



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

Office of the Comptroller and Auditor General of India

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

Introduction

1. The CAG of India instituted a scheme in July 2021 namely, "CAG's Awards for Innovation and Excellence in Public Auditing and Accounting" - to recognize and reward the extraordinary and innovative work done by the officers and staff of the Indian Audit and Accounts Department in the areas of public auditing, accounting, entitlement and support functions.
2. Innovation and brilliance are the key drivers in taking any organisation forward. SAI India is a people rich and people driven organization. While the CAG Awards Scheme 2021 recognized specific team excellence engendering a meritocratic environment, from an organizational perspective it is even more important to nurture all round qualitative improvement. With this aim, in addition to the existing scheme of awarding team endeavours towards excellence and exceptional work, a new category of awards has been instituted, that of awarding 'the most improved office'. This category of Awards seeks to recognize those offices working in the spheres of Accounting, Auditing and Training that showed maximum improvement in performance over a specified period of assessment.
3. The contours of the revised scheme for CAG's Awards for Innovation and Excellence in Public Auditing and Accounting are detailed in the succeeding paragraphs.
4. CAG's Awards will be given in the following two categories:
Category I- Project/Team awards for projects demonstrating innovation and excellence in Public Auditing and Accounting; and
Category II- Awards for the most improved offices

5. The Awards shall be conferred by the CAG of India on the '*Audit Diwas*' – 16 November every year.

Category I- Project/Team awards for projects demonstrating innovation and excellence in Public Auditing and Accounting

6. The Project/Team Awards for projects demonstrating innovation and excellence in Public Auditing and Accounting encourage members of the Department to go beyond the routine and challenge the status- quo, and instil values of innovation and excellence, which will support the overall mission of the Department in promoting accountability, transparency and good governance through high quality auditing and accounting.
7. The successful entries will feature as case studies in a 'Compendium of innovation and Good Practices' to be published by SAI India annually and released on 'Audit Day'.

Scope of the Award

8. The CAG's Award **seeks to promote innovation and excellence backed by demonstrated exceptional performance and initiatives taken in the field of functional areas, working environment and welfare.**
9. The scope of the Award includes innovation and excellence in the above areas in order to promote new and creative ideas in the functioning of the Department.
10. The Award will be **given to the team or group** involved in conceiving and executing an innovative, extraordinary and impactful initiative, and not to an individual or the entire office.
11. **Areas in which innovation and excellence will be awarded**
 - i. Auditing processes
 - ii. Stakeholder engagement
 - iii. Audit Reports and other audit products

- iv. Communication and follow up of Audit Reports/products
- v. Accounting processes and financial reporting
- vi. Entitlement processes and settlement of claims
- vii. IT driven and IT led initiatives
- viii. Human Resources and Capacity Building
- ix. Administrative efficiency
- x. Grievance Redressal Mechanism
- xi. Staff Welfare
- xii. Any other area that contributes to achievement of the overall mission of SAI India.

12. Conditions for an eligible Entry:

- 12.1. **Origin of Entry:** A team from any office of the SAI India, which initiates an independent innovation or implements an extraordinary work shall be considered for the Award.
- 12.2. **Period of consideration:** The period of consideration will be up to one year preceding the financial year in which the Awards would be distributed. (e.g. For awarding in the year 2022, the period of consideration would be 1st April 2021 and 31st March 2022, during which tangible achievement of milestones should be demonstrated).
- 12.3. **Nomination:** A nomination should be made for a Team with details of team leader and members, **specific contribution of each member, time spent and nature of engagement of each member on the initiative. The team members nominated should include those engaged substantially in conceptualization, advocacy, implementation and stabilization of the project. The team nominated should generally comprise 5-6 members covering all levels.**

Nomination of a larger team should be made only in fully justified extraordinary circumstances. Nominations of the teams for the Awards would be done by the HoD (PrAG/DG, AG/PD) in the office, however with approval of the controlling ADAI/DAI. If the head of the office, himself/herself is member of the nominated team, it may be specifically endorsed by his/her controlling officer. For nomination from the Headquarters office, the functional DAIs/ADAI will make the nominations.

Officers who were involved with an initiative but are no longer working in that office may also send in nominations. However, in such scenarios, necessary coordination would be required with the office and or the ADAI/DAI of the wing.

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

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

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

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

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

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

12.8. The criteria of sustainability and replicability are desirable. Exceptionally, innovations/solutions dictated by unprecedented or peculiar circumstances like Covid Pandemic, natural disaster, specific geographical terrains etc., which may not be sustainable and replicable, would also qualify.

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

13.1. **An overview:** A brief description of the innovation/excellence/initiative and why the team believes that its entry deserves the award. (maximum 300 words)

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

13.3. **Why is the solution exceptional:** How did the innovation/excellence/initiative provide a solution to the problem

and how the solution implemented was exceptional? In what way did it improve the earlier procedures, processes, products or conditions prevailing. (minimum 300 words)

13.4. **Benefits from the innovation/excellence/initiative:** In what way the department or stakeholders would be benefitted by this endeavor. (minimum 300 words)

13.5. **Sustainability and Replicability:** In what way is the innovation/excellence/initiative taken sustainable and replicable? In case the innovation/initiative is not naturally sustainable or replicable, then the relevance and impact of the innovation/ initiate may be explained with reference to the peculiarity of the circumstances. (minimum 300 words).

13.6. **Change management Process:** Explain the process of evaluation, planning and implementation of the innovation/initiative. What were the challenges encountered? How were these overcome? What was time taken from conceptualization to successful implementation? (minimum 200 words)

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

13.8. **Evidence to be attached with the proposal:**

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

14. Eligibility:

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

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

14.3. Normally every office should submit an entry. However, minimum number of entries would be 2 per wing i.e. (9 Central Wings headed by DAIs and 6 State Audit Wings headed by ADAIs).

15. Processing of applications:

15.1. Applications shall be invited from the offices in the format prescribed in para 13.

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

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

16.1. Calling for nominations;

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

16.3. Organize all the meetings of expert and empowered committees;

16.4. Carry out necessary documentation for processing and record.

17. Finalization of awards:

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

An expert committee comprising of 3 ADAI/DG/PD level officers will short list the applications and recommend not less than 15 or more than 20 entries to the Empowered committee. Senior most member in the committee will be the chairperson.

Expert Committee will shortlist the applications on the basis of completeness of the documentation and qualitative aspects of the

proposals. Applications with incomplete/ insufficient details shall be rejected at the initial stage of screening. The Expert Committee may develop its own criteria for evaluation of the remaining proposals, which will necessary include the four criteria mentioned in para 18. The deliberation of the Expert Committee and the inter se evaluation of the proposals done by it shall remain confidential and not disclosed to the Empowered Committee, which shall treat each proposal recommended by the Expert Committee at par for its independent evaluation. The Expert Committee can conduct virtual meetings or field visits for seeking clarifications/verifications.

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

Step II: Evaluation by Empowered Committee:

A five-member Empowered Committee comprising of three nominated external members and two nominated DAIs, will evaluate and rank the proposal recommended by the Expert Committee. It may ask the applicants to make a presentation and/ or make such inquiry as deemed fit. The Empowered Committee shall independently evaluate each proposal recommended by the Expert Committee as per the point weightage given at para 18 and make its recommendations to the CAG of India for final selection of Awards.

18. Weightages for evaluation of entries:

- i. The solution: (40 points)
- ii. Benefits from the innovation/excellence/initiative: (30 points)

- iii. Sustainability and Replicability: (20 points). In the event that due to the peculiarity of the circumstances, the solution is not sustainable or replicable, the 20 points may be equally distributed over evaluation criteria (i) and (ii) above.
- iv. Change Management Process: (10 points)

19. Timelines for the year 2022:

Invitation of nominations:	1 st June 2022
Last date for submission of entries:	20 th July 2022
Compiling of nominations by PPG and short listing by Expert Committee:	15 th August 2022
Recommendations by Expert Committee to Empowered Committee:	21 st September 2022
Recommendations by Empowered Committee:	14 th October 2022
Preparation of Brochure:	12 th November 2022
Award Presentation:	16 th November 2022

PPG may notify revised dates if required.

20. Nature of Award:

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

21. Number of Awards:

Maximum Number of Awards in a year would be 10.

Category II- CAG's Awards for the most improved offices

- 22.** CAG's Awards for the most improved offices seek to recognize those offices working in the spheres of Accounting, Auditing and Training that showed maximum improvement in performance over a specified period

of assessment i.e. the three preceding financial years. Identification of the most improved field office will be through a process of self-assessment on certain prescribed parameters. This would encourage field offices to review their systemic strengths and weaknesses objectively every year and inspire them to compete with themselves to improve their own performance.

Scope of the Award

23. Awards will be given under four categories of field offices viz. Accounts & Entitlement, State Audit, Central Audit and Training. Participation in the scheme is **mandatory** for all the Accounts & Entitlement offices, State Audit Offices, Central Audit Offices and the Regional Training Institutes/Centres.
24. This category of Awards is **not available** to any of the External Audit Offices (Washington, London and Kuala Lumpur), International Audit Offices (Rome and Geneva), International Training Institutes (iCISA, ICED), National Training Institute (NAAA) and CAG (Hqrs), as these offices have varying mandates and attributes which are not comparable.
25. The Award will be given to **the office that showed maximum improvement in performance** against a certain set of approved criteria and benchmarks applicable to the type of office, measured over the preceding three financial years.

Format of the Award

26. A field office of the SAI India as mentioned in para 23 shall be considered for the Award. The definition of field office will include its branch offices, if any.
27. Each field office will carry out a self-assessment of its functions, activities and processes for a specific year in the prescribed assessment framework, which will include (i) a common framework for

administrative functions and redressal of public grievances, applicable to all field offices (**Annexure IA & 1B**); and (ii) a custom functional framework for A&E offices (**Annexure II**), Audit offices (**Annexure III**) and Training Institutes (**Annexure IV**), as applicable. Thus, each field office will be required to complete self-assessment in **three** formats, the common administrative & redressal of public grievances framework and the framework applicable for their type of office.

28. The self-assessments by field offices should be carried out separately for each of the three preceding financial years i.e. for the awards of *Audit Diwas* 2022, the relevant time period would be FY 2019-20, FY 2020-21 and FY 2021-22.

29. For field offices having branch offices, the self assessment formats will be prepared by consolidating the data for the office along with the branch offices.

30. Field offices will submit their self-assessments to the concerned DAI/ADAI. Verification of the data given by the field offices in the formats mentioned in para 27 above will be the responsibility of the concerned DAI/ ADAI.

31. Each functional DAIs/ADAI shall evaluate the field offices under his/her administrative control as per the applicable and approved assessment framework and provide the score to PPG wing.

32. Finalization of awards:

32.1. PPG wing shall collate the scores received from the functional DAIs/ADAI.

32.2. The score obtained by each office in their functional performance framework will be normalised over 100 marks.

32.3. The common administration framework will carry a weightage of 15% for the category of Training and 25% for the other three

categories (A&E, State Audit and Central Audit). The weighted score obtained by each office will be added to the performance assessment framework.

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

Average Annual Improvement (R) = Average of $[(Y3-Y2)/Y2$ and $(Y2-Y1)/Y1]$

Y1 - Normalized Office Score for Year1 (2019-20)

Y2 - Normalized Office Score for Year 2 (2020-21)

Y3 - Normalized Office Score for Year 3 (2021-22)

The office with highest Average Annual Improvement (R) within their respective office category would be designated as 'Most Improved Offices'.

32.5. PPG wing will identify the Most Improved offices as per the methodology mentioned in para 32.4 and prepare a list of the top ranked offices upto twice the maximum number of awards under each category¹. The list will be provided to Inspection & Peer Review Wing at Headquarters, for independent validation of the assessment provided by each of the shortlisted office.

32.6. On receipt of the validated list from Inspection & Peer Review Wing, PPG wing shall move the proposal for selection of the field offices for the awards.

¹ Top six State Audit Offices, top six Central Audit Offices, top four Accounts & Entitlement Offices and top two Regional Training Institutes/Centres.

33. Timelines for the year 2022:

Invitation for self-assessments:	1 st June 2022
Last date for submission of self-assessment by field offices to the concerned DAI/ADAI:	20 th July 2022
Last date for submission of assessment scores by functional DAI/ADAI to PPG:	20 th August 2022
Compilation of the assessment of final scores by PPG and short listing of top ranked offices:	20 th September 2022
Validation of shortlisted offices by Inspection & Peer Review Wing:	25 th October 2022
Preparation of Brochure:	12 th November 2022
Award Presentation:	16 th November 2022

PPG may notify revised dates if required.

34. Nature of Award:

The Award shall consist of a trophy and a citation which will be presented to the office.

35. Number of Awards: The number of awards for each category of office is as follows:

State Audit Offices - Three awards

Central Audit Offices – Three awards;

A&E offices- Two awards; and

RTIs/RTCs - One award

Maximum Number of Awards in a year would be 9.

Annexure IA

Common framework for assessment of administrative functions

Sl. No	Parameter	Quantitative Assessment Score	Remarks	Maximum score for the parameter	Score Awarded
1	Whether all the 28 mandatory quarterly, half yearly and yearly returns were sent to HQs office within due dates prescribed as per HQs circular no. 17-staff (J.C.M.)/2020 dated 27.5.2020?	Scoring to be based on the extent of compliance i. If all 28 prescribed returns were sent within due date-5 marks ii. If more than 25 prescribed returns were sent within due date -4 marks iii. If more than 22 prescribed returns were sent within due date -3 marks iv. If more than 18 prescribed returns were sent within due date -2 marks v. If more than 10 prescribed returns were sent within due date - 1 mark vi. If less than or equal to only 9 prescribed returns were sent within due date -ZERO marks	For every quarterly/half yearly returns combined score for the year may be calculated as per scoring indicated.	5	
2	Whether 56-J reviews are done on time as prescribed in DoPT OM No. 25013/03/2019-Estt.A-IV of 28 th August 2020?	Scoring based on time taken for the activity: <ul style="list-style-type: none"> • Well before the due date for all the eligible cases - 5 marks • With delay of 1 to 10 days - 4 marks • With delay of 11 to 15 days- 3 marks • With delay of 16 to 30 days-2 marks • With delays of 31 to 90 days -1 mark • Not met at all and the reviews are pending beyond 90 days —ZERO Marks 	Review is expected to be done well before the employees meet certain age and service length criteria as prescribed in the DoPT OM of 28 th August 2020. The delay will be counted in days at the end of a quarter in which the review was due.	5	
3	Whether offer of appointment for the new dossiers for appointments to Gr B & C was issued within 5 calendar days of	Scoring based on time taken for the activity: <ul style="list-style-type: none"> • All 3 criteria met -5 marks • First and Third criteria met but second 		5	

Sl. No	Parameter	Quantitative Assessment Score	Remarks	Maximum score for the parameter	Score Awarded
	<p>receipt of the dossier?</p> <p>Whether dossiers, where the candidates refused to join or did not join within due date (including extension given by HQ office) were promptly returned within a week of deadline being over?</p> <p>Whether confirmation/ termination/ Extension of probationer was done in a timely manner.</p>	<p>was met with a delay- 4 marks</p> <ul style="list-style-type: none"> • First criteria was met with delay but the Third was met in time- 3 marks • All the criteria were met, but with the delay -2 marks • First and Third criteria was met with a delay and second was not met at all -1 mark • First and third criteria was met with delay but second criteria was not met and candidate was allowed to join beyond the extension period allowed- ZERO Marks 			
4	<p>Whether the intra office transfer and posting criteria are pre-decided/formulated by the office?</p> <p>Whether the Intra Office Transfer and Posting Board (IOTP) is formed in the office? (<i>For cadre controlling office, Inter Office Transfer and Posting Board should also be formed to satisfy this criteria</i>)</p> <p>Whether the IOTP met as per pre- decided criteria or as per requirement in absence of criteria?</p>	<p>Scoring based on criteria met:</p> <ul style="list-style-type: none"> • All three criteria met—5 marks • First and second criteria is met but the third criteria is partially met with a deviation—4 marks • First criteria is not met but the second and third criteria is met—3 marks • First criteria is met but the second and third criteria are not met—2 marks • All the criteria are not met and yearly intra office transfers are done by administration with approval of HoD- 1 mark • All criteria are not met and transfers are done without the approval of HoD- ZERO Marks 		5	
5	<p>Whether DPC and MACP proceedings for Gr B & C Staff are conducted before the due date so that promotions are done on time?</p>	<p>Scoring to be based on extent of compliance</p> <ul style="list-style-type: none"> • Full compliance - 5 marks • 1-2 deviations - 4 marks • 3-5 deviations - 3 marks 	<p>Deviation here means number of employees who got their benefit after due date.</p>	5	

Sl. No	Parameter	Quantitative Assessment Score	Remarks	Maximum score for the parameter	Score Awarded
		<ul style="list-style-type: none"> 6-8 deviations - 2 marks 9-10 deviations - 1 marks More than 10 deviations - ZERO Marks 			
6	<p>Whether Meeting of Departmental Screening Committee (DSC) was held twice or more to consider the applications for appointment on compassionate grounds and the office gave compassionate appointment to the number of deserving applicants equal to the vacancies available therein?</p> <p>Whether the field office has forwarded the remaining applications to Headquarter office if they are otherwise found FIT by DSC and those are willing for consideration against the vacancies available in the other field offices? (Circular no.14 (letter no.52/Staff Hakdari Niyam/AR/02-2021 dated 20.04.2021) and OM F.No.43019/9/2019-Estt. (D) dated 23rd August 2021)</p>	<p>Scoring to be based on extent of compliance</p> <ul style="list-style-type: none"> Fully Complied or no application is pending in the office- 5 marks DSC constituted and met but remaining applications of Fit and willing candidates were not circulated in absence of vacancies—4 marks DSC constituted, meetings held on time, but the applications were not decided upon due to lacunas in the verification process or any other reason- 3 marks DSC was not constituted due to lack of vacancy, but the applications were pending - 2 marks DSC constituted but did not meet in time as prescribed—1 mark Applications are pending and neither the DSC was constituted, nor the applications were considered despite there being vacancy in the office - zero marks 		5	
7	<p>Whether sexual harassment committee has been constituted in the office?</p> <p>Whether no sexual harassment complaint is pending for more than 3 months from the date of receipt?</p>	<p>Scoring to be based on extent of compliance</p> <ul style="list-style-type: none"> If answer to all the four questions is yes - 5 marks If answer to only first three question is yes- 4 marks If answer to only first two questions is yes—3 marks If answer to only second question is 		5	

Sl. No	Parameter	Quantitative Assessment Score	Remarks	Maximum score for the parameter	Score Awarded
	<p>Whether information about the committee is put in prominent place in the office premises as well as office website?</p> <p>Whether committee regularly met every quarter as per mandate?</p>	<p>yes—2 marks</p> <ul style="list-style-type: none"> If answer to only one of the question (except second) is yes - 1 mark If answer to all the four questions is no- zero marks 			
8	<p>Whether all the relevant papers (title, lease document, blueprint map) for the estate are in possession of the Estate Officer? (Para 2.1, 2.2 & 2.3 of MSO (Estate) 2021)</p>	<p>Scoring to be based on the availability</p> <ol style="list-style-type: none"> If all the papers of both office & colony available –5 marks If only the title related papers of both colony and office available -4 marks If all the papers for only of one of them available--3 marks If only maps of both these available --2 marks If only maps of one of these available—1 mark None of the papers available - ZERO marks 	<p>The parameter will take into account papers for all the estate buildings/land under the estate officer.</p> <p>After assessing the availability of papers for each of the buildings/land separately the combined score will be calculated.</p> <p>In case any office only has office and/or colony under its jurisdiction sub criterion (i), (ii), (iv) and (vi) will apply</p>	5	
9	<p>Whether Estate Management Committee (EMC) was constituted at the station and meetings were being conducted on time?</p> <p>Whether the 'Annual Estate Plan' has been considered and approved by the Estate Management Committee before submission to the Estate Manager?</p> <p>Whether the priority list of works was sent to HQ in time?</p> <p>Whether progress reports are being sent to HQ on time? (Para 1.2 & 1.3 of MSO (Estate) 2021)</p>	<p>Scoring based on 5 activities to be carried out by the office in respect of EMC and Works: -</p> <ul style="list-style-type: none"> All five activities conducted – 5 Marks Only four activities conducted - 4 Marks Only three activities conducted - 3 Marks Only two activities conducted - 2 Marks Only one activity conducted - 1 Mark None of the activity conducted-ZERO 	<p>This parameter will take into account of various activities viz.:</p> <ul style="list-style-type: none"> Constitution of EMC Meeting conducted on time Annual estate plan approved by EMC Priority List sent on time to the HQ Monthly Progress Report of Works sent to Hqrs. 	5	

Sl. No	Parameter	Quantitative Assessment Score	Remarks	Maximum score for the parameter	Score Awarded
10	Whether Allotment of residential quarters are being done as <i>per Allotment of Govt. Residences (IA&AD) Rules, 2021?</i>	Scoring to be based on extent of compliance <ul style="list-style-type: none"> • Full compliance ---5 marks • One Deviation---4 marks • Two Deviation ---3 marks • Three Deviation --2 marks • Four Deviation ---1 mark • More than 4 deviations—ZERO Marks 	Deviations here means number of houses allotted without complying with 'Allotment of Govt. Residences (IA&AD) Rules,) 2021.This does not include exceptions done as per rules.	5	
11	<p>Whether the disaster management committee is constituted and meets as per mandate?</p> <p>Whether the evacuation plan for all the buildings for all officials including <i>Divyang</i> is in place and displayed at the proper prominent places?</p> <p>Whether regular drills are carried out to educate the staff. <i>(Chapter 3 of MSO(Estate) 2021)</i></p>	Scoring based on extent of compliance <ul style="list-style-type: none"> • All five parameters complied with – 5 marks • Committee constituted but meetings not held on time, evacuation plan available and displayed and regular drills conducted – 4 marks • Committee constituted, meetings held on time, evacuation in place but not displayed prominently and regular drills not conducted – 3 marks • Committee constituted, meetings held on time but evacuation plan not finalised and regular drills not conducted – 2 marks • Committee constituted, meetings not held on time, evacuation plan not in place and regular drills not conducted – 1 mark 	<p>This parameter will take into account of various activities viz.:</p> <ul style="list-style-type: none"> • Constitution of DMC • Meeting of DMC as prescribed • Evacuation Plan in place • Evacuation plans displayed at proper/prominent places • Regular drills being conducted 	5	
12	Whether sorting and weeding out of records is being done regularly by all sections? <i>(Para 12.4 & 12.5 of MSO (Administrative) Vol.1)</i>	Scoring to be based on extent of timeliness of the compliance <ul style="list-style-type: none"> • Once in a quarter by all sections—5 marks • Once in a quarter by more than 50% sections-4 marks • Once in six months by all sections—3 marks 		5	

Sl. No	Parameter	Quantitative Assessment Score	Remarks	Maximum score for the parameter	Score Awarded
		<ul style="list-style-type: none"> Once in six months by more than 50% of sections—2 marks Once in a year by all sections—1 mark 			
13	Whether <i>e-Office</i> is being implemented effectively?	Scoring based on percentage of file processed in e-office out of total file processed in office <ul style="list-style-type: none"> Above 80 % ---- 5 marks Above 70 to 80 % ---4 marks Above 60 to 70%---- 3 marks Above 50 to 60% ---- 2 marks Above 40 to 50 %---- 1 marks 40% and below---- 0 marks 	Considering the nature of files being processed specially those related to confidential matters, Old IR settlement etc., highest marks are being restricted for 80% achievement. This can be reviewed after a year when all the old IR Files are on OIOS.	5	
14	What is the extent of availability of modular furniture (MF) in the office including for records?	Scoring to be done based on extent of availability: <ul style="list-style-type: none"> All sections including record sections have MF—3 marks More than 75% of Sections have MF---- 2 marks More than 50% of sections have MF— 1 Mark Less than 50% section with MF—ZERO MARK 		3	
15	Whether office has started/completed the digitization of the Admin records?	Scoring to be done based on extent of completion: <ul style="list-style-type: none"> All records digitized—3 marks More than 50% records digitized-2 marks Digitization Process started in office— 1 mark 		3	
16	Whether Review of expenditure report for every month is being uploaded in iBEMS on or before 2 nd of the following month after due reconciliation with the Pay and Accounts office?	Scoring based on compliance to set timeline <ul style="list-style-type: none"> On time- 5 marks With delay up to 2 working days- 4 marks With delay of more than 2 and up to 5 	Total 12 report (Monthly) are furnished to the HQ's office during a financial year. The parameter will take into the accountability of timeliness in submitting the said report.	5	

Sl. No	Parameter	Quantitative Assessment Score	Remarks	Maximum score for the parameter	Score Awarded
	(Hqrs. office letter no.111/FMD/Res-Bes/123-2021 dated 20 th April 2022)	<p>working days- 3 marks</p> <ul style="list-style-type: none"> • With delay of more than 5 and up to 7 working days- 2 marks • With delay of more than 7 and up to 10 working days- 1 marks • With delay of more than 10 working days- Zero mark 	<p>Illustration- If field office gets 5 marks on submitting the report on time on 4 occasions during the financial year, 4 marks with delay up to 2 working days on 3 occasion, 3 marks with delay of more than 2 up to 5 working days on 2 occasion and 2 marks with delay of more than 5 up to 7 working days on 2 occasion and 1 mark with delay of more than 7 up to 10 working days on 1 occasion, then the following calculation would be made-</p> $(5 \times 4) + (4 \times 3) + (3 \times 2) + (2 \times 2) + (1 \times 1) + 12$ $= 43/12 = 3.58 = 3.6$ <p>The Office would thus get a score of 3.6 for this parameter.</p>		
17	<p>Timeliness of submission of DCC Bills-Is there is pendency of AC-DCC bills?</p> <p><i>DCC bills are to be submitted within 15 days of drawal of the AC bill (Rule 323 (2) of GFR 2017)</i></p>	<p>Scoring based on the number of DCC bills submitted and the time (compliance to set timeline) taken to submit those DCC bills</p> <ul style="list-style-type: none"> • If DCC bills are submitted on time –5 marks • With delay of 5 days—4 marks • With delay of 10 days- 3 marks • With delay of more than 10 up to 30 days-2 marks • With delays of more than 30 days –1 mark • Not submitted at all—ZERO Marks 	<p>The parameter will take into the timeliness in submitting DCC bills in order that there is accountability for government money withdrawn.</p> <p>Illustration: If the field office gets 5 marks on 60 DCC bills submitted on time, 4 marks for 40 DCC bills submitted with delay of 5 days, 3 marks for 30 DCC bills submitted with delay of 10 days, 2 marks for 10 DCC bills submitted with delay of 11 to 30 days, 1 mark for 5 DCC bills submitted with delay of more</p>	5	

Sl. No	Parameter	Quantitative Assessment Score	Remarks	Maximum score for the parameter	Score Awarded
			<p>than 30 days, the following calculation can be made: $(5 \times 60) + (4 \times 40) + (3 \times 30) + (2 \times 10) + (1 \times 5) / 145 = 300 + 160 + 90 + 20 + 5 / 145 = 575 / 145 = 3.9 = 4.0$ The Office would thus get a score of 4.0 on this parameter.</p>		
18	Whether any substantial amount of saving was surrendered after the due date prescribed by the budget section? (generally after 28 th of February)	<p>Scoring based on compliance to set timeline :</p> <ul style="list-style-type: none"> • Surrendered within prescribed time line –5 marks • Surrendered with delay of 5 working days—4 marks • Surrendered with delay of 10 working days- 3 marks • Surrendered with delay of more than 10 up to 20 working days-2 marks • Surrendered with delay of more than 20 working days- 1 mark • Surrenders not done at all resulting in savings —ZERO Marks 	<p>Definition of substantial amount here would be dependent upon the provision under the particular head of expenditure.</p> <ul style="list-style-type: none"> • In case of Salary, TA— Amount exceeding Rs. 20,000 or 1% of allotment whichever is less • In case of Medical, Other Advances etc.-Amount exceeding Rs. 10,000 or 1% of allotment whichever is less • In case of OE –Amount exceeding 5000 or 1% of allotment whichever is less • In case of Minor works- Amount exceeding 1% of allotment • In case of “Capital Section”- Amount exceeding 1% of allotment <p>Total score to be calculated after taking into account individual scores for each head mentioned above.</p>	5	
19	Whether office has projected requirement on realistic basis in flash figures ?	Scoring based on % age of amount utilised against demand of funds projected in Flash figures under the		5	

Sl. No	Parameter	Quantitative Assessment Score	Remarks	Maximum score for the parameter	Score Awarded
		head "Salaries" <ul style="list-style-type: none"> Utilization as per flash figures - 5 marks Utilisation up to 99.5 % of flash figures - 3 marks Excess utilisation beyond flash figures up to 0.5% - 2 marks Utilisation up to 99.00 % of flash figures - 1 mark Utilisation less than 99.00 % of flash figures and Excess demand beyond flash figures more than 0.5% - Zero marks 			
20	Whether monitoring of REs and BEs of Loans and Advances to Government Servants and the actual expenditure happening against these figures is done every month? <i>(114-Budget/Loans & Advances/26-2018 dt:25.03.2019)</i>	Scoring to be done based on compliance to set timeline: <ul style="list-style-type: none"> If Monthly Statement of Expenditure on Loans and Advances is submitted by 5th of the following month- 3 marks If submitted from 6th to 15th of the following month- 2 marks If submitted between 16th to end of the following month- 1 mark If submitted after the end of the following month- ZERO marks 		3	
21	Whether annual report of "Updation and Maintenance of Service Books" up to last date of April for previous financial year are being sent to HQ? <i>(HQ letter No. 436/41-11/INSP/ACT-14/2020 Dated 20/10/2020)</i>	Scoring based on time taken for the activity <ul style="list-style-type: none"> On time--- 5 marks With delay of 10 working days--- 4 marks With delay of 15 working days--- 3 marks With delay of 20 working days---- 2 marks With delay of more than 20 working days --- 1 marks 	Scoring based on time taken for the activity.	5	

Sl. No	Parameter	Quantitative Assessment Score	Remarks	Maximum score for the parameter	Score Awarded
		<ul style="list-style-type: none"> With delay more than 30 working days - 0 marks 			
22	Whether Medical advance is granted to the concerned CGHS beneficiary within stipulated period of 10 days?	<p>Scoring based on timeliness</p> <ul style="list-style-type: none"> Within 10 days from the date of request of advance receipt in the section-3 Marks More than 10 up to 15 working days-2 Marks More than 15 up to 25 working days-1 Marks More than 25 working days without any valid reason -Zero mark 	<p>Illustration- Suppose 30 medical advance was granted in a financial year. 10 medical advances were given on time, 10 medical advances were granted in more than 10 and up to 15 working days and 10 medical advance was sanctioned in more than 15 up to 25 working days then calculation would be as under- $(10 \times 3) + (10 \times 2) + 10 \times 1 / 30 = (30 + 20 + 10) / 30 = 60 / 30 = 2$ Then office would get 2 marks for this parameter</p>	3	
23	Whether court cases, including contempt cases, are dealt with promptly?	<p>Scoring based on the timing of furnishing reply w.r.t date of listing of the case in Courts</p> <ul style="list-style-type: none"> Cases where replies are finalised at least two weeks before the date of first hearing—5 marks Cases where replies are finalised at least a week before/within a week of first hearing—4 marks Cases where replies are finalised a week after the first hearing and before the second hearing—3 marks Cases where replies are finalised two weeks after the first hearing and before the second hearing—2 marks Cases where replies are finalised a week before the second hearing-1 mark 	<p>Finalisation of Reply means-furnishing of para-wise reply approved by the HoD to the Standing legal counsel for preparation of reply to be placed before the Court on the date of its hearing.</p> <p><u>Illustration:</u> If replies to 50 cases are finalised two weeks before first hearing, replies to 20 cases are finalised one week before first hearing/ within a week of first hearing, replies to 20 cases are finalised one week after the first hearing and before the second hearing, replies to 25 cases are finalised two weeks after the first hearing</p>	5	

Sl. No	Parameter	Quantitative Assessment Score	Remarks	Maximum score for the parameter	Score Awarded
		<ul style="list-style-type: none"> Cases where replies are finalised after second hearing- Zero mark 	and before second hearing, replies to 10 cases are are finalised a week before the second hearing ----the Office will get a score of $(50 \times 5) + (20 \times 4) + (20 \times 3) + (25 \times 2) + (10 \times 1) / 125 = 3.6$		
24	Whether the procurement of Goods and Services is being done through GeM? If yes, the quantum of procurement in terms of percentage of procurement through GeM <i>(Rule 149 of GFR 2017 as amended vide OM No. F.1/26/2018-PPD, of GoI, MoF dated 02.04.2019)</i>	<ul style="list-style-type: none"> Up to 100%- 5 marks Up to 80%- 4 marks Up to 60%- 3 marks Up to 40%- 2 mark Up to 20%- 1 mark 0%-0 mark 	The scoring will be based on the value of procurement of goods/ services through GeM, out of the total value of procurement during the financial year.	5	
25	Whether GeM availability Report and past transaction summary (GeMAR&PTS) is generated on GeM for procurement outside GeM? <i>(Rule 149 of GFR 2017 as amended vide OM No. F.6/14/2020-PPD, of GoI, MoF dated 27.08.2020)</i>	<ul style="list-style-type: none"> In all cases-5 Marks Up to 80 % procurement cases-3 marks Up to 70 % procurement cases-2 marks Below 70 %- 0 mark 	Scoring based on compliance of rule covering total instances of procurement during the year.	5	
26	Whether facilities: i. Recreational Club ii. Gym iii. Creche iv. Medical kit/ room are functional in office? <i>(CCS RSA Rules 1993)</i> <i>(Women and child development ministry OM CRE - 23/1/2018 -</i>	<ul style="list-style-type: none"> If all 04 facilities are functional - 5 marks If any of 03 facilities are functional - 4 marks If any of 02 facilities are functional - 2 marks If any of the facilities functional - 1 marks If none of the facilities available -ZERO marks 	Scoring based on the number of facilities functional in the office.	5	

Sl. No	Parameter	Quantitative Assessment Score	Remarks	Maximum score for the parameter	Score Awarded
	<i>Creche – p – 2 dt. 02-11-2018 for establishment and operation of Creche vide National Minimum Guidelines Under Maternity Benefit Act-2017)</i>				
27	Whether verification of forms (pension papers) received from retiree are done before 04 months of retirement and being sent to PAO through “Bhavishya Portal”.	Scoring based on time taken for the activity <ul style="list-style-type: none"> • On time- 5 marks • With delay of 10 working days - 4 marks • With delay of 20 working days - 3 marks • With delay of 25 working days - 2 marks • With delay of 30 working days - 1 mark • With delay of more than 30 working days - 0 mark 	<p>The parameters will take into account the timelines in processing retirement cases.</p> <p>Illustration: If the field office gets 5 marks on 20 retirement cases processed, 4 marks for 12 retirement cases processed with delay of 10 working days, 3 marks for 10 retirement cases processed with delay of 20 working days, 2 marks for 5 retirement cases processed with delay of 25 working days, 1 mark for 2 retirement cases processed with delay of 30 working days and 0 marks for 1 retirement case processed with delay of more than 30 working days, the following calculation can be made:</p> $(5 \times 20) + (4 \times 12) + (3 \times 10) + (2 \times 5) + (1 \times 2) + (0 \times 1) / 50 =$ $(100 + 48 + 30 + 10 + 2 + 0) / 50 = 190 / 50 = 3.8$ <p>The office would be getting a score of 3.8 on this parameter.</p>	5	
TOTAL SCORE				127	

Annexure IB

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

Sl. No	Parameter	Quantitative Assessment Score	Remarks	Maximum score for the parameter	Score Awarded
1	Whether complaints made to the CAG are addressed promptly?	<p>Scoring is based on the time taken for disposal of the complaint case.</p> <ul style="list-style-type: none"> • Cases where verification is completed within 1 month of receipt of the complaint —4 marks • Cases where verification is completed within 2 months of receipt of the complaint —3 marks • Cases where verification is completed within 3 months of receipt of the complaint —2 marks • Cases where verification is completed beyond 3 months of receipt of the complaint —zero marks 	<p>The parameters will take into account the timelines in processing complaint cases.</p> <p>Illustration: If the field office gets 4 marks on 20 complaint cases processed within 1 month, 3 marks for 15 complaint cases processed within 2 months, 2 marks for 10 complaint cases processed within 3 months, 0 marks for 5 complaint cases processed beyond 3 months, the following calculation can be made:</p> $(4 \times 20) + (3 \times 15) + (2 \times 10) + (0 \times 5) / 50 =$ $(80 + 45 + 20 + 0) / 50 = 2.9$ <p>The office would be getting a score of 2.9 on this parameter.</p>	4	
TOTAL SCORE				4	
TOTAL SCORE (Annexure IA plus IB)				131	
NORMALISED SCORE				100	

Annexure II

Framework for assessment of Accounts & Entitlement offices

I. Accounts

Sl. No.	Function: Accounts, item-wise grading	Parameters for Grading (A, B, C & C=0 if no activity takes place in particular item/area)	Internal or External factors	Points	Total Group Points	Points awarded
Timeliness in performing accounting functions						
1	Timely preparation of MCA with nil exclusion of Accounts (Target date: 25th of following month)	Within target date with nil exclusion of Accounts: A-20				
		Delay below 20 days with exclusion upto 10% of Accounts: B-15	Internal	20		
		Delay over 20 days with exclusion of more than 10% Accounts : C-10				
2	Hosting of MKIs on CAG's website (As per instructions from IS Wing, field offices have been assigned for this work)	Within 5 working days of closure of Monthly Civil Accounts (MCA) - A - 5	Internal	5		
		Above 5 working days and below 10 days - B-3				
		Above 10 working days - C-1			60	
3	Timely Closure of Annual Accounts (As per Time schedule circulated from GA Wing). This item will be graded once in a year.	Closure As per target (31 July): A-15	Internal	15		
		Closure of accounts with delay of 1 month: B-10				
		Closure of Accounts with delay of more than 1 month : C-5				
4	Timely submission of final NTA to HQ (As per Time schedule circulated from GA Wing). This item will be graded once in a year.	Submission as per target (15 September) : A-15	Internal	15		
		Submission with delay of 1 month : B-10				
		Submission with delay exceeding 1 month : C-5				
5	Signature of Annual Accounts by CAG (As per Time schedule circulated from GA Wing). This item will be	Signature by CAG as per target (23 -30 October) : A-5	Internal	5		
		Signature by CAG with delay of 1 month : B-3				

Sl. No.	Function: Accounts, item-wise grading	Parameters for Grading (A, B, C & C=0 if no activity takes place in particular item/area)	Internal or External factors	Points	Total Group Points	Points awarded
	graded once in a year (QE December)	Signature by CAG with delay exceeding 1 month : C-1				
Correctness of Accounts						
6 (a)	Reconciliation of Expenditure by Amount (Reconciliation may be done with CCOs on quarterly basis preferably through online reconciliation by all the CCOs on the basis of figures booked and webhosed in AG's website). For QE June-reconciliation of cumulative figures upto March, for QE September - cumulative figures from April-June, for QE December - cumulative figures upto September and for QE March - Cumulative figures upto December). PAG/AG may impress State Govt. for online reconciliation only					
		For QE June: 100% reconciliation - A-5, Below 100% to 80%- B-3 and below 80% - C-1. For QE September: upto 60% reconciliation - A-5, Below 60% to 50%- B-3 and below 50% - C-1. For QE December: upto 70% reconciliation - A-5, Below 70% to 60%- B-3 and below 60% - C-1. For QE March: 80% reconciliation - A-5, Below 80% to 70%- B-3 and below 70% - C-1. C=0 if no reconciliation is done during the quarter.	Internal	5		
6 (b)	Reconciliation of Receipts by amount (Reconciliation may be done with	For QE June: 100% reconciliation - A-5, Below 100% to 80%- B-3 and below 80% - C-1. For QE			30	

Sl. No.	Function: Accounts, item-wise grading	Parameters for Grading (A, B, C & C=0 if no activity takes place in particular item/area)	Internal or External factors	Points	Total Group Points	Points awarded
	CCOs on quarterly basis preferably through online reconciliation by all the CCOs on the basis of figures booked and webhosed in AG's website). For QE June- reconciliation of cumulative figures upto March, for QE September - cumulative figures from April-June, for QE December - cumulative figures upto September and for QE March - Cumulative figures upto December) PAG/AG may impress State Govt. for online reconciliation only	September: upto 60% reconciliation - A-5, Below 60% to 50%- B-3 and below 50% - C-1. For QE December: upto 70% reconciliation - A-5, Below 70% to 60%- B-3 and below 60% - C-1. For QE March: 80% reconciliation - A-5, Below 80% to 70%- B-3 and below 70% - C-1. C=0 if no reconciliation is done during the quarter.	Internal	5		
7	8675-Reconciliation of Reserve Bank Deposits. Target: QE:Mar - posting upto Jan, QE June - posting upto - April, QE: Sep-Posting upto Jul, QE: Dec-Posting upto-Oct.)	Nil Arrear : A-10	Internal	10		
		Up to one month : B-6				
		More than one month : C-4				
8	Classification check- percentage of check applied on vouchers & checks applied for validation as per new guidelines (Target: to be re-fixed in view of recently issued circular from HQr.)	60% and above : A-10	Internal	10		
		50% and below 60%: B-6				
		Below 50%: C-4				

Sl. No.	Function: Accounts, item-wise grading	Parameters for Grading (A, B, C & C=0 if no activity takes place in particular item/area)	Internal or External factors	Points	Total Group Points	Points awarded
Managing the quantum of outstanding DC Bills and UCs						
8	AC Bills - Clearance (as percentage of OB+Additions). Addition of amount may be made only for those AC bills for which DC bills are due during the quarter	Clearance 25% and Above - A-10	Internal-5, Ext.-5	10		
		20 % and below 25 % - B-6				
		Below 20% - C-4			20	
9	UCs - Clearance (as percentage of OB+Additions). Addition of amount may be made only for those GIA bills for which UCs are due during the quarter	Clearance 25% and above- A-10	Internal-5, Ext.-5	10		
		20 % and below 25 % - B-6				
		Below 20% - C-4				
10	Clearance of Suspense accounts and minimizing accretion in Suspense heads					
		For Suspense & Remittance balances where External factors are involved - Clearance 60 % and above: A-3 , 40 and below 60%: B-2 , Below 40%: C-1 . For Suspense balances where Internal factors are involved - Clearance 80 % and above: A-3 , 60 and below 80%: B-2 , Below 40%: C-1 . Clearance of old balances 30% In case of Clearance of old balance is less then 30% grading will be downgraded by one grade.				
	8658-102- Suspense Account (Civil) - Dr		External	3+3		
	8658-102- Suspense Account (Civil) - Cr					
	8658-109-RBS (HQ) - Dr		Internal	3+3		
	8658-109-RBS (HQ) - Cr					
	8658-111- DAA Suspense - Dr		Internal	3+3		
	8658-111- DAA Suspense - Cr					
	8782-102-PW Remittance - Dr		External	3+3		
	8782-102-PW Remittance - Cr				48	
	8782-103-Forest Remittance - Dr		External	3+3		
	8782-103-Forest Remittance - Cr					
	8658-101- PAO Suspense -Dr		External	3+3		
	8658-101- PAO Suspense -Cr					
	8658-110- RBS (CAO) - Dr		Internal	3+3		
	8658-110- RBS (CAO) - Cr					

Sl. No.	Function: Accounts, item-wise grading	Parameters for Grading (A, B, C & C=0 if no activity takes place in particular item/area)	Internal or External factors	Points	Total Group Points	Points awarded
	8793-Inter-State Suspense - Dr		Internal	3+3		
	8793-Inter-State Suspense - Cr					
	ADDITIONAL PARAMETERS - ACCOUNTS					
11	Long Term Advances					
	Arrear in posting of accounts (Month upto which posting is completed:- QE:Mar - posting upto Jan, QE June - posting upto - April, QE: Sep-Posting upto Jul, QE: Dec-Posting upto-Oct.)	Nil Arrear : A - 5	Internal	5		
		Up to one month : B-3				
		More than one month : C				
	Monitoring of Loans & Advances from Central Govt.					
12	Internal Loans & Advances from Central Govt. monitored by A&E offices. Timely issue of advices to RBI for recovery of Principal/Interest	Nil Arrear in sending advices : A -5	Internal	5		
		One month arrear : B-3				
		More than one month arrear : C-1				40
13	Compliance of Annual Treasury Inspection Plan	100% of treasuries inspected as per annual plan: A-10				
		80% and below 100%: B-6	Internal	10		
		Below 80%: C-4				
	Compliance of Treasury Inspection Reports paras (Subjudice/court cases issue may not be included in the target and specifically mentioned in KRA report.)	Nil pending paras of more than 3 years at the beginning of quarter: A-10	Internal	10		
		Nil pending paras of more than 5 years at the beginning of quarter: B-6				
		If TIR paras of more than 5 years are pending, C-4				

Sl. No.	Function: Accounts, item-wise grading	Parameters for Grading (A, B, C & C=0 if no activity takes place in particular item/area)	Internal or External factors	Points	Total Group Points	Points awarded
	New Initiatives by Office (like NRA, Environment Expdr. Accounts, any other areas of new initiative)	like NRA, Environment Expdr. Accounts, any other areas of new initiative: Subjective grading at HQr (10/6/4)	Internal	10		
TOTAL POINTS				198		
INTERNAL				174		
EXTERNAL				24		

II. GPF functions

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

Sl. No.	Function: GPF, item-wise grading	Parameters for Grading (A, B, C & C=0 if no activity takes place in particular item/area)	Internal or External factors	Points	Total Group Points	Points awarded
	ensure that documents leading to incomplete/defective cases are called for from DDOs within 5 working days from date of receipt of case.	Below 85% - C-4	External if cases are received late or incomplete.			
1 (b)	Clearance of Residual Balance cases (Clearance within <i>One Month</i>). <i>Timely receipt and complete cases are to be taken in the receipt of FP cases during quarter. Total no. of RB cases received during quarter: , no. of Cases received late: , No. of incomplete cases which have been kept on hold due to wanting documents from DDOs. PAG/AG may ensure that documents leading to incomplete/defective cases are called for from DDOs within 5 working days from date of receipt of case.</i>	90% & above- A-10		10		
		<i>below 90% to 80%- B-6</i>	Internal/External			
		<i>Below 80 % - C-4</i>	External if cases are received late or incomplete.			
2	Arrears in posting of GPF Accounts (<i>Month upto which posting is completed:- QE:Mar - posting upto Jan, QE June - posting upto - April, QE: Sep-Posting upto Jul, QE: Dec-Posting upto-Oct.</i>)	Nil Arrears - A-5	Internal			
		Upto 1 month - B-3		5		
		More than 1 month - C-1				

Sl. No.	Function: GPF, item-wise grading	Parameters for Grading (A, B, C & C=0 if no activity takes place in particular item/area)	Internal or External factors	Points	Total Group Points	Points awarded
	Quality of accounts as evidenced by low levels of Missing Items, Unposted Items and minus balance cases etc.					
3 (a)	Clearance of Missing Credits. (no. of missing credits and no. of UP items-Cr. at the beginning of each quarter and closing of each quarter may be given here)	Annual target 80 % and above of OB at the beginning of the year (qtr. Target 20% and above of OB) - A-5	Internal	5		
		60% and below 80% - B-3				
		Below 60 % - C-1				
3 (b)	Clearance of Missing Debits. (no. of missing debits and no. of UP items-Dr at the beginning of each quarter and closing of each quarter may be given here) (Annual targets 80% and above of the OB at the beginning of the year) quarterly target 20% of OB)	80% and above : A-5				
		60% and below 80% - B-3	External	5		
		Below 60% - C-1				
4 (a)	Clearance of PF Suspense (Credit) (Total amount of PF Suspense (Cr.) created during the quarter on account of adjustment of missing credits. Amount of PF Suspense (Cr.) cleared during quarter and balance amount left for clearance at the end of Qr..)	Clearance of 100 % PF Suspense (Cr.) amount - A-5	Internal			
		Below 100% to 80% of PF Suspense (Cr.) amount- B-3		5		
		Below 80% - C-1				
4 (b)	Clearance of PF Suspense (Dr.) (Total amount of PF Suspense (Dr.) created during the quarter on account of adjustment of missing debits. Amount of PF Suspense (Dr.) cleared during quarter and balance amount left for clearance at the end of Qr.)	Clearance of 100 % PF Suspense (Dr.) amount - A-5				
		Below 100% to 80% of PF Suspense (Dr.) amount- B-3	Internal	5		

Sl. No.	Function: GPF, item-wise grading	Parameters for Grading (A, B, C & C=0 if no activity takes place in particular item/area)	Internal or External factors	Points	Total Group Points	Points awarded
		Below 80% -C-1				
5	Clearance of Minus Balance cases (A/B/C = 5/3/1)	Annual target 80 % and above of OB at the beginning of the year (qtr. Target 20% and above of OB) - A		5		
		70% and below 80% - B				
		Below 70% - C				
Grievances and their timely redressal						
6	Disposal of complaint cases (<i>within One month</i>) (A/B/C = 5/3/1)	Disposal 100% - A				
		90% and below 100% -B	Internal	5		
		Below 90% - C				
7	Information to subscribers through website.(a) Is there provision for viewing GPF balances, MCs, Final payment etc. by subscribers online? (b) Are subscribers being intimated through SMS regarding monthly credit/debit/Final Payment? Total number of GPF subscribers -----& total number of subscribers registered for SMS -----(%). (A/B/C =	If both provisions available: A	Internal/External (for SMS)			
				5		
		If only online access available: B				

Sl. No.	Function: GPF, item-wise grading	Parameters for Grading (A, B, C & C=0 if no activity takes place in particular item/area)	Internal or External factors	Points	Total Group Points	Points awarded
	5/3/1)	If only SMS facility Available : C				
	Timeliness in maintenance of GPF Accounts					
8 (a)	Timely closing of GPF Accounts (<i>By due date for closure of March (Sy) accounts</i>) (A/B/C = 5/3/1) to be graded once in a year.	No delay - A	Internal			
		Delay upto 1 month - B		5		
		Above 1 month - C				
8 (b)	Timely dispatch of Annual GPF slips (<i>By 31 July</i>) (A/B/C = 5/3/1) to be graded once in a year.	No delay in dispatch - A				
		Delay upto 1 month - B	Internal	5		
		Above 1 month - C				
	ADDITIONAL PARAMETER (GENERAL PROVIDENT FUND)					
9	Digitization of GPF records (<i>quantum of records to be digitized-Annexure</i>). If the office has completed the digitization work in a particular quarter then no grading may be given in subsequent quarter. If office has yet not initiated work for this item, office may be graded as C=0. (A/B/C = 5/3/1)	60% and above : A	Internal			
		30% and below 60%: B		5		
		Below 30%: C				

Sl. No.	Function: GPF, item-wise grading	Parameters for Grading (A, B, C & C=0 if no activity takes place in particular item/area)	Internal or External factors	Points	Total Group Points	Points awarded
10	Total number of GPF subscribers -----& total number of subscribers registered for SMS -----(%).	80% and above : A-20	Internal	20		
		60% and below 80%: B-15				
		Below 60%: C-10				
		Below 30 % will be graded as zero				
11	Annual Review of GPF Accounts	If completed within 3 months after dispatch of Annual Account slips - A-5	Internal	5		
		Between 3 to 6 months - B-3				
		Above 6 months - C-1				
TOTAL POINTS				100		
INTERNAL POINTS				85		
EXTERNAL POINTS				15		

III. Pension and Gazetted Entitlement functions

Sl. No.	Item-wise grading	Parameters for Grading (A, B, C & C=0 if no activity takes place in particular item/area)	Internal or External factors	Points	Total Group Points	Points awarded
Function: PENSION						
Timely authorisation of Original Pension, Family Pension and Revision of Pension cases.						
1	Clearance of Original Pension cases (<i>within one month</i>). <i>Timely receipt and complete cases are to be taken in the receipt of Original Pension cases during quarter. Total no. of Pension cases received during quarter: _____, no. of Cases received late: _____, No. of incomplete cases: _____ which have been kept on hold due to wanting documents from DDOs. PAG/AG may ensure that documents leading to incomplete/defective cases are called for from DDOs within 5 working days from date of receipt of case. Grading 15/10/05 (A/B/C)</i>	95% and above - A-30				
		85% and below 95% - B-20	Internal	30		
		Below 85% - C-10				
2	Clearance of Revision cases (<i>within one month</i>). <i>Timely receipt and complete cases are to be taken in the receipt of Revision Pension cases during quarter. Total no. of Revision Pension cases received during quarter: _____, no. of Cases received late: _____, No. of incomplete cases: _____ which have been kept on hold due to wanting documents from DDOs. PAG/AG may ensure that documents leading to incomplete/defective cases are called for from DDOs within 5 working days from date of receipt of case. Grading 15/10/05 (A/B/C)</i>	90% and above - A -30				
		80% and below 90% - B-20	Internal	30		
		Below 80% - C-10				
Timely redressal of complaint cases indicate better and improved services to Pensioners.						
3	Disposal of complaint cases (<i>within One month</i>). <i>5/03/01 (A/B/C). If there is nil complaint case during</i>	Disposal 100% - A-5	Internal	5		
		90% and below 100% - B-3				

Sl. No.	Item-wise grading	Parameters for Grading (A, B, C & C=0 if no activity takes place in particular item/area)	Internal or External factors	Points	Total Group Points	Points awarded
	<i>the quarter, office may be graded as A=5.</i>	Below 90% - C-1				
4	Information to Pensioners. (a) Is there provision for viewing status of pension online? (b) Are Pensioners being intimated through SMS regarding status of pension cases etc.? Grading 5/03/01 (A/B/C)	If both provisions available: A-10				
			Internal	10		
		If only online access: B-6				
		If only SMS facility Available : C-4, if none either online or SMS then C-0				
ADDITIONAL PARAMETER (PENSION)						
5	Digitization of pension records (<i>quantum of records to be degitized-Annexure</i>) <i>If the office has completed the degitization work in a particular quarter then no grading may be given in subsequent quarter. If office has yet not initiated work for this item, office may be graded as C=0. Grading (A/B/C = 5/3/1)</i>	60% and above : A-5	Internal	5		
		30% and below 60%: B-3				
		Below 30%: C-3				
6	Registration of Pensioners for intimation through SMS. Total number of Pensioners/Pension cases during Quarter -----& total number of Pensioners registered for SMS -----(%) during the quarter. Grading (A/B/C = 20/15/10)	If 80% and above pensioners registered :A-20	External/Internal	20		
		60% and below 80% : B-15				
		Below 60% : C-10 & if registration is below 30% -C-0				
TOTAL POINTS			100			
INTERNAL			90			
EXTERNAL			10			

Sl. No.	Item-wise grading	Parameters for Grading (A, B, C & C=0 if no activity takes place in particular item/area)	Internal or External factors	Points	Total Group Points	Points awarded
	GAZETTED ENTITLEMENT FUNCTIONS					
	Timeliness					
1	Issue of pay slips <i>within One Month</i> (increments, leave salary, promotion, pay revision, suspension, special authorisation, re-employment, transfer, continuous sanciton, allowances, retrospective regularisation of period of absence, deputation - pay intimation (<i>data in Annexure S-2</i>). <i>Grading 15/10/05 (A/B/C)</i>	100 % - A-30		30		
		Below 100% to 90% : B-20	Internal			
		Below 90% - C-10				
2	Efficient internal processing leading to timely preparaiton of History of Service <i>within One Month</i> . <i>Grading 15/10/05 (A/B/C)</i>	95% and above - A-30		30		
		85% and below : 95% : B-20	Internal			
		Below 85% - C-10				
3	Disposal of complaint cases <i>within One Month</i> . <i>Grading (A/B/C = 5/3/1)</i> . <i>If there is nil complaint case during the quarter, office may be graded as A=5.</i>	100%: A-5		5		
		90% and below 100%: B-3	Internal			
		Below 90%: C-1				
	Other Parameters	Better Services to GE Officers				
4	Informaiton to Gazatted Officers through website (a) Provision for viewing payslips on website (b) Provision of SMS alerts. <i>Grading (A/B/C = 5/3/1)</i> .	If both provisions available: A-10	Internal	10		
		Either online Access or SMS facility available: B-6				
		None : C-0				
5	Digitization of GE Records (<i>quantum of records to be degitized-Annexure</i>) <i>Grading (A/B/C = 5/3/1)</i> .	60% and above: A-5		5		
		30% to below 60%: B-3	Internal			
		Below 30%: C-1				
6	Registration of Officers for intimation through SMS. Total number of GE officers -----& total number of GE	If 80% and above Officers registered :A-20		20		

Sl. No.	Item-wise grading	Parameters for Grading (A, B, C & C=0 if no activity takes place in particular item/area)	Internal or External factors	Points	Total Group Points	Points awarded
	officers registered for SMS -----(%). Grading (A/B/C = 5/3/1).	60% and below 80% : B-15	External/Internal			
		Below 60% : C-10 and if registration is below 30 per cent then grading C-zero				
TOTAL POINTS			100			
INTERNAL			90			
EXTERNAL			10			

Overall Total score

Function	Maximum Score (Internal Only)	Score Obtained (Internal Only)
Accounts	174	
GPF functions	85	
Pension functions	90	
Gazetted Entitlement functions	90	
TOTAL	439	
NORMALISED SCORE	100	

Annexure III

Framework for assessment of Audit Offices

	Parameters		Data	Applicable Sub-Grp Wt.	Applicable Grp. Wt.	Group Wt.	Sub-sub Grp Wt.	Sub-Sub Grp Marks	Scoring Methodology
A	Completion of Annual Audit Plan					15			Points are to be allotted for percentage of completion for units covered vs. total
	1	No. of units planned							
	2	No. of units audited							
	3	%Completion							
		Score for Group (A)							
B	Timeliness in sending Report Material to HQ/Lead Office (only for first journey)					50			In respect of Points relating to PAs/TAs, the scoring will be done by considering the PAs/TAs that are due for first journey as per schedule approved by the Headquarters during each of the three financial years (2019-20, 2020-21,2021-22) irrespective of the year in which the PA/TA had been approved. This methodology would factor in instances of deferment and rollovers approved by the competent authority. While the statistics pertaining to the financial years 2019-20, 2020-21 and 2021-22 will be taken
	<i>If applicable? (Enter Yes/No)</i>								
	1	Performance Audits (150 points per PA)							
	a	No. submitted in Time (as per approved Schedule)					100%	-	
	b	No. submitted with delay upto 15 days					96%	-	
	c	No. submitted with delay between 16-45 Days					85%	-	
	d	No. submitted with delay between 46-75 Days					70%	-	
	e	No. submitted with delay more than 75 Days					50%	-	
	f	No. NOT submitted					0%	-	
	g	Total No. submitted							
	h	%Timely completion							
	i	Score for Sub-Group B(1)							
	2	Thematic Audits (70 points per TA)							
	a	No. submitted in Time (as per approved Schedule)					100%	-	

	Parameters		Data	Applicable Sub-Grp Wt.	Applicable Grp. Wt.	Group Wt.	Sub-sub Grp Wt.	Sub-Sub Grp Marks	Scoring Methodology
	b	No. submitted with delay upto 15 days					96%	-	for assigning scores in the audit matrix, only in respect of Point relating to Compliance audit paras, the statistics would be based on the material processed for the reports for the years ending March 2019, March 2020 and March 2021. Total Marks to be distributed amongst PA, TA and CA in proportion to the efforts calculated as 150 points per PA, 70 points per TA, and 10 points per CA. For every PA/TA/CA sent as per timelines - 100% Marks
	c	No. submitted with delay between 16-45 Days					85%	-	
	d	No. submitted with delay between 46-75 Days					70%	-	
	e	No. submitted with delay more than 75 Days					50%	-	
	f	No. NOT submitted					0%	-	
	g	Total No. submitted							
	h	%Timely completion							
	i	Score for Sub-Group B(2)							
	3	Compliance Audit Paras (10 points per DP)							
	a	No. submitted in Time (as per approved Schedule)					100%	-	
	b	No. submitted with delay upto 15 days					96%	-	For every PA/TA/CA sent with delay up to 15 Days- 96% Marks
	c	No. submitted with delay between 16-45 Days					85%	-	For every PA/TA/CA sent with delay between 16-45 Days- 85% Marks
	d	No. submitted with delay between 46-75 Days					70%	-	For every PA/TA/CA sent with delay between 46-75 Days- 70% Marks
	e	No. submitted with delay more than 75 Days					50%	-	For every PA/TA/CA sent with delay more than 75 Days- 50% Marks
	f	No. NOT approved for the Audit Report during the preceeding year					-100%	-	For every PA/TA/CA NOT sent- Nil Marks
	g	Total No. submitted							For CA paras only, for
	h	%Timely completion							
	i	Score for Sub-Group B(3)							
		Score for Group (B)							

	Parameters		Data	Applicable Sub-Grp Wt.	Applicable Grp. Wt.	Group Wt.	Sub-sub Grp Wt.	Sub-Sub Grp Marks	Scoring Methodology
									every CA sent, but not approved for the Audit Report - penalty of 100% Marks
C	Adherence to schedule for sending Audit Reports to President/Governor for tabling in Parliament/State Legislature					10			For reports that are sent for tabling in Parliament/Legislature before commencement of the session, score of 100% will be awarded. For reports that are sent for tabling in Parliament/State Legislature after commencement but during the session, score of 50% will be awarded. Score of 25% may be awarded for those reports that could not be sent for tabling before commencement or during the session but Bond copies of which were approved by CAG atleast one month before commencement of the session. No points will be awarded for delay beyond this period.
	<i>If applicable? (Enter Yes/No)</i>								
	1	No. of reports targeted for laying in Parliament/State Legislature during the year							
	2	No. of reports sent to President/Governor for tabling in the Parliament/State Legislature before commencement of the targeted session					100.00 %	0	
	3	No. of reports sent to President/Governor for tabling in the Parliament/State Legislature after commencement of but during the targeted session					50.00%	0	
	4	No. of reports not sent to President/Governor for tabling in the Parliament/State Legislature before commencement of/during the targeted session but the Bond Copies of which were approved by CAG atleast one month before commencement of the targeted session					25.00%	0	
	5	No. of reports not meeting any of the criteria mentioned at C(2) to C(4) above					0.00%	0	
	6	% Timely completion							
	Score for Group (C)								

	Parameters		Data	Applicable Sub-Grp Wt.	Applicable Grp. Wt.	Group Wt.	Sub-sub Grp Wt.	Sub-Sub Grp Marks	Scoring Methodology
D	Issuance of Inspection Reports					30			For every IR issued as per timelines - 100% Marks For every IR issued with delay up to 15 Days- 60% Marks For every IR issued with delay more than 15 Days- Nil Marks For every IR NOT issued- penalty of 100% Marks
	<i>If applicable? (Enter Yes/No)</i>								
	1	Timeliness in issuance of IRs							
	a	No. planned in AAP							
	b	No. submitted in time (within 30 days)				100%	-		
	c	No. submitted with delay upto 15 days				60%	-		
	d	No. submitted with delay more than 15 Days				0%	-		
	e	No. NOT submitted				-100%	-		
	f	%Timely completion		95					
	g	Score for sub-Group D(1)							
	2	Penal Provision for IRs with Nil observations							Penalty applicable for issuance of Nil observation IRs in High-Risk units If No Nil IRs - no penalty If Nil IRs less than 5% of High-risk units - penalty of 5 Marks If Nil IRs less than 10% of High risk units - penalty of 12 Marks If Nil IRs less than 15% of High risk units - penalty of 25 Marks If Nil IRs more than 15% of High risk units - penalty of 40 Marks
	a	No. of IRs issued for High-Risk units							
	b	No. of IRs issued for High-Risk units with Nil observations							
	c	%age IRs with Nil Observations for High Risk units							
	d	Score for sub-Group D(2)							Points to be allotted for percentage of IRs reviewed
	3	Review by HoDs							

	Parameters		Data	Applicable Sub-Grp Wt.	Applicable Grp. Wt.	Group Wt.	Sub-sub Grp Wt.	Sub-Sub Grp Marks	Scoring Methodology
	a	No. of IRs issued							by HOD vs. number of IRs due for HOD review.
	b	No. of IRs required to be reviewed (as per Compliance Audit Guidelines)							
	c	No. of IRs reviewed by HoD							
	d	%Completion		5					
	e	Score for sub-Group D(3)							
		Score for Group (D)							
E	Follow up of Audit - Meetings of Audit Committees for settlement of outstanding Inspection Reports and paras					20			Scoring is based on the number of Audit Groups in the office that held audit committee meetings for settlement of outstanding Inspection reports and paras.
	<i>If applicable? (Enter Yes/No)</i>								
	1	Total No. of Audit Groups in the office							
	2	No. of Audit Groups that held atleast 4 meetings during the year					100%		
	3	No. of Audit Groups that held 2 to 3 meetings during the year					50%		
	4	No. of Audit Groups that held 1 meeting during the year					25%		
	5	No. of Audit Groups that held no meetings during the year					0%		
	6	% Compliance		10					
		Score for Group (E)							
F	Implementation of OIOS					20			Scoring is based on the extent to which each criterion is fulfilled. For achievement of 100% of the criterion, score of 100 % will be awarded. For achievement of up to 50%
	<i>If applicable? (Enter Yes/No)</i>								
	1	Percentage of field audits conducted through OIOS							
	a	Total number of audits conducted in the							

	Parameters		Data	Applicable Sub-Grp Wt.	Applicable Grp. Wt.	Group Wt.	Sub-sub Grp Wt.	Sub-Sub Grp Marks	Scoring Methodology
		year							of criterion fulfilled, score of 50% will be awarded. For achievement of up to 25% of criterion fulfilled, score of 25% will be awarded. For less than 25% of criterion fulfilled, score of 0% will be awarded.
	b	Number of field audits conducted through OIOS							
	c	Score for sub-Group F(1)		40					
	2	Extent of issue of Inspection Reports through OIOS							
	a	Number of compliance audits conducted during the year							
	b	Number of Inspection Reports issued through OIOS							
	c	Score for sub-Group F(2)		20					
	3	Extent of using toolkit functionality of OIOS							
	a	Number of Performance Audits/Thematic Audits executed during the year							
	b	Number of Performance Audits/Thematic Audits executed by using toolkit							
	c	Score for sub-Group F(3)		20					
	4	Extent of using ADM and audit finding matrix functionality							
	a	Number of Performance Audits/Thematic Audits executed during the year							
	b	Number of Performance Audits/Thematic Audits executed by using ADM and audit finding functionality							
	c	Score for sub-Group F(4)		10					
	5	Extent of filling up of Auditee Information system							

	Parameters		Data	Applicable Sub-Grp Wt.	Applicable Grp. Wt.	Group Wt.	Sub-sub Grp Wt.	Sub-Sub Grp Marks	Scoring Methodology
	a	Number of Ministries/Departments under audit jurisdiction							
	b	Number of Ministries/Departments for which Auditee Information System has been filled							
	c	Score for sub-Group F(5)		10					
		Score for Group (F)							
G	Timeliness in finalisation of Accounts (only for first journey)					30			Total Marks to be distributed amongst categories for Accounts of Corporations, Companies, and Autonomous Bodies in proportion to their numbers. Timelines for submitted comments on Accounts to Headquarters are as follows: Corporations - 70 Days, Companies - 45 Days, Autonomous Bodies - 90 Days For every Accounts sent as per timelines - 100% Marks For every Accounts sent with delay - penalty of 100% Marks
	<i>If applicable? (Enter Yes/No)</i>								
	1	Accounts for Corporations (10 points per account)							
	a	No. of Accounts Received							
	b	No. submitted in time (within 70 days) to HQ					100%	-	
	c	No. submitted with delay					-100%	-	
	d	%Timely completion							
	e	Score for Sub-Group G(1)							
	2	Accounts for Companies (10 points per account)							
	a	No. of Accounts Received							
	b	No. submitted in time (within 45 days) to HQ					100%	-	
	c	No. submitted with delay					-100%	-	
	d	%Timely completion							
	e	Score for Sub-Group G(2)							
	3	Accounts for Autonomous Bodies (10							

	Parameters	Data	Applicable Sub-Grp Wt.	Applicable Grp. Wt.	Group Wt.	Sub-sub Grp Wt.	Sub-Sub Grp Marks	Scoring Methodology
	points per account)							
	a	No. of Accounts Received						
	b	No. submitted in time (within 90 days) to HQ				100%	-	
	c	No. submitted with delay				-100%	-	
	d	%Timely completion						
	e	Score for Sub-Group G(3)						
		Score for Group (G)						
H	Timeliness in issuing comments on Union Accounts by accredited Audit Office				15			Comments on Union Accounts - Statement of Central Transactions (SCT) and Appropriation Accounts (AA) (Stage-2) should be issued within 30 days For every IR issued as per timelines - 100% Marks For every IR issued with delay up to 10 Days- 80% Marks For every IR issued with delay between 11-20 Days- 50% Marks For every IR issued with delay between 21-30 Days- 25% Marks For every IR issued with delay more than 30 Days- Nil Marks
	<i>If applicable? (Enter Yes/No)</i>							
		<i>Union Accounts - Statement of Central Transactions (SCT) and Appropriation Accounts (AA) (Stage-2)</i>						
	1	No. of draft SCT and AA received from Accounts Rendering Bodies						
	2	No. of issuance of comments (IR) in time (within 30 days)				100%	-	
	3	No. of issuance of comments (IR) with delay upto 10 days				80%	-	
	4	No. of issuance of comments (IR) with delay between 11-20 days				50%	-	
	5	No. of issuance of comments (IR) with delay between 21-30 days				25%	-	

	Parameters		Data	Applicable Sub-Grp Wt.	Applicable Grp. Wt.	Group Wt.	Sub-sub Grp Wt.	Sub-Sub Grp Marks	Scoring Methodology
	6	No. of issuance of comments (IR) with delay more than 30 days					0%	-	
	7	%Timely completion							
	Score for Sub-Group (H)								
I	Timeliness in issuing comments on State Accounts by State Audit Office					15			Comments on State Accounts - Draft Finance Accounts Statements and Appropriation Accounts (AA) should be issued within 12 days For every IR issued as per timelines - 100% Marks For every IR issued with delay up to 05 Days- 80% Marks For every IR issued with delay between 06-10 Days- 50% Marks For every IR issued with delay between 11-15 Days- 25% Marks For every IR issued with delay more than 15 Days- Nil Marks
	<i>If applicable? (Enter Yes/No)</i>								
	<i>State Accounts - Draft Account Statements and Appropriation Accounts (Grants)</i>								
	1	No. of draft Accounts Statements and Grants Statement from AG(A&E) Office							
	2	No. of issuance of comments (IR) in time (within 12 days)					100%	-	
	3	No. of issuance of comments (IR) with delay upto 05 days					80%	-	
	4	No. of issuance of comments (IR) with delay between 06-10 days					50%	-	
	5	No. of issuance of comments (IR) with delay between 11-15 days					25%	-	
	6	No. of issuance of comments (IR) with delay more than 15 days					0%	-	
	7	%Timely completion							

	Parameters		Data	Applicable Sub-Grp Wt.	Applicable Grp. Wt.	Group Wt.	Sub-sub Grp Wt.	Sub-Sub Grp Marks	Scoring Methodology
	<i>Score for Sub-Group (I)</i>								
J	Timeliness in finalisation of State Finance Audit Report/ Report on Union Accounts (only for first journey)					15			<p>This parameter is regarding sending State Finance Audit Report Material/ Report on Union Accounts to Headquarters (first journey only) For Report material sent as per timelines - 100% Marks For Report material sent with delay up to 15 Days- 80% Marks For Report material sent with delay between 16-30 Days- 50% Marks For Report material sent with delay between 30-45 Days- 25% Marks For Report material sent with delay more than 45 Days- Nil Marks Delay in submission of Report Material on account of delays in receiving Grants Statements and NTA on Finance Accounts may be adjusted accordingly.</p>
	<i>If applicable? (Enter Yes/No)</i>								
	1	Due Date of receiving Last draft Grants Statement from Accounts Rendering Bodies							
	2	Actual Date of receiving Last draft Grants Statement from from Accounts Rendering Bodies							
	3	Due Date for Submission of Draft Final NTA by Accounts Rendering Bodies							
	4	Actual Date for Submission of Draft Final NTA by Accounts Rendering Bodies							
	5	Due Date of submission of Report material to Headquarters							
	6	Actual Date of submission of Report material to Headquarters							
	7	Delay in sending Report Material to Headquarters (in days)							
	8	%Timely completion							
	<i>Score for Group (J)</i>								

	Parameters			Data	Applicable Sub-Grp Wt.	Applicable Grp. Wt.	Group Wt.	Sub-sub Grp Wt.	Sub-Sub Grp Marks	Scoring Methodology
OVERALL SCORE										
OVERALL TOTAL										
NORMALISED SCORE						100				

Annexure IV

Framework for assessment of Regional Training Institutes/Centres

Part 1: Self-Assessment to be done by RTIs

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

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

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

Part 2: Assessment to be done by User Offices

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

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

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

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

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