केन्द्रीय मुहर विभाग-2

हमारा संदर्भ : के.मु.वि.-2/जी-38

23 03 2018

विषय: क्षेत्रीय उप्महानिदेशकों द्वारा शाखा कार्यालयों का छहमाही निरीक्षण उपरोक्त विषय पर परिपत्र अवलोकन हेतु संलग्न है।

> (आदित्य दास) वैज्ञानिक (सी एम डी-2)

<u>प्रमुख (के.मु.वि.-2)</u> उपमहानिदेशक (प्रमाणन

इंट्रानेट के माध्यम से सभी गतिविधि प्रमुखों एवं क्षेत्रीय उप्महानिदेशकों को परिचालित

प्रितिलिपि: आई टी एस विभाग - बीआईएस इंट्रानेट पर अपलोड करने के लिए

CENTRAL MARKS DEPARTMENT-2

Our Ref: CMD-2/G-38 23 03 2018

Subject: Half yearly Audit of Branch Offices by DDGRs

Please find enclosed a circular regarding the captioned subject.

(Aditya Das) Sc. 'C' (CMD-2)

<u>Head (CMD-2)</u> DDG (Certification)

Circulated to all Activity Heads and DDGRs through BIS intranet

Copy to: ITS for hosting on BIS Intranet

CENTRAL MARKS DEPARTMENT-2

Our Ref: CMD2/G-38/DDGR 23-Mar-18

Subject: Half yearly Audit of Branch Offices by DDGRs

- 1. This has reference to the above.
- Reference is also invited to Office Order BIS/DGO(408)/2014 dt 13.08.2014 issued by Administration Department, as per which DDGRs were requested to conduct inspection of BOs under their jurisdiction twice a year and submit a report as per a prescribed format to DG within one week of completion of inspection.
- 3. As desired by the Competent Authority, all Activity Heads and DDGRs are requested to examine this format which addresses all activities i.e. Certification, Hallmarking, Enforcement, CAD, Publicity, Administration and Finance, and provide any comments/suggestions for modification of the format.
- 4. Comments/Inputs may kindly be provided by **31 March 2018** please. These comments will be discussed during the ROs/BOs meeting on 6 April 2018.

Aditya Das Sc. C

Head CMD-2 DDG (Certification)

Circulated to All Activity Heads and DDGRs through BIS intranet

Copy to:

Head ITSD - with a request to host the circular on intranet and also examine the needful action required for automating the proposed DDGR's Audit Report once it is finalized, as desired by CA.

भारतीय मानक ब्यूरो

(प्रशासन विभाग)

13 अगस्त 2014

कार्यालय आदेश

विषय : क्षेत्रीय उपमहानिदेशक के द्वारा क्षेत्र के शाखा कार्यालयों का ऑडिट

सक्षम प्राधिकारी ने निर्णय लिया है कि क्षेत्रीय उपमहानिदेशक शाखा कार्यालयों में समुचित रूप से कार्य सुनिश्चित करने के लिए निरोधात्मक सतर्कता ऑडिट के अनुरूप वर्ष में कम से कम दो बार क्षेत्र की शाखा कार्यालयों का आवधिक निरीक्षण करेंगें तथा निरीक्षण के पूर्ण होने के एक सप्ताह के भीतर महानिदेशक को अपनी रिपोर्ट भेजेंगे।

- 2. क्षेत्रीय उपमहानिदेशक द्वारा आवधिक निरीक्षण के दौरान निम्ननिखित मानदंडों पर जाँच की जायेगीः
 - i) प्रमाणन सामान्य, सरलीकृत प्रक्रिया एवं तत्काल योजना के अंतर्गत प्रदान किये गये गए लाइसेंसों की जाँच करना (अनुबंध IIक, IIख, IIग)
 - ii) प्रमाणन नवीकरण के लंबित आवेदन पत्रों की जाँच करना (अनुबंध-III)
 - iii) प्रमाणन सरेंडर किये / गतावधि लाइसेंसों की जाँच करना (अनुबंध-IV)
 - iv) प्रमाणन मुहरांकन रोकना (SoM) एवं मुहरांकन पुनः आरंभ करना (RoM) के अंतर्गत लाइसेंसों की जाँच करना (अनुबंध—Vक, Vख)
 - v) प्रमाणन लाइसेंसधारियों के औचक / निगरानी दौरों की जाँच (अनुबंध-VI)
 - vi) **हॉलमार्किंग -** स्वर्णकारों को लाइसेंस (अनुबंध-VII)
 - vii) **हॉलमार्किंग** स्वर्णकारों की मार्किट निगरानी की जाँच करना (अनुबंध-VIII)
 - viii) आई-केयर कार्यकम गुणता संबंधी शिकायत (अनुबंध-IX)
 - ix) आई-केयर कार्यकम मानकों की शैक्षणिक उपयोगिता (अनुबंध-X)
 - x) आई-केयर कार्यकम उपभोक्ता संरक्षण-दुरूपयोग की पहचान (अनुबंध-XI)
 - xi) आई-केयर कार्यकम उपभोक्ता संरक्षण- दुरूपयोग पर वैधानिक कार्यवाही (अनुबंध-XII)
 - xii) आई-केयर कार्यकम प्रचार (अनुबंध-XIII)
 - xiii) आई-केयर कार्यकम बिकी एवं वितरण (अनुबंध-XIV)
 - xiv) वित्त से संबद्ध मामले लेखा बहियों एवं लेखाकरण पद्धति की मॉनिटरिंग (अनुबंध-XV)
 - xv) वित्त से संबद्ध मामले बजट अनुमानों की तुलना में आय एवं व्यय का विश्लेषण (अनुबंध-XVI)

- xvi) वित्त से संबद्ध मामले अर्द्ध वार्षिक आंतरिक ऑडिट रिपोर्टों पर प्राप्त पर्यवेक्षण का अनुपालन (अनुबंध—XVII)
- xvii) वित्त से संबद्ध मामले सांविधिक एजी ऑडिट रिपोर्टों के अनुच्छेदों का अनुपालन (अनुबंध-XVIII)
- xviii) प्रशासनिक मामले प्रशासनिक मामलों की मॉनिटरिंग हेतु जॉच बिंदु (अनुबंध-XIX)
- xix) **प्रशासनिक मामले –** सामान एवं सेवाएँ प्राप्त करने की मॉनिटरिंग (अनुबंध–XX)
- xx) प्रशासनिक मामले हिंदी कार्यान्वयन की समीक्षा (अनुबंध-XXI)
- 3. अनुबंध—II से अनुबंध—XXI के प्रोफार्मा में निरीक्षण रिपोर्ट के साथ उपमहानिदेशक द्वारा पाई गई अनियमितताओं एवं सुधारात्मक एवं निरोधात्मक कार्यवाही हेतु सुझाव दर्शाते हुए प्रत्येक मानदण्ड (उपरोक्त मद सं. i से उपरोक्त xx तक) पर विस्तृत समीक्षा रिपोर्ट प्रस्तुत की जाए।
- 4. ऑडिट की संक्षिप्त रिपोर्ट अनुबंध-I के अनुसार प्रोफार्मा में दी जाये।
- 5. इसे महानिदेशक, भा.मा.ब्यूरो के अनुमोदन से जारी किया जा रहा है।

हस्ता./— (अनुज कुमार) उपमहानिदेशक (प्रशासन)

संदर्भः प्रशासन/01/23/2014

निम्नलिखित को परिचालितः

मुख्यालय के सभी विभाग / क्षे0का० / शा0का० / नि0का० / टीएंडसी एवं प्रशिक्षण संस्थान, नोएडा

BUREAU OF INDIAN STANDARDS

(Administration Department)

13 August 2014

OFFICE ORDER

Subject: Audit of Branch Offices in the Region by DDGRs

The Competent Authority has decided that DDGRs shall conduct periodic inspection of the BOs in the Region at least twice a year on the lines of Preventive Vigilance Audit to ensure proper working of the Branch Offices and send the report to DG within one week of completion of inspection.

- 2. Following parameters shall be checked during the periodic inspection by DDGRs:
 - (i) **Certification** Examination of New Licenses granted under Normal, Simplified Procedure and Tatkal Scheme (Annex- IIA, IIB, IIC)
 - (ii) Certification Examination of Pending Applications for Renewals ((Annex-III)
 - (iii) **Certification** Examination of Surrender/Expiration of Licence(Annex-IV)
 - (iv) **Certification** Examination of Licences under Stoppage of Marking (SoM) and Resumption of Marking (RoM) (Annex- VA, VB)
 - (v) **Certification** Examination of Surveillance visits of a Licensee (Annex-VI)
 - (vi) **Hallmarking** Licensing of Jewellers (Annex-VII)
 - (vii) **Hallmarking** Examination of Market Surveillance of Jewellers (Annex-VIII)
 - (viii) **I-Care Programme** Complaint on Quality (Annex-IX)
 - (ix) **I-Care Programme** Educational Utilization of Standards (Annex-X)
 - (x) I-Care Programme Consumer Protection Detection of Misuse (Annex-XI)
 - (xi) **I-Care Programme** Consumer Protection-Legal Action-Misuse (Annex-XII)
 - (xii) **I-Care Programme** Publicity (Annex XIII)
 - (xiii) **I-Care Programme** Sales & Distribution (Annex-XIV)
 - (xiv) Finance Related Matters Monitoring of Books of Accounts & Accounting System (Annex-XV)
 - (xv) **Finance Related Matters** Analysis of Income & Expenditure vis-à-vis Budget Estimates (Annex-XVI)
 - (xvi) **Finance Related Matters** Compliance to observations in Half yearly Internal Audit Reports (Annex-XVII)
 - (xvii) **Finance Related Matters** Compliance to Paras in the Statutory AG Audit Reports(s) (Annex-XVIII)
 - (xviii) Administrative Matters Check List for Monitoring of Administration Matters (Annex-XIX)
 - (xix) Administrative Matters Monitoring of Procurement of Goods & Service (Annex-XX)
 - (xx) **Administrative Matters** Review of Hindi implementation (Annex-XXI)

- 3. Detailed review report on each of the parameters (Items No. i to xx above) indicating the irregularities observed and suggestion for corrective and preventive action, should be submitted by DDGs along with Inspection Report in the proformae at Annex-II to Annex-XXI.
- 4. Summary Report of the Audit to be given in Proforma at Annex-I.
- 5. This issues with the approval of DG BIS.

Sd/-(Anuj Kumar) DDG (Administration)

Ref: Admn/01/23/2014

Circulated to: All the departments at HQ/ROs/BOs/IOs/T&C & NITS

NAME OF DDG:	DATE(S) OF VISIT:	PERIOD OF REVIEW:

SI. No.	Parameter	Irregularities Observed	Names of IO/ Dealing Asstt/UDC	Suggestions for Corrective/ Preventive Action
1.	Grant of Licence under Normal/Simplified Procedure/Tatkal Scheme (as per Annex-IIA, IIB, IIC) 1. Case 1 2. Case 2 3. Case 3			
2.	Pending Applications for Renewal (as per Annex-III) 1. Case 1 2. Case 2 3. Case 3			
3.	Surrender/Expiration of Licence (as per Annex-IV) 1. Case 1 2. Case 2 3. Case 3			
4. 5.	Stoppage of Marking/ Resumption of Marking (as per Annex-VA, VB) 1. Case 1 2. Case 2 3. Case 3 Visit of Premises of a Licensee (as per Annex-VI)			
	1. Case 1 2. Case 2 3. Case 3			
6.	Hallmarking Certification Scheme 1. No. of Days taken in Grant of Licence (Annex-VII) 2. Market surveillance of Jewellers (Annex-VIII)			
7.	Implementation of i-care Programme 1. Complaint on Quality (Annex-IX) 2. Educational Utilization of Standards (Annex-X) 3. Consumer Protection- Detection of Misuse Annex-XI) 4. Consumer Protection- Legal Action - Misuse (Annex-XII) 5. Publicity (Annex-XIII) 6. Sales & Distribution (Annex-XIV)			
8.	Financial / Accounts Matters: 1. Books of Accounts & Accounting Functions (Annex-XV) 2. Analysis of Income & Expenditure vis-a-vis Budget Estimates (Annex-XVI) 3. Observation in Half Yearly Internal Audit (Annex-XVII) 4. Compliance to Paras in Statutory AG Audit Reports (Annex-XVIII)			
9.	Administrative Matters: 1. Monitoring of Administration Matters (Annex-XIX) 2. Monitoring of Procurement of Goods & services (Annex-XX) 3. Monitoring of Hindi Implementation (Annex-XXI)			

RECOMMENDATIONS:

REVIEW PROFORMA – GRANT OF LICENCE (NORMAL PROCEDURE)

NAME OF THE BRANCH OFFICE (CODE): DATE(S) OF AUDIT: PERIOD OF REVIEW: NAME OF HEAD:

Name of the Firm/Applicati	IS No.	Date of Receipt of application in		First Scrutiny	(Single Window)			Second Scrutiny
on No.			Whether the documents of application are as per the check list and with fees		Return of application- not recorded		Dealing Officer	Date of communication of addl information to be provided during prelim inspection by the dealing officer
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)
TOTAL								

Pre	eliminary In	spectio	n (PI)			Grant of Lice	nce		Total No. of Deviation from time norms days taken in					
Date of Prelimina ry Inspectio n	the applicant,	receipt	submission of IR to BO	receipt	if required	TR received and applicant	Grant of Licence/ Rejection by	Date of Payment of Marking Fee by Applicant		,	In delivery of sample to sample cell		In Grant/ Rejection of application after PI	
(10)	(11)	(12)	(13)	(14)	(15)	(16)	(17)	(18)	(19)	(20)	(21)	(22)	(23)	(24)

SUMMARY

Average No. of Days taken in = Total No. of Days taken in GOL (Col 19)

GOL under Normal Procedure Total No. of Licences Granted (Col 1)

Time Norms for:

- i) Scrutiny of Application:
- ii) Processing of Application (Normal/Simplified/Tatkal):

REVIEW PROFORMA – GRANT OF LICENCE (SIMPLIFIED PROCEDURE)

NAME OF THE BRANCH OFFICE (CODE): NAME OF HEAD:

DATE(S) OF AUDIT:

PERIOD OF REVIEW:

Name of the Firm/Applicati	IS No.	Date of Receipt of application in		First Scrutiny	(Single Window)		Second Scrutiny		
on No.			Whether the documents of application are as per the check list along with fees & complete Test Report		• •		Name of the Dealing Officer	Date of communication of addl information to be provided during verification visit by the dealing officer	
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)	
TOTAL									

	Verificat	tion Visi	t		Grant of	Licence		Total No. of			Deviation fro	m time norms		Remarks
								days taken	n Sample					
								in Grant of	Test					
		In .	la	5	D	la	la	Licence	Report		l			
Date o					Put up for Grant		Date of	from the	Review of	, 0	In delivery of	IR not put up	ln ,	
	ati ation of DV			,	of Licence after		Payment	date of	Test Report	out	sample to	to BO in Time	Grant/Rejec	
on Vis	t Report to	Report	of IR to BO	if	TR received and	Licence/	of	receipt of		Verification	sample cell		tion of	
	the			required	applicant	Rejection by	Marking	Application		visit within			application	
	applicant, if				submits	ВО	Fee by	(17)-(5)		Time Norms			after PI	
	any				compliance to		Applicant	(17)-(3)						
					DV Report/2 nd									
					visit									
(10	(11)	(12)	(13)	(14)	(15)	(16)	(17)	(18)	(19)	(20)	(21)	(22)	(23)	(24)
								TOTAL						

Average No. of Days taken in = Total No. of Days taken in GOL (Col 18)
GOL under Simplified Procedure Total No. of Licences Granted (Col 1)

Time Norms for:

- i) Scrutiny of Application:
- ii) Processing of Application (Normal/Simplified/Tatkal):

REVIEW PROFORMA – GRANT OF LICENCE (TATKAL SCHEME)

NAME OF THE BRANCH OFFICE (CODE): NAME OF HEAD:

DATE(S) OF AUDIT:

PERIOD OF REVIEW:

Name of the Firm/Applicati	IS No.	Date of Receipt of application in		First Scrutiny	(Single Window)		Second Scrutiny			
on No.			Whether the documents of application are as per the check list and with fees		• •		Name of the Dealing Officer	Date of communication of addl information to be provided during Preliminary inspection by the dealing officer		
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)		
TOTAL										

Pre	liminary Ir	rspectio	n (PI)						Total No. of days taken		eviation fi	om time norn	ns	Amount of Tatkal Fee	Remarks
Prelimin ary Inspectio n	DV Report to the applicant, if any	receipt of Sample	submissio n of IR to	receipt of test	2 nd visit, if required	TR received and	Date of Grant of Licence/ Rejection by BO	Date of Payment of Marking Fee by Applicant	in Grant of Licence from the date of receipt of Application (18)-(5)	out Preliminary Inspection within Time	,	IR not put up to BO in Time	In Grant/ Rejection of application after PI	refunded/ adjusted against Marking Fee	
(10)	(11)	(12)	(13)	(14)	(15)	(16)	(17)	(18)	(19)	(20)	(21)	(22)	(23)	(24)	(25)

SUMMARY

Average No. of Days taken in = Total No. of Days taken in GOL (Col 19)

GOL under Tatkal Scheme Total No. of Licences Granted (Col 1)

Time Norms for:

- i) Scrutiny of Application:
- ii) Processing of Application (Normal/Simplified/Tatkal):

REVIEW PROFORMA – PENDING APPLICATIONS FOR RENEWAL

NAME OF THE BRANCH OFFICE (CODE): DATE(S) OF AUDIT: PERIOD OF REVIEW: NAME OF HEAD:

Licence Number	Name of the Firm	IS No.	Date of Receiving of Renewal Application at Counter	Name of Scrutiny/Dealing Officer	Date of putting up of renewal	Date of approval by Head of BO	Issue of Renewal Licence	Remarks
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)
			TOTAL				TOTAL	

SUMMARY

Percentage of Renewals = <u>Total No. of Renewals Processed(Col 8)</u>

Of Licences Processed Total No. of Renewal applications Received (Col 4)

REVIEW PROFORMA – SURRENDER/EXPIRATION OF LICENCE (EXCLUDING CASES UNDER SOM)

NAME OF THE BRANCH OFFICE (CODE): DATE(S) OF AUDIT: PERIOD OF REVIEW: NAME OF HEAD:

Licence No.	Name of the Firm		Name of Dealing Officer/IO	Suggestions for Corrective and/or Preventive Action. Other steps taken to persuade the licensee to continue with the Licence	cancellation notice/Non- renewal cum	Whether the concurrence of the CA taken for cancellation/expiry of licence		Cancellation/	Reasons for cancellation/ expiry
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)	(10)
TOTAL									

SUMMARY

Total No. of Licences Cancelled/Expiry = Total No. of Licences (Col 1)

PROFORMA FOR MONITORING OF STOPPAGE OF MARKING (SoM) CASES IN BO

NAME OF THE BRANCH OFFICE (CODE): DATE(S) OF AUDIT: PERIOD OF REVIEW:

NAME OF HEAD:

No. of licences in Branch:

No of licences under SoM/Deferred:

(excluding due to non receipt of RA/MF)

Licence No.	Name of Licensee		No. of other Licences held by the Licensee	•	Date of Communicatio n	Stop Marking	,	approval from DDGR obtained?	Whether adequate publicity given to ensure that public is aware of stop marking.
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)	(10)
TOTAL									

SUMMARY

Total No. of Licences put under Stop Marking = Total No. of Licences (Col 1)

PROFORMA FOR MONITORING OF RESUMPTION (RoM)/CANCELLATION CASES IN BO

NAME OF THE BRANCH OFFICE (CODE): DATE(S) OF AUDIT: PERIOD OF REVIEW:

NAME OF HEAD: No. of licences in Branch: No of licences processed for RoM:

		Steps taken for I	Resumption of Marl		Steps	taken for Cance	ellation, if re	quired	Total No. of		
Whether	Whether sufficient	Date of Receipt of	Date of factory	Whether RoM	Whether	Date of	Submission	Date of	Date of	Cancellation/	Days taken
adequate follow	Guidance provided	Compliance Report	visit carried out for	permitted after	timely action	delivery of	of case to	cancellation	Hearing	Expiry of	in processing
up being done to	to Licensee to	from Licensee	verification of	factory visit	taken on	Sample to	DDGR for	notice/Non-	by DDGR	Licence by	RoM
ensure timely	comply to the		Corrective actions	and sample for	receipt of	Sample Cell	cancellation/	renewal cum		DDGR	(4.6.7)
corrective action	requirements for		and Factory	Independent	IR/TR to		expiry of	expiry notice			(16-5)
by Licensee.	RoM .		Testing	Testing drawn	promptly		licence				
				for long	allow RoM		under SOM				
				duration tests,	and Date of						
				if any	RoM.						
(11)	(12)	(13)	(14)	(15)	(16)	(17)	(18)	(19)	(20)	(21)	(22)
											TOTAL

SUMMARY

Average No. Days taken in Processing RoM = Total No. of Days taken in RoM (Col 22)

Total No. of Licences (Col 1)

REVIEW PROFORMA – SURVEILLANCE VISIT OF PREMISES OF A LICENSEE

NAME OF THE BRANCH OFFICE (CODE): DATE(S) OF AUDIT: PERIOD OF REVIEW:

NAME OF HEAD:

Licence Numbe			Date of	Na	ature of I	Licence		Actions required during surveillance visit									ent actions the visit			
r	Firm		Visit	Star	Normal		n of Pending Actions	n of Production Details since last	of Customer details & despatch of ISI Mark	Position	n of Raw	on of Test	Verificatio n of Calibratio n	of	Testing		Issue of DV Report, if any	Discussion with Top managemen t on Test Reports on previous sample & STI/Standard	n of IR to BO	Irregularities Observed & Suggestions for Corrective and/or Preventive Action
(1)	(2)	(3)	(4)				(5)	(6)	(7)	(8)	(9)	(10)	(11)	(12)	(13)	(14)	(15)	(16)	(17)	(18)

REVIEW PROFORMA FOR LICENSING OF JEWELLERS

NAME OF THE BRANCH OFFICE (CODE): DATE(S) OF AUDIT: PERIOD OF REVIEW: NAME OF HEAD:

Temp. Application Number	Name of the Jeweller	Product Gold/Silver/ Both	Date of Recording of Application	Name of dealing Single- Window Officer	App Whether ID Proof valid	Whether Address proof valid	Whether fee paid	If application returned, whether clear reasons recorded	Grant of	No. of days taken in grant of licence (8) - (4)	Date of signing of agreement	No of days taken in signing the Agreement (10) - (8)	Whether Licence granted/ Agreement Signed within time norms	Remarks
(1)	(2)	(3)	(4)	(5)	(6a)	(6b)	(6c)	(7)	(8)	(9)	(10)	(11)	(12)	(13)
TOTAL										TOTAL				

SI	IΝ	ΛP	M.	Δ	RY

Average No. of Days taken in = Total No. of Days taken in GOL (Col 9)

GOL to Jewellers under Hallmarking

Total No. of Licences Granted (Col 1)

Time	Ν	lor	m	ıs	to	r	
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i) Scrutiny of Application:

ii) Grant of Licence:

REVIEW PROFORMA FOR MARKET SURVEILLANCE OF JEWELLERS

NAME OF THE BRANCH OFFICE (CODE): DATE(S) OF AUDIT: PERIOD OF REVIEW: NAME OF HEAD:

Licence Number	Name of the Jewe- ller				ı	nspection			Test receipt of value in Rs,							recovery of Penalty,	
		Name of IO/BIS Repre- sentative	Date of Inspection		Name of Lab	Date of Receipt by Referral Lab	Credit note issued for value in Rs.	Observation Display Require- ments	Records	Cash memo issued	Report in BO	Test Report (12) - (4) (13) (14)				Against Centre	
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)	(10)	(11)	(12)	(13)	(14)	(15)	(16)	(17)	
TOTAL												TOTAL					

Sl	J٨	11	VI.	Δ	R'	٧

Average No. of Days taken in = Total No. of Days taken in Receipt of Test reports (Col 13)

Receipt of Test reports Total No. of Licences (Col 1)

T:	N I		c	
Time	INOLL	ns	TOT:	:

i) Submission of Test Reports:

REVIEW PROFORMA – IMPLEMENTATION OF I-CARE PROGRAMME (Complaint on Quality)

NAME OF THE BRANCH OFFICE (CODE): NAME OF HEAD:

DATE(S) OF AUDIT:

Activity	No. of Comp					No. of Complaints Closed	No. of Complaints Reopened on	No. of Complaints Pe	Pending from the date of Recording	
	Complaints related to ISI Marked Products/BIS Services	Complaints related to Testing of Public Samples		Complainant End	Licensee End		request of Complainant	More than 2 Months at BO	Between 2-3 Months at RO	Between 3-4 Months at i- CARE Deptt
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)	(10)	(11)
Product										
Hallmarking										
Service										
Others										
TOTAL										

REVIEW PROFORMA – IMPLEMENTATION OF I-CARE PROGRAMME (Educational Utilization of Standards)

NAME OF THE BRANCH OFFICE (CODE): DATE(S) OF AUDIT:

PERIOD OF REVIEW:

NAME OF HEAD:

No. of Education Institutions under BO	No. of Request Received from these Institutions	No. of Education Institutions Contacted by BIS	No. of Educational Utilization of Standards	No. of Institutions Covered under	%age of Total Institutions Covered	No. of Standards Purchased by these Institutions	Feedback	/Perception
ВО	institutions	by bis	Programmes Conducted	EUS	covered	tilese institutions	Students Perception & Feedback of Programme	No. of ISS considered for Adoption in Curriculum Projects
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)
TOTAL								

<u>REVIEW PROFORMA – IMPLEMENTATION OF I-CARE PROGRAMME</u> (Consumer protection – Detection of Misuse)

NAME OF THE BRANCH OFFICE (CODE): DATE(S) OF AUDIT:
NAME OF HEAD:

No. of Leads Received	No. of Surveys for Misuse Carried out/Misuse	No. of Misuse Detected	No. of Complaints Reopened on request of Complainant	No. of Violation of QC Orders detected	No. of Investigations Carried Out	No. of Search 8	& Seizure Operations	Carried Out
	detected by BIS		Complaniant			Successful	Unsuccessful	Total
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)
TOTAL								

REVIEW PROFORMA – IMPLEMENTATION OF I-CARE PROGRAMME (Consumer protection – Legal action - Misuse)

NAME OF THE BRANCH OFFICE (CODE): DATE(S) OF AUDIT: PERIOD OF REVIEW: NAME OF HEAD:

No. of Court Cases in	No. of Court Cases Launched	No. of Court Cases Closed	No. of Court Cases Pending	No. of Court Cases decided in favour of BIS	No. of Court Cases decided against BIS	No. of Press Release Issued	No. of Claims for Reward	No. of Cases Eligible for Reward	No. of Rewards given
progress	(5)	(-)	(-)		(-)	<u>-</u> ,	(5)		
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)	(10)
TOTAL									

REVIEW PROFORMA – IMPLEMENTATION OF I-CARE PROGRAMME (Publicity)

NAME OF THE BRANCH OFFICE (CODE): DATE(S) OF AUDIT: PERIOD OF REVIEW:

NAME OF HEAD:

RO/BO	No. of Stake Holders				Pul	olicity				Participation at Exhibition	Publicity Expenditure
	Contacted	P	rint Media (No. o	f Advertisements	s/Press release fo	or)		Audio Visual Media	l		during the Month (Total
		First Licence for ISS	Stop Marking	Detection of Misuse	Mandatory Certification	BIS Activities	No. of Programmes	No. of Advertisements	No. of Hoardings		Expenditure)
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)	(10)	(11)	(12)
TOTAL											

<u>REVIEW PROFORMA – IMPLEMENTATION OF I-CARE PROGRAMME</u> (Sales and Distribution)

NAME OF THE BRANCH OFFICE (CODE): DATE(S) OF AUDIT: PERIOD OF REVIEW: NAME OF HEAD:

RO/BO	Hard co	opy Sale	E-Sa	ales		y through rtal	from ISO/IEC		Total No. of hard Copy of standards available in Stock		standards available in		Operation of sales counter as per sales			No. of sta printed in	
	Quantity	Revenue	Quantity	Revenue	Quantity	Revenue			Permanent	Other sale	Guidelines	No. of	No. of	No. of	No. of		
		(Rs.)		(Rs.)		(Rs.)			Sale		(Yes/No)	Standards	Copies	Standards	Copies		
(1)	(2)	(3)	(4)	(5)	(6)	(7)		(8)	(9)				(10)				
TOTAL																	

REVIEW PROFORMA – MONITORING OF BOOKS OF ACCOUNTS & ACCOUNTING FUNCTIONS

NAME OF THE BRANCH OFFICE (CODE): NAME OF HEAD:

DATE(S) OF AUDIT:

SI. No.	Items to be checked	Observation	Suggestions for Corrective
			and/or Preventive Action
(1)	(2)	(3)	(4)
1.	All Income & Expenditure have been accounted for in Books of Accounts		
2.	All payments made as per sanctions and statutory provisions followed		
3.	The expenditure made by the branch is as per Budget allocated. Reasons for any excess/underutilization of Budget		
4.	Trial Balance upto last month prepared by the branch as per the proforma prescribed. All items in the Trial Balance have been authenticated. Inter Account with other ROs/BOs/HQ have been reconciled. All the Current Assets/Current Liabilities Account as per last Trial Balance reconcile with the party wise ledger/list		
5.	The funds were transferred to HQ as per the instructions relating to transfer of funds		
6.	The daily collection of marking fee, sale of standards, cash sales and other receipts have been deposited in the bank within next working day		
7.	Bank Reconciliation of all the Bank accounts have been finalized upto last month		
8.	Actions have been taken to recover/write off certification dues		
9.	Service Tax has been timely paid to Govt. during the current year after adjustment of Cenvat Credit. Whether Service Tax Returns have been filed by due dates?		
10.	The income tax deducted from contractors/parties has been timely deposited, whether return has been filed by due dates and TDS certificates have been issued by due dates		
11.	The TDS Certificates have been obtained from all parties which deducted tax at source from payment made to BO during last quarter		

REVIEW PROFORMA – ANALYSIS OF INCOME & EXPENDITURE VIS-À-VIS BUDGET ESTIMATES

NAME OF THE BRANCH OFFICE (CODE): DATE(S) C

DATE(S) OF AUDIT:

	E OF HEAD:		(0)			
SI.	Account Head	Expected Actuals for the	Actuals for the	% Actual Over	Actuals for the	% Increas

SI. No.	Account Head	Expected Actuals for the period under Review (i.e. proportionate BE)	Actuals for the period under Review	% Actual Over Expected (3-4/4x100)	Actuals for the same period of last Financial Year	% Increase over last year (4-6/6x100)	Suggestions for corrective Action, if any
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)
1.	Income						
1.1	Product Certification						
1.2	Gold Hallmarking						
1.3	System Certification						
1.4	Training Fee						
1.5	Sales of Indian Standards						
1.6	Other Income						
	Total (1)						
2.	Expenses						
2.1	Staff Benefits(Medical/ Staff Welfare/ LTC						
2.2	Travelling Expenses						
2.3	Testing						
2.4	Publicity						
2.5	i-CARE Expenses						
2.6	Office Expenses (Entire Group)						
2.7	Repairs & Maintenance (Entire Group)						
2.8	Training Expenses (in case of NITS)						
2.9	Other Expenses (all remaining)						
	Total (2)						
3.	Capital Expenses						

REVIEW PROFORMA - COMPLIANCE TO OBSERVATIONS IN HALF YEARLY INTERNAL AUDIT REPORT(s)

NAME OF THE BRANCH OFFICE (CODE): DATE(S) OF AUDIT: PERIOD OF REVIEW: NAME OF HEAD:

Internal Audit Observation No.	Internal Audit Observation (in brief)	Reasons for non compliance/ non completion of action	Observation	Suggestion if any
(1)	(2)	(3)	(4)	(8)

REVIEW PROFORMA - COMPLIANCE TO PARAS IN THE STATUTORY AG AUDIT REPORT(s)

NAME OF THE BRANCH OFFICE (CODE): DATE(S) OF AUDIT: PERIOD OF REVIEW: NAME OF HEAD:

Audit Para No.	Year of Audit to which Para relates	Subject of the para	Whether reply was given	Whether action has been taken/completed as suggested by Audit	Suggestion, if any
(1)	(2)	(3)	(4)	(8)	

<u>REVIEW PROFORMA – CHECK LIST FOR MONITORING OF ADMINISTRATION MATTERS</u>

NAME OF THE BRANCH OFFICE (CODE): NAME OF HEAD:

DATE(S) OF AUDIT:

SI. No.	Items to be checked	Observation	Suggestions for Corrective and/or Preventive Action
(1)	(2)	(3)	(4)
1.	Analysis of man-power requirement vis-à-vis the functions performed - Man-power planning/Deployment of persons as per Job description - Problem Area:		
2.	Review of APRs		
3.	Review of Leave of Officers & Staff		
4.	Review of Procurement of Goods & Services as per GFR		
5.	Engagement of contractual workers/agencies - Approval of Tender Document by Competent Authority - Attendance Record being maintained - Payment is being made as per State/Central Govt norms - EPF, ESI facility being provided		
6.	Store & Inventory Management - Record of Procurement of goods being maintained - Record of item issued to section/officer being maintained - Maintenance of Asset Register		
7.	Record Room & Weeding out - Record room is functioning - No. of files in the Record Room - Weeding out of records		

8.	Maintenance of Files and Records as per Office Procedure	
	- Maintenance of Files Index Register	
9.	R&I Activities	
	- Proper registers have been maintained for receipt & issue of Dak	
10.	Condemnation and Disposal of Items	
	- Whether condemned by meeting	
	- Whether written off from Asset Register	
	- Whether written off from Accounts	
11.	Meeting with Officers & Staff representatives	
12.	Observations given in the last C&AG Audit Report and compliance thereof	
13.	Observations given in the last Internal Audit Report and compliance thereof	

REVIEW PROFORMA - MONITORING OF PROCUREMENT OF GOODS & SERVICES

NAME OF THE BRANCH OFFICE (CODE): D:

DATE(S) OF AUDIT:

NAME ()F HEAD
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SI. No.	Nature of goods/services procured	Name of the party	created		Tender	Evaluation		Whether tender published on	cost of	Whether bids invited in single/two	Whether bids invited through	Whether purchase of goods/services is approved by	Whether implementation is as per tender
			using model tender document	Criteria		Clause	Other Criteria to meet the Requirements	CPP Portal, BIS website & local newspaper		bid	limited tender/open tender enquiry	competent authority	
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)	(10)	(11)	(12)	(13)	(14)

REVIEW PROFORMA – HINDI IMPLEMENTATION

NAME OF THE BRANCH OFFICE (CODE): NAME OF HEAD:

DATE(S) OF AUDIT:

				Compliance of rule 3 (3)		To reply Letters in Hindi for	Noting in Hindi in Files Region wise			OLIC	Hindi Fortnight Celebration	Hindi workshops	Standards translated in a year	To participate in TOLIC	Training		
	А	В	С		Letters received in Hindi	Letters received in English	Α	В	С		33.33.1440.11		,		Hindi Language	Steno- graphy	Typing
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)	(10)	(11)	(12)	(13)	(14)	(15)	(16)	(17)	(18)
Target	100%	100%	65%	100%	100%	100%	75%	50%	30%	One in each Quarter	Once in a Year	One in each Quarter	12 Standards per Year by each Translator	Once in 6 months	100%	100%	100%