

File No: 585/RTI/Kol/KC/AllIndiaTrg-ComplianceAudit/2024-25/2051 Date: 23/12/2024

To

All PAG/DG/AG/PD IA&AD Offices,  
(As per standard Email list)

Subject: Nomination for All India Workshop on "Compliance Audit"

Madam/Sir,

Regional Capacity Building and Knowledge Institute (RCBKI), Kolkata will be conducting a five- day (tentative course module is attached) *All India Workshop on "Compliance Audit" from 03rd to 07th March 2025*. The workshop will be held offline and is specifically designed for Group Officers, Senior Audit Officers, and Assistant Audit Officers (Level-9 and above).

**1. Nominations in respect of Group Officer:**

We request Heads of Departments to encourage Group Officers under their supervision to self-nominate for this training program. The names of interested Group Officers intending to attend as participants should be intimated to this Institute by **31.01.2025**. Group Officers can use the SAI Capacity Building Portal to submit their nominations to the PDP wing. They are also requested to send an intimation of their nomination to this Institute, along with the approval of their respective Head of Department permitting their attendance. A consolidated list of duly recommended nominations will be forwarded to Headquarters for approval by the PD(P) wing. *Furthermore, one slot has been allocated to the PD(P) wing for the initiation of Group Officers' self-nomination, which will be reflected as an allocated slot for all IA&AD offices.*

**2. Nominations in respect of SAOs/AAOs:**

Senior Audit Officers and Assistant Audit Officers can also be nominated for the training via the SAI Capacity Building Portal by **31.01.2025**. Additionally, not only officers currently deployed in field audit but also those who may be transferred to such domains in the future may be considered for this training.

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*Please note that requests for slot allocation should be made exclusively through the portal using the role of Checker, and no separate letters or emails should be sent to this office.* Once the slots are finalized and the offices are intimated, they may promptly nominate their officers.

**3. Slot Allocation Process:**

Slot allocation for participant nominations will be finalized on the SAI Capacity Building Portal by **07.02.2025**. Offices will be notified of the slot allotments, and they should complete the nomination procedure by **14.02.2025**.

**4. Accommodation:**

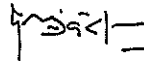
*This Institute does not have hostel facilities to accommodate trainees.* Therefore, arrangements for participant accommodation will be made in nearby hotels. To ensure the comfort and convenience of the trainees, *nominations should be restricted to officers in Pay Level 9 and above.* Candidates are requested to submit their willingness in Annexure-I to avail of hotel facilities by **19.02.2025**, and the accommodation details will be shared by this Institute by **21.02.2025**.

**5. Further Communication:**

**For any further communication, you may contact:**

- **Shri Deepak Kumar Singh**, Senior Audit Officer, at [saokc.kol.rti@cag.gov.in](mailto:saokc.kol.rti@cag.gov.in) or on mobile 8013525288.
- **Shri Ujjal Bose**, Senior Audit Officer, at [saogt.kol.rti@cag.gov.in](mailto:saogt.kol.rti@cag.gov.in) or on mobile 9432276893.
- **Shri Rajeev Kumar Sahu**, Assistant Audit Officer, at [aaokc.kol.rti@cag.gov.in](mailto:aaokc.kol.rti@cag.gov.in) or on mobile 7411428470.

Yours sincerely.

  
(Sarat Chaturvedi) 24/12/2024.  
Director General,  
RCBKI, Kolkata

**Course Title: All India Workshop on Compliance Audit**

**Course ID: 2209002024135**

**Course Duration: 3<sup>rd</sup> to 7<sup>th</sup> March 2025 (5 days)**

**Course Co-ordinator: Shri Deepak Kumar Singh, SAO (Mobile No:8013525288)**

Date	Forenoon Session		Afternoon Session	
	10:30 hrs. To 11:45 hrs.	12:00 hrs. To 13:15 hrs.	14:15 hrs. to 15:30 hrs.	15:45 hrs. to 17:00 hrs.
03.03.2025	<p>Inauguration of the training by <i>Director General/Principal Director, RCBKI, Kolkata</i></p> <p><b>Foundational Concepts in Compliance Auditing</b></p> <p>1. Overview of CAG's DPC Act, 1971 2. CAG's Auditing Standards, 2017 with respect to Compliance Audit 3. Public Sector Auditing Basics 4. Compliance Audit Guidelines (introduction)</p>	<p><b>Audit Planning and Risk-Based Approaches</b></p> <p>1. Audit Design Matrix 2. Risk Assessment in Audit Planning 3. Preparation of Annual Compliance Audit Plan</p>	<p><b>Evidence, Reporting, and Documentation</b></p> <p>1. Audit Evidence 2. Inspection Reports and Audit Findings 3. Compliance Audit Reports</p>	<p><b>Advanced Topics in Compliance Auditing</b></p> <p>1. Compliance Auditing in IT Environment 2. Reporting Process and Follow-Up 3. Audit Design Matrix</p>

04.03.2025	Report of the Comptroller and Auditor General of India for the period ended March 2022- Government of Karnataka- Report No. 7 of 2024- (Compliance Audit - Civil)- <b>Discussion on Para 2.1 (Part-I) -“Utilization of Irrigation Potential and Participatory Irrigation Management”</b>	Report of the Comptroller and Auditor General of India for the period ended March 2022- Government of Karnataka- Report No. 7 of 2024- (Compliance Audit - Civil)- <b>Discussion on Para 2.5 (Part-I)- “Construction, Operation and Maintenance of Haj Ghar”</b>	Report of the Comptroller and Auditor General of India for the period ended March 2022- Government of Karnataka- Report No. 7 of 2024- (Compliance Audit - Civil)- <b>Discussion on Para 2.4 (Part-II)- “Subject Specific Compliance Audit on Department’s oversight on GST payments and Returns filing”</b>	Report of the Comptroller and Auditor General of India for the period ended March 2022- Government of Karnataka- Report No. 7 of 2024- (Compliance Audit - Civil)- <b>Discussion on Paragraphs highlighted in Part-II, Chapter-3 of the Government of Karnataka Report No. 7 of 2024 Compliance Audit - Civil)</b>
05.03.2025	Report of the Comptroller and Auditor General of India on Local Bodies for the period ended March 2022- Government of Odisha Report No. 10 of 2024 (Local Government) <b>Discussion on Chapter II &amp; III Utilisation of Funds Received by PRIs from CFC/SFC Grants</b>	Report of the Comptroller and Auditor General of India on Local Bodies for the period ended March 2022- Government of Odisha Report No. 10 of 2024 (Local Government) <b>Discussion on Chapter IV- Implementation of The Gopabandhu Gramin Yojana</b>	Field Visit/Local Sightseeing	
06.03.2025	Case Study Discussion on Defence Reports/Paragraphs in respect of the Director General of Audit, Defence Services, New Delhi	Report of the Comptroller and Auditor General of India for the year ended 31 March 2021- Union Government Finance and Communication Report No. 15 of 2022 (Compliance Audit)	Report of the Comptroller and Auditor General of India for the year ended 31 March 2021- Union Government Finance and Communication Report No. 15 of 2022 (Compliance Audit)	

		<b>Discussion on Para 2.2-</b> Undue delay in decision making regarding allotment/ assignment of spectrum in E-band and V-band for Microwave Access Network and Backhaul Network	<b>Discussion on Para 3.3-</b> Idling of Aadhaar enrolment kits in Post Office Aadhaar Centres -
07.03.2025	Report of the Comptroller and Auditor General of India for the year ended March 2023- Compliance Audit Report on Examination of assessments of companies dealing in the business of 'Distilleries and Breweries' by the Income Tax Department Union Government, Department of Revenue Report No.9 of 2024	Report of the Comptroller and Auditor General of India for the year ended March 2021- Union Government (Railways) (Compliance Audit) Report No.35 of 2022 Vol II <b>Discussion on Para 2.1 - Construction of Dimapur – Kohima New Line Project:</b>	Report of the Comptroller and Auditor General of India for the year ended March 2021- Union Government (Railways) (Compliance Audit) Report No.35 of 2022 Vol II <b>Discussion on Para 4.3-Irregular Expenditure from Extra Budgetary Resources (Institutional Finance): Northeast Frontier Railway</b> <b>(16:30 hrs to 17:00 hrs)</b> Evaluation and Feedback Valediction

**NB: Programme is subject to change under circumstances.**

**Tea Break: 11.45 hrs to 12:00 hrs & 15.30 hrs. to 15.45 hrs**

**Lunch Break: 13.15 hrs. to 14.15 hrs**