

G-29011/2/2020-BUDGET SECTION-Part(1)
Central Water Commission
Budget Section

8th Floor (S), Sewa Bhawan,
R.K.Puram, New Delhi – 110066.

Dated : 12-1-2021

OFFICE MEMORANDUM

Subject: Transfer of the Audit jurisdiction of Central Water Commission to the O/o the Principal Director of Audit (Agriculture, Food & Water Resources), New Delhi effective from 01-04-2020 regarding.

Your kind attention is invited to the subject cited above regarding Restructuring of Central and State Audit Offices by the O/o the C&AG of India, New Delhi vide notification dated 09-03-2020, the Govt. Audit on behalf of the C&AG of India, New Delhi of Central Water Commission(CWC) has been transferred to the audit jurisdiction of O/o the Principal Director of Audit (Agriculture, Food & Water Resources), New Delhi [Erstwhile O/o the Principal Director of Commercial Audit & Ex-Officio Member, Audit Board–IV, New Delhi] effective from 01-04-2020. Accordingly, the following units of CWC have been allotted for audit under the West Zone jurisdiction of the Mumbai Branch Office by the New Delhi Head Office of C&AG of India

1. Executive Engineer, Upper Krishna Division, Central Water Commission, Pune.
2. Chief Engineer, National Water Academy, Central Water Commission, Pune.
3. Executive Engineer, Wainganga Division, Central Water Commission, Nagpur.
4. Executive Engineer, Tapi Division, Central Water Commission, Surat.
5. Executive Engineer, Mahi Division, Central Water Commission, Gandhinagar.
6. Executive Engineer, Narmada Division, Bhopal, Central Water Commission,

In this regard, a proforma is attached for data collection for the period 2019-20 for updating of data base of the auditee organization. It is requested to comply the same in respect of the above six units of CWC urgently.

(Ravindra Pal Singh)
Section Officer (Budget)

To

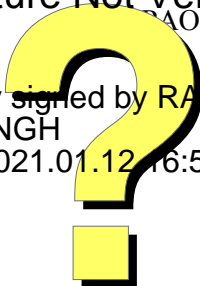
All concerned DDO's of Central Water Commission.

Copy for information to :

1. PPS to Chairman, CWC.
2. PPS to Chief Engineer (HRM), CWC, New Delhi.
3. PPS to Secretary, CWC, New Delhi.
4. Senior Account Office, CWC, New Delhi
5. AO, CWC, New Delhi

Signature Not Verified

Digitally signed by RAVINDRA
PAL SINGH
Date: 2021.01.12 16:51:13 IST



88119/2020/O/o SECY(CWC)

From: "Branch(MAB-IV), ND Mumbai" <brmab4ndmumbai@cag.gov.in>
To: "SECRETARY CWC" <secy-cwc@nic.in>
Cc: "Chairman cwc" <chairman-cwc@nic.in>, "cenwa.mah" <cenwa.mah@nic.in>, "Chief Engineer, MCO, CWC, NGP" <cemonc-cwc@nic.in>, "Chief Engineer MTBO" <centbo-cwc@nic.in>, "cenbo cwc" <cenbo-cwc@nic.in>
Sent: Sunday, December 20, 2020 6:46:43 PM
Subject: Data collection for updating of data base - Central Water Commission units under West Zone

To,
 The Secretary
 Central Water Commission .
 3rd Floor (South) , Sewa Bhawan ,
 R.K. Puram, Sector-1
 New Delhi – 110066.

Sir/Madam,

Consequent to the Restructuring of Central and State Audit Offices by the O/o the C&AG of India, New Delhi vide notification dated 09.03.2020, the Govt. Audit on behalf of the C&AG of India, New Delhi of Central Water Commission (CWC) has been transferred to the audit jurisdiction of O/o the Principal Director of Audit (Agriculture, Food & Water Resources), New Delhi [Erstwhile O/o the Principal Director of Commercial Audit & Ex-Officio Member, Audit Board-IV, New Delhi] effective from 01.04.2020. Accordingly, the following units of your organization have been allotted for audit under the West Zone jurisdiction of this Mumbai Branch Office by our New Delhi Head Office.

1. Executive Engineer, Upper Krishna Division, Central Water Commission, Pune
2. National Water Academy, Central Water Commission, Pune
3. Executive Engineer, Wainganga Division, Central Water Commission, Nagpur
4. Executive Engineer, Tapi Division, Central Water Commission, Surat
5. Executive Engineer, Mahi Division, Central Water Commission, Gandhinagar
6. Central Water Commission, Narmada Division, Bhopal

In this regard, a proforma for data collection for the period 2019-20 for updating of data base of the auditee organization is attached. It is requested that the same duly filled separately in respect of the above six units of CWC falling under the audit jurisdiction of this office may please be arranged to be sent to this office urgently.

Yours faithfully,

Jessy Jacob

Sr. Audit Officer

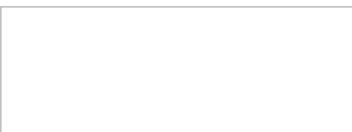
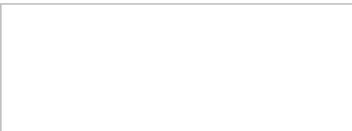
कार्यालय प्रधान निदेशक लेखा परीक्षा
 (कृषि, खाद्य एवं जल संसाधन), नई दिल्ली,
 शाखा कार्यालय – मुंबई-51

Office of the Principal Director of Audit
 (Agriculture, Food & Water Resources), New Delhi,
 Branch Office - Mumbai-51

C-25, 7th Floor, Audit Bhavan, Bandra Kurla Complex,
 Bandra(E), Mumbai-400 051

Tel: 022 - 26573055, 26573754

"आवश्यक हो तो ही प्रिंट आउट ले, पर्यावरण बचाइए"



Proforma**Name of the Company/Corporation/unit:**

The following information/documents may be furnished to audit.

- 1) Copy of delegation of powers prescribed/approved.
- 2) Details including monetary value of contracts entered (capital and revenue separately) and amount incurred during 2019-20.
- 3) Amount, nature and purpose of grant/subsidy received and its utilisation during 2019-20

Amount of Grant received	Nature of grant (Capital/ revenue)	Purpose of grant	Grant utilized	Grant unutilized

- 4) Whether direct benefit transfer, applicable. If yes

Whether direct benefit transfer applicable.	Percentage of payment for which it is available	Whether Adhaar linking of beneficiaries is applicable.	Percentage of beneficiaries for which Adhaar is linked

- 5) Details of beneficiary survey done, if applicable

Nature and type of beneficiary	Frequency of conducting survey

- 6) Whether direct public dealing applicable. If yes

Nature of Direct public dealing	Transaction amount

- 7) Manpower position (supervisory and operational level separately)as on 31.03.2020

Sanctioned strength	Actual strength	Shortage/excess (in percentage)

- 8) Training details for the year 2019-20

Number of Training programmes as per Annual schedule	No of training conducted as per annual plan	Shortage/excess

9) Details of Projects/Schemes in the nature of/with PPPs, NGOs, Societies, JVs etc

Name of the private agencies	Nature of involvement	Cost of project/scheme

10) Details of borrowings during 2019-20

Amount of borrowed Capital	Source of borrowed capital	Purpose of borrowing

11) The extent of automation of your system

Activities in which automated system used (Establishment/ core activity including financial activity/ ancillary activity)	Name of the automated system used by the unit	Whether human intervention is required

12) If remote sensing/GIS/ Crowd sourcing are used and how effectively the same is utilised.

Whether system of using remote sensing/GIS/crowd sourcing is applicable.	If applicable, whether put in place and used uniformly	Whether integrated with operations/services

13) Internal Audit

- a) Whether system of internal audit existed
- b) Norms for internal audit
- c) Frequency of internal audit as per norms
- d) Actual occurrence of internal audit last year
- e) Whether Internal Audit is functioning independently
- f) No. of outstanding paras of Internal Audit Report
- g) Total no. of Paras raised in the outstanding Reports
- h) Outstanding Paras in percentage

14) Quality Control Mechanism for core activity

Core activity	Whether Quality control mechanism is applicable	If applicable, percentage of Quality check

15) Composition of Boards of Director:

Total no. of Boards of	Actual	Vacancy	Period of vacancy

Directors as per MOA/Article of association	availability of Boards of Directors	(permanent/Independent)	

The following details in respect of your IT system may be furnished to audit urgently.

1. Name of the IT **System** and a broad **description** about functional areas covered by the IT Application.

2. Department Head Name Phone No. Email

 of the auditee
 organisation

3. Information System _____
 In-charge person

4. What is (are) the location(s) of the IT system installation(s)?

5. State the category of IT system architecture:

File server system

Client server system

Distributed processing system

Web based/EDI

6. **A.** State the category of IT system.

Accounting system

Financial management system

Inventory/Stock Management

- Decision support system/MIS
- Manufacturing/Engineering
- Payroll
- Personnel and Administration
- Marketing
- Sales
- ERP
- R&D
- Others (Please specify) _____

B. Whether it is an E-Governance Project (Part of NEGP)*:

Central Mission Mode Project

Integrated Mission Mode Projects

State Mission Mode Projects

C. Whether the above IT application has got a bearing on the financial and accounting aspects of the organisation? Yes No

7. Software used and the Version :

Operating system(s):

Sl. No.	Name of the Software	Operating System Version
1	Windows	
2	Unix	
3	Linux	
4	Others	

Network software:

Sl. No.	Name of the Software	Network Software Version
1.		
2.		
3.		

4.		
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Communication Software:

Sl. No.	Name of the Software	Communication Software Version
1.	Ring Central	
2.	Slack	
3.	Aircall	
4.	Others	

RDBMS:

Sl. No.	Name of the Software	RDBMS Version
1	Oracle	
2	SQL Server	
3	DB2	
4	PostgreSQL	
5	Others	

Front end tool:

Sl. No.	Name of the Software	Version

Programming Language(s) :

Sl. No.	Name of the Software	Version

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Bespoke (Vendor developed):

Sl. No.	Name of the Software	Version

Utility Software:

Sl. No.	Name of the Software	Version

8. Is the IT system a mission critical system or an essential system?

Mission critical system^β

Essential system^γ

9. Has the application system been/being developed in house or by outsourcing?

In house **Outsourced**

In case of outsourcing, specify the name of agency and the contracted amount:

Name of the Agency: _____

Contracted Amount: _____ **(Amount in Lakhs)**

(P.S. – If the IT system is still under development, rest of the information in questionnaire from Sl. No. 10 to 16 may not be furnished. In that case Form 3 may be filled and if procurement of H/W for IT system under development has been done, then Form 2 may also be filled.)

^{ββ}A mission critical system is an IT system which directly impact the primary function of the organisation e.g. Passenger Reservation System in Indian Railways.

^{γγ}An essential system is an IT system the loss of which cause disruption of some service without disrupting primary services.

MM YY

10. When the system was made operational? _
11. What is the total investment on the IT system project? Indicate the amount in lakhs of rupees against each item:

Rs. in lakhs

Hardware items _____

Proprietary software _____

Application System development cost _____

Manpower training cost _____

Maintenance of the all components (recurring) _____

12. Number of persons engaged for operation of the system?

1 – 25		
25 – 50		
50 – 100		
100 – 500		
> 500		

13. Does the system documentation provide for an audit trail of all transaction processed and maintained?

Yes No

14. Are the manuals as indicated available?

a. Users documentation manual Yes No

b. Systems and programming documentation manual Yes No

15. Is there any system in place to make modifications to the application being used on a regular basis to support the function?

Yes No

16. Does the organisation transmit/receive data to/from other organisations:

Receive Transmit No

17. Details of networking hardware employed:

Sl. No.	Category of H/W	Name of Company	No. of Units	Cost (Rs. in Lakhs)
1.	Hub			
2.	Repeater			
3.	Modem			
4.	NIC (Network Interface Card)			
5.	Media Converters			
6.	Basic Switch			
7.	Bridge			
8.	Wireless Access Point			
9.	Basic Router			
10.	Basic Firewall			
11.	Basic DHCP (Dynamic Host Configuration Protocol Server)			

18. Are more than one IT Application(s) running on the same Hardware? If Yes, specify the name(s) of such IT Application(s) apart from the application as indicated at Sl. No. 2.

19. Size of Database:

Date: _____ Size: _____ (In MB)

20. Average Volume of Monthly Data:

Transaction Data Generated: _____ (In GB)
 Master Data : _____ (In GB)

21. Mode of Access to the data: _____ (Options to be used: Online, Offline in CD/External HD etc.)

22. What is the current status of development of IT system if it is still under development? (Tick the appropriate box indicating the current stage of development of IT Application)

Feasibility study stage

User requirement

Specification stage

Design stage

Development stage

Testing stage

Parallel run (if any)

Implementation stage

23. What is the projected cost for the IT system? Rs. _____ lakhs

24. What is the target date for completion? _____(MM/YY)

Following further details may also be provided immediately.

Sr.No.	Questionnaire	Reply	
		Yes	No
1	Is there a strategic IT Plan/Policy for the organization based on Business need?		
2	Is there a system of reporting to top management and review In vogue?		
3	Is there a separation of duties and well defined Job Characteristics in the IT Department?		
4	Are there appropriate policies and procedures in relation to Retention of electronic records?		
5	Whether the organization uses third parties to process data, does It have appropriate procedure in place to address associated risks?		
6	Is there a system of recording changes to the applications?		
7	Are these changes properly authorized?		
8	Is there an exception reporting system in place?		
9	In the case of bought out software are there agreements in place for maintenance and service?		
10	Whether user manuals are available?		
11	Do manuals include procedures for handling exceptions?		
12	Is there a strategic security plan in place providing centralized Direction and control over information system security?		
13	Whether the unit ensures only appropriate access to system resources		
14	Whether preventative and detective control measures have been established by management with respect to computer viruses?		
15	Whether password policy exists		
16	Whether access to security data such as security management, Sensitive transaction data, passwords and cryptographic keys is limited to a need to know basis?		
17	Whether Log records relating access /entering/leaving are maintained		
18	Is there a periodic and on-going review of access profiles, including managerial review?		
19	Whether physical security is addressed?		
20	Whether specific existence of alternative infrastructure items necessary to implement security: a. uninterruptible power source (UPS)		

	b. alternative or rerouting of telecommunications lines		
21	Are back up copies of data files and programs taken Regularly?		
22	Are back up copies held in secure locations both locally and Remote from the computer site?		
23	Are the back-up and recovery procedures appropriately tested?		
24	Is the software used covered by adequate licences?		
25	Whether for data input whether the following exist:		
a	Appropriate source document routing for approval prior to entry		
b	Proper separation of duties among submission, approval, authorisation and data entry functions		
c	Audit trail to identify source of input		
d	Clearly assign responsibility for enforcing proper authorisation over data.		
26	Whether error handling procedures include: Correction and resubmission of errors must be, approved		