STANDARD OPERATING PROCEDURE

FOR INSPECTION –AUDIT PARA

Government of Tamil Nadu

IFHRMS GO-LIVE ACTIVITIES

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1. : Introduction

1.1.: Purpose of the Document

The purpose of this document is to provide a Standard Operating procedure that are to be followed by Treasury/PAO Officials of various offices for Schedule a New Inspection from Auditor and Record the Inspection Observations, Responses from Auditee Locations. A Standard Operating Procedure for this purpose is detailed below.

1.2.: Intended Audience

This document is intended for the Treasury/PAO staff/Officer who are responsible for handling the Inspection cell in Auditor locations and Auditee locations responders.

1.3.: Project Background / Scope

As part of Go-live activities there are various activities that need be validated by Treasury/PAO Officials at each office before they start working on the Kalanjiam (IFHRMS) application.

1.4.: References

Following templates referred during the business requirements:

- Functional Requirements which are part of contract
- Requirement gathering sessions.
- Various documents, templates (reports, notes) shared by Business Users.

1.5.: Abbreviations

Abbreviation	Expansion
PAO	Pay and Accounts Officer
AG	o/o the Principal Accountant General (A&E), Tamil Nadu
DTO	District Treasury Office
STO	Sub Treasury Office
RJD	Regional Joint Director of Treasury.
CTA/DTA	Directorate/Commissionerate of Treasuries and Accounts Department
ASS	Assistant Superintendent of Stamps

2. : Standard Operating Procedure

2.1.: Inspection – Audit Para.

- Inspection and Audit Para involves the Auditor and Auditee locations.

- Auditors are from CTA/AG/RJD/DTOs, Auditees are RJD/DTOs, PAOs, STs, ASS.

Auditors	Auditees
DTA/CTA/AG	RJDs/DTOs/STs/PAOs/ASS
RJDs	DTOs/PAOs/STs/ASS
DTOs	STs

- Auditors are scheduled to conduct a new inspection at an Auditee's location, which may be arranged as either a Scheduled or Surprise Inspection.

- Once arranged, Auditors will visit the Auditee's location to examine office records, including all sections such as the Strong Room, Pension, Deposits, Accounts, etc.

- After the inspection is complete, the Auditors will note their observations and record them against the inspection parameters that were planned/scheduled. These recorded parameters are then sent for internal review at the Auditor's office.

- Following the completion of the review at the Auditor's location, the inspection parameters are forwarded to the Auditee's location for their response to any pending items.

- The various sections at the Auditee's location will address the pending inspection items relevant to their section and submit them for internal review at the Auditee's location.

- Once the internal review at the Auditee's location is finished, the responses to the inspection are submitted for the Auditors' review.

- The Auditors will evaluate the responses from the Auditee's location and, if the responses are satisfactory, they will resolve the pending items. Otherwise, they will return them to the Auditee's location for further action.

- During the final review, each pending para item is examined one last time, and those that are deemed satisfactory are resolved with accompanying comments.

- An inspection is '**Dropped/Settled**' only when each pending item in the inspection para has been addressed and resolved.

2.2.: Schedule a New Inspection.

- Login as Auditor Inspection cell user and navigate to e-Services → Inspection Audit.

- Click **Schedule New Audit** button. Select the required details.

- Auditor Type: For CTA/DTA can select **CTA Audit/AG Audit**. RJD user can select as **RJD Audit**, DTO user can select as **DT Audit**.

- Choose the **Auditee location details** where the inspection needs to be conducted.

- Add attachment if required. Click on **Create** button.

- A confirmation of the successfully **scheduled Inspection Program will be displayed along with an inspection number**.
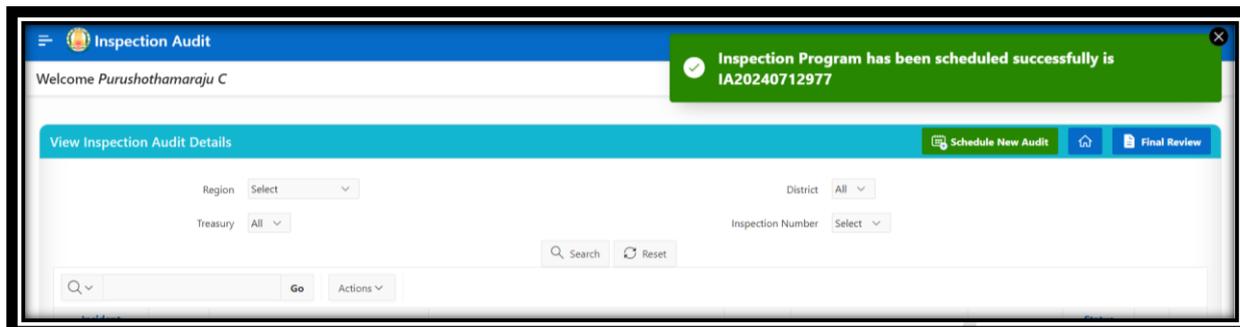
2.3.: Add Questions to the Scheduled Inspection.

- To incorporate the questions and observations noted during the inspection, search for the Scheduled Inspection number.
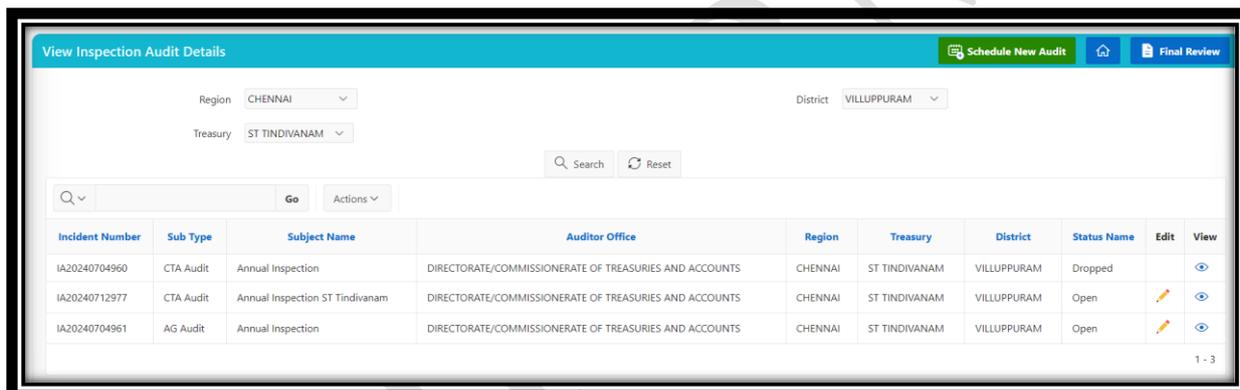
- Click **Edit Pencil** icon.
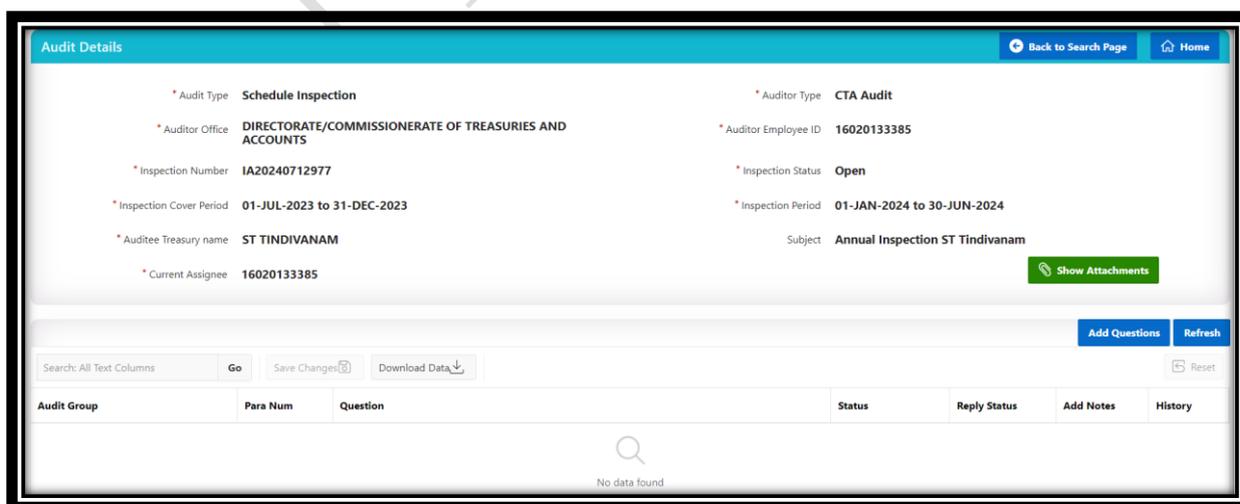
- Verify the selected inspection and Click **ADD QUESTIONS** button to add the para questions from the Question Master.

- Select the questions and click **ADD FOR INSPECTION** button. Selected questions added to the inspection successfully message will be shown.

- Click **Refresh** Button to view the inspection para questions. Click **Add notes** pencil icon.

2.4.: Add Observations to Para Questions.

2.4.1. : Add Observations to Para Questions (other than 99c).

- For Inspection Para other than 99c, Add Notes page shown as below.

- User can select Note Status and Response type from the List of values.

- Response can be entered in Notes field. Attachment can also be added if required.

- Click Add to record the notes for the para point.

2.4.2. : Add Pensioner recovery details of 99C Para.

- For 99C Inspection Para, 99c region will be shown as below to add the sub para to the inspection.

- Click **Add row** to Add the pensioners for whom recoveries are pending. For multiple records, click **Add row** and add the details and click **Save button**.

- Once Data saved, attachment region and Notes region will be enabled.

- Click on **Add note pencil icon,** page redirected to the Notes page. User can add the notes to the sub para point.

- Click on **History eye button** to view the sub para point history.

- After entering user responses for the 99C, click the "Submit for 99C" button to proceed to the inspection details page.

2.5.: Submit the Inspection for Auditor Office internal review.

- Select Next level office (Auditor Office) and select next level username.

- Upon the generation of the E-Office number, proceed to input the E-office number.

2.5.1. : Submit the Inspection for Next Level.

- Login as Next level user.

- Navigate to e-Services → Inspection Audit → Inspection Search → Search the Inspection. Click on Edit.

- Review the inspection details, View the history details and submit to the next level user.

- If Auditee Location is an STO, it needs to be routed through corresponding DTO. So, select next level office as DT office and submit to the DT Office user.

2.6.: Login as Auditee Office District user for review.

- Login as DT office user.

- Navigate to e-Services → Inspection Audit → Inspection Search → Search the Inspection. Click on Edit.

- Review the inspection details, View the history details and submit to the next level user Internal to DT office.

- Once DTO review completed, DT office user, select next level office as ST office and submit to the ST Office user.

2.7.: Auditee Office users – responding to the Inspection para.

- Login as Any Auditee Office user (RJDs/DTs/STs/PAOs).

- Navigate to e-Services → Inspection Audit → Inspection Search → Search the Inspection. Click on Edit.

- Review the inspection details, View the history details and submit to the next level user Internal to ST (Auditee) office.

- For Inspection Para other than 99c, Add Notes page shown as below.

- User can select Note Status and Response type from the List of values.

- Response can be entered in Notes field. Attachment can also be added whenever required.

- Click Add to record the notes for the para point.

- For 99C Inspection Para, 99c region will be shown as below to add the sub para to the inspection.

- To update the recovery details of pensioners in the sub para, user can either click the **Edit** button or **double-click on the table cell**. For updating multiple records, repeat this process and then click the **Save button** to ensure your changes are stored.

- Once Data saved, attachment region and Notes region will be enabled.

- Dropped para cannot be editable.

- Click on **Add note pencil icon,** page redirected to the Notes page. User can add the notes to the sub para point.

- Click on **History eye button** to view the sub para point history.

- After entering user responses for the 99C, click the "Submit for 99C" button to proceed to the inspection details page.

- Once all para response updated, inspection can be submitted to Auditor Office through DT office.

2.8.: Auditor Office users Review and shall Drop the Inspection para points.

- Login as any Auditor Office user.

- Navigate to e-Services → Inspection Audit → Inspection Search → Search the Inspection. Click on Edit

- Auditor users review the Response of the para points from Auditee Office.

- Once response is gratified, then Auditor user can provide dropping notes and drop the para point(s).

2.9.: Final Review.

- The Auditor user can proceed to Drop the inspection via Final Review once all paragraph points are deemed ready for dismissal.

- Go to Home page and click Final Review button.

- Auditor user Select the Region, District, Treasury Input Parameters search to view the Pending para.

- In case all paras are dropped already, then Drop the inspection number through Settle/Drop Button.
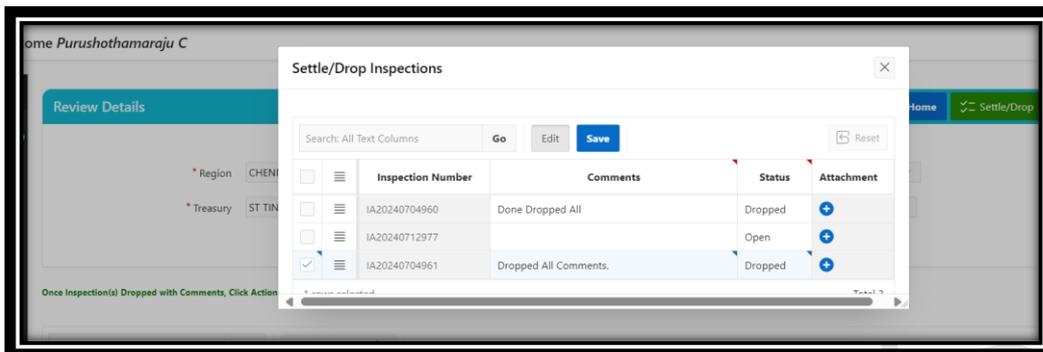
- Enter the Final review comments in the **comments** field and select the status as **Dropped**.

- Upon clicking the **Save** button, the inspection status will be updated to **'Dropped'**.

2.10.   : Old Paras. (Migration Data)

- Login as Auditor/Auditee user to Monitor/Update the recovery details of Old Paras.

- Navigate to e-Services → Inspection Audit → Left Navigation Bar → 99c Para (Migration). Select **Parameters** and Click **Go** button to view and update the existing record details.

- To update the recovery details of pensioners in the old sub para, user can either click the **Edit** button or **double-click on the table cell** and enter the values. For updating multiple records, repeat this process and then click the **Save button** to ensure your changes are stored.

- Since it is old para, Auditor/Auditee users can view their respective location para details and update the recovery completed details.

- Balance Amount shown as per values in Total Amount and Recovered amount.

- If it is changed manually and saved, then error will be shown.

- Once all recovery completed, Auditor can check and Drop the Para points.

- Once Dropped, then the Para status cannot be changed. So, ensure that Completed Para points are only being Dropped.

Open and Closed Issues for this Deliverable

Open Issues

Process Id	Issue	Responsibility	Target Date	Impact Date

Closed Issues

ID	Issue	Resolution	Responsibility	Completion Date	Remarks

*************End of the Document** *********