



PROCESS DOCUMENT MANUAL FOR REGIONAL OFFICES

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NCDC/PD(RO)-21

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National Cooperative Development Corporation

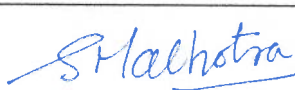
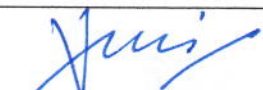
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Process Document Manual of Regional Offices

Document ID : NCDC/PD(RO)-21
Revision No. : 01

Prepared By:	Reviewed By:	Approved By:
Regional Directors	 QMS Documentation Committee	 Managing Director (MD)



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DOCUMENT CONTROL PAGE

1) REVISION HISTORY


Revision No.		RELEASE DATE	AUTHOR	SECTION / PAGE NO. CHANGED	DETAILS OF CHANGES	REVIEWED BY
FROM	TO					
--	00	08.09.2014	AMR	--	Initial	Management Representative
00	01	01.08.2016	Regional Directors	--	Title of document, Input & Output included, process controls and risk management incorporated as per the requirement of ISO 9001:2015	QMS Documentation Committee

2) DOCUMENT AVAILABILITY

HARD COPY / SOFT COPY	LOCATION AND WHERE AVAILABLE
HARD COPY	Regional Directors
SOFT COPY	http://ncdc.in/Internal_files/Page409.htm

3) CONFIDENTIALITY

- The Process Documents ('PD') contain confidential and proprietary information. The materials, ideas and concepts contained herein are the property of NCDC ('the Corporation') and neither these, nor any other contents of NCDC may be copied, distributed or disclosed to any third party, by any means in any form, without the express written permission of NCDC.
- The procedures listed here are a facilitator to smooth functioning and a means of spreading common process knowledge and understanding across the Corporation.

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1) REGIONAL OFFICE STRUCTURE

Annexure-I (RO specific- may vary from RO to RO)

2) RESPONSIBILITIES & AUTHORITIES

Annexure-II (RO specific- may vary from RO to RO)

3) ABBREVIATIONS

AD	Assistant Director
Admn.	Administration Division
AMC	Annual Maintenance Contract
AMR	Associate Management Representative
Budt.	Budget
EL	Earned Leave
FCN	Finance Control Number
FY	Financial Year
Genl.Admn./GA	General Administration Division
GFR	General Financial Rules
GO/GR	Government Order/Government Resolution
GOI	Government of India
HO	Head Office
HPL	Half Pay Leave
IFAMS	Integrated Financial Accounting And Management System
LTC	Leave Travel Concession
MD	Managing Director
MR	Management Representative
MTS	Multi Tasking Staff
NCDC	National Cooperative Development Corporation
PD	Process Document
PO	Programme Officer
POA	Programme of Activities
PS	Private Secretary
QMSC	Quality Management System Coordinator
RCS	Registrar of Cooperative Societies
RD	Regional Director
RO	Regional Office
RSC	Regional Screening Committee
SC/ST	Scheduled caste/ Scheduled Tribe
SCB	State Cooperative Bank
SG	State Government
SOP	Standard Operating Procedure
Sr. Asst.	Senior Assistant
SRDB	Sanction Release Data Base

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Regional Directors

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QMS Documentation Committee

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PROCESS DOCUMENT FOR REGIONAL OFFICES

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Process Document for Preparation of Yearly Targets for Regional Offices

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1) Purpose

To make realistic assessment for requirement of funds for the next financial year for cooperative projects in the region with the objective to promote and develop cooperatives within the framework of provisions NCDC's mandate.

2) Scope

Preparation of yearly target for approval by NCDC HO.

3) Process

Process Input	Source
Assessment of Scheme/ activity-wise expected spill-over as on 1 st April	SRDB
Assessment of likely sanctions and releases during ensuing Financial Year	Societies, State Government

3.1 Assessment of Spill over Sanctions.

- 3.1.1 Compilation of Scheme/activity-wise spill-over sanction up to 31st December every year;
- 3.1.2 Assessment of likely sanctions and release during last quarter of current year;
- 3.1.3 Working out likely spill-over as on 31st March of current year; and
- 3.1.4 Assessment of likely releases out of spill over assistance during ensuing year.

3.2 Assessment of sanctions out of pending proposals during ensuing financial year.

3.3 Assessment of likely proposals to be generated for sanction during ensuing financial year.

3.4 Assessment of likely release out of new sanctions (out of 3.2 & 3.3 above).

3.5 Approach State Government for making adequate budgetary provisions for NCDC schemes, if State Government participation is involved, through

3.5.1 Issuing letters to RCS/ concerned Directors and Secretaries; and

3.5.2 Meetings with concerned State Government officials.

3.6 Firming of targets in consultation with the Divisional Heads in HO and preparation of activity / scheme wise yearly targets.

3.7 Communicate proposed yearly targets to Head Office for necessary action/ approval.

Process Output		Activity / scheme wise yearly targets
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4) Process Measurements

S. No.	Process	Measurable indicators/Timeline	Monitoring frequency
1.	Assessment of Spill over Sanctions	By 31 st December	Yearly
2.	Assessment of sanctions out of pending proposals	-do-	Yearly
3.	Meetings with concerned State Government officials/ Cooperatives	-do-	Yearly
4	Assessment of likely proposals to be generated for sanction	-do-	Yearly
5.	Assessment of likely releases during next year against spill-over and likely sanctions	By 1 st week of January	Yearly
7.	Firming of targets in consultation with the Divisional Heads in HO and preparation of activity / scheme wise yearly targets	By 31 st January	Yearly
8.	Communicate proposed yearly targets to Head Office for necessary action and approval	-do-	Yearly

5) Risks & Opportunities Identified:

Ref.# to Risk Register


6) Process Control

S.No	Process	Process Step	Controls Established
1	Preparation of Yearly Targets	Assessment of Spill over Sanctions	Review of spill-over, progress of ongoing projects and assessment based on pending proposals.
		Assessment of sanctions out of pending proposals	
		Meetings with concerned State Government officials	
		Assessment of likely proposals to be generated for sanction	
		Assessment of likely releases during next year against spill-over and likely sanctions	
		Firming of targets in consultation with the Divisional Heads in HO and preparation of activity / scheme wise yearly targets	
		Communicate proposed yearly targets to Head Office for necessary action and approval	

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7) Documented Information Retained


Sl. No.	Record	Identification	Location	Maintained by	Retention period (years)	Disposition
1.	Sanction Records	By Title	SRDB	PO /Senior Assistant	Permanent	-
2.	Release records	By Title	SRDB	-do-	-do-	-
3.	De-sanction records	By Title	SRDB	-do-	-do-	-
4.	Proposal records	By Title	-do-	-do-	-do-	
5.	Programme (POA) file	By File number	Almirah	-do-	2 years	Shredding/ Tearing

8) Documented Information Maintained

NIL

9) References

1. National Cooperative Development Corporation Act
2. Schematic Pattern of Assistance

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**PROCESS DOCUMENT FOR
REGIONAL OFFICES**

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Process Document for Generation of Proposals


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1) Purpose

Generate proposals seeking financial assistance from NCDC under various schemes for funding through the State Government or under direct funding, as per NCDC's mandate.

2) Scope


Generation of proposal for sanction and release of financial assistance for cooperative developmental projects, facilitating accrual of benefits (including subsidies/grants/soft loan) available under various schemes of NCDC & GOI.

3) Process

Process Input	Source
Information regarding potential cooperatives	Cooperatives, State Governments
Yearly targets (Physical & financial) for various schemes keeping in view State Government Policies, economic environment and opportunities for cooperatives. Efforts for generation of more proposals of SC, ST, women cooperatives and cooperatives from North East Region.	Quality Objectives Annual Programme of Activities (POA)

- 3.1 Identify the potential sectors of co-operatives requiring financial/ technical/ and any other type of assistance.
- 3.2 Addressing letter to State Government departments, federations and potential cooperative societies etc. whenever there is any change in the scheme/ rate of interest.
- 3.3 Conducting promotional meetings with the State Government Departments, federations and other associated institutions and extend necessary help / guidance in formulation of proposals.

Process Output	Receipt of eligible Proposal
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4) Process Measurements

S. No.	Process	Measurable indicators	Monitoring frequency
1.	Generation of proposals in conformity with Guidelines.	Proposals generated & volume of financial involvement/ outlay	Quarterly
2.	To cover as many societies as possible, so as to have broader prospective and wider coverage.	Number of sectors covered and variety of projects in each sector.	Quarterly
3.	To analyse members including women, SC/ST and other weaker sections.	Coverage ratio in each category as %.	Yearly

5) Risks & Opportunities Identified:

Ref.# Risk Register


6) Process Control

S.No	Process	Process Step	Controls Established
1	Generation of proposals	Identify the potential co-operatives.	Quality Policy and Annual Targets
		Circulating schemes of NCDC, promotional & regular meetings along with the State Government Departments, federations and other associated institutions and extend necessary help / guidance in formulation of proposals.	
		Ensure specific recommendation of the State functional department (State Government funding) and fulfilment of eligibility criteria in case of Direct Funding	
		Enter details in SRDB, generate proposal number	

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7) Documented Information Retained


S. No.	Record	Identification	Location	Maintained by	Retention period (years)	Disposition
1.	Number of promotional meetings	File number	Almirah	As per allocation of work	3 years	Shredding/ Tearing
2.	Record of annual targets / outlay	File number	Almirah	As per allocation of work	3 years	Shredding/ Tearing

8) Documented Information Maintained

S. No.	Title	Identification	Location	Prepared by	Approved by	Revision no.
1.	Loan Application Forms	By title	NCDC website & RO	HO	HO	
2.	Circulars of Schemes	By title	NCDC website & RO	HO	HO	
3.	Pattern of Assistance	Booklet of Schematic Pattern of Assistance	NCDC website & RO	HO	HO	

9) References

NIL

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Process Document for Sanction of Proposals

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1) Purpose

To evaluate the proposals/projects and its sanction at appropriate levels.

2) Scope

To consider the proposals falling within the purview of powers delegated to RO's for sanction subject to scheme guidelines, pattern of assistance, viability, adequacy of security (in case of direct funding projects) etc. In case technical expertise for a particular project is not available with the RO, such projects are referred to HO. Proposals not under the purview of RO's to be forwarded to Head Office for necessary action.

3) Process Detail

Process Input	Source
Receipt of proposals	Societies/State Government
Desk/Field appraisal	Proposal
Sanction	Appraisal Report/ Minutes of RSC meeting

- 3.1 Examination of proposal
- 3.2 Obtaining additional information if needed
- 3.3 Desk/Field appraisal
- 3.4 Preparation of Agenda for RSC
- 3.5 Approval by RSC
- 3.6 Obtaining Finance Control Number for Sanction

Process Output	Sanction letter
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4) Process Measurements

S. No.	Process	Measurable indicators (in working days)	Monitoring frequency
1.	Preliminary Scrutiny	7 days	Quarterly
2.	Call Addl. Information, if required	Within 3 days after scrutiny of the proposal	Quarterly
3.	Appraisal	5 days (Desk) / 10 days (field) from receipt of additional information	Quarterly
4	Finalization of agenda	5 days after appraisal	Quarterly
5	Meeting of the RSC for consideration and approval	5 days after the finalization of agenda items, subject to quorum of RSC.	Half Yearly

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6	Preparation of Draft sanction letter	3 days after RSC meeting	Half Yearly
7	Obtaining FCN	2 days after approval of the draft sanction letter	Half Yearly
8	Issue of sanction letter	2 days after the receipt of the FCN	Half Yearly

5) Risks & Opportunities Identified:

Ref.# Risk Register

6) Process Control

S.No	Process	Process Step	Controls Established
1	Sanction of proposals	Preliminary Scrutiny	Appraisal and funding Guidelines
		Obtaining additional information if needed	
		Desk/Field appraisal	
		Preparation of Agenda for RSC	
		Approval by RSC	
		Obtaining Finance Control Number for Sanction	
		Issue of Sanction letter	

7) Documented Information Retained

S. No.	Record	Identification	Location	Maintained by	Retention period (years)	Disposition
1.	Proposals	By File numbers	Concerned File	Concerned Officer	One year after loan repayment	Shredding/tearing after digitization.
2.	Agenda, minute, notes & concerned files of the proposals	File No./By Title	Concerned file.	As per allocation of work.	- do -	Shredding/tearing after digitization.
3	Sanction record	By title	SRDB	As per allocation of work.	Permanent	-


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8) Documented Information Maintained

S. No.	Title	Identification	Location	Prepared by	Approved by	Revision no.
1.	Direct Funding Guidelines	H.O Circular No.1-1/90-Budt dated 20/11/2002	Rack/Website	Finance Div. H.O.	MD, NCDC	
2.	Check List of appraisal note	HO circulars	Rack	Concerned Divisions at HO	MD, NCDC	

9) References

NIL


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	PROCESS DOCUMENT FOR REGIONAL OFFICES			
	DOC. NUMBER	NCDC/RO/PD-04	DATE OF ISSUE	01-08-2016

Process Document for Documentation for Creation of Security under Direct Funding

Document ID : NCDC/RO/PD-04


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	PROCESS DOCUMENT FOR REGIONAL OFFICES			
	DOC. NUMBER	NCDC/RO/PD-04	DATE OF ISSUE	01-08-2016

1) Purpose

To execute legal documents to secure the financial assistance.

2) Scope


- 2.1 To create necessary legal documents for creation of security by way of mortgage of fixed assets (land, buildings, other immovable assets, etc.) / hypothecation of movable assets / acceptance of Guarantee of Bank/State Government/ Federation/ Pledge of Fixed Deposits or any other acceptable instrument for securing the financial assistance sanctioned
- 2.2 To record the security documents for easy reference
- 2.3 To preserve, store and safe keep the documents,
- 2.4 To return the documents to the borrower on repayment of assistance with the approval from HO, if necessary.

3) Process

Process Input	Source
Documents of title deeds and other supporting evidences of Fixed assets/ movable assets/ Willingness of Bank/ State Government/ Federation to provide Guarantee, Fixed Deposit Receipts or any other acceptable instrument for securing the sanctioned assistance	Cooperative Society/ Federation/ Bank/ State Government

3.1 Mortgage of Fixed Assets

- 3.1.1 Obtain Board resolution from the beneficiary society.
- 3.1.2 Appointment of advocate out of the panel maintained in RO.
- 3.1.3 Collection of Legal fee from the beneficiary society.
- 3.1.4 Preparation of documents (Loan Agreement, Declaration and Undertakings, Undertakings, Memorandum of Entry (for equitable mortgage), or registered mortgage, as per the requirement in each case.
- 3.1.5 Notice of Intimation or Indenture of Mortgage (for registered mortgage), Hypothecation Deed, Deed of Indemnity, Demand Promissory Note,

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Encumbrance certificate (relevant recent land extract), Title search, No Objection Certificate from other lending institutions if required, Permission to Mortgage, certificate from income Tax Department u/s 281(1) of IT Act, Deed of Pledge, Tripartite Agreement, Resolution/Concurrence of Monitoring Agency).

3.1.6 Checking of documents by RO.

3.1.7 Payment of stamp duty.

3.1.8 Execution of documents.

3.1.9 Notarization of documents (Declaration and Undertakings, Undertakings, Hypothecation Deed, Indemnity deed, Deed of Pledge).

3.1.10 Completion certificate from advocate.

3.2 Pledge of Fixed Deposit Receipts.

3.2.1 Providing of prescribed proforma for pledge of FDRs by the beneficiary.

3.2.2 Execution of documents (Board Resolution, Agreement for Pledge, Loan agreement, agreement for pledge of FDRs, Creation of lien on FDRs, Demand Promissory Note, Letter of Continuity).

3.2.3 Notarized Undertaking by the society in the prescribed format for renewal / replacement of FDRs on maturity up to the loan recovery period.

3.3 Bank / State Government / Apex Federation Guarantee

3.3.1 Execution of documents (Loan Agreement, Demand Promissory Note, Letter of Continuity).

3.3.2 Obtain guarantee from Bank /State Government / Apex Federation as per the format prescribed.

3.3.3 Check validity and other important terms & conditions.

Process Output

Creation of security (Mortgage, Hypothecation, Pledge of Stocks, Pledge of FDRs, Guarantee)

Original documents are kept in safe custody in RO in FRFC.

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4) Process Measurements

S. No.	Process	Measurable indicators (in working days)	Monitoring frequency
1.	Appointment of advocate.*	Within 5 days after receipt of acceptance by the society.	Half Yearly
2.	Checking of legal documents (prepared by advocate) by RO*	4 days after receipt of documents from advocate.	Half Yearly
3.	Execution of documents	Within 3 days after receipt of complete documents subject to convenience of signatories of the society	Half Yearly
4.	Completion certificate from advocate*	Within 2 days after execution of documentation	Half Yearly

*if applicable

5) Risks & Opportunities Identified:

Ref.# Risk Register

6) Process Control

S.No	Process	Process Step	Controls Established
1	Mortgage of fixed assets	Appointment of advocate	Panel maintained in RO
		Collection of processing, Legal fee	Sanction letter
		Preparation of documents	Guidelines by Finance Division & Sanction letter
		Execution of Documents & Creation of Mortgage	Completion Certificate by appointed advocate
2	Pledge of Fixed Deposit Receipt	Execution of documents (Loan Agreement, Agreement to Pledge FDRs, Demand Promissory Note, Letter of Continuity)	Guidelines by Finance Division & sanction letter
		Agreement & Notarized Undertaking by the society in the prescribed format for renewal / replacement of FDRs on maturity up to the loan recovery period.	
3	Bank / State Government / Apex Federation Guarantee	Execution of documents (Loan Agreement, Demand Promissory Note, Letter of Continuity, Copy of Sanction Letter)	Guidelines by Finance Division & sanction letter

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Obtain guarantee from Bank /State Government / Apex Federation for the financial assistance as per the format prescribed. Check validity and other important terms & conditions.

7) Documented Information Retained

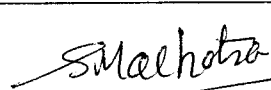
S. No.	Record	Identification	Retention period (years)
1.	FDR Details Register	By Number	Permanent
2.	Mortgage Register	By Number	Permanent

8) Documented Information Maintained

S. No.	Title	Identification	Location	Prepared by	Approved by	Revision no.
1.	Direct Funding Guidelines	H.O Circular No.1-1/90-Budt dated 20/11/2002 & 26/04/2016 and as amended from time to time.	Rack/Website	Finance Div. H.O.	MD, NCDC	

9) References

NIL

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PROCESS DOCUMENT FOR REGIONAL OFFICES

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Process Document for Release of Assistance to Projects by Regional Offices

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PROCESS DOCUMENT FOR REGIONAL OFFICES

DOC. NUMBER

NCDC/RO/PD-05

DATE OF ISSUE

01-08-2016

1) Purpose

Release of sanctioned assistance.

2) Scope

Release of eligible assistance to projects sanctioned by Regional Offices as per delegation of power. Proposals beyond the purview of RO's are forwarded to HO.

3) Process


Process Input	Source
Claim for release of assistance.	Cooperative/State Government

3.1 Funding through State Government

- 3.1.1 Confirm release of funds by the State Government through administrative order (GO/GR).
- 3.1.2 Check validity of NCDC sanction. If required, extend validity to facilitate release of assistance.
- 3.1.3 Confirm adherence to other release conditions as per sanction.
- 3.1.4 In case of claim for advance release, forward the release proposal to the concerned Divisions at HO.
- 3.1.5 On the concurrence of the State Government, de-sanction of unutilized sanctioned amount/ funds after getting approval from HO

3.2 Direct Funding

- 3.2.1 Ensure completion of legal formalities as applicable.
- 3.2.2 Check that all the legal documents have been executed by the borrower are in order and available.
- 3.2.3 Workout eligibility for release on the basis of admissible expenditure incurred, expected expenditure and fulfillment of terms & conditions stipulated in sanction letter.
- 3.2.4 Check validity of NCDC sanction. If required, extend validity to facilitate release of assistance.
- 3.2.5 In case of final release, if there is any un-utilized amount, the same be de-sanctioned simultaneously.
- 3.2.6 Finalize release letter.

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3.3 Obtain Finance Control Number (FCN).

- a) Data on prescribed SRDB format sent to Finance Division for allotment of FCN.
- b) In case of de-sanction of un-utilised assistance, obtain FCN for un-utilised assistance.

3.4 Issue of release letter and forward ink signed copy to HO for disbursement.

Process Output	Disbursement of assistance as per release letter.
-----------------------	---

4) Process Measurements

S. No.	Process	Measurable indicators (No. of working days)	Monitoring frequency
1.	Scrutiny of release proposal to work out eligibility and finalisation of release letter.	5	Quarterly
2.	Obtaining FCN	3	
3.	Issue of release letter and forwarding ink signed copy to HO.		

5) Risks & Opportunities Identified:

Ref.# Risk Register

6) Process Control

S.No	Process	Process Step	Controls Established
1	Release of Sanctioned assistance	<u>Funding through State Government</u>	Sanction letter (Terms & conditions). Latest circular of interest rates.
		Confirm release of funds by the State Government through administrative order (GO/GR).	
		Confirm adherence to conditions as per sanction letter.	
		In case of claim for advance release, forward the release proposal to the concerned Divisions at HO.	

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2		<u>Direct Funding</u>	
		Ensure completion of legal formalities as applicable.	
		Check that all the legal documents have been executed by the borrower are in order and available.	
		Workout eligibility for release on the basis of expenditure incurred, expected expenditure and fulfillment of terms & conditions stipulated in sanction letter.	
		Check validity of NCDC sanction. If required, extend validity of sanction to facilitate release of assistance.	
		De-sanction of un-utilized amount	
		Finalise release letter	
		Obtain Finance Control Number (FCN) for: a) For release. b) De-sanction	


7) Documented Information Retained

S. No.	Record	Identification	Location	Maintained by	Retention period (years)	Disposition
1.	Society / proposal file	By file number	Almirah	PO /Sr. Assistant	One year after repayment of loan	Tearing/ Shredding after digitization
2.	Sanction/Release/ De-sanction Records	By Title	SRDB	-do-	Permanent	-
3.	Guard file	By file number	Almirah	-do-	-do-	-do-

8) Documented Information Maintained


NIL

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9) References

1. Office Order No. NCDC:15-2/87-Budt dated 13th January, 2010 and 20th June, 2014 regarding re-delegation of financial powers and as amended from time to time.
2. Circular No. NCDC:15-1/2000-Budt dated 13th January, 2010 regarding SRDB.
3. Latest interest rate circular.

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PROCESS DOCUMENT FOR REGIONAL OFFICES

DOC. NUMBER

NCDC/RO/PD-06

DATE OF ISSUE

01-08-2016

Process Document for Monitoring by Regional Offices

Document ID : NCDC/RO/PD-06

Revision No. : 01


Prepared By:

Reviewed By:

Regional Directors

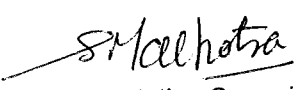

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PROCESS DOCUMENT FOR REGIONAL OFFICES

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1) Purpose

Monitoring of projects.

2) Scope

To monitor and review projects and to suggest corrective steps as required.

3) Process

Process Input	Source
Progress reports, minutes of review meetings, field visits	Cooperative/State Government, Tour Reports, Study Reports

3.1 Monitoring the projects.

- Obtain progress reports (pre-designed proforma) periodically.
- Through review meetings.
- By undertaking field visits, as and when required.
- Obtain Study Reports (Impact Assessment, Evaluation, Sectoral, Mid-term appraisal, Project Completion Reports, etc.) wherever applicable.
- Analyzing progress/performance .

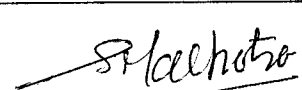
Process Output	Project Status/performance
----------------	----------------------------


4) Process Measurements

S. No.	Process	Measurable indicators	Monitoring frequency
1.	Monitoring of projects .	Progress in physical and financial terms.	Half Yearly/ As and when required

5) Risks & Opportunities Identified:

Ref.# Risk Register

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6) Process Control

S.No	Process	Process Step	Controls Established
1	Monitoring by Regional Offices	Obtain progress reports periodically.	Appraisal reports/ Sanction letter, Visit reports
		Minutes of review meetings.	
		Undertaking field visits	
		Obtaining Study Reports (Impact Assessment, Evaluation, Sectoral, Mid-term appraisal, Project Completion Reports, etc.) wherever applicable.	
		Analyzing progress/performance	

7) Documented Information Retained


S. No.	Record	Identification	Location	Maintained by	Retention period (years)	Disposition
1.	Progress reports	File number	Almirah	As per allocation of work	At least for 2 years after complete repayment	Shredding/ Tearing
2.	Agenda and minutes of review meetings	File number	Almirah	As per allocation of work	One year after repayment of loan	Shredding/ Tearing


8) Documented Information Maintained

S. No.	Title	Identification	Location	Prepared by	Approved by	Revision no.
1.	Progress Reports	File number	Almirah	As per work allocation	HO	

9) References

NIL


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	PROCESS DOCUMENT FOR REGIONAL OFFICES		
	DOC. NUMBER	NCDC/RO/PD-07	DATE OF ISSUE 01-08-2016

Process Document for Recovery of Loans

Document ID : NCDC/RO/PD-07


Revision No. : 01

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	PROCESS DOCUMENT FOR REGIONAL OFFICES		
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PROCESS DOCUMENT FOR REGIONAL OFFICES

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1) Purpose

Recovery of loans as per repayment schedule.

2) Scope

To pursue timely repayment of loans along with interest as per schedule from State Government and Societies (under Direct funding scheme) and in case of default, to take appropriate legal actions for recovery of dues in consultation with HO.

3) Process


Process Input	Source
Demand notice	Finance and Legal Cell- HO

- 3.1 On receipt of copy of demand notices from HO, ascertain from the borrowers about receipt of demand notices by them and in case of non-receipt of demand notices send copy of the same to the borrowers.
- 3.2 To follow up with the respective Departments of State Government / other borrowers through letters/emails and/ or personal contact for timely repayment of loan.
- 3.3 To remind the borrowers about payment of loan instalment 7 to 15 days prior to due date
- 3.4 To monitor payment of instalments by the borrowers in consultation with HO and in case of default pursue with the borrower.
- 3.5 To release the security documents to the borrowers on full and final repayment of all dues and approval of HO.

IN CASE OF DEFAULT:

- 3.6 Follow up with the borrowers to expedite repayment of loan with interest including penal interest.
- 3.7 As and when required, follow up with Finance division of HO to provide latest overdue details to inform the borrowers.
- 3.8 To take legal action for recovery of over dues as advised by HO.

Process Output	Recovery of dues
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4) Process Measurements

S. No.	Process	Measurable indicators (No. Of working days)	Monitoring frequency
1.	To ascertain from the borrowers regarding receipt of Demand notice	10 days from receipt of copies of Demand notice from HO.	Half Yearly-DF Yearly-SG
2	Reminder to the borrower regarding repayment.	15 days prior to due date of loan repayment	Half Yearly-DF Yearly-SG
3	Reminder to defaulting borrower	7 days on advice from HO	Yearly
4	To initiate legal action for recovery of overdue as advised by HO	7 days on advice from HO	Monthly
5.	To intimate the borrower about release of security documents.	3 days from receipt of NOC from HO.	Yearly
6	Release of security documents/ Execution of Re-conveyance Deed	At the request and convenience of the borrower	Yearly

DF- Direct Funding, SG –State Government

5) Risks & Opportunities Identified:

Ref.# Risk Register

6) Process Control

S.No	Process	Process Step	Controls Established
1	Recovery of Loans	<ul style="list-style-type: none"> - On receipt of demand notices from HO, ascertain from the borrowers about receipt of demand notices. Send copy, if not received. - Follow-up with the respective State Departments / other borrowers for timely repayment. - Remind the borrowers 15 days prior to due date. - In case of default, initiate appropriate action for payment of dues in consultation with HO. - Release security documents and post- 	Terms & conditions of: (i) sanction letter, (ii) release letter, (iii) loan agreement (iv) security documents.

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		<p>dated cheques (if any) to the borrowers on full and final clearance of dues.</p> <p>Default Recovery:</p> <ul style="list-style-type: none"> - Follow-up with Finance Division, HO to provide latest overdue details to take-up with the borrower. - Follow up with the borrowers to expedite repayment of loan with interest and penal interest. - Initiate legal action in consultation with Legal/ Finance Division. 	
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7) Documented Information Retained

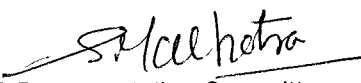
S. No.	Record	Identification	Location	Maintained by	Retention period (years)	Disposition
1.	Demand Notice	File number	Concerned File	As per allocation of work	Till Digitized	Shredding/ Tearing
2.	Letters to HO/ State Government/ Societies	File number	Concerned File	As per allocation of work	Till Digitized	Shredding/ Tearing

8) Documented Information Maintained

S. No.	Title	Identification	Location	Prepared by	Approved by	Revision no.
1.	Circular regarding rate of interest issued time to time by HO.	Circular	Circular file/concerned file	Finance Div. H.O.	MD	

9) References

NIL

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PROCESS DOCUMENT FOR REGIONAL OFFICES

DOC. NUMBER

NCDC/RO/PD-08

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Process Document for MIS, IT and Statutory compliances

Document ID : NCDC/RO/PD-08

Revision No. : 01

Prepared By:

Reviewed By:

Regional Directors

S. Malhotra
QMS Documentation Committee

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QMS Documentation Committee

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PROCESS DOCUMENT FOR REGIONAL OFFICES

DOC. NUMBER

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1) Purpose

To provide information in time and furnish statutory returns like RTI, Parliament & Assembly questions, returns and comply with audit clarifications and to keep the internal records updated.

2) Scope

- 2.1 To collect, collate and interpret information as required from time to time.
- 2.2 To ensure the latest software and hardware compatible with H.O. for smooth communication.
- 2.3 Timely furnishing statutory returns, furnishing information to HO for replying to Parliamentary and Assembly questions.
- 2.4 Provide information to RTI queries in compliance with RTI Act.

3) Process

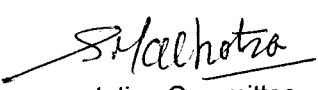
Process Input	Source
Published data base, Statutory requirements under relevant Acts, Parliament & Assembly questions Requirement of Hardware & software.	Cooperatives, State Government, Applicable rules, regulation and Acts of Central/State Government and records of RO.

3.1 Information Technology

- 3.1.1 Assessment of IT facilities at RO based on existing requirements and compatibility.
- 3.1.2 Budget provision and approval of competent authority for purchase as per guidelines.
- 3.1.3 Protection of hardware/software supported by total security packages.

3.2 Management Information System (MIS)

- 3.2.1 Monthly D.O. - Collection of information relating sanctions and releases referring to data available at R.O. & H.O. in the format circulated by H.O. or as may be sought from time to time.

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3.3 Statutory Requirements

3.3.1 Applications under RTI

Disposal of applications/queries as per the provisions of RTI Act.

3.3.2 Implementation of Official Language Act (Rajbhasha)

Providing information to Town Official Language Implementation Committee (TOLIC) & HO on implementation of Hindi as official language in the prescribed formats.

3.4 Replies to Parliamentary Questions (PQ) and Assembly Questions (AQ)

Furnishing information required by HO for preparing reply to Parliamentary & Assembly questions.

3.5 VIP Reference

Information sought by various divisions of H.O. like VIP references sent immediately by DDFS/email/fax.

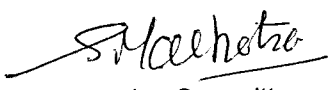
Process Output	Information, Statutory Returns, Information for reply to Parliament/Assembly Questions, Replies to VIP references, MDOs.
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4) Process Measurements

S. No.	Process	Measurable indicators/ Timelines	Monitoring frequency
1.	Monthly D.O.	By 7 th of the following month.	Half Yearly
2.	Parliament/Assembly Questions (material for answer).	Immediate.	Half Yearly
3	RTI return to HO.	Within 5 days after every Quarter	Half Yearly
4	Tender information.	By 7 th of every month.	Half Yearly
5	Replies to RTI Queries.	As per RTI Act.	Yearly

5) Risks & Opportunities Identified:

Ref. # Risk Register

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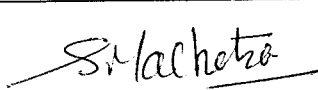
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6) Process Control

S.No	Process	Process Step	Controls Established
1	MIS, IT Statutory compliances, PQ/AQ/VIP Reference.	<p><u>MIS/IT</u> - Assessment of IT facilities at RO based on existing requirements and compatibility. Budget provision and approval and purchase as per guidelines. Protection of hardware/software supported by total security packages.</p> <p><u>Monthly D.O.</u> - Collection of information relating sanctions and releases referring to data available at R.O. & H.O. in the format circulated by H.O. or as may be sought from time to time.</p> <p><u>Applications under RTI</u> - Disposal of applications/queries as per the provisions of RTI Act.</p> <p><u>Implementation of Official Language Act (Rajbhasha)</u> Providing information to TOLIC & HO on implementation of Hindi as official language in the prescribed formats.</p> <p><u>Replies to Parliamentary (PQ) and Assembly Questions (AQ)</u> Furnishing information required by HO for preparing reply to Parliamentary & Assembly questions.</p> <p><u>VIP Reference</u> - Information sought by various divisions of H.O. like VIP references sent immediately by DDFS/email/fax.</p>	Circulars, formats circulated by HO. RTI Act, SRDB Official Languages Act.

7) Details of Documented Information Retained

S. No.	Record	Identification	Location	Maintained by	Retention period (years)	Disposition
1.	External HD/ CD (if required/ available)	By Title (By Marker)	Concerned officer	Concerned officer	5	Destroy

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2.	Files a)RTI	By Title	Almirah	Concerned officer	As per RTI Act.	Tearing/ Shredding
	b)MDO& others	By Title	Almirah	Concerned officer	2	Tearing/ Shredding

8) Details of Documented Information Maintained

NIL

9) References

1. Letter No. NCDC: 8-17/96-PC dated 21st October, 2008 & NCDC: 8-37/2011- P&C dated 24th December, 2012
2. P&C Division's U.O Note No. NCDC: 13-13/2013 – P&C dated 18th December, 2013.

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PROCESS DOCUMENT FOR REGIONAL OFFICES

DOC. NUMBER

NCDC/RO/PD-09

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Process Document for Manpower Administration in Regional Offices

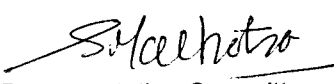
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PROCESS DOCUMENT FOR REGIONAL OFFICES

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1) Purpose

- 1.1 Appropriate distribution of work (depending on designation, qualification, experience, training and skills).
- 1.2 Engaging/hiring of specific personnel as per need (MTS, Driver, Data Entry Operator/Office Assistant, etc.) on outsourcing basis.
- 1.3 Attendance and punctuality.
- 1.4 Leave Administration.
- 1.5 Safe keeping of personnel documents.
- 1.6 Sanction of Festival Advance to employees.
- 1.7 Identification of training needs.
- 1.8 Preparing reporting channel for APARs .

2) Scope

For effective and optimal utilization of manpower and welfare activities at RO.

3) Process


Process Input	Source
Assessment of quantum of work, availability of man power, work allocation, application for leave & advances.	Deployed manpower, outsourced manpower, delegation of powers, Service regulations and circulars issued by HO from time to time.

3.1 Distribution of Work

- 3.1.1 Work distribution by RD.
- 3.1.2 Circulation of the approved work distribution.
- 3.1.3 Revision of Work distribution as and when required.

3.2. Outsourcing services of specific personnel

- 3.2.1 Identifying the outsourcing requirement along with the qualification and experience as per HO guidelines.

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3.2.2 Contacting outsourcing firms and obtaining quotations for relevant personnel to be outsourced.

3.2.3 Scrutiny and finalization of outsourcing firm/agency.

3.2.4 Execution of contract with the selected firm/agency, and intimating to HO.

3.2.5 Obtain specific approval from HO for any relaxation/changes required.

3.3. Attendance and punctuality

3.3.1 Maintenance of attendance register.

3.4. Leave Administration

3.4.1 Casual Leave/RH

3.4.1.1 Sanction Casual Leave/RH of all officers & staff (excluding RD) by RD as per rules.

3.4.1.2 Casual Leave/RH application of RD to be sent to HO for approval by Competent Authority.

3.4.2 Earned Leave/Half Pay Leave (including commutation on Medical Grounds)

3.4.2.1 Sanction EL/HPL of officials as per Delegation of Powers, with intimation to HO.

3.4.2.2 EL/HPL application of all officers & staff (excluding RD). Approvals beyond delegation of powers of RD, and of RD to be sent to HO for approval of Competent Authority.

3.4.2.3 Application for encashment of earned leave of all employees is forwarded to HO.

3.5 Safe keeping of personnel documents

3.5.1 Personal documents of each employee/officer of RO, including the documents of outsourced agencies

3.6 Issue Residence Proof certificate.

3.6.1 Residence proof certificate in respect of officers and staff of the RO, shall be issued by RD.

Prepared By:

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Regional Directors

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3.7 Sanction of Festival Advance.

3.7.1 Sanction Festival advance to eligible employees as per rules.

3.8 Leave Travel Concession/ Child Care Leave/ Paternity Leave/ Maternity Leave

3.8.1 Recommending and forwarding applications to HO.

Process Output

Efficient administration of manpower.

4) Process Measurements

S. No.	Process	Measurable indicators (working days)	Monitoring frequency
1	Circulation of individual work distribution details as and when required	One day	Yearly
2	Outsourcing manpower (if required)	10 days	Yearly
3	Attendance	Daily	Daily
4	Sanction of CL	Within 5 days	Yearly
5	EL/HPL/Commutated with Medical	Within 5 days	Yearly
6	Festival advance	Within 5 days	Yearly

5) Risks & Opportunities Identified:

Ref.# Risk Register

6) Process Control

S.No	Process	Process Step	Controls Established
	Manpower administration in RO's	Individual work distribution and revision as and when required.	As per work load
		Identifying the outsourcing requirement as per HO guidelines, obtaining quotations, and engaging agency after finalization.	Guidelines & circulars issued by HO.
		Maintenance of attendance register.	
		Sanction Casual Leave/RH by RD as per rules.	

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PROCESS DOCUMENT FOR REGIONAL OFFICES

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	Casual Leave/RH application of RD to be sent to HO.	
	Sanction EL/HPL as per Delegation of Powers.	
	Application for encashment of EL be forwarded to HO.	
	Personal documents of employees of RO, including the out sourced staff maintained.	
	Residence proof certificate.	
	Sanction Festival advance to eligible employees as per rules.	

7) Documented Information Retained


S. No.	Record	Identification	Retention Period	Disposition
1	Attendance Register	By Name	2 years	Tearing/ Shredding
2.	Leave Register	By Number	Permanent	N.A.
3.	Personal Files	By Name	Till 2 years after Superannuation/ Ceases to be on the rolls of NCDC.	Tearing/ Shredding
4.	Outsourcing Files	By Number/ Name	5 years	Tearing/ Shredding after digitization

8) Documented Information Maintained

S. No.	Title	Identificat ion	Location	Prepared by	Approved by	Revision no.
1	NCDC Service Regulations	Booklet	Library	HO	BOM, NCDC	00
2	Instructions issued by HO for outsourcing services.	Circular file	File	HO	MD	00

9) References

NIL

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PROCESS DOCUMENT FOR REGIONAL OFFICES

DOC. NUMBER

NCDC/RO/PD-10

DATE OF ISSUE

01-08-2016

Process Document for General Administration in Regional Offices

Document ID : NCDC/RO/PD-10

Revision No. : 01

Prepared By:

Reviewed By:

Regional Directors


QMS Documentation Committee

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PROCESS DOCUMENT FOR REGIONAL OFFICES

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Reviewed By:

Regional Directors

S. Malhotra
QMS Documentation Committee

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PROCESS DOCUMENT FOR REGIONAL OFFICES

DOC. NUMBER

NCDC/RO/PD-10

DATE OF ISSUE

01-08-2016

1) Purpose

To manage overall administration of the RO to provide employees with proper working conditions.

2) Scope

Upkeep and maintenance of office premises keeping in view modern trends and aesthetic values, office equipments; procurement and distribution of dead stock items, stationery items, petty items, computer hardware, consumables, livery items, printed stationery items etc.; maintenance of office vehicle; library; payment of utility bills, conveyance, cartage etc.

3) Process

Process Input	Source
Infrastructure, Office Equipment, Service providers,	Delegation of powers, Annual General Administration Budget,

3.1. Upkeep of office premises

- 3.1.1 The work relating to up-keeping and cleaning of office premises is got done by employing part-time housekeeping assistant.
- 3.1.2 Maintenance of office furniture including sofa sets, curtains etc.
- 3.1.3 Washing/dry cleaning of curtains, carpets, sofa sets, seat covers, etc.
- 3.1.4 Preparation and maintenance of name plates, notice boards, painting, etc.
- 3.1.5 Insurance (Fire & Theft) of Office Building & other assets.
- 3.1.6 Preventive Pest Control of office premises.

3.2 Payment of utility bills

Payment of all utility bills (Electricity, Water, Telephone, FAX, Internet, etc.) in time.

3.3 Reimbursement of Telephone expenses, Newspaper, conveyance charges, purchase of briefcase by the eligible officers

All employees are reimbursed the conveyance charges, telephone expenses (in respect of residential telephone/mobile/broad band), newspaper, purchase of briefcase, on receipt of claims from officials after proper scrutiny, as per entitlement/office orders.

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3.4 Maintenance of Staff Car

- 3.4.1 Log Book is maintained by the Staff Car Driver and signed by RD.
- 3.4.2 Vehicle is serviced/ repaired through authorized workshops/ reputed workshop and minor repair is done through local workshop/vendors. Replacement of accessories is done through authorized dealers.
- 3.4.3 Annual insurance of staff car is made on receipt of renewal notice from Insurance Company.

3.5 Physical verification of dead stock items and disposal of obsolete dead stock items

- 3.5.1 Every year, physical verification of dead stock items is carried out by Committee constituted by RD and the report is sent to HO.
- 3.5.2 Obsolete/ unserviceable dead stock items are disposed as per delegation of powers following due procedure.

3.6 Disposal Misc./Petty items

Petty, stationery & other misc. items is disposed off periodically as per procedure.

3.7 Issue of stationery item, computer consumables and other misc. petty items

The stationery item, computer consumables and other misc. petty items are issued to officers & staff as per demand.

3.8 Purchase of livery items

Eligible officials are issued livery on the basis of guidelines circulated by GA Division from time to time.

3.9 Weeding of official record in NCDC

Weeding of official record is done as per the guidelines circulated by GA Division from time to time.

3.10 Diary/despatch of dak

3.10.1 Incoming letters/ dak/ parcels etc.

All letters/dak are received by the official assigned this job and sent to the concerned officer after diarising.

3.10.2 Outgoing letters/dak/parcels etc.

Letters/parcels are sent through ordinary/Speed Post/ Registered Post /courier service as per urgency and Local dak to nearby offices is sent through MTS.

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3.11 Maintenance of Office Library

Books are purchased based on requirement and availability of budget, ensuring 50% of the budget for purchase of books in Hindi. Details of books purchased are entered in Library Register. Issue / Receipt Register is maintained.

3.12 Staff Welfare

Staff Welfare activities are organised as per the guidelines conveyed by HO.

3.13 Administrative Budget

- 3.13.1 Requirement of purchases/likely expenditure is assessed on the basis of obsolete/unserviceable items to be condemned and also the fresh requirement during year.
- 3.13.2 Item wise administrative Budget Estimates for next financial year and revised estimates for the current financial year are prepared as per requirement and sent to HO for approval by 31st January every year.
- 3.13.3 Detailed justification of dead stock items to be purchased is prepared and furnished to HO for approval.

3.14 Purchase of Dead Stock items, Stationary, petty items etc.

- 3.14.1 Items to be purchased are identified as per the requirement and subject to availability of budget;
- 3.14.2 Purchase is made as per guidelines of GFR (GOI);
- 3.14.3 As the material is supplied by the party, the material is checked, relevant stock entry is done;
- 3.14.4 Bills are processed for payment.

3.15 Maintenance of computers and other items

Computers and peripherals are maintained either through Annual Maintenance Contract (AMC) or as per requirement.

Process Output

Conducive work environment, upkeep of office equipment, maintenance of premises, staff welfare.

Prepared By:

Reviewed By:

Regional Directors

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QMS Documentation Committee

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4) Process Measurements

S. No.	Process	Measurable indicators / Timeline	Monitoring frequency
1.	Diary /despatch of dak	Daily	Yearly
2.	Maintenance of office library	Daily	Yearly
3.	Payment of bills (Utility, Insurance, etc.)	10 days from the receipt of the bill	Yearly
4.	Maintenance of computers & peripherals	As and when required	Yearly
5.	Purchases of dead stock items etc	Within the financial year	Yearly
6.	Disposal of obsolete/unserviceable dead stock	Within the financial year	Yearly
7.	Purchase of livery items	Within 15 days from due date	Yearly
8.	Reimbursement of expenses to personnel (telephone, conveyance, cartage, newspaper, etc.)	Within 15 days of submission of claim	Yearly
9.	Physical verification of dead stock	By June every year	Yearly
10.	Weeding of official records	By June every year	Yearly
11.	Preparation of administrative budget	31 st January of every year	Yearly

5) Risks & Opportunities Identified:

Ref.# Risk Register

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6) Process Control

S.No	Process	Process Step	Controls Established
	General Administration	Up-keeping and cleaning of office premises. Maintenance of office equipments, furniture & fixtures. Insurance (Fire & Theft) of office building & other assets. Payment of utility bills. Reimbursement of telephone expenses, newspaper, conveyance charges, purchase of briefcase by the eligible officers. Maintenance of staff car. Physical verification of dead stock items and disposal of obsolete items. Disposal of misc./petty item periodically. Issue livery items to eligible officials. Weeding of files & records. Purchase of books and maintenance of library register. Organising staff welfare activities. Purchases of dead stock items, stationary, petty items etc. Preparation of administrative budget annually.	HO Guidelines

7) Details of Documented Information Retained

S. No.	Title	Identification	Location	Maintained by	Retention period (years)	Disposition
1.	Admn. Budget file	By file number	Almirah / Rack	As per work allocation	5 years	Shredding/ Tearing
2.	Dead Stock File	By File Number	-do-	-do-	5 years	-do-
3.	Dead Stock Register	By Title	-do-	-do-	Permanent	-do-
4.	Library File	By File Number	-do-	-do-	5 years	-do-

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Reviewed By:

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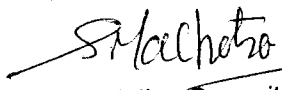
5	Library Register	By Title	-do-	-do-	Permanent	-do-
6.	Library Issue/ Receipt Register	-do-	-do-	-do-	2 years	-do-
7	Petty stock Register	-do-	-do-	-do-	Permanent	-do-
8.	Vehicle file	By File Number	-do-	-do-	5 years	-do-
9.	Vehicle Log Book	By Title	-do-	-do-	5 Years	-do-
10	Dak Receipt Register	-do-	-do-	-do-	2 years	-do-
11.	Dispatch Register	-do-	-do-	-do-	2 years	-do-
12.	Files for respective heads	By File Number	-do-	-do-	5 years	-do-

8) Details of Documented Information Maintained

NIL

9) References

1. Office Order regarding reimbursement of telephone expenses.
2. Office Order regarding reimbursement of conveyance.
3. Office Orders regarding reimbursement of newspaper.
4. Office Order regarding condemnation/disposal of dead stock items.
5. Office Order regarding purchase of brief case by entitled officers.
6. Office Orders regarding re-delegation of financial powers.

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PROCESS DOCUMENT FOR REGIONAL OFFICES

DOC. NUMBER

NCDC/RO/PD-11

DATE OF ISSUE

01-08-2016

Process Document for Finance & Accounts in Regional Offices

Document ID : NCDC/RO/PD-11

Revision No. : 01

Prepared By:

Reviewed By:

Regional Directors

S. Malhotra
QMS Documentation Committee

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NCDC/RO/PD-11

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PROCESS DOCUMENT FOR REGIONAL OFFICES

DOC. NUMBER

NCDC/RO/PD-11

DATE OF ISSUE

01-08-2016

1) Purpose

Making payments and receipts of all financial transactions as per the set procedures & rules and maintaining records.


2) Scope

All financial transactions, payments, receipts, vouchers, books of accounts / records as also maintaining data-base as per integrated financial management system (IFMS).

3) Process

Process Input	Source
Bills, Statutory payments, Sanction order/ Authority from HO, Bank statement.	HO, Societies, Employees, Service providers.

- 3.1 Preparation of Administrative Budget for the next financial year and Revised Budget for current FY.
- 3.2 Statutory payments/deduction of TDS, Service Tax, Professional Tax, Property Tax / Lease / Rent / office building maintenance, income tax, legal fee, etc.
- 3.3 Payment of utility charges viz. electricity, water, telephone, internet, data usage, newspaper and journals, office car maintenance & fuel, AMC, insurance, daily wages, outsourcing charges and various other contingent expenditures.
- 3.4 Payment towards purchase of dead stock items, books, stationary, liveries, petty items, etc.
- 3.5 Making payments pertaining to employees advances, settlement of TA Bills, medical bills and other payments as per entitlement and delegation of powers.
- 3.6 Preparation and verification of payment vouchers, receipt vouchers, journal vouchers through IFMS.
- 3.7 Deposit of cheques / cash pertaining to refund, processing fee, legal fee, etc.
- 3.8 Reconciliation of bank statements and the rectification of postings, if required.
- 3.9 Compilation of monthly accounts by 10th of succeeding month.
- 3.10 Generation of various reports viz. bank book, trial balance, GL accounts from IFMS for control of expenditure in accordance with the budget provisions.

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PROCESS DOCUMENT FOR REGIONAL OFFICES

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- 3.11 Maintenance of cash imprest account.
- 3.12 Maintenance of various registers pertaining to accounts.
- 3.13 Authorization of officers for opening, operating, maintaining bank accounts.
- 3.14 Any other payments/receipts, not covered above, approved by HO.

Process Output

Settlement of bills & claims, Payments,
Monthly Accounts

4) Process Measurements

S. No.	Process	Measurable indicators/ Timeline	Monitoring frequency
1.	Maintaining books of accounts, records & registers.	By 10 th of every month	Monthly
2.	Settlement of claims & bills	Within 10 days of receipt of bill / claim	Monthly
3.	Sanction of advances	Within 5 days of receipt of authority	Monthly
4.	Receipt of fees, charges, etc.	Before release of financial assistance	Monthly

5) Risks & Opportunities Identified:

Ref.# Risk Register

6) Process Control

S.No	Process	Process Step	Controls Established
1	Finance & Accounts	Preparation of Administrative Budget and Revised Budget for current FY.	Delegation of Powers to RD. Guidelines, Circulars issued by HO from time to time. Salary bill and IFMS.
		Statutory payments/deduction.	
		Payment of advances, utility charges, settlement of bills, allowances.	
		Compilation of monthly accounts.	
		Maintenance of various registers/ ledgers.	
		Any other payments/receipts, not covered above, approved by HO.	

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7) Documented Information Retained

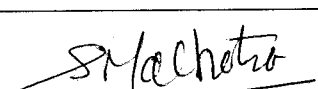
S. No.	Record	Identification	Location	Maintained by	Retention period (years)	Disposition
1.	All Registers & Files	By title	Almirah / Rack	As per allocation of work	5 years	Tearing / Shredding
2.	Medical bill files	-do-	-do-	-do-	-do-	-do-
3.	TA bill files	-do-	-do-	-do-	-do-	-do-

8) Documented Information Maintained

S. No.	Title	Identification	Location	Prepared by	Approved by	Revision no.
1.	TA claim form, medical claim form, festival advance form, contingency claim vouchers, sanction voucher, receipt voucher etc.	File number	Almirah	HO	HO	
2.	All guidelines circulars pertaining to finance including delegation of powers.	File number	Almirah	HO	HO	
3.	Cheque book	Cheque book register	-do-	As per work allocation	RD	

9) References

NIL

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**PROCESS DOCUMENT FOR
REGIONAL OFFICES**

DOC. NUMBER

NCDC/RO/PD-12

DATE OF ISSUE

01-08-2016

Process Document for Coordination of Board of Management (BOM) and General Council (GC) Meetings

Document ID : NCDC/RO/PD-12

Revision No. : 01

Prepared By:

Reviewed By:

Regional Directors

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QMS Documentation Committee

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PROCESS DOCUMENT FOR REGIONAL OFFICES

DOC. NUMBER


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PROCESS DOCUMENT FOR REGIONAL OFFICES

DOC. NUMBER

NCDC/RO/PD-12

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1) Purpose

To identify any change in membership of BOM/GC in the region and to pursue BOM/GC members from the region to attend GC/BOM meetings under intimation to HO.

2) Scope

Coordination with HO and BOM/GC members for attending of the meeting.

3) Process

Process Input	Source
BOM/GC Meeting notice	P & C Division-HO


- 3.1 Update details of members of BOM/GC regularly to HO.
- 3.2 Ascertain from the members of BOM/GC receipt of meeting notice and agenda notes and if not received, arrange the same for them.
- 3.4 Request the members of BOM/GC to attend the meetings and to inform HO about their participation status.

Process Output	Intimation of any change in membership of BOM/GC and participation status of BOM/ GC members to HO
----------------	--

4) Process Measurements

S. No.	Process	Measurable indicators/ Timeline	Monitoring frequency
1.	To update HO, communication details in respect of members of BOM/GC.	As and when there is a change.	Quarterly
2.	To confirm from the members of BOM/GC of the region regarding receipt of meeting notice and agenda notes	Within 3 days from the date of receipt of communication regarding meetings from HO.	-do-
3.	To dispatch meeting notice/agenda note to the members of BOM/GC of the region in case of non-receipt.	On receipt from HO.	-do-
4.	To request the members of BOM/GC to attend the meetings.	7 to 10 days prior to meeting	-do-
5	To inform HO about participation or absence of the BOM/GC members of the region on receipt of communication from them.	Same day on receipt of confirmation.	-do-

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	PROCESS DOCUMENT FOR REGIONAL OFFICES			
	DOC. NUMBER	NCDC/RO/PD-12	DATE OF ISSUE	01-08-2016

5) Risks & Opportunities Identified:

Ref. # Risk Register

6) Process Control

S.No	Process	Process Step	Controls Established
1	Coordination of BOM/GC Meetings.	Inform HO regarding details of members of BOM/GC as and when required.	Meeting notice
		Confirm from the members the receipt of meeting notice and agenda notes & arrange the same in case of non-receipt.	
		Request the members of BOM/GC to attend the meetings and to inform HO about their participation.	

7) Details of Documented Information Retained


S. No.	Record	Identification	Location	Maintained by	Retention period (years)	Disposition
1.	Meeting Notice	By file number	Concerned File	Concerned Officer	2 Years	Shredding/ Tearing
2.	Letters from HO/RO and members.	By file number	Concerned File	Concerned Officer	2 Years	Shredding/ Tearing
3.	Minutes of the meeting	By file number	Concerned File	Concerned Officer	Till Digitized	Shredding/ Tearing

8) Details of Documented Information Maintained

S. No.	Title	Identification	Location	Prepared by	Approved by	Revision no.
1.	Notification regarding nomination of members in BOM/GC.	Latest Gazette Notification*	concerned file	GOI	GOI	

*Reference: Gazette Notification No.GSR 168(E) & GSR 169(E) dated 11/03/2013.

9) References NIL

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PROCESS DOCUMENT FOR REGIONAL OFFICES

DOC. NUMBER

NCDC/RO/PD-13

DATE OF ISSUE

01-08-2016

Process Document for Exhibitions, Conferences and Promotions

Document ID : NCDC/RO/PD-13

Revision No. : 01

Prepared By:

Regional Directors

Reviewed By:


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PROCESS DOCUMENT FOR REGIONAL OFFICES

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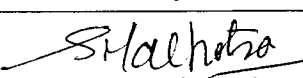
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	PROCESS DOCUMENT FOR REGIONAL OFFICES			
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1) Purpose

To promote NCDC schemes/programme and to highlight/showcase the benefits received by the beneficiaries through these schemes so as to ensure maximum dissemination of information to all stakeholders thereby ensuring nationwide visibility and acceptability.

2) Scope

- 2.1 Organizing /Participation in International/ National/ Zonal/ State level exhibitions of repute or where ever maximum footfalls are expected.
- 2.2 Organizing and participating in conferences/workshops/seminars wherein issues involving policy, direct and indirect benefits to cooperatives are covered.
- 2.3 To give wide publicity through media (print/audio-visual/web based) as appropriate.
- 2.4 To assist in NCDC biennial award for cooperative excellence.

3) Process


Process Input	Source
Intimation from organizers, Direction/ Nomination from HO, Nomination of societies for Award.	HO, Organizers of conference/exhibition (Government agency, cooperative etc.)

3.1 Exhibition

- 3.1.1 The decision on organizing/participation in exhibitions taken up as per advice/approval of HO.
- 3.1.2 R.O may also participate in the exhibition on invitation or suggest participation in exhibition of repute.
- 3.1.3 Approval in both cases sought from HO
- 3.1.4 RO will collect materials for organizing the same and wherever required to man the exhibition.

3.2 Conference

- 3.2.1 NCDC organises conferences anywhere in the country as per need wherein the Regional representative is required to participate, on approval of HO.
- 3.2.2 In case of International/ National/ Zonal/ State/ District level conferences organized by other agencies, as advised/directed by HO, representatives of RO participate.

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3.2.3 In case of direct invitation for attending a conference within the region without financial involvement, RO may participate.

3.2.4 While attending the conference, relevant data/information with reference to the subject of the conference is collected.

3.3 Promotion

3.3.1 Existing schemes and new developments or modifications in the existing schemes is given publicity through appropriate media/language as advised by HO. The material in this case will be provided by the HO.

3.3.2 The process involved in the NCDC biennial award for cooperative excellence to recognize the outstanding performance of primary level cooperative society in each State/UT, is followed as directed by HO.

Process Output

Organising/participating in promotional programmes, recognising good working societies.

4) Process Measurements

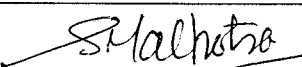
S. No.	Process	Measurable indicators	Monitoring frequency
1.	Exhibitions.	As and when held	Yearly
2.	Conferences.	As and when held	Yearly
3.	Promotional material.	As and when required	Yearly
4.	Selection of societies as per guidelines & sending the same to HO for Excellence Awards.	As decided by HO (presently every 2 years)	Once in 2 years

5) Risks & Opportunities Identified:

Ref. # Risk Register

6) Process Control

S.No	Process	Process Step	Controls Established
1	Exhibitions, Conferences & Promotions.	Organize/ participate in exhibitions/ conferences.	Guidelines issued by HO
		Publicity of schemes, new developments, modifications.	
		Recognising outstanding performance of primary level cooperative society in each State/UT by biennial awards.	

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7) Documented Information Retained


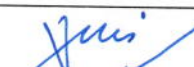
S. No.	Record	Identification	Location	Maintained by	Retention period (years)	Disposition
1.	Promotion/Conference/Exhibition File	File Number	Almirah	Concerned officer	5 years	Shredding/Tearing
2.	NCDC Biennial Coop. Excellence Awards	-do-	Almirah	Concerned officer	10 years	Shredding/Tearing

8) Documented Information Maintained

NIL

9) References

NIL

Prepared By:	Reviewed By:	Approved By:	Page 74 of 74
Regional Directors	 QMS Documentation Committee	 Managing Director (MD)	