Sub: E-Office file movement process in DDU-GKY, NIRD&PR- reg.

***

The broad area to be covered by the functionaries in E-Office file movement process is indicated and attached.

All the Directors, Officers and Staff of DDU-GKY Division are requested to follow the E-file movement procedure attached as **Annexure.** This E-Office file movement process is to be implemented on trail run basis and will be reviewed based on experience.

Addl. Project Director

Encl.: Annexure

NOTIFICATION OF NIRD – DDUGKY- No.2N /2016

Process for file movement and approvals within DDU-GKY, NIRDPR

1. The file movement flow that is given in this document mainly concerned with a Functional/Thematic area (For example Monitoring / Finance / MIS / Training).

2. If there is a cross disciplinary/thematic decision(s) to be made at any or all of the levels stated above then there should be communication amongst the functionaries of the concerned disciplines. The communication and its responses via an email (or jointly signed proceedings or something similar) can be uploaded on the e-file as correspondence connected to the file / note being moved.

3. When approval is received regarding a particular aspect then the file noting(s) including the approval can be shared with concerned employees by sending the file or by any other means (via email, through the dashboard etc)

Note: All members of a project team (M&E, Finance and MIS) should keep themselves abreast with various developments about the project and should link up relevant issues to be able to move a consolidated note.

Sl.	Functionaries	Broad area to be covered
1.	JDAPP	Appraisal of new project application
2.	JDMIS	Stating for requirements of MIS; software; hardware; IT requirements; system and peripherals; maintenance related to IT
3.	DME	Monitoring and evaluation (DDU-GKY/Roshni)
4.	APD	a. Monitoring and Evaluation (SGSY-SP/Himayat); b. RTI; complaints (to be handled by concerned DIR, Coordination will be done by APD) c. MoU Vetting & Approval d. Recovery e. Administrative Functions f. Legal g. Parliamentary Queries h. Logistics
5.	DF	Accounting & Finance; CAG replies
6.	DT	a. Training; capacity building; write shop; workshop; symposium; colloquium; conference; seminar; research; development, HR policy b. Recruitment
7.	RR/WB and NE	Would control the M&E staff in WB and NE and will be responsible for M&E work explicitly and all works assigned to M&E team as in other states like project appraisals, capacity building etc.

Common functions

In addition to the items mentioned in the Table above the following functions will be common and hence they have not been specified separately (names of the co-ordinators if available are given in parenthesis):

1. Correspondence (Naveen Kumar – Assistant Director)
2. Staff deployment, leaves, Extensions, Increments and Resignations - as per delegation of powers(G. Rama Devi – Project Officer – HR)
3. Tour approvals (Respective officers – ED's approval is required for flight)

File movement process for different activities

A) Appraisal of the Project

Sl.No.	Event	Initiator	Review / Recommender	Approver	For information
1	Appraisal of Projects – YP State	PM(Fin)	JDAPP	ED	-
	Appraisal of Projects – AP State	PO(M&E)	JDAPP	ED	-
	Appraisal of Projects – Himayat Projects	PO(M&E)	JDAPP	ED	

Note:
1. For projects in NE and WB RR's views will be incorporated while forwarding the files.
2. Files PO/PMs and STMs in the state should arrange a seamless mechanism.

B) Post Sanction of the Project

1	Signing of MoU and Annexures	PO (M&E)	DME/RR	APD	DME/ED
2	Acknowledge funds received from SRLMs, MoRD, PIAs	AD(Fin)	JDAPP	DF	ED
3	Release of first instalment to PIAs	PM (Fin)	DF	ED	-
4	Project Execution Readiness (PER)	PO (M&E)	STM	DME/RR	ED
5	Project Commencement Order (PCO)	PO (M&E)	STM	DME/RR	ED

C) Financial Verification

1	Monthly financial verification	PO (Fin)	AD (Fin)	DF	-
2	Utilization Certificate for instalment release; closure audit; on account payment due to delay in release of instalment	AD(Fin)	JDAPP	DF	-

S.No.	Event	Initiator	Review / Recommender	Approver	For information
3	Annual financial audit	PO (Fin)	AD (Fin)	DF	-
4	Recommendation of change request of project parameters	PM(Fin)	STM	DME/RR	ED

D) Alerts

S.No.	Event	Initiator	Review / Recommender	Approver	For information
1.	Yellow Alert	PO (M&E)	STM	DME/RR	
2.	Red Alert	PO (M&E)	DME/RR	ED	
3.	Statement of Alerts	PO (M&E)	STM	DME/RR	

Note:
1. Alerts will prepared by respective functional heads as per a monthly schedule with inputs from PO/PM (Monthly schedule will be part of the revised SOP. Till then the draft in SOP Chapter 10 can be used as the starting point)
2. JD APP will issue the monthly consolidated alert notice and will be assisted by AD (M&E) – Shri. Jeevan Reddy for this purpose.

E) Physical Verification

S.No.	Event	Initiator	Review / Recommender	Approver	For information
1	Due diligence; training centre inspection; placement verification (desk and field) – **DDUGKY/Roshni**	PO (M&E)	STM	DME/RR if no relaxations as per SOP are involved ED: If relaxations as per SOP are involved	ED
	Due diligence; training centre inspection; placement verification (desk and field) – **Himayat Projects**	PO (M&E)	STM	APD	ED
2	Data/information requirement related to Project, SRLM, etc.	PM (MIS)	STM	JDMIS	
3	Collection of data from Project Implementing Agencies	PO(M&E) assisted with PO(MIS)	DME/RR	ED	
4	Data collection and reporting	PO(MIS) assisted with PO(M&E)	JDMIS	ED	
6	Recommendation of second/third/final instalment to the Project	AD(M&E)	DME/RR/APD	ED	

S.No.	Event	Initiator	Review / Recommender	Approver	For information
7	Release of second/third/final instalment to the Project	AD(M&E)	ED	*DG*	

F) HR issues

S.No.	Event	Initiator	Review / Recommender	Approver	For information
1	Recruitment	PO(HR) with inputs from concern functional heads	DT	ED	
2	Posting	PO (HR)	Concern Function heads for all PO/PM/AD and Project Assistant - APD	ED	
3	Performance Appraisal	To be issued with Performance Appraisal Note			
4	Tour approval	PO/PM	STM	Concern Director/Joint Director (ED only in case of flight)	
5	Advances, settlement; mobile and internet bill settlement for staff	PO/PM	STM	APD	
6	Leave approval for staff (Casual Leave)	PO/PM/STM/ AD		Concern Director/Joint Director	
		DIR/JD/APD		ED	
7	Leave approval for staff (Long Leave)	PO (HR)	APD	ED	
		DIR/JD/APD		ED	
8	Issue of certificate for personal requirements (e.g.: Experience certificate, Salary Certificate, bonafide certificate, NOC, etc.,)	PO (HR)	APD	-	ED

G) Administrative Issues and Miscellaneous

S.No.	Event	Initiator	Review / Recommender	Approver	For information
1	Infrastructure requirement: quarter; office infrastructure; accommodation; tools & equipment etc.	Concern PO/PM/STM/ AD or functional Head	APD	ED	

A) Items not covered in this order

- Files regarding training and impact evaluation will be handled by Director Training (DT) as per the existing process and changes if any will be issued separately.
- The file movement procedure for extension of tenure with enhancement of salary will be notified separately.
- Other items not covered here will also be handled as per existing processes.

Other Instructions

This file movement and approval process will be implemented forthwith on trail basis. It will be reviewed from time to time to resolve problems that arise in the implementation.

The role of STM will be played by a STM or person nominated as coordinator for the state in the absence of STM.

All relevant receipt(s), letter, emails, messages, attachment, enclosures and other correspondences and reply thereof, wherever applicable need to be processed in e-office file and copy of important documents should be kept in physical file.

Flight approval is a special case for non-eligible candidates. Concerned DIR/JD/APD can recommend for acceptance/rejection. However, ED is the final approval authority.

Important acronyms

PO	Project Officer
PM	Project Manager
STM	State Team Manager
AD	Assistant Director (M&E) Assistant Director (Fin)
JD	Joint Director
DIR/D	Director
APD	Additional Project Director
RR	Regional Representative
ED	Executive Director
M&E	Monitoring and Evaluation
T	Training
Fin	Finance
MIS	Management Information System
APP	Appraisal
L	Law
HR	Human Resource
IA	Impact evaluation

These orders are issued on trail run basis and subject to modification as per the exigencies in Administration.

Addl. Project Director