

CAPACITY BUILDING IN IAAD

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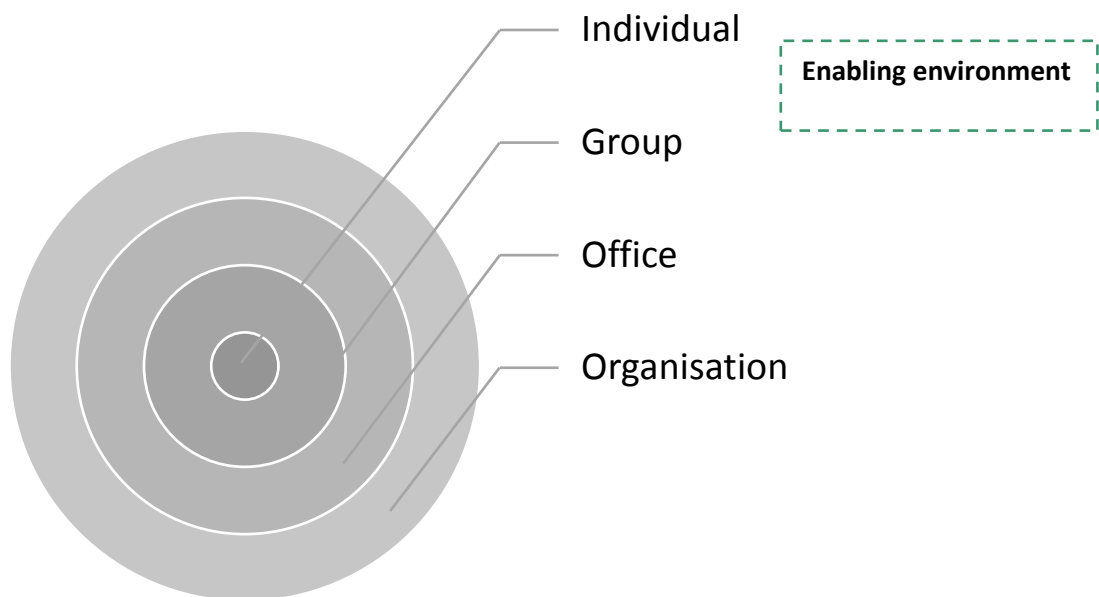
Background

1. This paper has been prepared for the XXVII Accountants' General Conference 2014. It mainly concentrates on capacity building in IAAD through training and sharing of information by means of a Knowledge Management System.
2. The paper generally talks about capacity building of the IAAD as a whole, with emphasis on the knowledge and skill needs of Group B cadres, the first point of contact with external environment. Also, in view of the quality and potential of newly recruited Auditors, special emphasis has been given in the paper for their capacity building. The paper has attempted to flag all the dominant issues, which run horizontally across training entities in the Department, with special emphasis on RTIs/ RTCs.
3. The functioning of RTIs/ RTCs and their envisaged roles was recently reviewed by the senior management and taking into account the existing concerns and constraints, a roadmap (**Annexure A**) for strengthening them in the medium term has been drawn up. To implement the roadmap, the Training Wing has come out with an action plan (**Annexure B**) for all the RTIs/ RTCs along with the milestones. These details have been appropriately integrated within the larger issues discussed in this paper on capacity building in IAAD.

Introduction

4. The terms capacity, capability and competence are often used interchangeably and there is overlap between their connotations and definitions. However, in this paper, the expression capacity has been used in a broad sense which subsumes related concepts of capability and competency at different levels of the organisation. The paper has adopted the definition in the INTOSAI draft guidelines on building capacity.
5. INTOSAI Capacity Building Committee in 2007 brought out the Guide to Capacity Building in SAI. It says that SAIs have to continually re-evaluate and reassess how they discharge their responsibilities. They have to ensure that their work consistently meets the highest standards expected of the organisation and that their activities remain relevant to the environment in which they operate. The key elements in any SAI's strategy are ensuring that it embraces a culture of continual improvement; invests the time and resources needed to develop the capacity it requires, professionally and organisationally, to respond to the challenges that it faces. The Guide is intended to help all SAIs meet this challenge. It describes a process that SAI may use to assess its current state of development and so identify the strategic steps it needs to take to build its capacity in order to become an organisation that is even more effective at meeting its responsibilities.

6. In terms of the Guide, 'Capacity' means the skills, knowledge, structures and ways of working that make an organisation effective. Building Capacity means developing further each of these, building on existing strengths, and addressing gaps and weaknesses.
7. Capacity building is addressed at various levels viz., at the individual level, team level, office level and the organisation level.

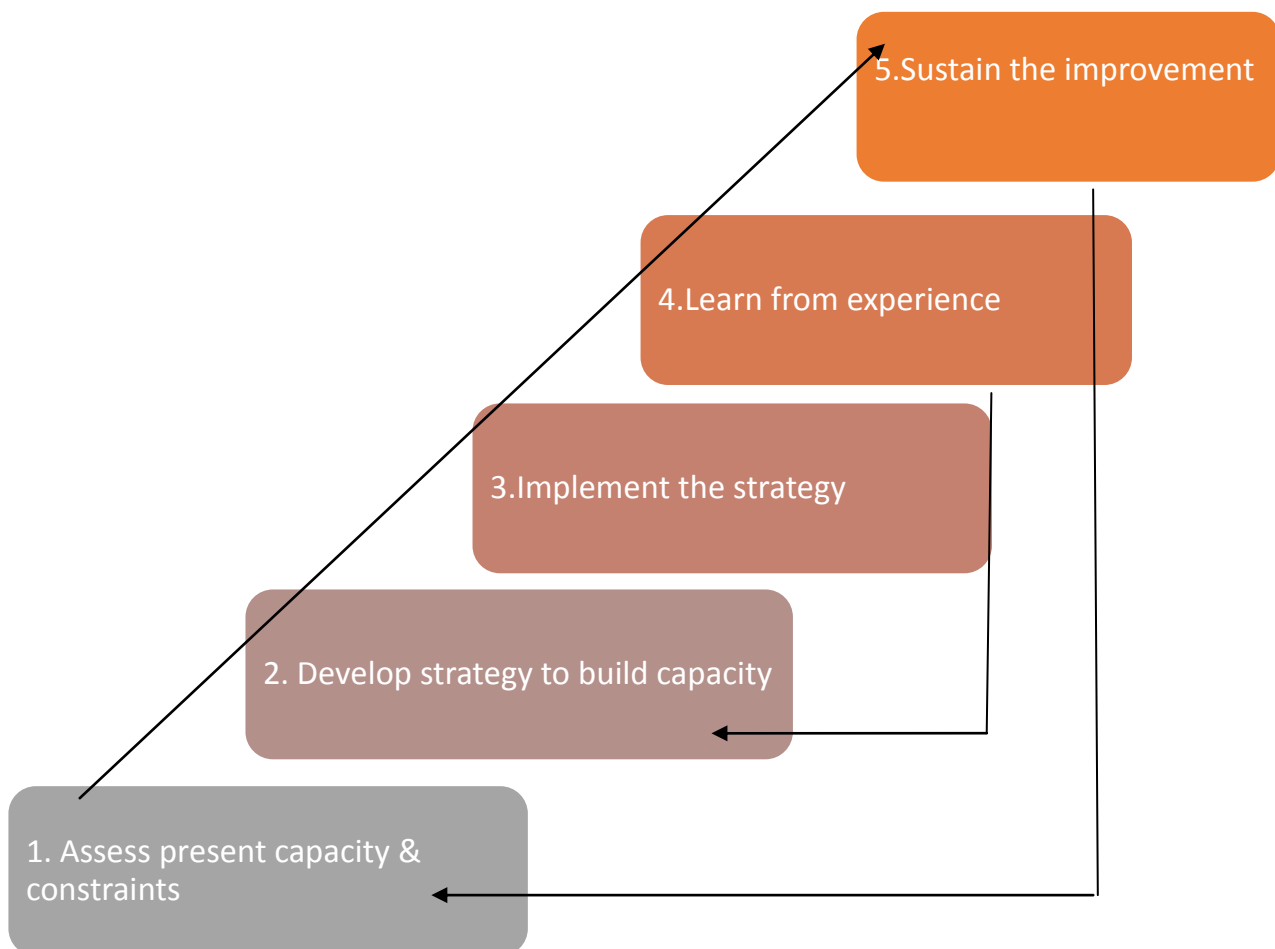


8. A programme of capacity building involves the following activities by the SAI:
 - systematically assessing its current level of capacity, its strengths and weaknesses;
 - deciding why it is seeking to build capacity and what constraints does it face;
 - determining what additional capacity it seeks to build, the resources it will need and the outcomes it expects to achieve;
 - developing a strategy for delivery of this increased capacity, and related outcomes, without interfering with delivery of its remit;
 - implementing this strategy;
 - evaluating the impact of the changes and the outcomes achieved; and
 - sustaining the changes and developing a new strategy to build on what has been achieved.

9. Key steps in the process of capacity building are depicted in the following graphic.

Stages in Capacity Building

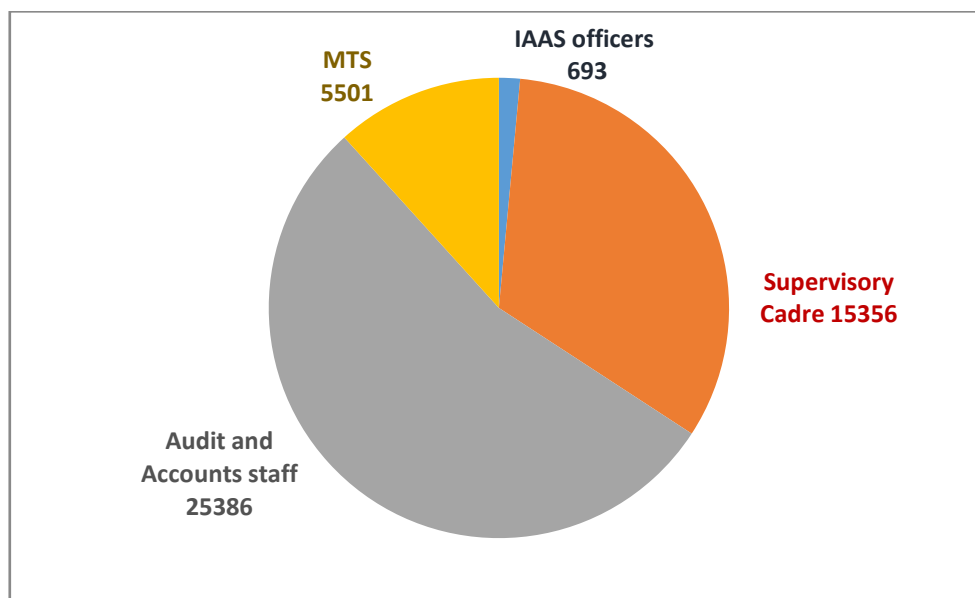
Key steps in the process of capacity building



Assessment of Present Capacity and Constraints

10. IA&AD's manpower profile in 2012-13 is depicted in the following graph.

Graph 1: IAAD manpower 2012-13



Source: Performance Report SAI India 2012-13

11. As against sanctioned strength of 69,113 only 67.73 per cent staff is presently in position.¹ Our officers and staff in Group 'B' & 'C' cadres are well qualified. We have 109 doctorates, 1010 professionally qualified personnel, 4933 post graduates and 27,987 graduates in these cadres. The IA&AS consists of twelve doctorates, 236 professionally qualified² officers, 302 post graduates and 143 graduates. There are about 34.19 per cent people at different managerial and supervisory levels in IAAD and 54.09 per cent constitute audit and accounts staff. Only 11.72 per cent (MTS) of the total strength works in a purely support function.

Training Infrastructure and Institutional set-up

12. SAI India is continually building capacity through internal training and in collaboration with training institutes of other departments.
13. In 1998, the Training standards for IAAD were formulated, laying down the basic principles and quality parameters for training. This document has been the basis of subsequent training policy as reflected in changes in IAAS induction training, career milestone trainings and the recently approved medium term road map (**Annexure A**) for strengthening IA&AD's regional training capability.
14. There is a hierarchical set-up for guidance, oversight and monitoring of training activities. We have one National Academy, two International Centers, 12 Regional Training Institutes and Regional Training Centres and in-house training facilities in all

¹Performance Report 2012-13

²Engineers, Doctors, MBA, CA, ICWA, CFE, CIA, CISA etc.

field offices. The role of the RTIs/ RTCs has been envisaged as learning and as knowledge centres. As learning centres, they impart training in general and EDP courses to Group B and C staff. They also conduct special courses at the behest of their user offices and Headquarters. Induction training for DRAAOs and SAS preparatory training are also their responsibility. In their capacity as knowledge centres, they are expected to prepare STMs, case studies, courseware/ reading material, practice guides, research papers and conduct seminars, conferences, workshops in their domain area of specialisation.

15. The table below shows the number of personnel trained during 2012-13 in different training institutes of IAAD.

Training Institute	No. of personnel trained
iCISA, Noida ³	587
NAAA, Shimla	450
RTIs/ RTCs ⁴	11830

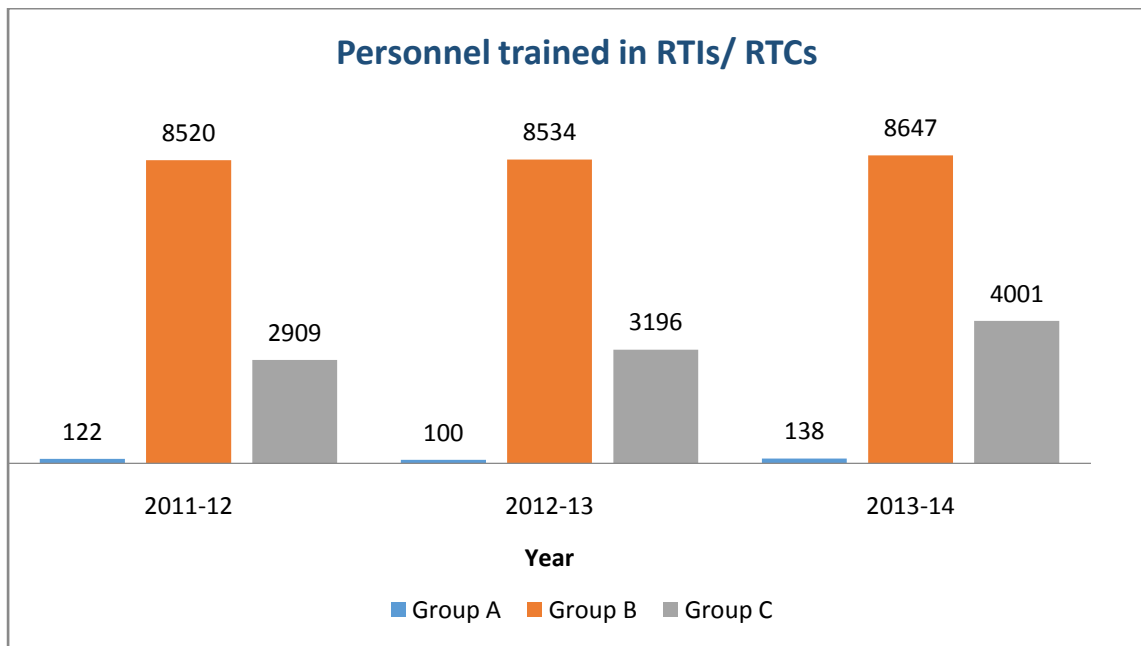
16. RTIs were designated as centres of excellence in 2002, with the objective of establishing an institutional linkage for issues being deliberated upon in working groups, research projects and committees of INTOSAI, ASSOSAI, UN Panel of Auditors. The RTIs/RTCs based on the series of discussions and meetings in 2012, were re-designated⁵ as 'Knowledge Centres'. The detailed role of RTIs as knowledge centres has been specified vide Hqrs circular. (**Annexure C**) This *inter alia* also specifies the need for developing institutional network with organisations including those outside IAAD to share learning resources, experiences and expertise.
17. The shift was made on the premise that appropriate emphasis needed to be given to assimilation and dissemination of auditing methodologies. The RTIs/ RTCs now focus on knowledge in a designated field of specialisation. The areas of specialisation include both sector specific knowledge and auditing methodologies. (**Annexure D**).As indicated in this annexure, each RTI/ RTC is under a designated Deputy CAG as knowledge mentor. The medium term roadmap also states that RTIs should have regional ADAI as training mentor.
18. 454 General and 274 EDP courses for client offices and 26 All India courses were conducted in RTIs/RTCs for the year 2013-14.Under the above-mentioned courses, the personnel trained in various categories is depicted in the graph below:

³The number of personnel trained in iCISA and NAAA also includes 275 International and other departmental participants.

⁴The RTI/RTCs figures do not include induction training and SAS training.. Also, the statistics of 'in-house' training conducted by field offices and courses/workshops run by Hqrs is not included here.

⁵ Headquarters circular No. 273/Trg. Div/20 (vi) 2012 dated 20 August 2012

Graph 2: Personnel trained in RTIs/RTCs



These figures do not include induction training and SAS training

i. Challenges:

19. The following areas in need of attention are highlighted.

- i. Infrastructural, human resources and budgetary constraints faced by RTIs/RTCs.
- ii. There is inadequate direct linkage between training and work performed by the trainees. 'Just-in-time' approach i.e., trainings before a particular assignment (as is the case in UN audit) needs more coverage. 'Just in time' training takes into account the time between learning something and then being able to apply it. The specific training requirements can either be met in-house by an office or if a group of offices are carrying out a particular exercise, then the training can be arranged by the co-ordinating office. The training centres can play a role in executing the courses at the office level.
- iii. Workshops in HQrs office have helped to update the knowledge and skills of all concerned stakeholders, particularly for the staff posted in various HQrs Wings who do not seem to get enough opportunities for training. More Workshops need be conducted.
- iv. There is a need to strengthen the system of dissemination across the department of qualitatively reviewed material. The STMs, case studies and research papers need to be periodically reviewed and updated.

- v. Nominations for trainings are planned in a top - down approach viz., officers are selected and sent for trainings by HR authority. In this approach, trainees are not given the option of choosing the course to attend, keeping in view its relevance. Hence, identification of trainees can become an exercise in fulfilling training targets in the form of number of officials nominated against available training slots.
- vi. In the Regional Training Institutes, the training methodology is largely lecture oriented classroom sessions. The application of new methodologies viz., case studies, quizzes, hands on exercises, group activities, panel discussions of experts is limited.
- vii. Most of our trainings require physical presence at a training center. Reliance on e-learning modes of training is minimal.
- viii. Incentive for officers to obtain professional qualifications, apart from reimbursement of the cost of examination, is minimal.
- ix. Audit resources are primarily based on knowledge, skills and expertise acquired over a period of time. It is very important to manage and harness this knowledge and expertise. Multi-disciplinary domain information for audits is usually not available at a single location.
- x. Limited involvement of professional bodies/ expert organisations. At present, the RTIs/ RTCs largely rely on in-house expertise (core faculties) for imparting training, except in case of special courses.
- xi. Inadequate number of trainings at the auditor level. This is a significant challenge in view of the higher qualification levels of recently recruited Auditors. Thus, the training aspect of the newly recruited Auditors needs special efforts. Presently, there is no standardised training module for induction training of the auditors.
- xii. The last direct recruitment at AAO level was done in 2008⁶. This is the level at which there is acute shortage and thus balancing training and operational requirements becomes a challenge for the field offices. Even the Departmental candidates mostly coming from A&E stream do not get adequate induction training. The training of AAOs need special attention.
- xiii. Special audit assignments require competencies that are presently spread over several offices. Avenues must exist to integrate competencies across offices through virtual teams executing special assignments and interacting/sharing their knowledge/experience through various modes.

⁶ SSC notification for the last DRAAO (erstwhile DRSOs) examination was issued in 2008 against which candidates joined up to 2010.

- xiv. As we await Standard based Compliance Audit to provide reasonable assurance of examination of all material aspects of the entire audit scope based on scientific sampling therefrom, we would need new skillsets to replace subjective pick-and-choose methods. Also, with increasing computerization, and loss of conventional audit trails, we need to increasingly test check the authenticity of input data by independent verification, auditing around the computer. These skills need to be available to a wider set of staff, not just the IT teams conducting core IT system audits.
- xv. The present training, knowledge management and capacity building effort is largely English-centric. This is an important area needing attention. In many States, it is the local language version and not the English version of the Audit Report gets prominence in media and the State Legislature. The translation cells need to be strengthened to ensure that intended communication is conveyed correctly.

Development of strategy to build capacity

20. Some of the initiatives that can be taken up are discussed below:

Upgradation of general and IT infrastructure in RTIs/RTCs

21. In the action plan (Annexure B), an assessment of requirements in respect of each RTI/RTC has been prioritised by the training division. The action plan accords milestones to these priorities, viz., better equipped hostel rooms, better equipped lecture rooms, updated and well catalogued libraries and improved and updated digital infrastructures. It also mentions the need to review sanctioned strength including projection of budgetary resources required.

(i) Re-orientation of the training approach:

- 22. **Assessing skill gap and competency mapping:** Competency mapping is a process of identifying key competencies for a particular position in the organisation. Competency highlights what the employee can do or has the ability to do. Competency mapping will help shift focus from Human Resource to Human Capital required for effective work performance demands. It will facilitate working on competence gaps to improve individual performance through learning & development.
- 23. **Strengthening the Training Need Analysis:** Presently most Training Institutes focus on delivery of courses. Adequate resources should be set aside by the training institutes for carrying out need analysis in collaboration with the field offices and functional wings of the headquarters office. This TNA should be based on the functional expertise of the respective training institute. This would facilitate better course design and effective training delivery. Further, the TNA should also be sensitive to areas not directly related to departmental functions, but have a serious bearing on the working environment viz professional ethics, gender sensitisation.
- 24. **Upgraded courseware and periodically updated STMs:** For the RTIs to grow in stature as training centres and for optimal utilisation of their resources, it may be necessary to divert certain basic courses to in-house training. This would release resources that could be deployed by RTIs to upgrade training material and courseware. Timing of courses should be generally, as per the convenience of user offices. It is necessary to upgrade and standardise courseware utilised by RTIs through development of Structured Training

Modules, which are peer reviewed by the functional wing, training wing and PPG before being used.

25. **Option oriented training:** Group A and B officers may be allowed to choose some trainings in the calendar. For others, the existing system of nominations may continue. The procedure for taking the option of the individual's training requirement through APARs as is applied in the case of Group A officers may also be adopted for Group B officers.
26. **Use of newer training methodologies:**The use of adult learning conducive methodologies viz., case studies, quizzes, hands on exercises, group activities, panel discussions of experts should be encouraged. The training centres must shift from lectures to case studies and group work should be encouraged. On conclusion of the course, the participants may review their key take aways as well offer suggestions and observations. This feedback may be summarised and used as a source for improvement in future courses.
27. **E-learning:**In addition to the regular class room sessions, e-learning sessions should also be developed by the training institutes. This would provide better flexibility and increase the range of courses available in the department. As technology and SAls' investments in IT improves, e-learning is likely to become an increasingly attractive capacity building option.
28. **Just in time training:** Some proportion of the training slots should be planned and reserved for just in time trainings for special audit assignments.
29. **Involvement of professional bodies and experts:**There should be an institutional mechanism to involve outside experts from professional bodies for specific trainings.

ii. Knowledge Management System

30. There are two methods for sharing knowledge within organizations: through documents and through interpersonal communication. To enable continuous, on-the-job organizational learning, the Department has to consider investing resources on building an appropriate Knowledge Management System. This would be not only be an online resource that is readily accessible and searchable by our personnel at every level – but also a platform where ideas can be exchanged and collaboration can happen for an improved, timely audit product.
31. The KMS may have two components that would complement each other and help IA&AD to keep pace with the global workplace. The first would be a collaborative knowledge resource platform fed by identified individuals and Offices within IA&AD, the second –a centralized online document management system. The KMS would enable the concept of a shared workspace. The components are elaborated below:
32. **Resource platform:** The first component would be repository of online resource (as part of existing IAAD website and/or Intranet to segment public domain resources with limited access resources) where manuals, instructions, audit reports and Inspection reports would be easily accessible in a searchable format. The resource could include audit checklists for specific audit assignments – viz. public works, hospitals, civil organizations. The manuals, HQ/ Office-level circulars and instructions and domain information on particular entities need to be indexed in a manner so that search facility becomes more meaningful than the existing public folder. Hyperlinks need be provided for smooth navigation across related documents. It would also have domain information on audited entity's workflows, processes, entity's manuals, expert knowledge on the

sector that are periodically updated by the designated knowledge centres and functional wings – so that it serves as an online repository of domain knowledge.

33. The resource platform should support strong enterprise-level collaborative features in terms of multiple persons contributing to discussions, wikis⁷ etc. on topics of Department's/ Functional wings/ Audit Office/ audit teams' interest. Collaborative platforms use web-based capabilities to allow users to create, organize, distribute, and maintain information.

The resource platform can

- Facilitate ease of information access
- Streamline internal communication
- Increase end-user productivity

34. This enterprise resource platform should be accessible to every person in IA&AD with appropriate login credentials, and user sessions logged for internal analytical purposes.
35. The feasibility of implementing solutions like MS Sharepoint or others can be examined by the Department. MS Sharepoint is closely integrated with the MS Office suite and the Department already uses MS Office licences extensively. Alternatively, the existing public folder may be evaluated for its capacity to provide such a platform.
36. A simplistic and informal demonstration of resource sharing is the revenue audit google group.
37. **Document Management System:** The second component would be a centralized, online document management system used by individual audit teams where all working papers – audit queries, notes, key documents etc. can be scanned and stored during each audit assignment. Each audit team could use pre-populated templates for audit work and store information gathered during audit under relevant links. Thus, the document management system would be adding information to the KMS database dynamically as each audit assignment progresses. Audit team laptops need to have a client version of the KMS where the work can go on even without internet connectivity, and periodic syncing with the server (perhaps, once during/ after an assignment) will update all the details. The working papers created by an audit team can be concurrently viewed at the Field Office headquarters. For this system to be functional, an application akin to an Audit Management System needs to be developed or acquired off the shelf.
38. **Converting layered volumes of Standards, Manuals, Instructions, and Guidance Notes into actionable, customized checklists usable by field staff** Over the years, we have developed an elaborate body of documents at HQrs level supplemented with Manuals and local instructions issued by field offices to control and guide the actions and decisions of field staff. Sometimes due to lack of ready access of right information on 'what to do' and 'how to do' leads to avoidable inadvertent omissions and commissions. To remedy the situation that the rulebooks are followed in letter and spirit, it is considered necessary to convert the layered volumes of Standards, Manuals, Instructions, and Guidance Notes into actionable, customized checklists usable by field staff at the cutting edge level.

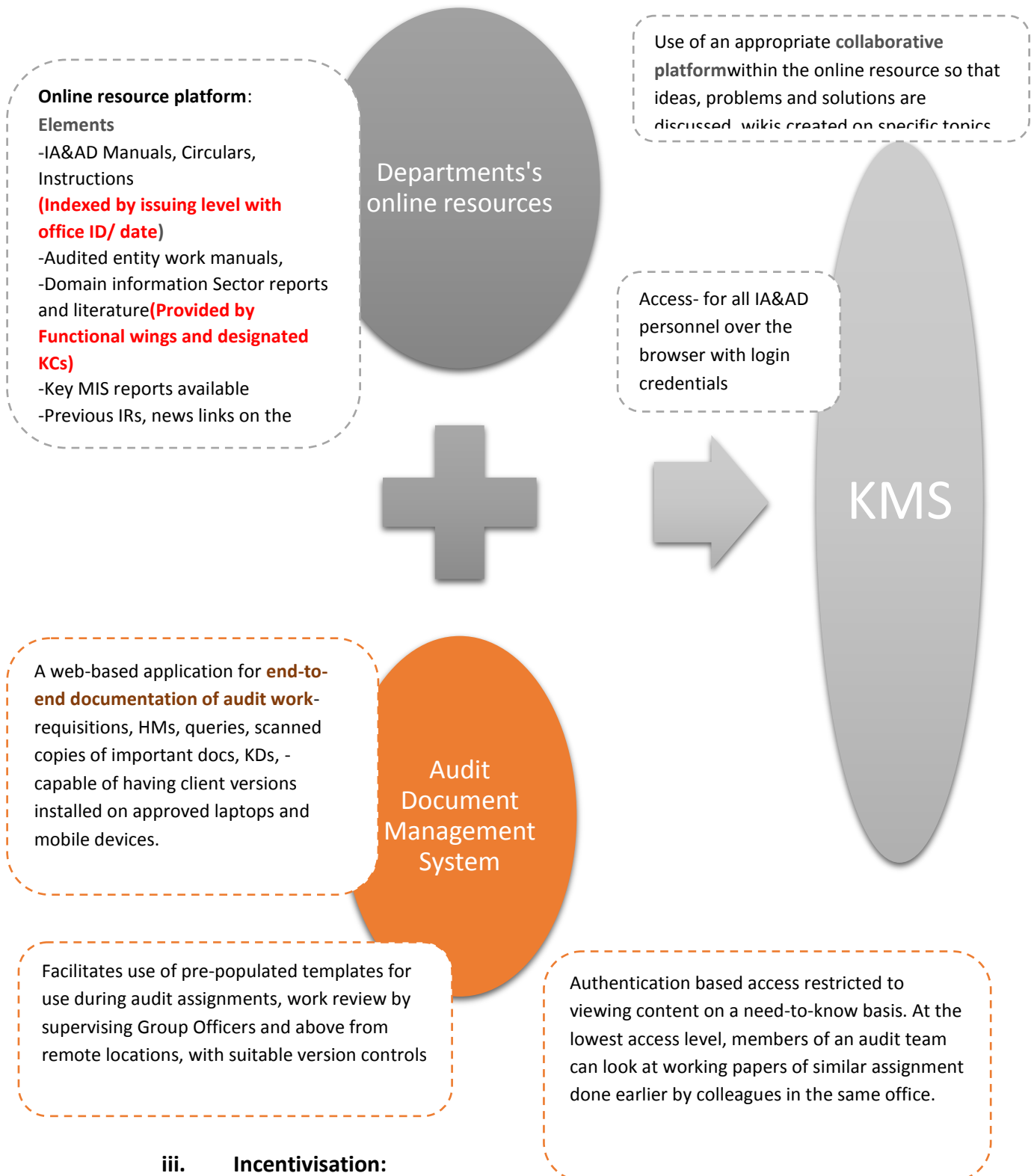
⁷A wiki is a web application which allows people to add, modify, or delete content in collaboration with others. While a wiki is a type of content management system, it differs from a blog or most other such systems in that the content is created without any defined owner or leader, and wikis have little implicit structure, allowing structure to emerge according to the needs of the users

39. **Access to KMS:** The KMS will have public information arranged in a value-added manner as well information whose access is restricted on need to know basis. Access to such restricted information should be governed by a robust authentication mechanism. For example, members of a particular audit team doing a transaction audit of a works Division would only have access to similar audit work done by audit teams in the same Office (i.e., previous IRs and working papers). The supervising Group Officer would have access to all information in the system relevant to his charge – that may include access to working papers and IRs of similar units in other States as well. The functional wing at HQ would have a higher level of access. The role-based access matrix can be defined and designed separately.

The KMS⁸ project may be initiated with a time-bound target and dedicated internal project management structure and reporting responsibilities. The components laid out in this paper are only indicative. There could be other approaches to even integrate management of audit documentation for each assignment across the organization, with a collaborative online resource platform under one system.

⁸ Some thoughts in this KMS strategy has been drawn from a paper that researched the use of a KMS by an international audit and consulting firm. See more at <http://www.palgrave-journals.com/kmrp/journal/v10/n1/full/kmrp201138a.html>

Key elements of proposed KMS



iii. Incentivisation:

40. Incentives should be provided for officials to obtain professional certifications, particularly in the Group B cadre. For instance, weightage may be given to such officials with professional certifications in the selection process for foreign deputations/assignments.

41. The scheme of departmental examinations should ensure that the end incentive matches the quantum of time and effort necessary to clear the examination. For instance, a Continued Professional Development exam for Group B officers has been recently introduced for Group B officers of IAAD. This examination provides an incentive for one additional increment to successful candidates. However, the examination has three stages, each with a minimum gap of three years, between consecutive stages. The individual receives no support/ training for qualifying the examination but invests considerable resources for qualifying the examination. It appears that the incentive is not commensurate with the extended examination design. The length of the mandatory gap between each stage may also be reconsidered.
42. Capacity building can also be developed by encouraging more joint audits/ coordinated audits with different SAIs on areas of topical relevance to both the countries. Sending staff on secondment/staff exchanges and study visits to partner SAIs may also be considered.

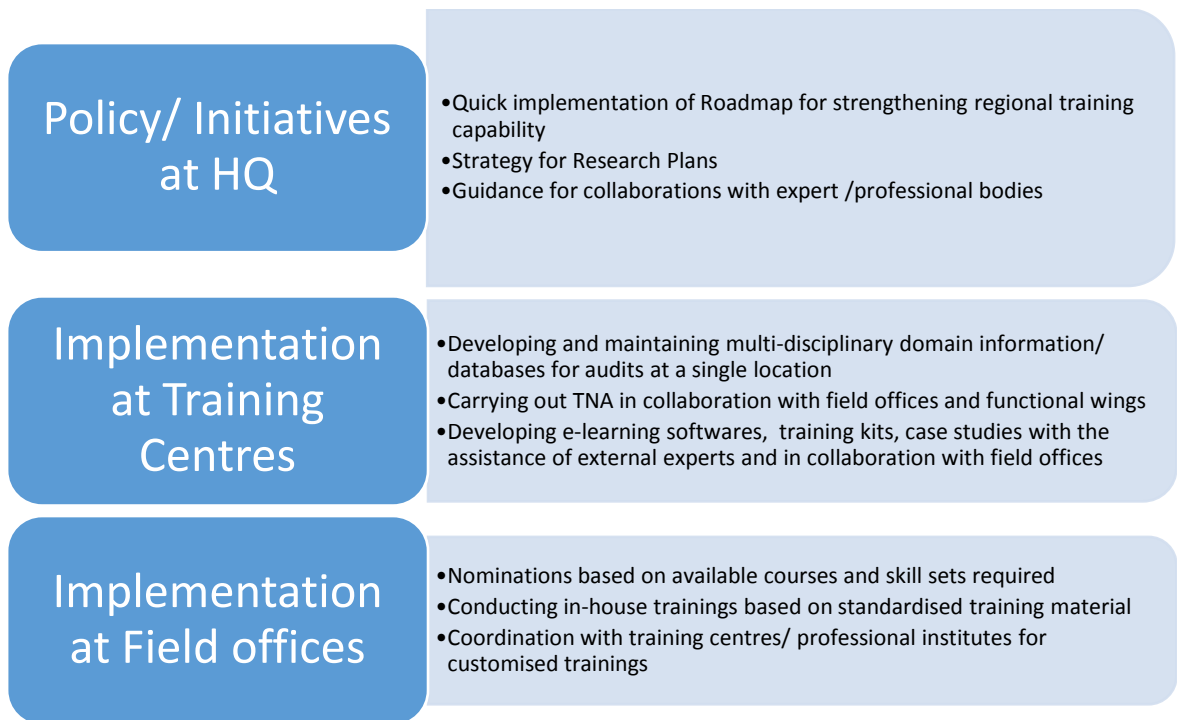
iv. Research

43. Supervisory officers (both Group A and B) with 5 years or more of service, can be encouraged to take time off (3 months, 6 months or a year) and undertake research projects in a subject of their choice at NAAA/ ICED/iCISA or even outside the Department. This will aid capacity building of the officers in varied areas of their interest that have a bearing on audit. The end product could be a research paper, which after due approval from the functional wing, could be published as an audit advisory facilitating knowledge sharing.
44. To be abreast with current developments, chairs may be set up in international training centers in collaboration with international agencies. For example: the Mussoorie Academy has a Climate Change lab set up in collaboration with United Nations Environment Programme.
45. NAAA may be encouraged to seek recognition from AICTE to consider the two years IAAS probationers training as a PG Diploma in Public Sector Financial Reporting and Audit.
46. Faculty honorarium needs to be enhanced for external experts, especially in areas that are new to the department.

v. Integrated teams

47. Without changing the basic departmental structure, integrated teams could be created constituting personnel across several offices to carry out special audit assignments.

Implementation of Strategy



Learning from experience

48. The Paper on capacity building presented in the earlier AsG Conference brought out the requirement of a general appreciation at every level that capacity development goes much beyond formal, institutionalized training. The need of the hour is, therefore, to promote and develop a Learning Organization, a culture of mentoring teamwork and continuous learning. We need to promote learning and sharing, supported by values, processes and investment. This paper addresses most of these ingredients through the KMS described under the 'Development of strategy' section.

Feedback mechanism

49. The formal training should have stronger linkage and feedback from client offices. In particular, we need to ensure the following:

- i. Feedback from the participants should be analyzed effectively with a view to make course design modifications, faculty screening, and suitable nominations for training
- ii. Feedback mechanism based on the inputs of the supervisor of the trainee, highlighting the impact of the training on the work should be evolved. Presently this mechanism is in place for courses delivered by RTIs. It needs to be revisited and improved.
- iii. While reviewing standard course designs periodically, due care should be exercised to incorporate the latest changes/ amendments made in the auditing guidelines/ rules and procedures. The training material for the trainees should in no case be redundant.
- iv. At present the course design and delivery including the performance of the speakers is comprehensively evaluated by the participants. However, the involvement of the

participants is not systematically reviewed. A suitable mechanism for this purpose may be introduced.

- v. At present IT courses are divided into three categories Level I, II and III. Attending the preceding level is a pre-requisite for attending the next level. Completion of each stage should be marked by a test. Only those officials who have actually passed the preceding levels should be considered for nomination to the advanced levels.
- vi. It has been experienced during the recent IT based and UN audits that departmental personnel lack expertise in SAP/ Oracle platforms. The training institutes lack adequate resources to impart effective training in SAP. The Department is dependent on external professionals for this purpose. This deficit may be bridged through long term training for some officials. To maintain their expertise, test ERP environment would also need to be established in some training institutes.

Sustain the improvement

50. The strategy and its implementation need to be periodically reviewed.

Points for discussion

- I. Whether the RTIs/RTCs, which have been designated as Knowledge Centres, have actually fulfilled their roles?
 - II. Presently each RTI/ RTC is under a designated DAI as knowledge mentor. The medium term roadmap also states that RTIs should also have regional ADAI as training mentor. Whether any further refinement are needed to this arrangement?
 - III. Whether particular field offices, not just RTIs, may be designated as national 'Knowledge Centres' for identified topics?
 - IV. What will be the appropriate mechanism to carry out competency mapping so as to improve individual performance through learning & development?
 - V. How can we utilize the resident expertise in various areas by evolving formal arrangements, rather than informal consultations?
 - VI. Should we initiate a practice of sabbaticals for supervisory officers (both Group A and B officers) to work on research projects (one to six months period) within or even outside the department?
 - VII. How to evolve a formal mechanism for creation of integrated teams constituting personnel across several offices to carry out special audit assignments?
 - VIII. What is the most appropriate mechanism to tap external expertise? (Advisory Council, Audit Board, project-specific Consultancy Contract or general consultancy for specific duration on retainer basis)
 - IX. What should be the appropriate mechanism for the engagement of outsiders/ experts in Capacity Building? How can we improve engagement with officers from audited entities for with a view to augment exposure to domain knowledge of Audit personnel?
 - X. Should short term contracting of specialists and experts in special assignments be implemented?
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- XI. Is the proposed Knowledge Management System practical, given the availability of resources?
 - XII. How can the proposed KMS concept be effectively implemented in the Department?
 - XIII. How can 'Just-in-time' training be effectively implemented?
 - XIV. How can the impact of trainings delivered be measured?
 - XV. Should the trainees be formally assessed as a part of feedback mechanism in training institutes?
 - XVI. How can the newly recruited work force of auditors be suitably motivated on a continuing basis?
 - XVII. Should we encourage more joint audits/ coordinated audits with different SAIs on areas of topical relevance to both the countries?
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Annexure A : Strengthening IA&AD's Regional Training Capability: Medium Term Road Map

Introduction

1. As a knowledge centric department, we need to upgrade our proficiency continually. Training strategies have to be aimed at knowledge retention and transfer to the workplace, enabling employees to be more effective and to acquire more skills. In order to be useful, training should be targeted, based on identified needs with clear and shared learning objectives, and the quality closely monitored. There are nine Regional Training Institutes (RTIs) and three Regional Training Centres (RTCs) for equipping Group B and C cadres of the IA&AD with the competencies they need for discharge of their functions.
2. A presentation on the functioning of RTIs/RTCs was made to Senior Management on 16th July 2014. The presentation highlighted the envisaged role of the RTIs/ RTCs as learning and as knowledge centres. As learning centres, they impart training in general and EDP courses to Group B and C staff. They also conduct special courses at the behest of their user offices and Headquarters. Induction training for DRAAOs and SAS preparatory training are also their responsibility. In their capacity as knowledge centres, they are expected to prepare STMs, case studies, courseware/ reading material, practice guides, research papers and conduct seminars, conferences, workshops in their domain area of specialization.
3. Although activities of the RTIs/ RTCs have increased significantly, concerns regarding qualitative aspects abound. The constraints and factors which impinge on and impact their effective functioning include inadequate infrastructure, need to reassess manpower requirements in view of enhanced expectations, sourcing of faculty, selection and subsequent deployment of participants.
4. It was decided *that a holistic medium term plan be drawn up for enhancing the effectiveness of RTIs* and addressing the concerns and constraints brought out during the presentation. This plan should incorporate financials – budgetary resources required and likely to be available. The plan should seek to develop a *strong profile and vision for the RTIs/RTCs*.

Development of Plan

5. The main issue which this roadmap addresses is *how to traverse the gap between the current level of functioning of the RTIs/ RTCs and the desired level*. As a first measure, expectations from RTIs/ RTCs and their desired role is established. This is followed by a comprehensive stock-taking of their present status, incorporating their impact as well as resources. Macro level solutions for bridging different aspects of this gap are identified. These include organizational structure, human resources, infrastructure, budgetary requirements and mode of functioning. Thereafter an assessment of requirements in respect of each RTI/RTC has been made; and a priority list of requirements drawn up.

The action plan accords milestones to these priorities, including projection of budgetary resources required.

Role and Expectations

6. These can be summarized into three strategic priorities:
 - To provide training to Group B and C staff so that they are able to develop and maintain the skills and experience necessary for the discharge of their functions
 - To encourage sharing of knowledge and experience so that all members of the IA&AD are able to access best practices in their field
 - To contribute to institutional development to build a strong, independent and multidisciplinary IA&AD.

Current Situation

7. Despite conducting over 700 training courses in 2013-14, covering nearly 13000 personnel, there is a general perception that most RTIs are not performing adequately in terms of quality and impact of training and as repositories of specific domain knowledge. Adverse perceptions regarding utility of training courses, faculty competence, quality of infrastructure, persist even though participants' feedback is largely satisfactory.
8. The issue of utility of training courses is extraordinary, given that training calendars are drawn up by the Regional Advisory Councils comprising the client offices. It is important that the RACs consider a detailed Training Need Analysis prior to finalizing the calendar. The TNA, incorporating inputs from clients and central requirements ascertained from functional wings, will help determine which critical, new or different skills are needed to meet the latest challenges. Special courses and new courses introduced by Headquarters have to be built into the schedule. However, there is a need to reconsider repetition of standard, general courses. For the RTIs to grow in stature as training centres and for optimal utilization of their resources, it may be necessary to divert certain basic courses to in house training. The other aspect is the timing of courses – it should be as per the convenience of user offices else the process of nomination is reduced to a mechanical exercise of slots utilization.
9. At present, the impact of training is not being assessed. Programmes are evaluated from one dimension only – the participants' feedback. This process has been streamlined through a standardized, quantitative feedback. This does not, however, assess the impact of training. For training to be meaningful, learning outcomes have to be assessed and evaluated. A mechanism needs to be developed whereby nominating officers evaluate and communicate to the RTI the impact of training.
10. Knowledge management should encompass both sharing of knowledge within the organization to identify best practices and find synergies among functional departments; and retention of organizational knowledge, in the face of impending retirements. RTIs/RTCs need to strengthen this facet of their functioning, especially dissemination across the department of qualitatively reviewed material. STMs, case studies and research papers prepared by them are often not peer reviewed or are outdated; and hence limited in terms of general applicability and usage.

11. The gap between expectations and reality, and between reality and perceptions, is also attributable to increased expectations from the RTIs in view of the new challenges faced by the IA&AD and enhanced expectations from it. It is important to instill pride in our institutions by recognizing the work being done by them as well as the constraints within which they operate.

Summary of Objectives

12. The objectives of the approved roadmap are as follows:-

- Improving teaching and learning environment
- Improving learning outcomes
- Improving domain knowledge and its translation into training material
- Knowledge and information sharing

Solution Requirements

13. All RTIs/ RTCs were asked to prepare a wish list of all they require to function as an 'ideal' training institute. Unfortunately, there is no fairy godmother fulfilling these lists with the wave of a wand and transforming RTIs/ RTCs across the country. Moreover, the crux of the matter is that infrastructure and other tangibles which require pumping in of resources is just one aspect. The choice and timing of the training, quality of content, and appropriateness of delivery method are other significant aspects. The qualitative aspect of training, identification of courses, participants and faculty, standardization of processes, has to be emphasized and this does not require excessive budgetary resources. Solutions need to adopt an incremental, practical approach leveraging online systems. This necessitates a recognition of constraints – budgetary, human resources and infrastructural.

14. Accordingly, the ensuing macro instruments/ solutions applicable to all RTIs/ RTCs have been approved, followed by the specific micro interventions required by individual RTIs/ RTCs.

Macro Instruments/ Interventions

i. For training

- a) Modernize and standardize learning, teaching and assessment practices
- b) Upgrade and standardize courseware utilized by RTIs through development of Structured Training Modules, which are peer reviewed by the functional wing, training wing and PPG before being used. This minimizes variation in inputs provided across the country on a particular subject, and decreases faculty centricity of delivery.
- c) Training programs must be augmented, adjusted and changed – through ongoing training needs analysis; and reviewing existing calendars to exclude courses which can be done through in house training.
- d) PDs of RTIs/ RTCs to take regular and a pre-determined minimum percentage of classes to qualitatively enhance and augment faculty resources.
- e) Seeking faculty resources, including IA&AS officers, from client/ user offices.

- f) Entering into MOU with IPAI for faculty
- g) Group officers from client offices to be nominated as course directors for all special and HQ driven courses. Their presence during the course should be mandatory.
- h) OTs undergoing OJT/ DAGs should take an active role in RTIs, including taking sessions for appropriate courses.
- i) Training calendars as determined by RACs to also look into the timing of courses.
- j) No individual to be nominated for more than two courses in a year, except in case of modular training, special courses or HQ driven courses.
- k) RTIs/ RTCs to create database of participants, course wise, to avoid repeated nomination of participants. This will also facilitate deployment of trained personnel for appropriate assignments.
- l) While nominating participants, a brief profile of the individual including academic background, present assignment and likely future assignment for the next year, should be furnished by the nominating officer to the RTI.
- m) Incorporation of end course evaluation tests, especially for IT courses
- n) Training impact report (format to be designed) to be furnished by nominating officer within six months of completion of course.
- o) Explore development of E learning modules and distance learning modules
- p) Institute practice of pre – course briefing. Standardize procedure and content for pre-course briefing, including course ware to be studied in advance. Pre course content to be available on RTI/RTC website
- q) Development of standardized process sheets for organization of training courses
- r) Core faculty of RTIs/ RTCs to be nominated for DoPT's Training for Trainers Programmes regularly
- s) RAC should be involved in selection of candidates for deputation as core faculty to RTIs/ RTCs.

ii. For sharing of knowledge

- a. Revisit the areas of specialization for knowledge centres
- b. Review allocation of approved areas of specialization among RTIs/ RTCs.
- c. Conduct a workshop on development of case studies for RTIs
- d. Conduct a workshop on development of STMs for RTIs
- e. Update all STMs already prepared – these will then be peer reviewed before dissemination
- d. Identify specific STMs required to be developed (as suggested by functional wings) and apportion among RTIs/ RTCs.
- e. Standardize reading material/ courseware for domain area

- f. Creating sector-specific pools of Knowledge Resource Persons (KRPs) based on domain expertise
- g. Create a Centralized Repository of Research Papers prepared by RTIs/ RTCs. The Research Papers should be Peer Reviewed and those adjudged suitable for publication should be published either as a theme-based Book or in an annual Journal.
- h. Up-scale the creation, use, re-use and sharing of quality digital education contents, including Open Educational Resources
- i. Connect to the National Knowledge Network
- j. e-library of RTC, Bangalore to be networked with all RTIs/RTCs for creating shared resources.
- k. Networking with local academic and government training Institutes
- l. Examine possibility of remuneration for Research activities
- m. Closer interaction between Knowledge Centres and their mentors, seeking guidance and determining specific requirements relating to area of specialization
- n. Enhancing and keeping current RTIs/RTCs websites which are accessible platforms for sharing information on upcoming and past events, as well as training materials.

iii. For institutional development

- a. RTIs need to be structured into two wings – training, where they service client needs; and knowledge with focus on domain specialization
- b. Structurally, RTIs should have the regional ADAI as training mentor
- c. RTIs should have DAIs as knowledge mentors; and PDs should seek their guidance regularly including when conducting the annual training needs analysis
- d. Review sanctioned strength of all RTIs - Need to reassess requirements in view of enhanced expectations
- e. Review organizational structure – source of core faculty
- f. Better equipped hostel rooms
- g. Better equipped Lecture Rooms
- h. Updated and well catalogued libraries
- i. Improve and update digital infrastructures for knowledge sharing and training, including connectivity - as identified by PD(IS) – *Annexure 3*
- j. 5 day week in sync with user offices' work schedule. Also allows adequate time to core faculty members for proper preparation of course material and sessions.
- k. Review enhancing training allowance paid to core faculty.

Micro RTI Specific Interventions

RTI Chennai:

Human Resource: One additional post of Sr.AO/ AO for Admn work; One additional post of AAO for hostel maintenance and housekeeping

Infrastructure: Construction of additional dining hall, library, one office hall, one lecture hall, additional hostel rooms above gymnasium, additional rooms for faculty, visitors room, auditorium, care taker's rooms, generator back up for hostel, modular furniture for administration section and library, refurbishing of hostel rooms and toilets in 2nd and 3rd floors, televisions and mini fridge in all rooms, solar water heating system, CCTV for security purposes, false ceiling and wall paneling, replacement of dining furniture, dish washer, replacement of two air conditioners in dining room, replacement of 20 air conditioners in hostel rooms, gymnasium, library, lounge, UPS room and administration section, replacement of outdated batteries of UPS with 36 new batteries, replacement of furniture in lecture halls and EDP lab, 5 writing boards, 5 LED screens, 2 photocopiers.

IT Infrastructure: One mid-range server, replacement of 54 PCs, 4 laser jet printers, 1 document scanner, 2 smart boards, 1 laptop, networking, campus wide Wi-Fi.

RTI Mumbai:

Human Resource: Two additional AAOs, one senior auditor, three MTS.

Infrastructure: Nil requirement

IT Infrastructure: Provision of two high end servers for centralized storage of data and backups, operation of a parallel wireless network as a fall back, replacement of all systems used for training with latest all in one systems with built in Wi-Fi facility.

Other Issues: Enhancement of daily amount paid to canteen contractor, arranging common subsidized bus transport for employees and participants to and from Bandra and Kurla stations, daily rate for provision of food in canteen may be linked to dearness allowance.

RTI Kolkata:

Human Resource: One post of AAO, Admn, 3 MTS and 1 cook

Infrastructure: Separate building required with both training block and hostel. Repairing of faulty air conditioners, replacing all furniture (purchased in 2005), one OHP, one photocopier,

IT Infrastructure: Replacement of 30 Desktop computers, spool printer

RTI Nagpur:

Human Resource: Additional post of AAO for general administration, and 2 auditors for EDP and library.

Infrastructure: Hostel building needs to be completely renovated, installation of lifts, air conditioners, TVs, computers, tea/ coffee facility in each hostel room, renovation of

electrical fittings and fixtures in administrative/ training wing, furniture for EDP lab, photocopier.

IT Infrastructure: Provision of Wi-Fi system, urgent replacement of 7.5 KVA online UPS one high end laser duplex printer, replacement of laptops for core faculty,

RTI Ranchi:

Human Resource: One DEO for training needs, one auditor for library, 4 MTS for watch and ward.

Infrastructure: Entire complex (hostel, library, lecture, auditorium, conference hall and EDP halls) needs upgradation as no improvements have been made since construction in 1996. All hostel rooms need to be air conditioned and room heaters provided; flooring in hostel, furnishings, water coolers, all furniture in training halls need to be replaced. Wash rooms need refurbishment, electrical fittings and wiring need to be redone, and four high resolution projectors and one photocopier provided.

IT Infrastructure: Replace 40 desktops, provide four laptops for core faculty, dongles for internet connectivity, network connectivity in hostel, licensed software, and software E granthalaya for creating e-library

RTI Allahabad:

Human Resource: One additional core faculty, EDP, one post of librarian, lab assistant for EDP lab, cook, assistant cook, gardener, two room bearers, caretaker.

Infrastructure: Overall require a new building, and in the interim, an additional lecture hall, elevator, sports facilities, replacement of electric fittings and wiring, high capacity generator for uninterrupted power. Projectors with interactive board, Xerox machine - ` 2.5 lakhs, firefighting arrangements - ` 23.97 lakh, addressing leakage, drainage, dampness problems.

IT Infrastructure: Spool printer and scanner with object converter and reader, 5 laptops for faculty members - ` 2.5 lakhs, centralized internet facility - ` 2.5 lakhs, Wi-Fi.

RTI Jaipur:

Human Resource: Sanction of additional post of AAO for administration and one post of auditor for library.

Infrastructure: Auditorium, renovation of hostel rooms with provision of air conditioners, geysers, heaters. 5 water coolers, modular furniture for lecture room, 2 projectors, one heavy duty photocopier.

IT Infrastructure: 83 computers with configuration Corei7 fourth generation, 16 GB DDR3 RAM, 1 TB HDD, Windows 8 operating system; 15 multi-function devices, 5 laptops with configuration Intel i7(IV generation), 16 GB RAM DDR3, 1 TB HDD, Windows 8 for core faculty, Wi-Fi networking for campus

RTI Jammu:

Human Resource: One SAO for knowledge centre, one AAO and one Sr. Auditor for training and one Senior accountant for administration, one librarian, one PA for PD.

Infrastructure: Complete renovation of hostel, upgrade six rooms as faculty rooms, air conditioners in all rooms, televisions, tea and coffee facilities in all rooms, common laundry services, water dispenser, small kitchenette, intercom facility, recreational facilities, relay the badminton court, volley ball court, gym equipment - ` 2.95 lakh, common room with LCD, projector, DVD, parking space, library, power generator - ` 23.65 lakhs, renovation of administrative and training block - ` 49.26 lakh, auditorium, building an additional floor or annexe to the main building, upgradation of conference hall - ` 9 lakh, Creation of IT lecture hall cum resource centre: ` 20.95 lakhs.

IT Infrastructure: 27 desktops with internet facility and 27 UPS in hostel rooms, Wi-Fi system, 1 mid-range server, 2 laptops, 3 LED screens, 36 additional user licenses for MS Office 2013, 6 MS Office 2007, 19 MS Office 2003, Idea 9.1, Oracle 11g, 21 Linux.

RTI Shillong:

Human Resource: Vacancy in core faculty since September 2011 needs to be filled, staff car driver, cook, bearer may be converted into regular posts of RTI to be filled through direct recruitment. Posting of a SAO/AO with commercial background.

Infrastructure: The new hostel has to be equipped and furnished, classrooms to be provided with audio-video recording facilities.

IT Infrastructure: Linux 5.6, Oracle 11g, Oracle Fusion Middleware and other software being used in field offices.

RTC Bangalore:

Human Resource: One Auditor with computer expertise, one DEO for processing training material; and one MTS for daily maintenance of RTC.

Infrastructure: Air conditioners for classrooms, water dispensers, flip chart boards, furniture conducive for group activities, 3 projectors with LED display

IT Infrastructure: internet connectivity, high range server for running MS SQL Server and Oracle 11G, 16 GB RAM with 2 TB Hard disk and Intel Core i7, HDMI connectivity, laptops with latest configurations to all core faculty, WAN/VPN specific architecture to connect all RTIs/ RTCs for exchange and broadcasting of information and access to e libraries and e learning sessions, 14 additional MS Office 2013 licenses, 9 additional licenses for IDEA 9.1, new anti-virus version, 20 licenses for MS SQL Server Standard edition 2012 (approx. ` 2 lakh).

RTC Hyderabad:

Human Resource: There is no dedicated core faculty.

Infrastructure: PA system for all lecture halls, expansion of computer lab, one more LCD projector, air-conditioning of lecture halls, modular furniture for lecture halls, installation of an elevator (` 30 lakh).

IT Infrastructure: 14 additional desktops, one laptop, one high end printer

RTC Delhi:

Human Resource: A dedicated group officer as Head, 3 SrAO, 1 AAO, 1 clerk/ DEO, 2 MTS, 1 sweeper.

Infrastructure: Need 5 additional rooms – for permanent faculty, library, conference hall, recreational facilities, visiting guest faculty; washrooms for ladies and gents, pantry room, 3 projection screens, 2 public address systems, 1 photocopier, auto feed scanner, fax machine, 10 air conditioners, books for the library, furniture.

IT Infrastructure: Mid-range server, 1 UPS of 25 KVA

Given the status of existing infrastructure at RTIs and the overall budget constraint, it is important to prioritize RTI Jammu and Shillong.

- Posting of Group Officers to more active RTIs - RTI Chennai, Mumbai and Kolkata
- Examine upgrading RTI Chennai, Mumbai and Kolkata as Central Training Institutes
- Examine upgrading RTC Bangalore to an RTI

Priority List

To fulfil their role as a training and knowledge centre, all RTIs/ RTCs must have certain basic infrastructure and IT infrastructure (software and hardware). These are identified as:

Infrastructure:

Training Facility - lecture rooms to be equipped with comfortable, modular furniture, air conditioned/ heated as appropriate, projectors, LED screens.

Well stocked library, photocopiers, scanners, elevators, water coolers/ dispensers, intercom facility, PA system for all lecture halls.

Hostel Facility – Recreational facilities, accessible pantry and washing machine cum dryer for participants' independent use, air conditioners, heaters and geysers for hostel rooms, lounge with television and DVD player, dishwashers, back-up generator, elevators, water coolers/ dispensers.

Keeping in mind the infrastructure available at RTIs/ RTCs and according top priority to safety, a statement of infrastructure proposed to be provided in the current year to each RTI/RTC, along with approximate funds requirement, is at Annexure 4. Annexure 4A indicates requirements in 2015-16. The infrastructure requirements addressed in the current year include electrical fittings and rewiring where required, firefighting equipment to all RTIs/ RTCs, elevators and power backup generators where required, equipping lecture halls with air conditioners, quality furniture, large screen television, OHP and PA system, development of all libraries; and gradually refurbishing hostel rooms and equipping them with air conditioners/ heaters, geysers, television. Hostels are being upgraded in terms of recreational activities, television lounge, and washing machine. A rough estimate of funds requirement for this purpose in the current year is ` 5 crore and ` 2 crore in the subsequent year.

These statements do not include the civil works required, reflected separately in Annexure 4B. Here, in the current year, priority is being accorded to RTI Jammu. They have sent in an estimate of about `70 lakh for renovation of the office and training facility. A separate estimate is expected for

renovating the hostel. Other important civil works proposed to be undertaken in the current year include:

RTI, Ranchi: Hostel room flooring

RTI, Chennai: Refurbishing of toilets in 2nd and 3rd floors, construction of additional dining hall and provision of solar water heating system

RTI, Allahabad: additional lecture hall

RTC Delhi: ladies and gents toilets and pantry room.

Estimated cost of RTI/RTCs infrastructure is Rs.10 crore.

IT Hardware and Software: All RTIs to have 2 servers and RTCs to have 1 server, good internet connectivity and LANs, replacement of all desktops purchased prior to 2008 with new desktops of core i5 processors, provision of desktops in hostel rooms, 3 to 4 laptops, all labs, conference halls and lecture halls to be equipped with projectors; projectors more than 6 years old to be replaced, Wi-Fi enabled campus, UPS. PD(IS) has estimated that equipping all RTIs/RTCs on the above lines, will entail about ` 3 crore.

Milestones

a. One day workshop for all RTIs/ RTCs on the Roadmap (Tentative programme for workshop is at Annexure 5) **17th September 2014**

b. Issue of comprehensive instructions by training wing to all RTIs/ RTCs standardizing learning, teaching and assessment practices **15th October 2014**

c. Issue of instructions by training wing to all RTIs/ RTCs regarding augmenting of faculty resources **20th September 2014**

d. Reference to DOPT on Reviewing Honorarium and Professional Fees
25th August 2014

e. MOU with IPAI for faculty, STMs, content for e learning modules
15th November 2014

f. Designing of Training Impact Assessment form by Training wing
30th November 2014

g. Explore development of e learning modules by RTC Delhi and Bangalore
15th October 2014

h. Undertaking a fresh TNA by functional wings at Headquarters, to be subsequently communicated to all RTIs/ RTCs
30th September 2014

i. All RTIs/ RTCs to undertake a fresh TNA in conjunction with their client offices
30th October 2014

j. Review of training calendars of RTIs/RTCs by Training Wing to identify those that should henceforth be undertaken as in house training
30th September 2014

k. All RTIs/ RTCs to review their stock of STMs and forward the satisfactory ones to Training wing for peer review. These should then be peer reviewed before use/ dissemination.

Ist batch of 2 STMs each (covering 28 of the 73 STMs)

31st October 2014/ 31st January 2014

IIInd batch of 2 STMs each (cumulatively covering 48 of the 73 STMs)

31st January 2015/ 30th April 2015

IIIrd batch of 2 STMs each (cumulatively covering 61 of the 73 STMs)

30th April 2015/ 31st July 2015

IVth batch of 2 STMs each (cumulatively covering 67 of the 73 STMs)

31st July 2015/ 31st October 2015

Vth batch of 2 STMs each (cumulatively covering 71 of the 73 STMs)

31st October 2015/ 31st January 2016

VIth batch of 2 STMs each (covering all 73 STMs)

31st January 2016/ 30th April 2016.

l. Review areas of specialization for knowledge centre in conjunction with functional wings and RTIs/RTCs.

30th November 2014

m. Workshop on development of case studies and STMs

15th December 2014

n. Creation of sector specific pools of Knowledge Resource persons

30th November 2014

o. Review and peer review of Research papers already produced by RTIs/RTCs

30th April 2015

p. Centralized repository for research papers

31st July 2015

q. Explore connecting to National knowledge network

30th November 2014

r. Networking RTC Bangalore's e library to all RTIs/RTCs

30th November 2014

s. Review of RTIs/RTCs sanctioned strength in view of enhanced expectations

30th November 2014

t. All RTIs/ RTCs must have certain basic infrastructure and IT infrastructure (software and hardware) as indicated in section on 'Priorities' above.

31st March 2015

u. For additional institute wise micro interventions in the current financial year and in 2015-16, a rough estimate of funds required for infrastructure including civil works in the current financial year, is ` 10 crore; and for IT infrastructure, it is ` 3 crore.

31st March 2015

v. Funds requirement for infrastructure including civil works in 2015 -16 will be `5 crore.

Budget Requirements

A cumulative amount of `13 coreis being projected in the Revised Estimates for the current year.

Annexure B: Action Points for all RTIs/RTCs with Milestones

Section A: General

1. One session on ethics to be included in all 5 days training programme
Immediate

2. Create and regularly update database of participants, course wise, with participant profile (background, present posting and future deployment) and details to avoid repeated nomination.

Intimate creation to Training Division **30th November 2014**

3. Create and regularly update sector specific database of Knowledge Resource persons

Intimate creation to Training Division **15th November 2014**

4. Review of sanctioned strength in view of enhanced expectations

Submission of report to Training Division **10th November 2014**

5. Suggestions for design of Training Impact Assessment form

Submission of suggestions to Training Division

10th November 2014

6. Review of training calendars to identify those that should henceforth be undertaken as in-house training

Submission of report to Training Division **10th October 2014**

7. Incorporate practice of end course evaluation tests for all courses, results to be maintained in RTI's database as well as communicated to the nominating officer.

Submission of report to Training Division **10th November 2014**

All proposed major capital works, minor works should be reflected in BE 2015-16, as sought by Headquarters. The prescribed dates must be strictly adhered to and the estimates furnished must clearly detail the proposed items of work in order of priority, its scheduling and tentative cost estimate – preferably through CPWD. Similarly, estimates of OE and Professional fees should be carefully prepared with justification and incorporated in BE 2015-16 to get allotment.

Submitted to ACN, copy to Training Division **30th September 2014**

In the ensuing quarter (October to December 2014), three courses should be conducted without pre-determined slots for each user office. The user offices may be informed of these three courses, their objectives and desired participant profile. Nominations may be invited without any prescribed limits or quota. An analytic report highlighting actual nominations, participant profile and feedback as compared with previous experience in case of similar courses may be prepared.

Submission of report to Training Division **30th January 2015**

Reassess IT requirements and furnish the following information:

a. IT Hardware statement to be reviewed and confirmed, giving the exact location where the hardware is placed. If the systems are in non-working condition the same be indicated and date from which is it not working also may be indicated.

b. AMC vendor or local NIC office to conduct a LAN survey and provide a complete drawing of the

LAN required by the institute, no. of switches required and total costing of the LAN. the LAN survey report should be certified by the AMC vendor/ NIC officer.

c. Requirement of projector may be intimated - whether a new projector is required or it is in replacement of the existing projector.

d. Requirement for computers, printers, scanners, etc may be sent to IS wing by the said date.

Submitted to IS Wing, copy to Training Division

30th September 2014

Review of existing manpower resources and sanctioned strength in view of enhanced expectations.

Submission of report to Training Division

30th October 2014

Basic essential infrastructural requirements were enumerated in the conclave presentation. RTIs to take stock and project priority items.

Submission of report to Training Division

30th October 2014

Section B: Training Needs

1. Undertake a fresh TNA in conjunction with client offices and keeping in view needs communicated by functional wings of headquarters at the Conclave

30th October 2014

2. Organize a training course on "Audit of VAT" in the current year and incorporate in future training calendar too. Timing of course to be determined in conjunction with user offices.

Scheduling for current year intimated to Training Division

30th October 2014

3. Organize a training course on "Financial Attest Audit Module 1" in the current year and incorporate in future training calendar too. Timing of course to be determined in conjunction with user offices.

Scheduling for current year intimated to Training Division

30th October 2014

4. Organize a 5 day training course for group officers and group B officers entrusted with audit of Central Excise & Service Tax on "Audit of CERA, GST and ACES" in the current year and incorporate in future training calendar too. The desired course content has been given by the functional wing at Headquarters and is being emailed separately to you. Timing of course to be determined in conjunction with user offices.

Scheduling for current year intimated to Training Division

30th October 2014

5. Organize a 5 day training course for Group officers and Group B officers on "Audit of Direct Taxes" in the current year and incorporate in future training calendar too. The desired course content has been given by the functional wing at Headquarters and is being emailed separately to you. Timing of course to be determined in conjunction with user offices.

Scheduling for current year intimated to Training Division

30th October 2014

6. Organize a Workshop on preparation of State Finance Reports in co-ordination with the respective functional wing at Hqrs. in the current year

Scheduling for current year intimated to Training Division

30th October 2014

7. Organize a 5 day training course on General Management for Group B officers in the current year and incorporate in future training calendar too.

Scheduling for current year and course module intimated to Training Division

30th October 2014

Section C: Knowledge

1. All RTIs/ RTCs to review their stock of STMs and forward the satisfactory, updated ones to Training wing for peer review before use/ dissemination.

Ist batch of 2 STMs each (covering 28 of the 73 STMs)

Submission to Training Division

31st October 2014

IInd batch of 2 STMs each (cumulatively covering 48 of the 73 STMs)

Submission to Training Division

31st January 2015

IIIrd batch of 2 STMs each (cumulatively covering 61 of the 73 STMs)

Submission to Training Division

30th April 2015

IVth batch of 2 STMs each (cumulatively covering 67 of the 73 STMs)

Submission to Training Division

31st July 2015

Vth batch of 2 STMs each (cumulatively covering 71 of the 73 STMs)

Submission to Training Division

31st October 2015

VIth batch of 2 STMs each (covering all 73 STMs)

Submission to Training Division

31st January 2016.

- List of STMs, RTI wise, presently available is attached.

2. Assess capability and availability of resources to carry out research activities with tangible outcomes

Submission of report to Training Division

30th November 2014

Action Points for specific RTIS with Milestones:

1. **RTI Allahabad:** To revise STM on Government Accounts -

31st January 2015

2. **RTI Chennai:**

a. Concept paper on developing e-learning module

15th October 2014

- b. Course design for Audit of Regulatory Authorities – **30th October 2014**
- c. Conduct two training programmes on 'Audit of PPP' in the first two quarters of 2015-16, including Headquarters officials as participants.

Scheduling intimated to Training Division

30th October 2014

- d. Design a one week All India course on Regulatory Authorities, with IA&AS officers as participants too.

Submit approach paper and course module to Training Division

30th November 2014

3. RTI Jammu:

- a. Concept paper on National knowledge Network – **30th October 2014**
- b. To forward STM prepared by RTI Jammu on Government Accounts to RTI Allahabad for preparation of the updated, revised STM - **Immediate**

- c. To revise STM on Budget -

31st January 2015

4. RTI Kolkata:

- a. Circulate the training module on VAT conducted by RTI, Kolkata to other RTIs/RTCs –

Immediate

- b. Organise an All India Workshop on audit of PRIs/ULBs in 2015-16

Scheduling intimated to Training Division

30th October 2014

5. RTI Jaipur:

- a. Prepare STM on Goods & Service Tax. Should include a half day session on Ethics in the context of ACES & CERA

30th December 2014

- b. Prepare STM on General Management Programme for Group B Officers

30th January 2014

6. RTI Ranchi:

- a. Prepare a one day induction module for AAOs/Auditors, to be peer reviewed by local AsG

Submission to Training Division

30th October 2014

7. RTI Mumbai:

- a. Organise a two day workshop for core faculty of RTIs/RTCs on preparation of case studies and STMs.

Scheduling intimated to Training Division

30th October 2014

- b. Conduct a training programme on New Companies Act

Scheduling intimated to Training Division

30th October 2014

8. RTI Nagpur:

- a. Concept paper on developing e-learning module

15th October 2014

b. Budget requirements vis-à-vis priorities identified for infrastructure requirements.

9. RTI Shillong:

10. RTC Bangalore:

a. In conjunction with the other two RTCs to prepare a report, including rationale and implications, for continuation as an RTC or alternatively, upgradation as an RTI.

Submission of report to Training Division

30th December 2014

b. Proposal about networking all the training institutes to the e-library module

Submission of report to Training Division

30th November 2014

c. To prepare concept paper on being knowledge centre for ERP training

Submission of report to Training Division

15th December 2014

11. RTC Hyderabad:

a. In conjunction with the other two RTCs to prepare a report, including rationale and implications, for continuation as an RTC or alternatively, upgradation as an RTI.

Submission of report to Training Division

30th November 2014

12. RTC Delhi:

a. In conjunction with the other two RTCs to prepare a report, including rationale and implications, for continuation as an RTC or alternatively, upgradation as an RTI.

Submission of report to Training Division

30th November 2014

Annexure C: Activities envisaged for an RTI as Knowledge Centres

1. Play a key role in the process of shifting to a competency based framework for training.
2. Be a reservoir of comprehensive knowledge and data in the designated area
3. Co-ordinate with DG (IR) and PD (PPG) to keep themselves informed of the latest developments in the field of auditing methodologies.
4. Co-ordinate with nodal officer for sector specific requirements of knowledge base.
5. Prepare the practice notes on International standards.
6. Prepare courseware for the designated areas of specialization. For sector specific knowledge the courseware would be prepared in consultation with DG/ PD of the functional wing.
7. Develop core faculty in the area of specialization.
8. Organize training through workshops/ seminars.
9. Disseminate information/ research/ case studies in the relevant field through newsletters etc.
10. Assimilate technologies with a view to enabling learning anywhere, anytime for their clientele.
11. Conduct field studies and research as part of the process of becoming repositories of knowledge in the areas of their sectoral or functional specialization.
12. Network with other institutions including those outside IAAD ambit to share learning resources, experiences and expertise.

Annexure D

Sl. No.	RTI/ RTC	Areas of specialization	Nodal officer at Hqrs.	Mentor
1	RTI Nagpur	Defence audit	PD (Defence)	DAI (Defence, Rlys & Communications)
2	RTI Jaipur	Social sector audit, Performance audit	DG (RC)	DAI (RC)
3	RTI Kolkata	Railway audit, LB audit, Compliance audit	DG (Rlys) & PD (LB)	DAI (Defence, Rlys & Communications)
4	RTI Mumbai	Corporate governance, Finance and audit of Municipal corporations, General purpose- Financial reporting (IPSAS)	DG (Comml) & PD (LB)	DAI (RC) and DAI (Comml)
5	RTI Nagpur	Revenue audit, Fraud & forensic audit, Assessment of Internal controls, Risk & Innovations	PD (DT)	DAI (CRA)
6	RTI Chennai	Audit of PPP in infrastructure projects, Financial attest audit	DG (Comml)	DAI (Comml)
7	RTI Ranchi	Audit Quality Management Framework		
8	RTI Allahabad	GASAB, Certification audit	PD (GASAB)	DAI (Govt A/Cs)
9	RTI Shillong	Certification audit in autonomous district councils as per applicable Financial attest audit manual		
10	RTC Bangalore	Information Technology audit		
11	RTC Hyderabad	Local bodies and Social audit	PD (LB)	DAI (RC)
12	RTC New Delhi	Information technology	PD (IS)	
