacity Building and Knowledge
Institute, Mumbai**
(Indian Audit and Accounts Department)



Manual of Office Procedure 2003

(Revised in 2014)

(Updated in 2024)

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Chapter 1

Introduction

- 1.1 In accordance with the provisions of Paragraph 2.1 of CAG's Manual of Standing Orders (Administration) Vol.I., this Manual has been compiled to regulate the internal administration and working of the Regional Capacity Building & Knowledge Institute, Mumbai headed by the Director General / Principal Director. In respect of matters not specifically covered in this manual, the procedure outlined in the Manual of General Procedure, Manual of the Establishment Section and the manual of office management section of the PAG Audit, Maharashtra office will be referred to and a final decision taken with the approval of the Director General / Principal Director.
- 1.2 The Knowledge & Capacity Building wing in the office of the Comptroller and Auditor General of India is the apex agency responsible for assessing, planning and executing the training needs of the Indian Audit and Accounts Department. The Deputy Comptroller & Auditor General heads the Knowledge & Capacity Building wing. The Director General (K&CB) is in-charge of the Knowledge & Capacity Building wing at Headquarters. The Regional Capacity Building & Knowledge Institute functions under the supervision and guidance of the Director General/Principal Director, who is assisted by Core Faculty Members (for General and IT courses), Sr. Audit Officer/Administration and a team of officers & staff to support administrative requirements.
- 1.3 The erstwhile Regional Training Institute, Mumbai was started as a pioneering training institute of the Indian Audit and Accounts Department in 1980. The Institute conducts Orientation Courses, Specialization Courses on Finance and Accounts, Audit and Administration, Commercial Audit & Crypto Currency, besides modern management techniques. In tune with the emerging computerized environment in the Government organizations, the Institute focuses on training in computers, viz. IS Audit, IS Security, IDEA, Oracle, Tableau, Knime etc. Training is an executive function and the user offices play a key role in ensuring that their staffs receive adequate training in their respective fields. Regional Capacity Building & Knowledge Institutes (RCB&KIs)/Regional Capacity Building & Knowledge Centers (RCB&KCs) are meant for providing necessary infrastructure to meet the training requirements of field offices.

1.4 The new RCB&KI, Mumbai building was inaugurated on 14th June 2010 by the Hon'ble Comptroller and Auditor General of India. The new RCB&KI building is a centrally air-conditioned building with the State of the Art infrastructure and consists of two towers viz., the academic block and hostel block. Academic Block has an Auditorium with 150 seating capacity, a Conference Hall, Reading room cum library, 2 lecture halls, 2 EDP labs, a seminar hall, a recreation room, a Gymnasium, kitchen and a dining hall. Auditorium is fully equipped with Audio Visual system, plasma display panels, Video recording Cameras etc. Conference Hall is fitted with Audio Visual Systems and has facility for Digital Conference. All these facilities are equipped with Wireless Fidelity (Wi-Fi). Lecture Halls have a seating capacity of 26 each and the Seminar Hall has a capacity of 35 trainees. The EDP Labs can cater to 30 trainees each and are equipped with Pentium based workstations connected to internet. Classrooms and EDP labs are equipped with Interactive panels and Audio visual systems. The Hostel Block houses 28 double bedded guest rooms , two VIP and two VVIP guest rooms - all fully furnished - and PD's residence All these facilities are equipped with Wireless Fidelity (Wi-Fi). We also have a CCTV system for the security of the campus.

1.5 **Knowledge Centre for Commercial Audit & Crypto Currencies**

The Knowledge Center topics allocated to RCBKIs/Cs (erstwhile RTIs/RTCs) have been reviewed and revised by the Strategic Knowledge Committee (SKC) as annexed. RCB&KI, Mumbai has been designated as Knowledge Centre for Commercial Audit and Crypto Currency.

2. All the major domain areas of audit and accounts have been allocated across the RCBKIs/Cs to enable them to become a one stop repository of knowledge in the assigned domain/sub-domain areas.

3. Presence of associated external institutions in the same station where RCBKIs/Cs are located has also been considered while reallocating the domain areas so that they can collaborate for knowledge building.

4. RCBKIs/Cs shall focus on knowledge building and dissemination in the assigned domains.

5. Each RCBKI/C has also been assigned a mentor for their domain area.

6. RCBKIs/Cs are expected to keep themselves abreast of the international best practices in the field of audit and accounts, methodologies/domain knowledge and develop/update structured training modules, research papers, cases studies etc.

1.6 Regional Advisory Committee (RAC) for RCB&KI, Mumbai –

Regional Advisory Committee, formed in accordance with the Headquarters letter No.556 Trg Div/21-99 dated 30.12.2004, takes care of planning, overseeing, coordinating training and other activities allotted to RCB&KI, promoting effective interaction with the related field offices, strengthening the arrangement for evaluation of training programmes and selection of guest faculty etc. The RAC meeting is normally held twice a year, i.e. mid-year meeting in Sept./October and annual meeting in January/February.

Regional Advisory Committee for RCB&KI, Mumbai consists of the following members:

Sr. No.	Name of Office
1	Principal Accountant General (Audit)-I, Maharashtra, Mumbai
2	Director General of Audit Western Railway, Mumbai
3	Principal Accountant General (Audit)-II, Gujarat, Ahmedabad
4	Director General of Commercial Audit , Mumbai
5	Principal Accountant General (A&E), Gujarat, Rajkot
6	Principal Accountant General (Audit)-I, Gujarat, Rajkot
7	Principal Accountant General (A&E) -I, Maharashtra, Mumbai
8	Director General of Audit, Central Railway, Mumbai
9	Director General of Audit (Central), Mumbai
10	Director General, Regional Training Institute, Mumbai
11	Accountant General, Goa
12	Director General of Audit (Shipping), Mumbai
13	Principal Director of Audit (Central), Ahmedabad
14	Principal Director of Audit (Defence Services), Pune
15	Director of Audit (Navy), Branch: Mumbai
16	Director of Audit (Environment & Scientific Departments), Mumbai Branch
17	Director of Audit, Ordnance Factories, Kirkee, Pune
18	Director of Audit, O/o the Principal Director of Audit (Agriculture, Food and Water Resources) Delhi at Mumbai
19	Sr.DAG, Branch, Accountant General (Audit) - II, Maharashtra at Mumbai
20	Director, O/o the Director General of Audit (Finance and Communication), Delhi at Mumbai
21	Dy. Director, O/o the Director General of Audit (Finance and Communication), Delhi at Ahmedabad
22	Branch, Principal Accountant General (A&E), Gujarat, at Ahmedabad

The Senior most member of the RAC will be the Chairperson, RAC.

1.7 As per the instructions contained in Headquarters office Circular Letter No.04/NGE(ENTT) (No.45 NGE(ENTT)11-2006) dated 15.2.2006, RCB&KI

Mumbai assumed Drawing & Disbursing Officer functions with effect from December 2006. In RCB&KI, Mumbai, the Director General/ Principal Director being the competent authority, designates Sr. AO (Admn) as DDO.

1.8 Structured Training Modules prepared by RCB&KIs -

In compliance with Headquarters office instructions, RCB&KIs prepare Structured Training Modules (STMs) in the areas in which they are designated as Knowledge Centre. The Structured Training Modules form the basic foundation for the course modules used for Training Programmes in RCB&KIs. These are uploaded in the RCB&KI website under Knowledge & Capacity Building wing after obtaining approval of HQrs office . RCB&KI Mumbai has prepared the following STMs relating to its Knowledge Centre areas.

1. Financial Audit of Government Companies (updated)
2. Analysis of Financial Statements
3. Audit of Port Trusts
4. Special features, Accounts and Audit of typical companies-Electricity, Finance (NBFC), Banks and Insurance Companies for SAS (Commercial) Examination
5. New Companies Act 2013
6. Corporate Governance and Ethics
7. Audit of Contracts in Commercial Entities

Chapter 2

Attendance and Discipline

2.1 Office hours

The Regional Capacity Building & Knowledge Institute works 5 days a week vide HQ letter 55-Staff Entt.2/53-2024 dated 05-09-2024 and RCB&KI Office Order no. 19 dated 10-09-2024. The Institute remains closed on Saturdays and Sundays and on all holidays announced by the Central Government Employees Welfare Co-ordination Committee, Mumbai. The working hours of the Institute are from 9.30 AM to 6.00 PM with a lunch interval of half an hour between 1.00 PM and 2.00 PM. The Multi Tasking Staff are posted on shift duty to enable them to open and close the office. The shift timings are as detailed below:

Multi Tasking Staff who has been allotted opening duty should attend the office at 8.30AM in the morning and they can leave at 5.00 PM.

Multi Tasking Staff with General duty should follow the regular timings of the office i.e. 9.30 AM to 6.00 PM.

Multi Tasking Staff with closing duty should reach office by 10.00 AM and they can leave office at 6.30 PM at the earliest.

2.2 Attendance

Strict punctuality in attendance is expected of all officials. It is the responsibility of the Assistant Audit / Accounts Officer (AAO) and Sr. Audit Officer (Admn) to ensure that staff members are punctual. The Attendance Register shall be maintained by the Administration section. Each member of the office, including Multi Tasking Staff, shall put his/her initial in the appropriate cage in the Register. The AAO(Admn.) will close the register at 9.40 AM and submit it to the Faculty Member (Admn.) after crossing in red ink in the column against those who had not come till then except the MTS who are on closing duty. These officials shall be marked absent if they do not attend office by 10.10 AM on the days they are assigned closing duties. If the AAO/Admn himself/herself is absent at 9.40 AM, the Faculty Member will call for the Attendance Register at 9.40 AM and cross it as detailed above. All latecomers will sign the attendance in the presence of Sr.AO(Admn)/Faculty Member, noting the actual time of arrival. The AAO (Admn) shall cause the Attendance Register to be seen by the Principal Director / Director General after obtaining the initials of the Faculty Members.

2.3 **Late Attendance**

Half-a-day's casual leave should be debited to the casual leave account of a Government servant for each late attendance but late attendance upto an hour on not more than two occasions in a month may be condoned by the competent authority, if this is due to unavoidable reasons. If a Government Servant has exhausted all the CL for that particular year and frequently attends office late or leaves office early, suitable disciplinary action shall be taken against him. A report of the late attendance for each month should be submitted to the AO/Admn on the 5th of the following month to enable him to consider taking action against habitual latecomers.

2.4 **Compensatory holiday**

The staff who are required to perform duty on Saturday or Sundays or public holidays for the full prescribed hours of work without the benefits of overtime allowance will be granted compensatory off in lieu of the duty performed. In cases where an employee is required to work for half-a-day or less, two such half-a-days should be taken as equivalent to one full day of duty for the purpose of grant of compensatory leave. Compensatory holidays should be availed of within one month from the date of attendance unless relaxed by the Director General / Pr. Director in exceptional circumstances.

2.4.1 **Competent Authority**

The competent authority to sanction Compensatory holiday is

1. Director General / Principal Director in the case of staff belonging to all cadres except Multi Tasking Staff.
2. Sr. AO (Admn) In the case of Multi Tasking Staff.

2.5 **Discipline**

The officers and staff of RCB&KI are governed by;

1. Central Civil Services (Conduct) Rules 1964
2. Central Civil Services (Classification, Control and Appeal) Rules 1965,
3. Fundamental Rules and Supplementary Rules
4. all other Rules, Regulations and Orders governing Central Government Service.

2.6 **Leave**

The officers and staff of RCB&KI are governed by Central Civil Services (Leave) Rules 1972 and its amendments and all other Rules, Regulations and Orders

governing Central Government Service. All kinds of leave are now to be applied and sanctioned through the e-HRMS application. The workflow of the application is as given below:

Workflow of e-HRMS as updated from time to time is given in the e-HRMS user manual.

2.7 **Security Measures**

A register is kept in the reception at the entrance of the office building where each person other than staff and trainees need to enter information such as name, purpose of visit, the person they want to meet etc. and only after verifying the identity of the person, they will be allowed to enter the office building and they have to note the time out at the time of leaving the office. The security personnel should ensure the compliance of this security procedure even after office hours and also on holidays.

If periodical or occasional repairs to the building or cleaning required to be carried out by CPWD/others on holidays, prior permission of Sr.AO(Admn.) should be obtained and communicated to the Care taker/ security personnel to permit persons into office for that purpose. The staff put on duty on holidays for this purpose should keep close watch of these persons to safeguard security.

2.8 **CLEANLINESS**

Members should keep their seats neat and tidy. Files, registers and other records should not be kept on the floor or allowed to lie in heaps. They should be kept neatly stacked in the side cupboards provided for the purpose. All old files, registers and records not required for current work should be transmitted to old record sections promptly. All important records and documents should be kept under lock when the day's work is over.

2.9 **OFFICE DECORUM**

2.9.1 Members are expected to desist from making noise in the sections, indulging in idle gossip and avoid conversing across the tables. Smoking anywhere in the office premises is strictly prohibited.

2.9.2 Demonstrations, raising of slogans or other disorderly conduct is not permitted within the office premises. Disciplinary action will be taken against those found indulging in such action within the office premises. No meetings shall be held within the office premises without specific written and prior permission of Director General / Principal Director. Members participating in such unauthorized meetings will render themselves liable to disciplinary action. The term office premises includes office compound also.

Chapter 3

Receipt, Distribution and Despatch of Dak in office

3.1 Receipt

The dak is received through post, registered post/parcels, speed post, courier service, fax, e-mail, by hand etc. All letters and other correspondence delivered during office hours are received by the Despatch Clerk. DAK received outside office hours and holidays are received by Security Personnel and handed over to the Despatch clerk on the next working day.

The dak are segregated as follows and kept in separate Dak Pads:

- (a) Letters from the office of the Comptroller and Auditor General of India
- (b) Confidential letters / Demi-Official letters addressed to Director General / Principal Director by name
- (c) Letters from the user offices and others.

Covers addressed to the Director General / Principal Director by name shall not be opened but shall be submitted to the Director General / Principal Director. These covers will be opened by the Private Secretary in the presence of Director General/ Principal Director.

- 3.1.2 In respect of covers marked 'Confidential', 'Secret and sealed items, if the outer cover contained the name of the officer/section to which it is to be delivered, the same shall be delivered to the officer/section concerned on the same day through Transit Register without opening it.

If the outer cover is addressed merely as 'Director General / Principal Director' and is not sealed, though marked 'Confidential' or 'Secret' it may be opened and the sealed cover inside may be taken out. It shall then be delivered to whom it is addressed through a transit register without opening. In case the sealed inner cover also does not contain the name of the officer it shall be handed over to Sr.A.O(Admn) who will open it, examine its contents and deal with it suitable depending upon the nature and seriousness of the matter. Sealed/Confidential/Secret covers delivered to the Private Secretary will not be opened by him/her directly. They should hand over the covers to the Director General / Principal Director who will cause them open in his/her presence or according to his directions.

3.2 **Stamping**

Every inward dak should be affixed with the date-stamp of the office. The letters received in a day should bear the date stamp of that day.

3.3 **Distribution**

All demi-official letters and other letters received from the Comptroller and Auditor General of India and letters received from the user offices should be submitted to the Director General/Principal Director immediately through the Dak Pads. After they are seen by the Director General/Principal Director, AO/AAO(Admn.) will mark the letters to the concerned units and thereafter letters are to be diarised separately in the CAG Dak register/ordinary Dak Register as the case may be and handed over to the dealing assistants. The disposal of each letter is noted in the register and the register is closed on weekly basis by the Clerk/Accountant(Admn) and submitted to the AO/Admn through AAO/Admn. All fax and emails addressed to Regional Capacity Building & Knowledge Institute are downloaded by the PS to Director General/Principal Director and hard copies taken. These are submitted to the Director General / Principal Director for perusal and then diarised by the Clerk/Accountant(Admn) in the respective registers for further action. Fortnightly Reports in respect of the letters from Headquarters, D.O. letters and other general letters received from client/other offices should be submitted to the Director General/Pr. Director on 15th and 30th of every month.

3.4 **Despatch**

All outward letters are given to the dealing Clerk/Accountant(Admn) for being recorded in the Despatch Register and for assigning despatch numbers. Special modes of despatch shall be indicated in the letter as well as in the despatch register, viz. by Speed Post/by Ordinary Post/by Courier etc . All letters to be faxed are sent by the P.S. to Director General/Pr.Director. E-mails are sent by the Sr. Accountants/ Sr. Auditors concerned, after assigning the despatch number. The Despatch Register should be closed on 18th of every month by the dealing Clerk/ Accountant(Admn.) and submitted to AO/Admn through AAO/Admn.

3.5 **Mandatory use of e-Office**

Use of e-Office and document system has been made mandatory by HQ with effect from 01-06-2023 vide HQ DG(IS) letter dated 21-04-2023. The use of physical files

is to be reduced to the barest minimum and a monthly report in google form on usage of physical files is to be furnished to HQ in the following format:

The screenshot shows a Google Form titled "e-Office Status Report". At the top, it displays the user's email "rtimumtrg@gmail.com" with a "Switch account" link and a "Not shared" status. A red asterisk indicates a required question. The form contains four sections: 1. "Name of the Office *" with a dropdown menu currently showing "Choose". 2. "Month of Report *" with a dropdown menu currently showing "Choose". 3. "Name of wing" with a text input field containing "Your answer". 4. "Number of Physical files used (during the reporting month) *" with a text input field containing "Your answer". The final section is "Reason for not processing through eOffice *" with a text input field containing "Your answer". At the bottom, there is a purple "Submit" button and a "Clear form" link.

All the dak/ letter are processed through e-Office. The institute has 100 percent processing of Daks/ letters through e-Office. The dispatch of the letters/ official correspondences is also done through e-office.

The dealing officer/ official generates receipt in e-office and the same is processed through e-office.

Chapter 4

Postings, Duties, responsibilities & Entitlements

4.1. **Selection**

The Headquarters Office posts an IA & AS officer as the Director General/Principal Director, Regional Capacity Building & Knowledge Institute. All the other posts of the Regional Capacity Building & Knowledge Institute are ex-cadre posts to be filled on deputation basis from the sister offices of the Department.

4.2. **Selection of Core-Faculty**

The core Faculty posts viz. CF(Civil), CF(Comml), CF(IS) are filled by selection of officers (Sr.AO/AO/AAO level) on All-India basis within the department. The Director General/Pr.Director, RCB&KI will finalize the panel for core-Faculty posts subject to ratification by the RAC. The period of deputation for the post of Faculty members is initially for three years, which is extendable with the approval of the respective parent office in respect of Civil Accounts/Audit Officers and by the Commercial Wing of Headquarters office in respect of persons belonging to the Commercial Audit cadre.

Extension of tenure of deputation of Core Faculty Members beyond the seventh year requires the approval of Deputy Comptroller & Auditor General of India and proposals for extension, showing justification for extension are to be sent to the Knowledge & Capacity Building wing in Headquarters office in the prescribed format by the end of December of the preceding year.

To augment the staff (Administration and Faculty) in RCB&KIs/RCB&KCs, HQ Knowledge & Capacity Building wing has issued instructions to all offices of the IA&AD to widely circulate deputation notifications issued by RCB&KIs/RCB&KCs, forward applications received from officers/staff against positions advertised by RCB&KIs/RCB&KCs and on completion of the selection process, obligatory relieve the selected officer/s for teaching/administration assignments at RCB&KIs/Cs at the earliest.

(Authority: HQ K&CB wing circular 269/Trg.Div/42-A/219 dated 18-09-2019).

4.3. **Posting of non-faculty staff**

The non-faculty posts are filled up by taking persons on deputation from sister offices situated locally. If suitable person is not available from the local offices, requests can be made to IA&AD offices in other States also. The Director General / Principal Director decides posting of supporting staff on deputation. The supporting staff are entitled for Deputation allowance as applicable in the IA&AD.

4.4. **Training Allowance for Director General / Principal Director and Core-Faculty**

Members of RCB&KI: Director General /Principal Director and Core Faculty Members of RCB&KIs have been granted training allowance at the rate of 12% of the basic pay drawn from time to time. The training allowance rate has been enhanced to 24% of Basic Pay with effect from 01-09-2024 vide HQ Circular No.26 Staff 2024 No.491-Staff Entt. II/33-2021 dated 16.08.2024 Each such Faculty Member should undertake studies and bring out training material and aids, guiding Group discussions etc. There is no linkage of the number of hours of classes/lectures taken by the faculty with the payment of Training Allowance. Faculty members who are getting Training Allowance are not eligible for special pay, deputation pay and allowance thereon.

The Training Allowance will be counted for leave salary payable during service and also for leave encashment payable at the time of retirement.

(Authority: 1. GOI Min. of Personnel, Public Grievances & Pensions (Department of Personnel & Training, (Knowledge & Capacity Building wing) No.12017/2/86-Trg. O.M. dated 9.7.1992, read with even no. dated 31.3.1987 and GOI OM.No.12017/2/87-Trg.(TNP) dated 1.9.1988 and CAG Letter No.3739-GE-I/194-2006 dated 13.07.2011)

4.5 **Sumptuary Allowance for Director General / Principal Director RCB&KI**

Sumptuary allowance has been abolished pursuant to the recommendations of 7th CPC with effect from 01-07-2017.

4.6 **Rent-free accommodation for Director General / Principal Director and Core - Faculty**

This has also been abolished pursuant to the recommendations of 7th CPC with effect from 01-07-2017.

4.7 **Honorarium & TA to Guest Faculty**

The rates of honorarium payable to guest faculty for delivering lectures have been

revised (HQ Staff Entt wing Circular No. 30 – Staff Entt II/2022 (No. 178-Staff Entt II/25-2021(I) dated 23-09-2022) as per the details given below:

Sl No.	Faculty Type	Existing Rates per session	Revised Rates per session
1.	Serving officers	Rs 500/-	Rs 2000/-
2.	Non Serving Officers	Rs 1000/-	Rs 2500/-
3.	Expert/ Eminent persons	Rs 2000/- to Rs 4000/-	Rs 5000 /-to Rs.7500/-

The honorarium rates are applicable subject to the following condition:

- i. RTIs/RTCs should not exceed the budget allocated to them and ensure the appropriate projection of REs/BEs accordingly.
- ii. Maximum honorarium payable to an in-service guest faculty is subject to a ceiling, of up-to 30 days or 60 sessions in a year, whichever is lower.
- iii. For payment of honorarium to Non Serving Officers and expert/eminent persons, there shall be no annual ceiling limit.
- iv. Expert/Eminent persons: May be paid honorarium within the given range and RTIs/RTCs may establish standardized norms prescribing rates of honorarium to Expert/Eminent persons by taking into consideration the parameters such as the number of years of faculty/ domain experience, their qualification (Ph. D or otherwise), and such others as each HOD may deem reasonable.
- v. No exceptions to the above will be allowed.

(Authority: HQ Staff Entt wing Circular No. 30 – Staff Entt II/2022 (No. 178-Staff Entt II/25-2021(I) dated 23-09-2022)

Dependence on non-IA&AD faculty and speaker from outside the state may be kept to the minimum and where it is very essential to call an outside IA&AD faculty, attempt should be made to provide the cheapest air ticket to faculty, subject to admissibility. In such cases, approval of Headquarters should be obtained. The Guest faculties shall be paid honorarium, immediately after the end of the session(s) handled by them, after obtaining a formal receipt. The bank details of the guest faculty has to be obtained so that payment can be processed and made online through PFMS module as expeditiously as possible.

(Authority:1. C&AG's Letter No.398/NGE(Entt.)/54-2002 dated 22.08.2006 and 2.C&AG's letter No.110/Trg.Div/40-2007 dated 25.4.2008)

4.8 **Duties**

The duties and responsibilities of the officers and staff of the Regional Capacity Building & Knowledge Institute are as detailed below:

4.8.1 **Director General / Principal Director**

1. Over-all management and supervision of the functioning of RCB&KI
2. Handling sessions
3. Member-Secretary of the Regional Advisory Committee
4. Implementing Policy guidelines of Knowledge & Capacity Building wing of Headquarters office
5. Selection of Faculty Members, Sr.AO/Admn, other officers and staff on deputation

4.8.2 **Faculty Member(Civil & Commercial)**

1. Preparing the course schedule and coordinating and conducting all Civil Audit courses, Accounts & Entitlement Courses.
2. Core Faculty(Commercial) shall be responsible for conducting all courses on Commercial subjects and Knowledge Centre topics and CF (Civil) shall be responsible for conducting rest of the general training programmes
3. Selection of guest faculty
4. Preparation of course materials/handouts/AV aids
5. Handling sessions
6. Preparation of Case Studies
7. Assessment and Evaluation of effectiveness of training
8. Developing courseware
9. Preparation of draft Annual Calendar of Training Programme for General courses
10. Any other work assigned by the Director General / Principal Director from time to time.

4.8.3 **Core Faculty (IS)**

1. Preparation of draft Annual Calendar of Training Programme for IS Courses
2. Preparing the course schedule, coordinating and conducting all advanced IS courses
3. Selection of guest faculty
4. Preparation of course materials/ handouts/AV aids
5. Handling sessions

6. Consolidation and submission of Assessment and Evaluation of effectiveness of training
7. Developing courseware
8. Updating RCB&KI website
9. Liaison with outside institutes for faculty support
10. Sending of returns/reports to Headquarters office
11. Overall supervision of the working of Labs I, II
12. All other issues connected with IS training
13. Any other work assigned by the Director General/Principal Director from time to time
14. Maintenance of online Asset/ Inventory database.

4.8.4 Core Faculty (Knowledge Centre)

1. Co-ordinate with Director General(IR) and Principal Director (PPG) to keep themselves informed of the latest developments in the field of auditing methodologies,
2. Co-ordinate with nodal officer for sector specific requirements of knowledge base,
3. Prepare the practice notes on International Standards,
4. Prepare courseware for the designated areas of specialization. For sector specific knowledge the courseware would be prepared in consultation with Director General/Principal Director of the functional wing.
5. Develop core faculty in the area of specialization,
6. Organize training through workshop/seminars,
7. Disseminate information/research/ case studies in the relevant field through newsletters etc.,
8. Assimilate technologies with a view to enabling learning anywhere, anytime for their clientele,
9. Conduct filed studies and research as part of the process of becoming repositories of knowledge in the areas of their sectoral or functional specialization,
10. Network with other institutions including those outside IAAD ambit to share learning resources, experience and expertise.
11. Supervising the maintenance and upkeep of labs
12. Inviting tenders and entering into contract for Annual maintenance of the It Assets.

13. Procurement of IT Assets and consumables related to IT.

4.8.5 Administrative Officer

1. Supervision of Administrative matters such as arrangement for RAC Meetings, General Administration, outsourcing activities, preparation of Bills etc.
2. Supervision of administrative matters in respect of Budget, Deputation, Web-based budget monitoring system.
3. Nominated by Director General /Pr.Director as Drawing and Disbursing Officer
4. Co-ordination with PAO.
5. Supervision of administration matters in respect of purchase and maintenance of stores, Allotment of Hostel rooms, liaison with CPWD, annual maintenance contracts, duty allocation for MTS, library etc.
6. Security of office and hostel premises, House Keeping of RCB&KI including Hostel.
7. Entering into contract with Security, Housekeeping & Façade
8. Any other work assigned by the Principal Director from time to time.

If the post of SAO/Admn remains vacant, the charge shall be handled by a Core Faculty Member (Sr.AO) as nominated by Director General / Principal Director. If a Core Faculty member (Sr.AO) is given charge of Administration, his/her faculty duties would be restricted to taking lectures/preparing case studies and STMs while co-ordinating duties would be shouldered by other Core Faculty Members.

4.8.6 Assistant Audit Officer (Admn)

1. Overall in charge of General Administration, Hostel, Canteen, Stores,
2. Maintenance of office & hostel building, garden and office equipment
3. Submission of proposal for sanction of expenditure in connection with the administration of office and hostel
4. Arrangement for conducting RAC meeting and other important VIP meetings and conference etc.
5. Arranging transport facilities for VIP guests and field visits of participants
6. Verification of cash balance and attesting the cash book
7. Preparation of budget estimates and control of expenditure
8. Supervision of all works relating to purchase for office and hostel
9. Supervising the maintenance and upkeep of lecture hall, conference hall and
10. Inviting tenders and entering into contract with Security, Housekeeping, Canteen & Façade

11. Maintenance of RCB&KI office and hostel buildings -liaison work with the CPWD
12. Supervision of outsourced activities
13. Engagement of consultants
14. Supervision of the work of Sr.Auditors/Accountants, Caretaker, DEO/CT, MTS and consultants
15. All work connected with DDO powers except preparation of pay bill.
16. Purchase of assets (other than IT)
17. Local purchase of stationery and consumables
18. Sale of old newspapers and magazines
19. Any other work assigned by CFs/Director General / Principal Director

4.8.7 Private Secretary:

1. Secretarial assistance to Director General / Principal Director.
2. Receiving and sending all Fax messages and E-mail.
3. Typing of all DO letters of Director General / Principal Director and Faculty Members.
4. Maintenance of confidential records.
5. Attending to the telephone console during office hours.
6. All secretarial work connected with RAC meetings(held twice in a year),
i.e. preparation of Agenda, folders for RAC members, noting and transcription of the minutes of RAC meeting, communication to all the RAC members and user offices, protocol duties, etc.

4.8.8 Sr./Auditor/Accountant – (Training – General & EDP)

1. Assistance to CFs for organizing general and EDP training courses, issue of course materials, folders, pens, scribbling pads etc. to the participants
2. Sending invitation to external faculty and getting their confirmation.
3. Watching the receipt of nominations from the field offices and issue of reminders, preparation of trainee attendance register for the General courses.
4. All reports (quarterly and annual) showing training statistics of courses conducted at RCB&KI during the year.
5. Assistance to FMs in the preparation of Annual Calendar of Training Programmes
6. Distribution of addresses of all the participants on the last day for all training courses
7. Preparation of performance reports and absentee statements and sending the same to client offices.
8. Preparation of course-wise consolidated evaluation reports through SAI portal Creation and maintenance of database of faculty members for General courses in SAI portal and in Guard File
9. Uploading of course materials in SAI portal and their up-dating in consultation

with Faculty Members

10. Issue of course completion certificates through SAI portal.
11. Monitoring of the participant's registration and the course feedback in SAI Portal.
12. Any other work assigned by AAO (Admn), CFs/Director General / Principal Director
13. Guard File related to licenses issued and the Circulars related to training.

4.8.9 Cashier cum Assistant

1. Submission of proposal for sanction and payment of honorarium to Faculty through iBEMS/PFMS ,
maintenance of Cash Account, Cash Book, cheques and cheque register
2. Collection and remittance of hostel rent in Government Account
3. Preparation of all AC bills and submission of adjustment bills.
4. Preparation of all contingent and wages bills.
5. Proposals for special contingencies.
6. All general correspondence relating to his/her work including deputation etc
7. Any other work assigned by AAO(Admn)/FMs/Director General / Principal Director

4.8.10 Caretaker

Care taker will be attached to the Administration section and will work under the control of the Assistant Audit Officer (Admn). His duties are

1. Reservation of Hostel accommodation
2. Preparation of hostel rent receipts, collection of hostel rent Bharatkosh portal Ensuring maintenance and upkeep of hostel room,
3. Attending to the requirements/requests of participants
4. Ensure that Garden is maintained properly by Horticulture Department of CPWD.
5. The garden is maintained neat and healthy by removing all dead flowers and twigs, and carrying out periodical trimming and removal of weeds; plants are watered adequately and well maintained and the gardener does his work properly (general supervision) and report any laxity on their part to the AAO(Admn.).
6. The leakages or other repairs required for the building and the installations therein are reported to the AAO/Admn for immediate action
7. Maintenance of Complaint Register – Review of complaint register everyday and reporting the complaint to proper person and ensuring the compliance
8. Monitoring of services rendered by Housekeeping, Security and canteen Agencies
9. Maintenance of stock register of items issued to housekeeping and catering contractor
10. The keys of the buildings are kept safely and no one opens any room or removes anything without his knowledge and permission.
11. Ensure that the MTS are on duty during office hours

12. Out door work assigned by AO/Admn

4.8.11 Sr./Accountant/Auditor (Admn-I)

1. Preparation of budget, revised estimates & staff proposals.
2. Preparation of Review of Expenditure (monthly) to be sent to Headquarters Office
3. Work related to D.D.O.- Preparation of Salary Bills, GPF Bills and maintenance of Service Registers of RCB&KI staff.
4. Transmission of Expenditure statement to Headquarters office and Reconciliation with PAO.
5. Income tax & e-TDS returns
6. Annual return on Group Insurance scheme to PAO
7. Attending to purchase activities of selective items.
8. Maintaining course –wise hard copy and soft copy of course materials/handouts
9. Any other work assigned by AAO/FMs/Director General / Principal Director

4.8.12 Sr./Accountant/Auditor (Admn-II)

1. Maintenance of services books and leave account
2. Maintenance of Stock Register of LPS
3. Intimation of required items of stationary to AAO/Admn
4. Assisting in the local purchase of stationery and consumables
5. Obtaining sanction for and payment of telephone bills
6. Obtaining sanction for and reimbursement of newspaper bills to PD/Sr. AOs/AAOs/PS
7. Obtaining sanction for subscription of magazine / periodicals and newspapers of RCB&KI
8. Processing of TA/LTC/CEA bills
9. Processing of medical bills
10. Preparation of Contingent bills under various heads for forwarding to PAO

4.8.13 Librarian cum Office Assistant

1. Maintenance of Library Information System
2. Receipt of new arrivals, issue to Officials, watching the return of books, maintenance of Library register and its submission to Director General / Principal Director
3. Submitting proposals for weeding out old books and purchase of new ones
4. Maintenance of Old Records
5. Assisting Core Faculty (KC) in his/her work
6. Making arrangements for All India/International training programmes, Special seminars, RAC meetings etc

7. Hiring of vehicles for All India & International training /faculties/VIP guests etc

4.8.14 Clerk/Typist-I

Assistance to the FMs in organizing IS training programmes and sending invitations to external faculty

Assistance to FMs in the preparation of Annual Calendar of training programmes.

1. Watching the receipt of nominations from the field offices through SAI portal and writing of Attendance register for IS courses.
2. Issue of folders, pens, Course materials, Hand-outs etc., to the participants.
3. Preparation of absentee statements and sending to user offices.
4. Preparation of course-wise consolidated evaluation reports through SAI portal.
5. Maintenance of all IS files and co-ordination for maintenance of PCs and other computer- related accessories.
6. Maintenance of trainee database
7. Maintenance of faculty database
8. Any other work assigned by AAO(Admn)/Faculty Members

4.8.15 Clerk/Typist-II

1. Numbering of daks and despatch.
2. Maintenance of circular file.
3. Closing of all common registers
4. Typing of all general correspondence, sanctions and training materials
5. Watching the receipt of periodicals, magazines etc.
6. Sorting/Weeding out old records
7. Rendering assistance in annual physical verification of Assets,
8. Library Books, etc.
9. Any other work assigned by AAO (Admn),FMs

4.8.16 Multi Tasking Staff

1. General Maintenance of the premises
2. Opening and locking-up of the office premises everyday
3. File Movement, sending fax, delivering dak
4. Supply of Coffee/Tea to participants office staff and Guests
5. Cleaning of the office, classrooms, Conference Room etc
6. Making all arrangements in Lecture Halls, Conference Room etc
7. Photocopying of Course materials, Hand-outs, Binding and Distribution
8. Attending to the requirements of Director General / Principal Director, FMs, AAO (Admn) and other staff

9. Watch & ward duties
10. Stitching and binding of records/files/registers
11. Assisting in routine office work like diary, despatch etc including on computer
12. Driving vehicles, if in possession of valid driving licence
13. Any other work assigned by AAO (Admn)/AO(Admn)/FMs/Director General /
Principal Director

Chapter 5

Training

- 5.1 The core activity of the Institute is imparting training on functions relating to Civil Audit, Commercial Audit, Accounts & Entitlement, Information Technology, Corporate Finance, Governance etc., to the staff and officers of the department and other officials as directed by Headquarters office.
- 5.2 The following are the user offices for RCB&KI, Mumbai:

Sr. No.	Name of Office
1	Principal Accountant General (Audit)-I, Maharashtra, Mumbai
2	Director General of Audit Western Railway, Mumbai
3	Principal Accountant General (Audit)-II, Gujarat, Ahmedabad
4	Director General of Commercial Audit , Mumbai
5	Principal Accountant General (A&E), Gujarat, Rajkot
6	Principal Accountant General (Audit)-I, Gujarat, Rajkot
7	Principal Accountant General (A&E) -1, Maharashtra, Mumbai
8	Director General of Audit, Central Railway, Mumbai
9	Director General of Audit (Central), Mumbai
10	Director General, Regional Training Institute, Mumbai
11	Accountant General, Goa
12	Principal Director of Audit (Shipping), Mumbai
13	Principal Director of Audit (Central), Ahmedabad
14	Principal Director of Audit (Defence Services), Pune
15	Director of Audit (Navy), Branch: Mumbai
16	Director of Audit (Environment & Scientific Departments), Mumbai Branch
17	Director of Audit, Ordnance Factories, Kirkee, Pune
18	Director of Audit, O/o the Principal Director of Audit (Agriculture, Food and Water Resources) Delhi at Mumbai
19	Sr.DAG, Branch, Accountant General (Audit) - II, Maharashtra at Mumbai
20	Director, O/o the Director General of Audit (Finance and Communication), Delhi at Mumbai
21	Dy. Director, O/o the Director General of Audit (Finance and Communication), Delhi at Ahmedabad
22	Branch, Principal Accountant General (A&E), Gujarat, at Ahmedabad

5.3 *Training Need Analysis (TNA):*

Training Need Analysis (TNA) is the first and foremost important step for management of training of personnel. The TNA of each office has to be prepared based on the guidelines given in the TNA circular (F.No. 15/Trg.Div/2021/201) dated 22-08-2022 issued by the Knowledge & Capacity Building wing of HQ. Field

offices have to prepare TNA with a view to cover every official for training at least once in two years. All field offices have to carry out a realistic Training Need Analysis relating to each individual of the office and work out a Training Plan both for RCB&KIs/RTCs as well as in-house training. Headquarters Circular No. 210/in house trg/35-2012 dated 3.9.2012 prescribes for constituting a Committee chaired by Director General/Principal. Accountant General with all Group Officers as members for conducting Training Need Analysis. Director General / Principal Director(RCB&KI/RTC) shall be the ex-officio member of the Training Need Analysis Committee. TNA so prepared by the user offices are to be submitted and discussed in the mid-term RAC meeting. Subsequent nominations of participants for training in RCB&KIs/RTCs are made based on this TNA only.

(Authority: C&AG's Letter No.111/Trg Div/40-2007 dated 25.4.2008 & C&AG's circular No. 657/Trg Div/19-2005 dated 23.12.2005 & Circular No. 210/in house trg/35-2012 dated 3.9.2012)

RCB&KI should call for the TNA from all the user offices for the next Annual Calendar well before the mid-term RAC meeting. The TNA should indicate the training programmes required by user offices for the next Calendar year as well as the number of officials to be trained.

5.4 *Finalisation of the Annual Calendar of Training Programmes for RCB&KIs:*

The Annual Calendar of Training Programmes for the next financial year is discussed and finalised by the Regional Advisory Committee in its annual-RAC meeting held every year during January/February, based on the skeleton-TNA and further requests received from user offices; the recommendations of the mid-term RAC meeting and the specific instructions issued by Headquarters Office from time to time. After finalisation of the training programmes by RAC, the draft Calendar should be sent to Headquarters Office (Knowledge & Capacity Building wing) for approval along with the minutes of the Annual RAC meeting. The approved Annual Calendar of Training Programmes, comprising of Administration and training activities of RCB&KI, Calendar of General and IT Training Programmes scheduled for the year, course contents and a guest faculty list, is then uploaded in the RCB&KI Website <https://saiindia.gov.in/rti/mumbai>

With effect from the year 2021-22, training requirements of each user office based on the Training Needs Analysis are to be posted online through the SAI Capacity Building Portal. Based on the training requirements, RCB&KI will prepare the draft calendar online so that the same can be visible to the user offices so that any change

in requirement can be made online in the Portal. The draft calendar is then discussed in the meeting of the Regional Advisory Committee (RAC) held in the month of January/February wherein any requirement of additional slots or additional training is deliberated upon and modifications as suggested in the RAC meeting can be factored into in the calendar. The Calendar of Training Programme is then submitted online through the SAI Capacity Building Portal for approval of HQ.

5.5 *Receipt of nominations from user offices:*

It should be ensured that nominations from field offices are received in advance. As per Headquarters instructions, the user offices are required to send the quarterly nominations one month prior to the commencement of every quarter and every effort should be made to fill all the allotted slots.

The user offices sent the nomination through the SAI portal which is regularly monitored by the dealing assistants in charge of General and IT training. In case of any shortfall in nominations, the concerned user office is reminded, either over phone or through correspondence, well before the commencement of the course.

With effect from 2020-21, the entire gamut of training activities of all RCB&KIs/Cs is conducted through the SAI Capacity Building portal, where role based privileges have been granted to field audit and accounts offices and RCB&KIs as given below:

- **Office Admin** are staff of Administration who are responsible for maintenance and administration of employee database. They also nominate Checkers and Makers.
- **Makers** are staff nominated from a wing who propose changes in employee data of their wing, whenever required. Makers also nominate employees from their wings for training.
- **Checkers** are staff of Administration who are responsible for approving and sending nominations to training institutes for training programmes. They have the facility to choose from the list of nominations sent by different makers.
- **HoD Office** has access to capacity building information related to his/her office.
- **Training Institute Admin(TI Admin)** are staff of RCB&KIs/Cs who are responsible for administration of training programmes. TI Admin can

add/edit training programmes, create course schedules, administer faculty database, view nominations received from various user offices, create online absentee statement, generate online participation certificates etc. TI Admin approve the list of Office Admin/Makers/Checkers nominated by the user offices linked to the Training Institute.

- **HoD TI** has access to capacity building information related to his/her RCB&KI/C.
- **Super Admin** is responsible for maintenance of the SAI Training Application. He/She approves the Training Institute Admin nominated by various Training Institutes.

The following help files and videos are available in the SAI Capacity Building Portal to handhold users having various roles in the Portal that would help them carry out the functions and activities attached to their respective roles effectively.

Role	File Name
TI Admin	01. LOGGING INTO SAI TRG and USER ROLES.pdf
TI Admin	02. ADMINISTRATION OF USER ROLES.pdf
TI Admin	03. ADDING and EDITING EMPLOYEE DATA.pdf
TI Admin	04. EMPLOYEE POSTING WITHIN OFFICE.pdf
TI Admin	05. EMPLOYEE PROMOTION.pdf
TI Admin	06. EMPLOYEE TRANSFER and DEPUTATION TO ANOTHER OFFICE.pdf
TI Admin	07. EMPLOYEE ON TRANSFER and DEPUTATION FROM OTHER OFFICES.pdf
TI Admin	08. ADMINISTRATION OF IN-HOUSE TRAININGS.pdf
TI Admin	09. Training Admin User Role Menus.mp4
TI Admin	10. .Add_Trainingprogramme.mp4
TI Admin	11. Edit_Training.mp4
TI Admin	12. Training Admin User Role Menus.mp4
TI Admin	13. Employee_Trainingactivities.mp4
TI Admin	14. .Add_Trainingprogramme.mp4
TI Admin	15.Add_Training_materials.mp4

TI Admin	16. CONSOLIDATED HELP FILE FOR IMPACT ASSESSMENT FORM.pdf
TI Admin	17. HELP FILE FOR TRAINING INSTITUTE ADMIN-TRAINING NEED ANALYSIS.pdf
TI Admin	18. CONSOLIDATED HELP FILE FOR TRAINING NEED ANALYSIS.pdf
TI Admin	19. HELP FILE FOR MCTP for TIs.pdf
TI Admin	20. Help Files for Examination Module (for Training Institutes).pdf
Office Admin	01. LOGGING INTO SAI TRG and USER ROLES.pdf
Office Admin	02. ADMINISTRATION OF USER ROLES.pdf
Office Admin	03. ADDING and EDITING EMPLOYEE DATA.pdf
Office Admin	04. EMPLOYEE POSTING WITHIN OFFICE (including RETIREMENT).pdf
Office Admin	05. EMPLOYEE PROMOTION.pdf
Office Admin	06. EMPLOYEE TRANSFER and DEPUTATION TO ANOTHER OFFICE.pdf
Office Admin	07. EMPLOYEE ON TRANSFER and DEPUTATION FROM OTHER OFFICES.pdf
Checker	01. LOGGING INTO SAI TRG and USER ROLES.pdf
Checker	02. APPROVING NOMINATIONS TO BE SENT TO TRAINING INSTITUTES.pdf
Checker	03. PROPOSING NOMINATIONS.pdf
Checker	04.REPLACING and DELETING NOMINATIONS YET TO BE SENT TO TRAINING INSTITUTE.pdf
Checker	05. REPLACING AND DELETING NOMINATIONS ALREADY SENT TO THE TRAINING INSTITUTE.pdf
Checker	06. TRAINING NEED ANALYSIS.pdf
Checker	06.CONSOLIDATED HELP FILE FOR IMPACT ASSESSMENT FORM.pdf
Checker	07. CONSOLIDATED HELP FILE FOR TRAINING NEED ANALYSIS.pdf

Checker	08. REQUESTING ADDITIONAL SLOTS OR REDUCTION OF SLOTS FOR TRAINING PROGRAMMES.pdf
Checker	09. CONSOLIDATED HELP FILE FOR IMPACT ASSESSMENT FORM.pdf
Checker	10. ADMINISTRATION OF IN-HOUSE TRAININGS.pdf
Checker	11. HELP FILE FOR MCTP for Offices.pdf
Checker	12. FILLING UP IIM NOMINATION FORM.pdf
Checker	13. CONSOLIDATED HELP FILE FOR IMPACT ASSESSMENT FORM.pdf
Maker	01. LOGGING INTO SAI TRG and USER ROLES.pdf
Maker	02. ADDING and EDITING EMPLOYEE DATA.pdf
Maker	03. PROPOSING NOMINATIONS FOR TRAINING.pdf
Maker	04. REPLACING AND DELETING NOMINATIONS YET TO BE SENT TO TRAINING INSTITUTE.pdf
Maker	05. REPLACING AND DELETING NOMINATIONS SENT TO TRAINING INSTITUTE.pdf
Maker	06. TRAINING NEED ANALYSIS.pdf
Maker	07. CONSOLIDATED HELP FILE FOR TRAINING NEED ANALYSIS.pdf
Maker	08. HELP FILE FOR MCTP for Offices.pdf
User	01. LOGGING INTO SAI TRG and USER ROLES.pdf
User	02. PARTICIPATE IN TRAINING NEED ANALYSIS.pdf
User	03. CONSOLIDATED HELP FILE FOR TRAINING NEED ANALYSIS.pdf
User	04. REGISTRATION AND FEEDBACK.pdf
User	05. CONSOLIDATED HELP FILE FOR IMPACT ASSESSMENT FORM.pdf
User	06. FILLING UP IIM NOMINATION FORM.pdf

5.6 Conduct of Training:

The Core Faculty Member, who is the course co-coordinator, is responsible for developing and preparing the course module / schedule, reading materials and

liaison with guest faculties/ user offices and also for handling sessions. The dealing assistants in charge of General and IT training maintain a ‘Guest Faculty’ Register. The guest faculty shall be reminded on the previous day before the session and confirmation obtained. All the courseware relating to a course shall be kept ready before the commencement of the course and issued to the participants at the commencement of each course under acknowledgement. Necessary instructions shall be given by the faculty concerned regarding filling up of Registration Forms & Evaluation Forms by the participants on the SAI portal. The same is monitored by the dealing assistant. The training hall and other facilities are to be checked for readiness every day before commencement of classes.

5.7 The attendance of the trainees are checked daily by the faculty member concerned who is the course coordinator and the Attendance Register countersigned by him. The course coordinator should closely monitor the proceedings of each session to ascertain the needs of the trainees and the trainer. The course coordinator is responsible for arranging payment of honorarium to the guest faculty.

5.8 At the end of the course, a Course Completion Certificate shall be issued through SAI portal to those who have a minimum of 80 percent attendance. The Course Evaluation Forms shall be submitted on SAI portal by the trainees on the last day. The feedback given by the trainees shall be discussed and considered for follow-up action. The Director General / Principal Director will make a formal valediction.

5.9 With the advent of the SAI Capacity Building Portal the activities relating registration by participants, session and course feedback, database of faculty, marking of attendance of participants, data for payment of honorarium to faculty, issue of certificates and submission of Impact Evaluation Forms are all captured and maintained in the Portal where the role based users log in to the portal and complete their role based functions. The course coordinators and support staff of RCB&KI have to constantly monitor the progress of registration and feedback by the participants during the training programmes.

5.10 *Assessment of training facilities, performance of faculty etc.:*

On completion of the scheduled course/training programme, a Consolidated Evaluation Report on the performance of the faculties who have handled sessions and the training facilities based on the Participants Evaluation Forms, shall be

downloaded from the SAI portal by the dealing assistant in charge of training, both General and IT, and submitted to Director General / Pr.Director through the Faculty Member concerned.

5.10 Submission of Reports on Training Programmes conducted

5.10.1 The following Reports regarding training related activities are sent to the Director General (Training), Headquarters office from Training Unit:

- a) Consolidated Quarterly Report in respect of training programmes, Seminars/Workshops conducted during the quarter, quarterly status in respect of Structured Training Modules, Case Studies, Research Papers, Creation and Updation of database and e-library, faculty and evaluation of training.
- b) Half-yearly Action Taken Report on compliance of Gender Perspective Plan 2007-2012, regarding inclusion of topics on Gender Sensitization and women related issues / Gender concerns and Role of Audit in the training programmes conducted at RCB&KI.

5.10.2 The following reports are submitted to Pr.Director :

- a) On completion of each training course, a Consolidated Evaluation Report on training facilities and performance of faculty shall be prepared by the dealing assistant in charge of training, both General and IT, based on the evaluation of the trainees given in the Evaluation Forms and submitted to Pr.Director (through the Faculty Member concerned) on 15th of every month.
- b) A quarterly performance report of Core Faculty Members indicating the training courses coordinated and sessions handled by the core Faculty Members is submitted to the Pr. Director on 10th of every month.

5.11 Feedback from user offices:

User offices communicate to RCB&KI at the end of every quarter the impact assessment of the trainees, indicating the effectiveness of the training undergone by them at RCB&KI relating to their official work.

Chapter 6

REGISTERS, REPORTS AND RETURNS

6.1 GENERAL

Registers, reports and returns pertaining to various functions in RCB&KI which are required to be maintained in/ submitted to the Faculty Members/Pr.Director are detailed below:

6.2 REGISTERS

6.2.1 Registers maintained in Administration

6.2.1.1 Duty Register: A Duty Register should be maintained in Administration indicating the Sanctioned strength, Name of Faculty Members, Section officer/Assistant Audit Officer in charge and other incumbents, indicating the duties and responsibilities of each officer/ unit in the section. The Register should be updated as and when there is change of incumbent or change of duty of any particular unit.

6.2.1.2 Dak Register: There shall be a

- (i) CAG Dak Register to diarise letters received from Comptroller & Auditor General of India.
- (ii) D.O. Dak Register to diarise all DO letters received from Comptroller & Auditor General of India as well as other offices.
- (iii) General purport Register to diarise all other letters

After diarizing, the letters will be distributed to the concerned Auditor/ Accountant. The auditor/accountant receiving it should acknowledge with dated initials. When disposal on a reference completed, the action taken details may be recorded in the register and the register may be closed and submitted to the AO/Admn by the Clerk.

6.2.1.3 Register of pending cases: A Register should be maintained in the form given below, by Assistant Audit Officer to have effective watch over matters, action in respect of which has either been deferred or can be initiated/finalized only after the lapse of some time.

Sl. No.	From whom received	Subject matter in brief	Origin of correspondence	Action taken	Remarks (Reasons why pending)

6.2.1.4 **Register of cases:-** A Register of cases is maintained in RCB&KI to record details of cases formed. As and when cases are formed under a file/files brief subject of the case should be mentioned in the Register and a number in serial order assigned as file number.

The Register should be closed monthly.

6.2.1.5 **Despatch Register:-** A Despatch Register in the form (SY 313) should be maintained in the Administration section as a chronological record of letters issued out from RCB&KI (IS as well as ADMN). All letters issued from RCB&KI should be entered in the Despatch register by assigning a dispatch number and then despatched.

On the 18th of each month a review of all entries in the register up to the end of the previous month be made and a closing made out in the following form:

1. Opening Balance (Previous month's balance)
2. Number of letters issued during the month;
3. Total
4. No. of letters for which replies are not necessary
5. No. of letters for which replies have been received
6. No. of letters for which replies are still due

The letters for which replies are still due shall then be analysed and indicated in the closing under the following categories:

1. Number of letters over two months old
2. Number of letters over one month old
3. others

These can be further categorised as pending with Govt/CAG/Sister offices etc.

The closing shall then be submitted to Faculty Member concerned for approval, with a certificate that reminder have been issued in all cases where a reply is due.

6.2.1.6 **Compliance Register:** RCB&KI, being a training institute with hostel facility, a Register is maintained in the Reception, for the participants to record their complaint/grievances regarding the hostel facility/canteen/classroom facility. AAO/Admn. should inspect the register daily and take proper action in respect of complaints. The register should be closed on 5th of every month and submitted to the Faculty Member concerned.

6.2.1.7 **Check-in, Check-out Register :** A Check-in, Check-out Register is maintained in RCB&KI, in order to keep a record of the persons/participants who avail the Hostel facility and to arrive at the actual amount of rent to be collected from them and also to ensure that the rent has been collected from all who availed the hostel/guest room facility. Number of the Rent Receipt Slip (from Bharatkosh portal) should invariably be recorded in the Register. The Register should be closed on 5th of every month and submitted to the AO/Admn.

6.2.1.8 **Section Officers Note Book:** In respect of all the important orders, instructions, directives etc which are not manualised or noted elsewhere, the AAO/Admn should maintain a register, indicating the serial No., subject matter and action taken.

6.2.1.9 **Register of Surprise Check of Cash Book:** There is no Group Officer post sanctioned for RCB&KI, Mumbai and therefore, every month the Director General / Principal Director nominates one of the Faculty Members (other than the one who is in charge of cash), for conducting a surprise verification of the cash balance in the Cash Book. He/she, after doing the surprise verification, records a signed and dated certificate to that effect in the Cash Book as well as in the Register of Surprise Check of Cash Book. The report of the surprise verification will then be submitted to the Director General / Principal Director.

Since December 2021, no cash payment is being accepted in RCB&KI Mumbai and hostel rent, proceeds from sale of scrap, deadstock and e-waste are being received through the Bhartkosh portal. Also the practice of drawing of AC Bills has also been discontinued. Hence these checks are no longer being exercised. However the same has to be exercised in case of any cash handling.

6.2.1.10 **Register of Surprise Check of Hostel, Security, Canteen:** Every month Principal Director nominates one of the Faculty Members or AAO/Admn for conducting a surprise verification of Hostel, Security and canteen. He/she after doing the surprise verification, records his/her suggestion in the Register. The report of the surprise verification will then be submitted to the Director General / Principal Director

6.2.1.11 **Attendance Register, Late Attendance Register, Casual Leave Account**
In addition to the daily submission of attendance Register, on the 5th of each month, the attendance register should be closed for the previous month and submitted to the AO/Admn in the following manner:

The number of days of Casual Leave and Restricted holidays availed of during the month and the number of days of casual leave forfeited for late attendance during the month in respect of each employee should be counted and entered in the columns provided in the right hand page of the attendance register. The adjoining columns provided for indicating the progressive total of Causal Leave and Restricted Holidays availed up-to-date should also be filled in for each member in the section. These progressive figures of CL and RH should be tallied with the number of days of CL and RH debited in the CL/RH account of each member. The closing should then be submitted to the AO/Admn with a certificate “Agrees with CL/RH account” for approval. Care should be taken that there is no blank cage of unauthorized absence against any member in the Attendance Register.

6.2.1.12 **Register of Codes & Manuals:** A record should be kept of all Codes, Manuals and other books supplied/received in this office for reference by noting them in a register. The register should have the following 7 parts:

1. Govt. of India Publications
2. Govt. of Maharashtra publications

3. Publications of CAG
4. Publications of this office
5. Publications of other RCB&KIs
6. Departmental Publications
7. Others

The register shall be submitted to the AO/Admn quarterly.

6.2.1.13 **Bill Register:** A Bill Register in Form GAR 9 should be maintained by all Heads of Offices who are authorized to draw money on bills signed by them. The register should be closed bi-monthly on 1st and 15th and submitted to AO/Admn

6.2.1.14 **Bill Inward Register:** This Register is maintained in RCB&KI to diarise all the Bills due to the vendors/firms/shops for the purchases made. This is to enable this office to keep watch of all the expenditure towards purchases in respect of hostel/office. It should be closed monthly on 5th and submitted to AO/Admn.

6.2.1.16 **AMC Register:** AMC register is maintained in RCB&KI to record details of all the assets in RCB&KI whose warranty period had expired and for further maintenance, an annual maintenance contract has been entered into. This register shall contain purchase details of the assets, the firm/agency to which the AMC has been awarded to, period of AMC, value of AMC, Details of payment to the firm. It should be closed on 5th of every month and submitted to AO/Admn.

6.2.1.17 **Register of Consumables:** Separate Registers are maintained in RCB&KI containing the details of consumable items purchased for use in office (items such as stationery), in canteen (crockery, vessels etc.) and in hostel (bed sheets, towels, pillow covers). Any item purchased should invariably be recorded in the registers concerned. Removal of any item should also be entered in the register with reasons for such removal and got signed by AAO/Admn. This register should be closed on 25th of every month and submitted to AO/Admn.

6.2.1.18 **Duplicate Key Register of Cash Chest:** A duplicate keys register should be maintained indicating the authorities with whom they are lodged. Once a year, in April, the keys must be sent for examination and returned under fresh sealed covers to the respective officer with whom they are meant to be

lodged and a note kept in the register that they have been inspected and found intact and genuine and sent back to the nominated authorities. Similarly, entries should be made in the register in case of any occasion when the duplicate keys had to be obtained for opening the chest, specifically indicating the reasons there for and the date of re-sealing and lodging with the nominated authorities.

6.2.1.19 **Physical Asset Register:** A Physical Asset Register in the form GFR-40 shall be maintained for fixed assets such as plant, machinery, equipment, furniture, fixtures etc. A Physical verification of all the consumable goods and materials should be undertaken at least once in a year in the presence of the officer responsible for the custody of the inventory and discrepancies, if any, should be recorded. A certificate of verification along with the findings shall be recorded in the stock register. An annual return in this regard in the prescribed format should be forwarded to Headquarters by 30th June of every year.

The IT assets is also maintained through online URL: http://10.24.114.102/user_login.php . The details of the assets purchased and the current working status is to be updated in the online database.

6.2.1.20 **Register of repairable items:** Items which are presently not in working condition but can be got repaired should be entered in the register of repairable items. Prompt action to repair the item should be taken and after repair, the same may be deleted/rounded off from list. The register should be closed on 10th of every month and submitted to AO/Admn.

6.2.1.21 **Register of unserviceable items:** Items declared surplus or unserviceable should be recorded in this register. The reason for declaring the item surplus or unserviceable should be recorded by the authority competent to purchase the item. The register should be closed on 10th of every month and submitted to AO/Admn.

6.2.1.22 **Cheque Register:** Cheques issued by cheque drawing DDOs, are required to be entered in a 'Register of Cheques issued' in Form GAR 4. The register should be closed on 10th of every month and submitted Director General / Principal Director.

6.2.1.23 **Old record Transit Register:** A register in the following form (sy 307) shall be maintained in each section for recording particulars of old files, registers, vouchers etc transferred to Record Room.

Form of Register

<i>Date</i>	<i>Description of records</i>	<i>Period</i>	<i>Number of volumes</i>	<i>Acknowledgement of Record Keeper</i>	<i>Remarks</i>

6.2.1.24 **Register of Records requisitioned from Record Branch:**

Any wing/unit which is in need of any file kept in the old record should give a requisition in writing in form S.Y.301 and route through Administration Section. A register with the following columns should be maintained in the Administration section to ensure prompt return of the old records.

<i>Sl.No.</i>	<i>Old record section issue No.</i>	<i>Particulars of record</i>	<i>Name of the auditor supplied with the record</i>	<i>Initials of the auditor</i>

6.2.2 **Registers maintained in Training Unit**

1. Guest Faculty Register containing a data / particulars of the guest faculties invited to handle sessions at RCB&KI..
2. Nomination Register – Quarterly nominations and specific nominations received from user offices for all the training programmes are entered in this register by the dealing assistant.
3. Participant’s Attendance Register – The names of participants attending the training programmes are entered in this register and their daily attendance is monitored by the Faculty Member
4. Impact Assessment Register – The quarterly feedback received from the user offices on the training underwent by the participants and the impact on their work / performance are noted in this register.

With the advent of the SAI Capacity Building portal the details of Guest Faculty sessions, Nominations of participants and Impact assessments are also captured in the portal and are no longer being maintained in physical form. However, for classroom training programmes, Participants attendance register is being maintained and monitored. Also in the case of online training programmes conducted in hybrid mode in which local participants have to physically attend RCB&KI Mumbai for the sessions as decided by RAC, attendance register is maintained for the local participants.

Chapter 7

Library

7.1 RCB&KI maintains a library to facilitate availability of resource materials to the participants attending training programmes. Apart from Accounts and Audit, the books cover a wide range of subjects like, Management, Taxation, Economics, Social Science, Computers, Fiction and Encyclopedia. Library facilities are generally restricted to trainee participants, Faculty Members, staff of RCB&KI and Group 'A' officers available locally. Books should be issued to others only with the specific approval of the Director General / Principal Director justifying the reasons there for. The Receipt, Issue and Maintenance of Library Books should be guided by the following procedure.

7.2 Stock Register

A stock register of library books should be maintained in the Form GFR 35.

7.3 Receipt of Books

The books for general studies, fictions as well as books pertaining to General/IT courses are purchased after obtaining sanction of Director General / Principal Director and handed over to the person-in-charge of the Library for taking into stock and also for maintenance, issue, etc.

7.4 Accession Numbers

The Accession Numbers are given to the books subject - wise and serially. On receipt of the books, the person-in-charge should ascertain the subject to which the book belongs. Then he should verify the stock register of the library books and locate the Accession Number of the last book entered for that particular subject and write the next Accession Number in the stock register as well as in the new book and obtain the signature of the officer-in-charge. The Accession number can also be generated through the system software by giving the subject code.

7.5 Duties of Librarian

The person-in-charge of the books should ensure that all the books are stocked properly and as per the Accession Numbers. He should ensure that the books do not get damaged on account of carelessness either on his own part or on the part of the

borrowers and he should promptly bring to the notice of the Officer-in charge any damage to the books and obtain his orders. He should also submit periodically to the Officer-in-charge, a list of books that require rebinding or repair and take appropriate action.

7.6 Issue of Books from the Library

Books are to be issued on request from participants/staff. When a book is issued, entries like name of the book, author and the person to whom the book being issued and official address of the person concerned must be made in the Books Issue Register kept for this purpose. Book is issued after obtaining the acknowledgement of the person to whom the book is issued. The person concerned should be responsible for the books issued until it is duly returned. The participants are normally required to return the books before the conclusion of the course. Books should be lent for a fortnight or till the last of the training course they are attending whichever is earlier. In case the borrower wants to retain the books for a longer period, he should seek extension of due date by return and revalidation of the due date and such extension shall be given, if the same book is not requisitioned by any other person. The participants should be reminded to return the library books on the last day of the course and the return of books ensured. Reminders should be issued on the 5th of every month, to those persons who have taken books from the Library, but not returned it within 15 days. The person in-charge should send reminders at periodic intervals to the borrower to return the books. In case of default, appropriate action should be initiated at the level of Director General / Principal Director.

7.7 Physical verification of Library books

Complete physical verification of books should be done every year in case of libraries having not more than twenty thousand volumes. For libraries having more than twenty thousand volumes and up to fifty thousand volumes, such verification should be done at least once in three years. Sample physical verification at intervals of not more than three years should be done in case of libraries having more than fifty thousand volumes. In case such verification reveals unusual or unreasonable shortages, complete verification shall be done.

RCB&KI library has approximately 3000 books and hence the verification of books in the Library is done each year by a person nominated by the Director General / Principal Director and a list of missing volumes/books is made out and submitted to the Director General / Principal Director for orders.

7.8 Missing books

On completion of the stock verification and if books are found missing, all efforts should be made to trace the books. Loss of five volumes per one thousand volumes of books issued/consulted in a year may be taken as reasonable, provided such losses are not attributable to dishonesty or negligence. However, loss of a book of a value exceeding Rs.1000 (Rupees one thousand only) and rare books irrespective of value shall invariably be investigated and appropriate action taken. Action should be initiated by the Officer-in-charge to propose sanction for write-off as per Delegation of Financial Powers 1978.

On completion of the required procedure to write-off of the books, the missing books should be removed from the catalogue and the signature of the Officer-in-charge should be obtained.

Chapter 8

HOSTEL MAINTENANCE

- 8.1 The Hostel Block of Regional Capacity Building & Knowledge Institute, Mumbai consists of 9 floors with 28 twin sharing rooms and 2 VIP and 2 VVIP rooms. The hostel rooms are equipped with personal computer connected to internet, LCD television, mini-fridge etc. The rooms are allotted to trainees and faculty members visiting from outstations to take part in training courses and to officials coming to Mumbai on duty/transfer. Officials visiting Mumbai on private purpose/LTC and Non-IA&AD persons will be allotted rooms after taking into consideration the trainees and officials on duty. Rooms should be allotted on the specific approval of Director General / Principal Director.
- 8.2 Two days before the commencement of any training course, a list of allotment of rooms indicating the name of the course, duration, name of the trainee, designation, office and the room allotted be prepared and copy of the list should be given to Security Supervisor, Housekeeping Supervisor and Canteen Manager. On arrival, the participants should be asked to fill in the check in/out register before they occupy the rooms. They should obtain the room keys from the Security at the Reception. If any outstation participant does not require accommodation in RCB&KI hostel, a letter to the effect should be obtained from the trainee and filed in the course file after approval from DG/PD, RCB&KI. A day before the completion of the course, participant should note the checkout date and time in the register. Participants are required to hand over the key to the Security at the Reception before leaving the hostel. Before the occupant vacating the room the things in the room should be checked with the list, by Security and Housekeeping Supervisors. Since December 2021, the rent is paid through Bharat Kosh portal. The UTR details of payment are to be obtained from the trainees / guests at the time of check out and entered in the check in/ check out register maintained at the reception.
- 8.3 The person performing caretaker duties / in the reception should maintain a register showing the occupancy/vacancy position and room wise list of persons actually occupying the rooms.

The Director General / Principal Director will nominate a Faculty Member/AAO/Admn to conduct a surprise check in the Hostel to ensure that there is no misuse or unauthorized occupation of the rooms.

8.4 The room rent to be levied at RCB&KI, Mumbai with effect from 01.01.2012 is as detailed below:

Sl. No.	Type of Occupant	Room Rent
1.	Trainees of RCB&KI	Rs. 75/- per person per day
2.	IA & AD personnel on official duty	Rs.300/- per person per day
3.	IA & AD Personnel (on transfer/not on duty/ retired persons)	Rs.600 per room per day
4.	Near relations of IA & AD personnel	Rs.600/- per room per day
5	Officers of other Government Departments	Rs. 1000/- per room per day

CHAPTER 9

MISCELLANEOUS

9.1 DDO FUNCTIONS

9.1.1 Director General / Pr.Director has nominated the Sr. AO(Admn) as the Drawing and Disbursing Officer for RCB&KI, Mumbai.

9.1.2 Disbursement of Pay and Allowances and other personal claims:

9.1.2.1 Under the supervision of the DDO and AAO(Admn), the pay bills of all the officials are prepared by Sr.Accountant (Trg) and sent to PAO/II, office of the Principal Accountant General (A&E)I, Mumbai by 20th of every month for passing of the same.

- 9.1.2 All payments including pay and allowances are credited to the SB Account of the officials in a Bank
- 9.1.2.3 **Revenue Stamp** – for payments exceeding Rs.5000/- Revenue Stamp of Re. 1 should be affixed and signature of the recipient obtained on it.
- 9.1.2.4 **Payment of Other Bills:** For works executed and materials, stationery purchased in RCB&KI, bill is drawn as per the procedure laid down in Receipt and Payment Rules and payment is made online through PFMS to the account of the vendor. Bills for payments are drawn on iBEMS and sent online to the PAO where the payments are processed and released through the PFMS. Mandate form is obtained from the vendors and their details are entered in iBEMS the first time any payment is made to them. Thereafter the same details are used to process all future payments to the same vendors unless a request is received from the vendor to make changes in the bank details through a fresh mandate form.
- 9.2 **Maintenance of Service Records:** The Service Books of all the officials on deputation to RCB&KI is maintained in RCB&KI.
- 9.2.1 **Entries and Attestation:** Every step in official's career should be recorded and each entry attested by Head of the Office/ a junior officer authorized by Head of office to ensure that the entries are correct and also that there is no erasure, overwriting etc. Entries/Attestation in the Service Book of the authorized junior officer, if any, will be made by Head of Office.
- 9.2.2 Entries such as suspension and other interruption of service, reduction to a lower post, technical resignation etc should be entered in the service book with full details and duly attested wherever necessary.
- 9.2.3 Entries such as GPF account no, Home town, CGEGI Scheme should be entered/pasted as the case may be in the Service Book.
The Service Book should be maintained properly to eliminate possible delay in authorization/payment of pension.
- 9.2.4 **Service Book to be shown to the official every year-** Service Book is required to be shown to the official every year and his signature obtained. The Government

Servant will ensure that his services have duly been verified and certified as such, before affixing his signature.

9.2.5 **Annual verification of services**- Verification of services will be completed annually and certificate of verification recorded in the Service Book after ensuring correctness of the entries. The certificate of verification should be in the following form:

“Certified that services up to verified with pay bills and other records”.

It should be ensured that verification is done from the date following the date mentioned in the earlier certificate, so that no period is left uncovered.

9.2.6 **In the case of transfer**- Certificate will be recorded for the period up to the date for which pay is drawn by the office, even if it is part of the month/year. The new office should verify whether certificate has been recorded correctly and agrees with LPC.

9.2.7 **Alteration in Date of birth**: Every new entrant to Government service should declare his date of birth by the Christian Era at the time of initial appointment with documentary evidence, viz. Matriculation Certificate, Municipal Birth Certificate. Entry of Date of Birth in Service Records- The date of birth will be recorded in the Service Book. Once entered, it cannot be altered without prior order of Director General / Principal Director, except in the case of clerical error.

9.2.7.1 An alteration of date of birth can be made, with sanction of a C&AG if- a. an employee makes a request in this regard within 5 years of his entry into Government Service

b. It is clearly established that a genuine bona fide mistake had occurred.

c. the date of birth so altered would not make him ineligible to appear in any school or university or UPSC examination in which he had appeared, or for entry into Government Service on the date on which he first appeared at such examination or on the date of entry into Government service.

- 9.3 **Change of Name**
- 9.3.1 **Addition/deletion or change in name/surname:** If a Government employee wishes to adopt a new name or effect any modification in his /her existing name, he/she should first execute a Deed in the prescribed form. After execution of the Deed, the Government servant should have the change of name published in a prominent local newspaper as well as in the Gazette of India at own expense. On the submission of copy of Deed, Advertisement and Gazette Notification, change of name will be entered in the Service Records.
- 9.3.2 **Addition/change in surname on account of marriage/remarriage of a female Government employee:** No Deed is necessary. The employee can request for change in her surname by intimation about her marriage and giving full particulars of the husband to the office for making necessary change in her service records..
- 9.3.3 **Deletion of surname or reversion to maiden name on divorce/separation or death of the husband of a female Government employee.** Change may be permitted if the female employee gives an intimation regarding change in marital status and a formal request for reversion to her maiden name.
(Auth: Swamy's Complete Manual on Establishment & Administration).
- 9.4 **Redressal of Grievances in official and service matters:**
- 9.4.1 Whenever, a Government servant desires to press a claim or to seek redress of a grievance in any service matter, he should address his immediate superior, or the Head of Office, or such authority at the lowest level competent to deal with the matter. In the event of rejection of the claim or inordinate delay in disposal, an appeal or representation to higher authority can be made. Representations to still higher authorities, e.g., the Secretary, the Minister or the president should not be made unless all means of securing attention or redress from lower authorities have been exhausted. Even in such cases, representations should be submitted through the proper channel. However, there is no objection in such cases, to send an advance copy of the representation directly to higher authorities.

9.4.2 **Instructions regarding forwarding of submission**

The petition should be legible preferably in typescript, signed by the petitioner, and in the official language of the union or any of the regional languages specified in the constitution and complete in all respects duly supported by copy of the order complained against. It should be submitted to the prescribed authority within six months of date of communication of the order against which the petition is submitted. Head of office/Department will forward the same to the prescribed authority, with a concise statement of the facts material thereto and an expression of his opinion.

If a petition is withheld by Prescribed Authority as per rule, the petitioner should be informed in writing of the withholding and reasons therefor.

9.5 **Forwarding of applications for other employment:**

Applications from employees in response to advertisements or circulars will be forwarded as a rule except in cases where they can be withheld in public interest. Ordinarily, an employee including scientific/technical personnel is permitted to apply for an outside post up to four times in a year excluding applications to UPSC.

9.5.1. In the case of permanent Government servant, in the event of appointment in the same or other Central Government Departments, lien will be retained for a period of two years in the parent department, which may be extended by one more year, if there is delay in confirmation in such Departments. Thereafter, they should either revert to parent department or resign. An undertaking to this effect will be taken from the applicant while forwarding applications.

9.5.2 In the case of temporary Government servants, an undertaking will be obtained while forwarding applications that they would resign in the event of their selection in the Department.

9.5.3 **Applications to UPSC** Applications for posts advertised by UPSC can be sent direct by the employee under intimation to the Head of Office giving the details of the examination/post applied for and requesting the Head of Office to communicate the permission to the Commission directly. If the Head of Office/Department, considers it necessary to withhold permission, UPSC will be intimated accordingly

within forty five days of the closing date for receipt of applications by UPSC. If no intimation is received by UPSC within this time, permission will be presumed.

9.5.4 Application from employees under disciplinary proceedings will not be forwarded.

9.6 **Giving evidence or producing documents in a court**

9.6.1 Where the Government Servant is called in the departmental inquiry/summoned by court to give evidence as to facts which have come to his knowledge in the discharge of his public duties, the minimum time required to be spent by him on the journey to and from the place where the enquiry is held and the days on which he is required to remain present before the authority holding the enquiry shall be treated as duty.

Provided that if the Government servant is on leave, the entire time spent shall be treated as a part of the leave and he shall not be deemed to have been recalled to duty.

The Government servant is entitled to receive from the Department or Ministry under which he is serving for the time being, payment of TA as on tour under SR 154.

(Auth: GOI, M.H.A., letter NO.F.16/122/56-AVD, dated the 18th August 1960)

9.7 **Prior permission/intimation necessary for accepting employment in foreign organizations**

9.7.1 Acceptance of employment in any of the following categories of foreign organizations in India by any member of the family of a Government servant would be subject to prior permission of or prior intimation to the competent authority.

1. Foreign mission and related organizations like United States International Communications Agency, British Council, Co-operative for American Relief Everywhere, Catholic Relief Services etc.

2. International organizations, namely, UN and other related organizations or any other similar body of which India is a member.

3. Foreign commercial organizations as defined in Section 591 of the Companies Act 1956 and Section 2A of the Foreign Contribution (Regulation) Act 1976.

(Authority: G.O.I, M.F. OM No.C-30014/4/88-E.I(A), dated the 17th May 1988)

9.8

Stationery and Forms

Stationery articles, and forms/registers required for training course, used in sections, by officers and PS is assessed every quarter and the same are purchased from the approved vendors after obtaining the expenditure sanction of the Director General / Principal Director. For the purchase of stores provisions contained in General Financial Rules 217 should be followed.

9.9

Report regarding Loss or damage to Government property

The following procedure will be followed in regard to loss/damage to Government Property:

9.9.1

Any loss or shortage to Government property of value exceeding Rs.2000, irrespective of the cause of loss and manner of detection, shall be immediately reported by the subordinate authority concerned to the next higher authority as well as the Statutory Audit Officer and to the Principal Director, even when such loss has been made good by the party responsible for it.

Cases involving serious irregularities shall be brought to the notice of Headquarters office.

In both the above cases an initial report should be made as soon as a suspicion arises that a loss has taken place followed by a final report after investigation. The final report shall reach the Head of the Department through proper channel, who shall finally dispose of the same under the powers delegated to him under the Delegation of Financial Powers Rules 1978.

(Authority: Chapter 2 of General Financial Rules)

9.10

Communication of information to press on working of office

Unless authorized by general or specific orders, no official will communicate to another official or a non-official, any information or document which has come into his possession in the course of his official duties.

Official information to the press and other media i.e. radio and television, will normally be communicated through the Press Information Bureau.

Only Ministers, Secretaries and other officers specially authorized in this behalf may give information or be accessible to the representative of the Press.

Whenever it is proposed to release an official information to the press or to hold a Press conference or Press briefing, or to give publicity to an official report, resolution or any other publication, the department concerned will consult the accredited Information Officer in advance.

9.11 **Use of Hindi in official language:** Article 343(1) of the constitution of India provides that the official language of the Union shall be Hindi in Devanagari script. In pursuance of this constitution provision “in-service” training in Hindi has been made obligatory for the Central Government Employees who were aged less than 45 years excluding employee below group ‘C’, those in industrial establishment and work charged staff. Similarly training in Hindi Typewriting and Hindi Stenography have been made obligatory for Typists and Stenographers. Facilities for training in Hindi are provided free of cost and no penalty is imposed for failure to attain prescribed standards by due dates. However, it is impressed on members that failure on the part of those who enrolled themselves in Hindi classes, to attend those classes or to appear for the examination without adequate reason would attract penalties as in the case of absence from duty without proper sanction.

Incentives: To render this Hindi Teaching Scheme attractive, incentives like lump sum cash awards, absorbable advance increments etc. are given to those who acquit themselves creditably at the examinations.

9.12 **Workflow Automation** – Administration shall send proposals for Administrative sanction for purchase under Works, Welfare and Estates, through the Workflow Automation system having connectivity to the CAG web server as per Headquarters instructions.

9.13 **Disaster Management** – For prevention against disasters like, fire, electric short circuits, etc., RCB&KI is equipped with Fire Fighting Equipment placed at various locations in the office and hostel block. The staffs of RCB&KI are given demonstrations on handling the Fire Fighting Equipment and prevention of disaster every year. Backup soft copies of RCB&KI files are taken and maintained in IS Wing.

9.14 **Transfer of Charge**

9.14.1 Whenever the Director General / Pr.Director, Faculty Member or AAO(Admn) of RCB&KI is relieved of his/ her duties in RCB&KI on transfer or repatriation to parent office, he/she should hand over charge formally to the successor or any other person authorized in this behalf, if no successor is posted simultaneously with his/her relief. The following instructions shall be followed in making over charge:

9.14.2 In respect of transfer of charge of Director General / Principal Director, RCB&KI, the relieved officer shall hand over all the valuables, keys of cupboards and tables, books and manuals etc. provided to him/her. The relieved officer shall prepare a Handing Over Note, in duplicate, which shall be signed with date by the handing over and taking over Officers. The 'Relieved' and 'Relieving' officer in token of having handed over/taken over charge shall also sign a certificate of transfer of charge (CTC) in Form GFR 16 with date. Two original copies of the CTC should be sent to Headquarters office and one copy retained with Administration.

9.14.3 In the case of Faculty Members, AO/Admn and AAO(Admn), RCB&KI, the relieved officer shall hand over all the valuables, keys of cupboards and tables, books and manuals etc. provided to him/her. The relieved officer shall prepare a Handing Over Note, in duplicate, which shall be signed with date by the handing over and taking over Officers. One copy of the Handing Over Note shall be submitted to the Director General/Pr.Director for information.

9.14.4 The relieved Sr.Auditor/Sr.Accountants/Accountants/Clerk shall hand over all registers, records, files, cases, undisposed papers etc. in their seat to the successor authorized. Before making over charge the relieved official should ensure that all papers finally disposed of have been filed properly and there are no unfiled papers. A handing over note, if necessary, detailing the state of work and arrears shall be prepared and signed by the relieved and relieved officials. One copy submitted to AAO(Admn)/Faculty Member concerned.

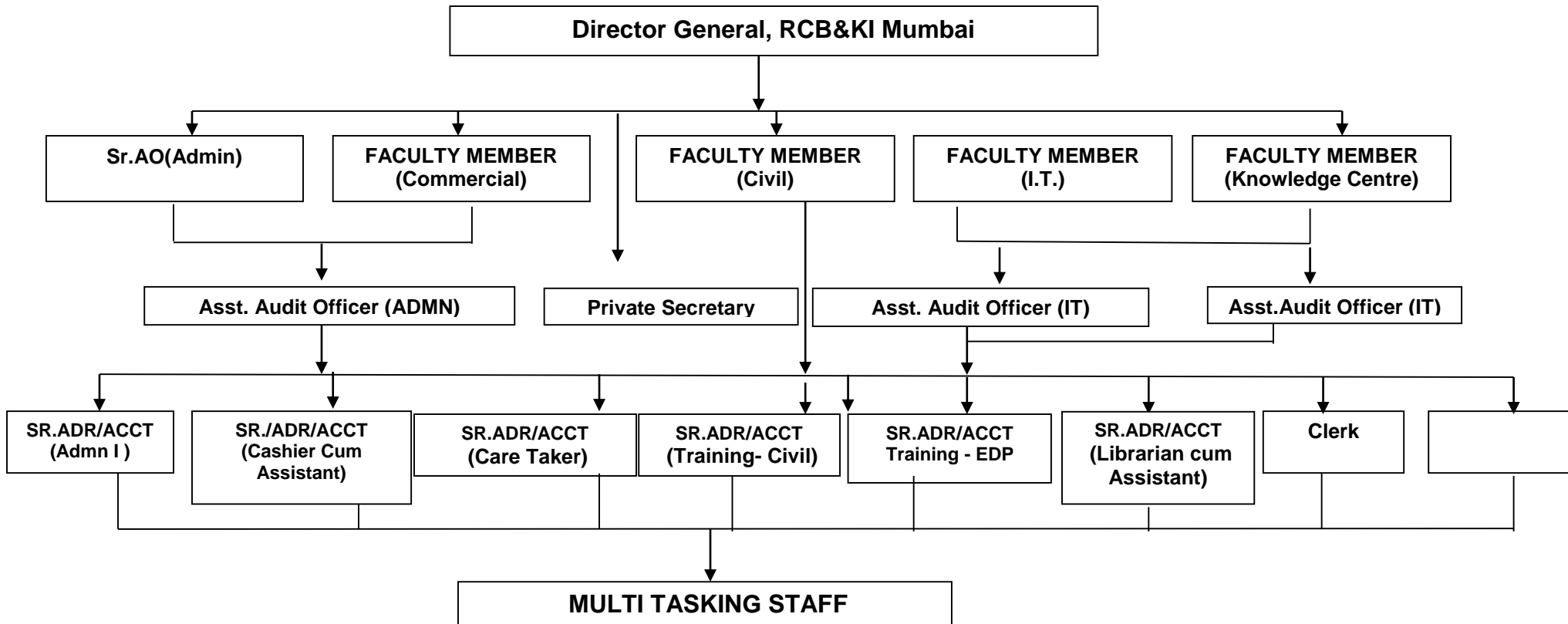
9.14.5 Outsourcing

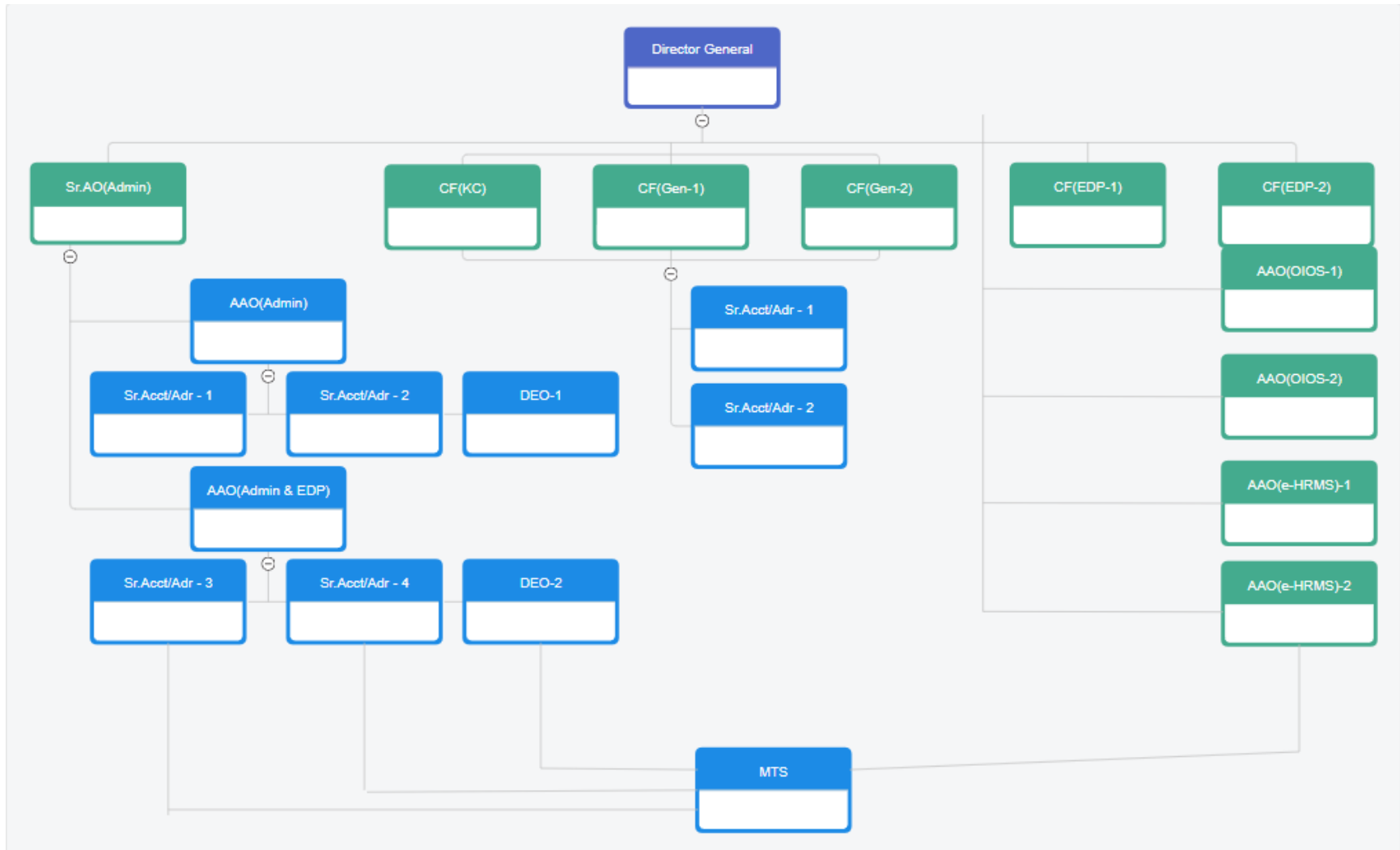
In the interest of economy and efficiency in the department, Headquarters office has accorded permission to offices within IA & AD to outsource the routine jobs. Presently security function, housekeeping function facade cleaning and catering

function are outsourced in RCB&KI Mumbai by entering into annual contracts. However, prior permission of Headquarters Office is necessary for outsourcing. Outsourcing of the above mentioned work may be done keeping in view the instructions contained in Rule 197 to 206 of GFR, 2017. All services have to mandatorily outsourced by placing bids in the Government Market Place (GeM) by following all the guidelines and instructions issued in GeM and HQ office.

Appendix

Organizational Setup of Regional Capacity Building & Knowledge Institute, Mumbai





PREFACE

The Manual of Office Procedure compiled under the provision of Para 2.1 of the CAG's Manual of Standing Order (Administrative) Volume I (3rd Edition).

The Manual of Office Procedures is published in 2003, revised in 2014 and the same has been updated in 2024.

Various orders/instructions relating to Administration, Training, Office Management, Estate Management issued from time to time have been included in the Manual.

The Assistant Audit Officer (Admn.)/Regional Capacity Building & Knowledge Institute is responsible for keeping the manual up to date.

MUMBAI-51
DATED: 2024

ABDUL RAUF
DIRECTOR GENERAL(RCB&KI)