INDIAN AUDIT AND ACCOUNTS DEPARTMENT

लोकहितार्थ सत्यनिष्ठा
Dedicated to Truth in Public Interest

Chinar Chronicles

Newsletter of Regional Training Institute, Jammu

From the Director General's Desk

Dear Reader,

I am happy to share with you the Annual Newsletter of the Regional Training Institute, Jammu for the year 2020-21.

Our RTI Team brought out the first newsletter in the history of the Institute in March 2020. A mid-year autumn newsletter was then brought out in September 2020. Both these newsletters were well received and our team is thankful to all colleagues who wrote in or spoke to us and expressed their appreciation and support.

The year 2020-21 was a watershed not only in terms of the public health crisis we faced due to the pandemic, but also because the working of the RTI was transformed, with changes that would have taken at least a few years, literally happening overnight. The transition to online trainings and the work done to familiarize our trainees, and also some of our faculty, with the modalities of using online video conferencing platforms took considerable effort and handholding. However, by the end of this year, positive changes were evident with online trainings gaining in vibrancy in their interactions and the participants' comfort with technology becoming more evident.

In the midst of the challenging work environment, characterized by rotational attendance, remote work and social distancing constraints, our RTI team buckled down and focused on delivering new initiatives in training and knowledge work and in upgrading the facilities and environs of the RTI.
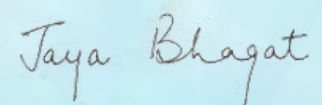
Preparation of case studies, research papers and conduct of trainings, workshops and an internship programme filled up this year, now in its closing phase. Talks for collaboration were initiated with the College of Defence Management, Secunderabad and an MOU has been signed that will add considerable value to our defence audit trainings and related knowledge work. The establishment of long term assets and facility improvements for the RTI, such as a nursery of medicinal plants and adaptation of hostel rooms for the differently abled, were successfully completed.

Over the past two years (2019-21), RTI Jammu has introduced several new initiatives and good practices both in our training and knowledge work and in the administration of the RTI and maintenance of its campus. These initiatives are outlined in the newsletter.

Eden Phillpotts wrote 'the universe is full of magical things, patiently waiting for our wits to grow sharper.' I am proud of the RTI team for their spirit of exploration in the sphere of knowledge and training work. I deeply appreciate their hard work, cooperation and their openness to new ideas and the learning that accompanies these.

I would also like to convey my gratitude and warmest thanks to Headquarters' Office and our user offices for their constant support to and cooperation with the Institute in all our endeavours.
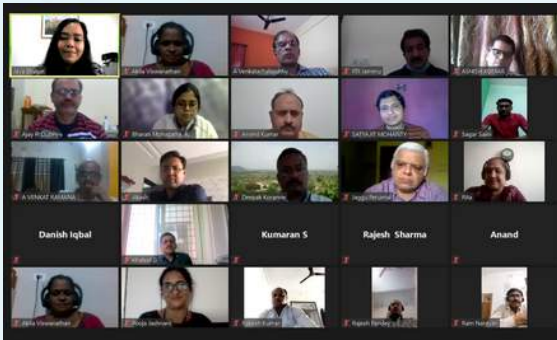
Best regards,

Jaya Bhagat

Jaya Bhagat

Chinar Chronicles

Contents

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Courses

The Institute imparted training to 801 officers/officials on various topics and skills during the year through 17 online courses/workshops.

All-India Workshop on 'Responsible AI and Data Analytics' being conducted online

The above courses included 9 All India courses conducted upto 31-03-2021 including two all India workshops on 'Responsible AI and Data Analytics' conducted in July 2020 and March 2021 in collaboration with the Indian Institute of Technology, Jammu and an all India training course on Audit of Regulatory Bodies conducted in February 2021 which were also attended by 48 IA&AS officers.

The details of training courses conducted during the year are as under:

Type of Course	No. of courses	No. of trainees
General	14	310
Information Systems	3	491
Total	17	801

Eminent experts including professors from IIT Jammu and Jammu University, senior officers of the Securities and Exchange Board of India, Tarrif Authority of Major Ports, Commercial Tax Department, J&K and Commander Works Engineer, Jammu from the Military Engineer Services were also invited for delivering lectures.

RTI Jammu's Knowledge Centre covers 4 main themes viz.

1. Defence Audit
2. Audit of Regulatory Bodies
3. New Technology and Skills for the Knowledge Economy
4. Domain Knowledge in Governance in Sectors

The work done by the Knowledge Centre is covered in a separate section in this newsletter

Annual Meeting of the Regional Advisory Committee

The Annual Meeting of the Regional Advisory Committee (RAC) for the year 2020-21 was held on 25.02.2021 through Video Conferencing to discuss the follow-up action on the decisions taken in the mid-year RAC meeting held on 30.09.2020 and also to discuss the proposed Calendar of Training Programs for the year 2021-22.

Annual Roundup

The meeting was attended by the following members of the RAC/nominated officers/ special invitees viz. heads of branch offices:

1. Ms. Ila Singh, Principal Accountant General (Audit), Jammu, Kashmir and Ladakh (Chairperson)
2. Sh. Satish Kumar Garg, Principal Accountant General (A&E), HP, Shimla
3. Ms. Jaya Bhagat, Director General, RTI, Jammu (Member Secretary)
4. Sh. Sanjay Kumar, Director General (Defence), HQ, New Delhi
5. Sh. Hoveyda Abbas, Accountant General (A&E), Punjab
6. Sh. Sushil Kumar Thakur, Principal Director of Audit (Central), Chandigarh
7. Ms. Vinita Mishra, Accountant General (A&E), Haryana
8. Sh. Tsewang Tharchin, Sr.DAG(Admn), O/o Accountant General (Audit), Jammu, Kashmir and Ladakh
9. Ms. Monica Gaur, Director, O/o DGADS, Chandigarh
10. Sh PCS Negi, Director, O/o DGADS, New Delhi (KC)
11. Ms. Priyati Kawdo, Director, NAAA, Shimla
12. Sh. Dhruv Bhola, Deputy Director, O/o Principal Director of Audit (AF&WR), New Delhi at Chandigarh
13. Sh. Sushant Ranjan, DAG(Admn), O/o Principal Accountant General (Audit), HP, Shimla
14. Sh. Ravinder Singh, DAG, O/o Principal Accountant General (Audit), Punjab
15. Sh. Ranjeet Singh, DAG, O/o Principal Accountant General (A&E), Jammu& Kashmir
16. Sh. Ravi Nandan Garg, Deputy Director, F&C(Audit) office, Kapurthala (BO)
17. Sh. K.S. Narasimha Prasad, DAG(Admn), O/o Principal Accountant General (Audit), Haryana
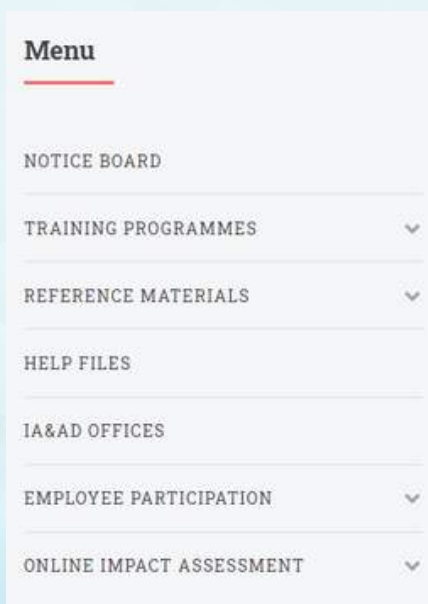

Annual Meeting of the Regional Advisory Committee

Annual Roundup

The System Automation Initiative (SAI) Training Project

The System Automation Initiative (SAI) Training project is being implemented by the RTI Jammu in 2019-2021. The phase 1 was rolled out on schedule, in January, 2020, after the project's initiation in September, 2019.The Phase 1 implemented Courses and Course Modules including COTP, Nominations, Feedback- session and course, Absentee Report, Certificate generation, Registration of User Profiles, Creation of Faculty database, Sharing of course schedule and course material with participants, automatic slot intimation to user offices and intimation to participants.

The project was successfully rolled out with the active cooperation of user offices with nodal teams coordinating with the RTI, Jammu's SAI team. The Phase II of the project, scheduled for completion in

October, 2020 (originally scheduled in June-July, 2020 but had to be deferred due to Covid 19 pandemic) includes the following modules viz. Training Needs Analysis(TNA), PDP nomination (tested by RTI Jammu with the SAI team), Impact Evaluation, Legacy data, Training history/database, Training gap analysis etc. The Project Board overseeing the project consists of DG RTI, Mumbai (Chair), DG RTI, Jammu, DGA (Central Railway-Member Secretary), Director, RTC-Delhi and Director, RTC, Bengaluru. RTI Jammu has proactively coordinated with its user offices to test new modules, conduct pilots and ensure adoption of the SAI Training Application. The Institute suggested new MIS reports to the SAI Core team for incorporating in the Application or improvements/changes in other reports and modules.

The Project Board approved the suggestions and feedback given by RTI Jammu, with regard to incorporation of the Performance Monitoring Framework in the application. An MIS report i.e. Office Wise Slot utilization report, which was incorporated after this Institute's suggestion was considered important for extraction of the statistical data required by the Headquarters' office frequently. Also, this Institute brought to light certain other statistical discrepancies in the SAI Application, after continuously testing the different modules of the Application. The discrepancies were shared with the Team lead, SAI Application and after continued interaction and follow up, these statistical discrepancies have either been removed from the Application or the SAI

Annual Roundup

core team is working on removing them.

The SAI Training Application, with both phases successfully completed and security audit done, has been handed over to the Headquarters' Training wing on 30th December, 2020 for management.
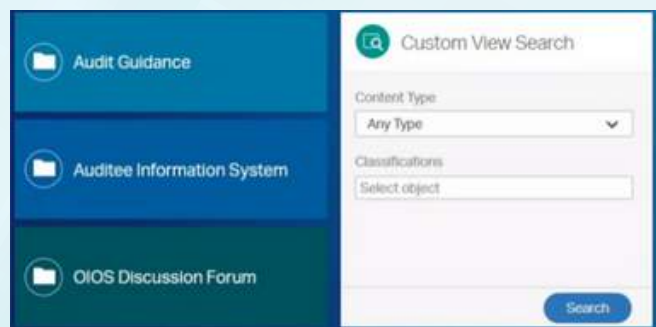
One IAAD One System - OIOS

One IAAD One System (OIOS) is a customized end-to-end IT System for the entire IA&AD and aims to fully automate the entire audit process end-to-end viz. audit planning, execution, reporting and follow-up with better and real-time monitoring of the audit process, especially audit execution.

OIOS includes a Knowledge Management System (KMS) that would act as a platform to maintain a repository of documents, media, audit checklists, audit toolkits, and structured data relating to auditable entities.

RTI, Jammu, is responsible for handholding of its user offices for adopting the OIOS and would act as a Functional Helpdesk. A Soft Launch of OIOS for the Office of the Principal Accountant General (Audit), Haryana and five other pilot offices across the department was undertaken by Headquarters' office in July-August 2020.

Three user offices of RTI Jammu viz. Office of the Principal Accountant General (Audit), Punjab, Office of the Principal Accountant General (Audit), Himachal Pradesh and Branch Office F&C Audit, Kapurthala are amongst the 65 nodal offices for which the process of on-boarding on OIOS is ongoing.

Annual Roundup

Administration related initiatives

Nursery

The RTI Jammu is located in an urbanized sprawl environment with the Akhnoor highway passing near the office, thus, rendering the environment quite polluted with ongoing construction work and vehicle movement. With a view creating a long lasting asset for the RTI and also ensuring the further greening of the office premises, an initiative for planting of tall shrubs/trees and foundation and extension of a medical/herbal nursery in the office premises was continued in this quarter. Tall shrubs such as Neem, Amla, Arjunchal, Bhera, Harad, Phalsa and Putren jeeva roxburghi were purchased from the Indian Institute of Integrative Medicines, Jammu and in consultation with the state floriculture department and the IIIM team. These tall shrubs have been planted around the office building and the badminton court. Other medicinal plants in the nursery have been labeled and planted in individual planters.

Picture Credit : DG, RTI, Jammu

The RTI also continues to maintain a green plot of land adjacent to the hostel building within the campus which attracts birds (Himalayan bulbul, Pahari mynah, eagles, kites, rufous treepie, etc.) and other fauna. A proposal to develop the green plot as a jogger's park has been approved by Headquarters' office in 2017.

Picture Credit : DG, RTI, Jammu

Picture Credit : birdsoftheworld.org

Annual Roundup

Administration related initiatives

Preventive measures against the spread of the pandemic

The primary focus of the past year (since March 2020) has been on ensuring the proper sanitization and cleanliness of the Institute office and hostel space, so as to prevent the spread of the Covid 19 pandemic. Office space was reorganized so as to ensure social distancing norms and adequate ventilation were followed and regular temperature checks and wearing of masks were made mandatory. WHO, Ministry of Health and Family Welfare and Headquarters' office Covid 19 prevention related guidance was shared with all staff. Periodic instructions are issued to all support staff in particular so that due care is taken regarding health and safety.

Upgradation of the IT infrastructure and introduction of online working practices

With all trainings of the Institute moving online, steps were taken to strengthen internetconnectivity and all RTI officials were trained in the use of online work platforms as all work (both training and administration related) was moved online.

Hostel and allied extracurricular activities

Besides daily oversight by the caretaker, a thrice weekly Physical inspection system by AAOs and Sr. AOs was in place. With a view towards ensuring the maintenance of a professional environment for all training related activities, earlier in the year, a code of conduct viz. list of 'dos & don'ts' was shared with all trainees and displayed on notice boards and CCTVs were installed on each floor of the hostel, dining room and kitchen for security purposes. Fire-fighting equipment was upgraded and a mobile phone based hostel management app was introduced so as to ensure systemization of management of hostel premises. The Institute is already a plastic free environment since September 2019.

Adaptation of hostel rooms for stay of differently abled persons

The RTI took up and completed the work relating to construction of a ramp and adaptation of a hostel room for the use and stay of differently abled persons in the RTI-Hostel.

Knowledge Centre

Defence Audit

Six all India Training Courses (on-line) were conducted for the officers/officials of Defence Audit offices.

An MOU was signed with the College of Defence Management, Secunderabad.

Case Studies

1. A case study titled "Induction and exploitation of 'A' a long range Maritime Reconnaissance Anti-Submarine Warfare aircraft", based on the Report No.9 of 2018, of the C&AG of India, Union Government (Navy and Coast Guard), prepared by this Institute was peer reviewed, approved and disseminated by Headquarters' office in December 2020. The case study shall be useful in imparting training to officers/officials of the Defence Audit branch of IAAD.

Image Credit: military-today.com

Image Credit: economictimes.indiatimes.com

Image Credit: Indian Navy Twitter handle

2. A case study on the "Performance Audit of Design, Development, Manufacture and Induction of Light Combat Aircraft (LCA)" based on the Report No.17 of 2015, C&AG of India, Union Government, Defence Services (Air Force) was peer reviewed, approved and disseminated by Headquarters' office in September 2020.

A group of DRAAOs, who underwent induction training in the Institute in 2019, had also prepared a group project and interacted with the members of the audit team that conducted the above mentioned performance audit through video conferencing.
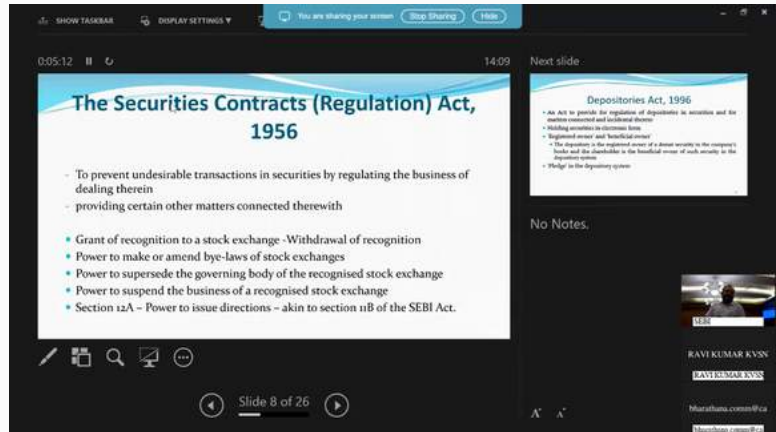
Image Credit: aviation-defence-universe.com

Knowledge Centre

Audit of Regulatory Bodies

An All-India Course on Audit of Regulatory Bodies was conducted by the Institute from 15.02.2021 to 19.02.2021 in which eminent faculty from 'Securities and Exchange Board of India' and 'Tariff Authority of Major Ports' delivered lectures. The training was attended by 43 participants that included 6 Group Officers.

Case Study

A case study titled "Activities of the Atomic Energy Regulatory Board (AERB)", based on the Report No.9 of 2012, of the C&AG of India, Union Government (Scientific Department), which was prepared by this Institute in collaboration with the office of the Principal Director of Audit (Scientific Department), New Delhi, Branch Office Mumbai was approved and disseminated by the Headquarters' office in

Image Credit: aerb.gov.in

August 2020. This is the first case study of its kind in this domain. The case study had also been piloted in the inaugural All India training course on Audit of Regulatory Bodies conducted by the Institute in February 2020 and was appreciated by the trainees in their feedback.

Image Credit: downtoearth.org.in

Knowledge Centre

Domain Knowledge in Governance in Sectors

Case study

To strengthen the knowledge base related to this theme, this Institute has been continuously interacting with the audit teams (Group Officers incharge and Sr AOs) of the user offices. During such interactions, some interesting topics were shared by these offices. The contents of the Performance Audit report on the "Preparedness for Disaster Management" (Report No.3 of 2017, C&AG of India, Government of Himachal Pradesh) shared by office of the Principal Accountant General (Audit), Himachal Pradesh was found to be an appropriate topic from the point of view of Social Sector Audit and domain knowledge and a case study was approved and disseminated by the Headquarters' office in October 2020.

The case study is expected to be useful in training the participants on domain knowledge of the sector and audit thereof.

Haphazard construction of buildings in Cemetery area of Sanjauli, Shimla, Himachal Pradesh

Image Credit: Report No.3 of 2017, C&AG of India, Government of Himachal Pradesh

The Himachal Pradesh state disaster management cell reported 161 deaths, disruption in 6 National Highways, 300 link roads, 4440 drinking water and irrigation schemes as the torrential rains & landslides paralysed Himachal Pradesh.
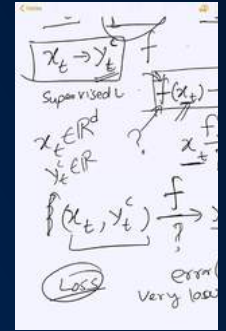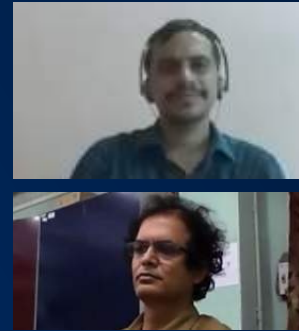*Source: outlookindia.com, 29 August 2020*
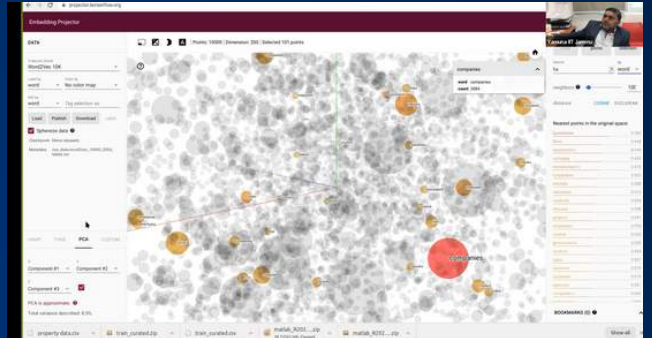

Image Credit: outlookindia.com

New Technology & Skills for the Knowledge Economy

Knowledge Centre

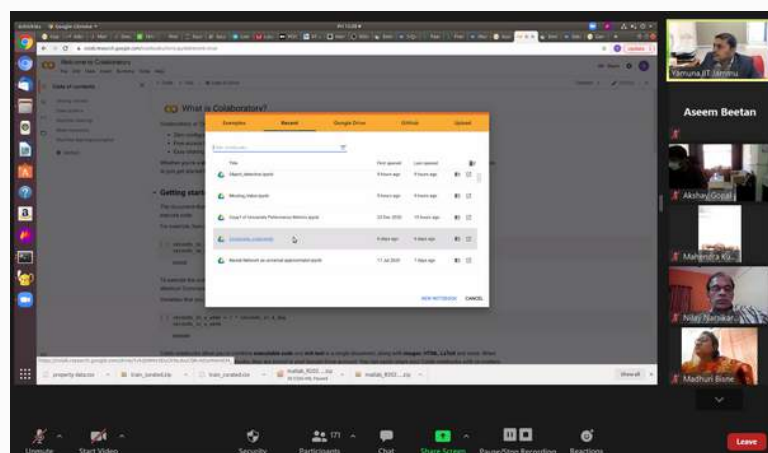## New Technology and Skills for the Knowledge Economy

RTI Jammu was allocated the Knowledge Centre theme of 'New Technology and Skills in the Knowledge Economy' in 2019-20. In order to strengthen knowledge work and training on the topic, the Institute entered into a collaborative alliance with the Indian Institute of Technology, Jammu whereunder an MoU was signed with the IIT, Jammu with proposed areas of collaboration including webinars, workshops, sourcing faculty for trainings, exploration of internships and special projects, research work etc.

All-India Workshops on Responsible AI and Data Analytics

RTI, Jammu conducted two online All India Workshops on 'Responsible AI and Data Analytics' in collaboration with the Indian Institute of Technology (IIT), Jammu in July 2020 (3.5 days) and March 2021 (2.5 days). The workshops aimed to encourage greater familiarity with & exposure to this important topic across the IAAD.

The workshops received a heartening response with more than 600 requests to participate received from offices of the IA&AD. A training cohort of around 295 officers from 86 offices/branch offices in July 2020 and 183 officers from 74 offices/branch offices in March 2021 were nominated for the training. A total number of 42 IAAS officers (Principal Director and Group Officer level), 184 Sr. AOs, 230 AAOs and 13 other officials attended the training. The Principal Director and AAOs from the Kuala Lumpur office also participated in the training in what is the first instance of officers from an office abroad being trained at an RTI.

Both the workshops covered basic and as well as advanced topics under Artificial Intelligence viz. AI and Machine Learning in Data Driven Decision Making, Data Characteristics and their Measures, Data Visualisation, Predictive Analytics using Artificial Neural Networks,
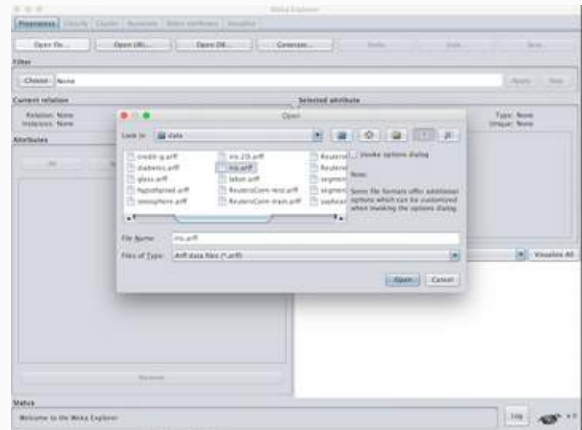

Demonstration by the faculty during the workshop

Regression Techniques in Decision Making, Man-machine Reconciliation in Decision Making, Supervised Learning and Decision Trees, Decisions under Uncertainty, Descriptive v/s Inferential Statistics in Decision Making, Unsupervised Learning in Decision Making and Forecasting Techniques.

Knowledge Centre

In addition to the lectures and mathematical explanations, the workshops also consisted of practical sessions wherein participants were introduced to Weka-a Data Mining and Machine Learning tool and to Machine Learning (ML) programming in Python programming language.

Opening a dataset in Weka

The workshops were very well received by the participants and encouraging feedback in respect of the achievement of objectives, relevance and coverage of topics was shared by the participants.

all the topics were explained with examples and covered very well.

yes the expectations from this training has been fulfilled. It was a great introduction to the world of AI and Data analytics on which I need to build upon.

Faculty were expert in the topic of training.

The efforts taken by the DG madam, faculty of RTI, Jammu and the guest lecturers of IIT, Jammu to make the participants understand rather technical terms and concepts in as easy language and way as possible.

A good opportunity to learn about the combination of New system based and mathematical approach to Data Analytics

The lecture, faculties and topics all were great.

It is relevant to the present Data driven world.

The concepts were explained in a lucid way for a heterogeneous audience keeping everyone interested.

Faculties explanation models based and their empirical explanations were excellent.

Hands on demonstration using python.

Basically two things I liked most in the training- the unfathomable knowledge level of the trainers and the coverage of topics with examples.

unusual explanations of mathematical formulae and graph for the algorithms. The working of the algorithms were so nicely explained. Usually, even in IDEA courses, only what is to be done through the software are shown. But here the background working was also explained so elaborately so that we can understand how or what are we doing to the data actually. That was a great experience.
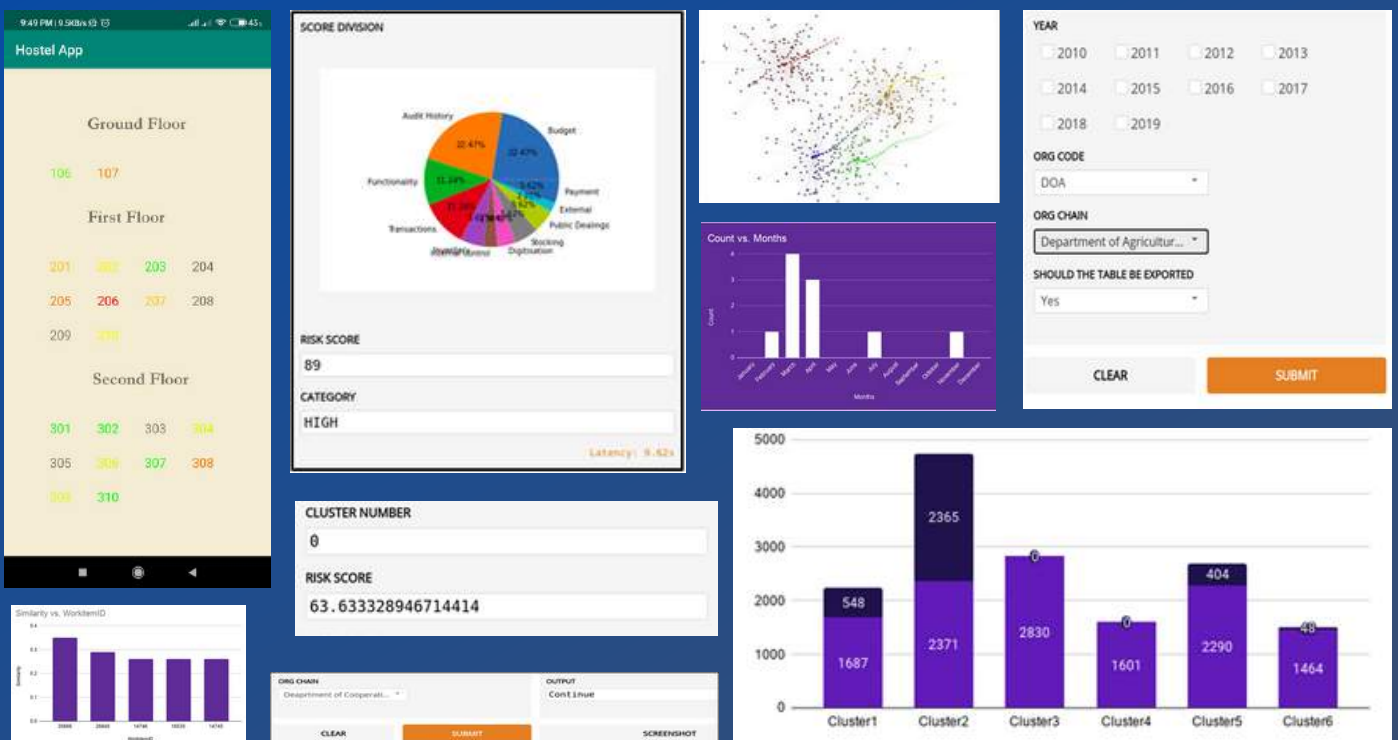
New Initiative
Internship Programme

As a part of the collaborative alliance, RTI, Jammu conducted a nine-week online internship programme for two second year B.Tech students of IIT, Jammu. This was the first such internship programme organized at a training Institute in the IAAD.

As a part of the internship, the interns worked together with the RTI team on three research projects viz

1. An in-house Hostel Management System application for training institutes - approved by the Headquarters' office and disseminated to all RTIs, NAAA Shimla, iCED & iCISA in February 2021. The source code of the application has been shared with RTI Mumbai for adoption on its request.

2. Data Analytics and Artificial Intelligence project on audit of an eProcurement System (Government of Punjab) - approved and disseminated by the Headquarters' office in December 2020.

3. Artificial Intelligence Project on Risk Categorization of auditee units (Defence Audit) - sent to the Headquarters' office in September 2020 and approval is awaited.

Screenshots of the three projects developed as part of the internship

Collaborations

Besides the collaboration with Jammu University, Indian Institute of Management (IIM), Calcutta, IIM Ahmedabad and Indian Institute of Technology (IIT) Jammu, the Institute signed an MOU with the College of Defence Management (CDM), Secunderabad. The MOU shall help strengthen defence audit trainings even further.

The areas covered under the MOU include faculty exchange for trainings, participation in workshops/seminars and common areas of research on topics such as high value acquisition contracts, project management, supply chain management, Artificial Intelligence and data analytics, Adaptive Leadership etc.

Highlights of initiatives over the last two years (February 2019 to March 2021)

1. An MOU with the Indian Institute of Technology (IIT), Jammu had been signed. This Institute is the only one to have a long term institutional relationship with an IIT in place among all training institutes in the department.
2. The RTI, Jammu is the first Training Institute to have entered into a collaborative alliance with the College of Defence Management(CDM), Secunderabad.
3. The first internship programme for B. Tech students of IIT Jammu was successfully conducted and institutionalized by the RTI team in 2020-21.
4. The first in-house and peer reviewed set of 3 technical research papers/projects using AI concepts were prepared and two of these were approved/disseminated by the Headquarters' office.
5. The first Training on Responsible AI was conducted by an RTI in 2020-21 and it was for the first time that an IAAD office abroad (PDA, Kuala Lumpur) participated in any RTI Training.
6. The first All India Course on Regulatory Bodies Audit was successfully conducted and institutionalised as an annual feature in the Calendar of Training Programmes.
7. For the first time project work was conducted and training on Officer Like Qualities (OLQ) for DR AAO probationers was imparted during the DR AAO induction training in 2019-20. The results were positive and highly appreciated by RTI Jammu's user offices.
8. The Institute worked on and finalized 3 STMs, 3 Research Papers and 7 case studies during the period from 2019-2021, thus contributing to strengthening Training material and research related knowledge work available to all RTIs in the IAAD.

Upcoming Training Courses

General Courses

1. Goods and Services Tax
2. General Management for Sr.AOs and Group B officers
3. Audit of Direct Taxes for Sr.AOs and Group B officers
4. PFMS and Issues and challenges in the implementation of IFMS
5. Financial Attest Audit Guidelines (FAAG) Module - I
6. Workshop on RTI Act and its Application
7. Statistical Sampling in Audit
8. Preparatory Training for DRAAOs (Group - I)
9. Induction Training for DRAAOs - Phase II
10. Audit of Regulatory Bodies (As Knowledge Centre for Regulatory Bodies)
11. Induction course for newly recruited/promoted Auditors of Defence Audit (As Knowledge Centre for Defence Audit)
12. Workshop on Rules and Procedures for accord of Administrative Approval and Conclusion of Contracts for Special works in MES (As Knowledge Centre for Defence Audit)
13. Workshop on Audit of Annual Accounts (As Knowledge Centre for Defence Audit)

Information Technology Courses

1. Audit in IT Environment
2. IDEA 10.4
3. Data Analytics - Tableau
4. Data Analytics - Knime
5. Course on IT Security
6. Workshop on Responsible AI & Data Analytics

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Regional Training Institute, Jammu

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