

No.26011/43/2011-AD-III
Government of India
Ministry of Corporate Affairs

Shastri Bhawan, A-Wing,
5th Floor, Dr. R.P.Road,
New Delhi -110001.

Date: July 7, 2011

OFFICE MEMORANDUM

Subject: - Format for inspection for the offices of Regional Directors.

The undersigned is directed to refer to the subject mentioned above and to enclose a format for inspection of the offices of Regional Directors.

The period of inspection should be the previous financial year and inspection may be conducted by the month of June in each year. For the year 2010-2011, the inspection may be conducted by the month of July, 2011.



—(B.K. Malhotra)

Deputy Secretary to the Govt. of India

To

RD(NR), RD (SR), RD(WR), RD(ER), RD(NWR), RD(NER) and DIR (AB) e-governance Ministry of Corporate Affairs.

MINISTRY OF CORPORATE AFFAIRS

FORMAT FOR INSPECITON FOR THE OFFICES OF RD's

Name of Office :
Name & Designation of
Inspecting Officer :

Date of Inspection :
Date of Previous Inspection :

1. Staff Position:

S. No	Name of Post/ Grade	Sanctioned Staff (i) Permanent (ii) Temporary	In position	Number of vacancies and date from which vacant*
(1)	(2)	(3)	(4)	(5)

* Steps taken to fill up vacancies including through Apprentices / Consultants

2. Allocation of Work to each employee: (level 'C' and above excluding MTS)

S. No.	Name & Designation of employee including ICLS Trainees, Apprentices/ Consultants	Work allocated	Date since when present work is allocated	Annual Work Plan Made
(1)	(2)	(3)	(4)	(5)

* Steps taken to improve knowledge of Computers/Rules/Procedures etc. / output of staff including Trainees/Apprentices/Consultants

3. Availability of Office equipment and Infrastructure

Software Speed and connectivity	Electronic Hardware	Video Conferencing with MCA / Field Offices	Office Equipment / Furniture
(1)	(2)	(3)	(4)

* Shortfall, if any, and steps taken to upgrade Hardware / Software / Office Equipment (New Look Office)

3.1 Location of Offices of MCA

S. No.	Office	Location (Same Building/ Outside)	Area Occupied (Sq. Ft.)	Additional Space Requirement, if any, as per Norms	General Appearance of the Office
(1)	(2)	(3)	(4)	(5)	(6)
1.	RD				
2.	ROC				
3.	OL				
4.	CLB				

3.2 Steps taken to construct “Corporate Bhawan” for ROCs, OLs, RDs and NCLT. What are the Infrastructure Requirements? Update on ongoing works.

3.3 Steps being taken to make RDs Office paperless :-

- Whether all communication / statutory applications / reports being dealt electronically (other than court matters).
- Whether all payments including salaries/TA/DA being paid in electronic mode – (NEFD/RTGS)
- Elaborate on other green initiatives

3.4 Steps taken for energy saving

3.5 Steps taken for promotion of official language

4. Punctuality / Attendance :

S. No.	Particulars	Comments of RD Office	Observation of Inspecting Officer
(i)	Is attendance and late attendance register maintained		
(ii)	Is Attendance Register checked by an officer daily;		

* Steps taken to curb tendency of coming late, where required. How effective it has been.

5. Registers & Folders:

S. No.	Particulars	Comments of RD Office	Observation of Inspecting Officer
(i)	Whether Diary Register, Dispatch Register, File Registers, Guard File, being maintained and in electronic format.		
(ii)	Whether separate list being maintained for important references from Head Quarters showing disposal and pendency.		

6. Maintenance of Advance Registers and Cash Book; (Take a sample of five registers)

S. No.	Particulars	Comments of RD Office	Observation of Inspecting Officer
(i)	Whether registers for long-term advances and short-term advances being maintained properly in electronic format.		
(ii)	Whether entries of all advances like GPF, HBA, Scooter/ Car advances are made in the pay book Registers;		
(iii)	Whether Service Books / Leave Records being maintained / updated		
(iv)	Whether proper account of the Imprest Money is being maintained.		
(v)	Is the Cash Book / Bills / Vouchers being maintained as per rules/ instructions		
(vi)	Are all receipts and payments entered daily in the Cash Book ?		
(vii)	Is physical verification of Cash in hand done once in a month by the officers?		

7. Audit Objection:

- (i) Is internal Audit being done every year?
- (ii) Date of last visit of external Audit Team:
- (iii) Details of Pending Audit Objections :
(As per Annexure 'A')

8. Administrative matters;

- | | |
|--|--------|
| (a) Whether APAR of employees completed and sent to the competent authority.
[If not, give reasons and details] | Yes/No |
| (b) Whether ACP/MACP/DPC have been conducted timely as per DoPT guidelines.
[If not, give reasons and details] | Yes/No |
| (c) Whether vacancy roster has been maintained properly.
[If not, give reasons and details] | Yes/No |
| (d) Whether timely steps have been taken to fill up vacancy in Group C.
[If not, give reasons and details] | Yes/No |

9. Monitoring of court cases and VIP references.

Whether there is an adequate mechanism to monitor :-

- | | |
|---|--------|
| (a) Cases pending in court/CAT. | Yes/No |
| (b) Applications and appeals under RTI Act. | Yes/No |
| (c) VIP references. | Yes/No |
| (d) Parliament Questions. | Yes/No |

(Please elaborate on mechanism in Annexure 'B')

10. **Weeding of Old Documents;**

- (a) No. of documents weeded out by ROCs during the previous Year and Progressive total during the current year.

Previous Year	
Current Year	

- (b) Steps taken to weed out old records in RD's Office.
- (c) Scanning of permanent records – RD's to confirm that all permanent records have been scanned / digitized and kept properly.
- (d) Have the records been transferred to the record room

(As per Annexure 'C')

11. **Inspection U/s 209(A);**

S. No.		
(a)	Number of Cases pending as on (1 st April of Year of inspection)	
(b)	Number of Companies ordered for Inspections (For the period under inspection)	
(c)	Number of Companies taken up for Inspections (For the period under inspection)	
(d)	Number of Reports submitted to the Ministry (For the period under inspection)	
(e)	Number of Cases deleted (For the period under inspection)	
(f)	Number of Reports pending (As on last date of the period under inspection)	
(g)	Number of Cases where ROCs have taken up inspection (For the period under inspection)	
(h)	Number of Inspections pending over	

	6 months 3-6 months	
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11.2 Reasons for inspections pending for more than three months

11.3 Any significant outcomes/findings on inspection u/s 209A.

12 Technical scrutiny u/s 234/ cases under “Early Warning System”.

S. No.		
(a)	Number of Cases pending as on (1 st April of Year of inspection)	
(b)	Number of Companies ordered for scrutiny (For the period under inspection)	
(c)	Number of Companies taken up for scrutiny (For the period under inspection)	
(d)	Number of Reports submitted to the Ministry (For the period under inspection)	
(e)	Number of Cases deleted (For the period under inspection)	
(f)	Number of Reports pending (As on last date of the period under inspection)	
(g)	Number of scrutiny pending over two months.	

12.2. Details & reasons for pending for more than 2 months.

12.3 Cases where investigations u/s 234(b) of the Act have been recommended.

13. **Delegated Matters of RD's;**
 ✓ **(Under section 17A, 22, 224, 297, 391/394, 621A)**

S. No.		
(a)	Number of Applications Pending at beginning of the year	
(b)	Number of Applications received during the period	
(c)	Number of Applications disposed off during the period	
(d)	Number of Applications pending as on closing of the year	

13.2 Reasons for pendency for more than one month in disposal of applications.

13.3 Time taken in disposing delegated matters under section 17A, 22, 224(1), 224(3), 297, 391/394, 621A etc during last 06 months as below
 ✓

S. No.		
(a)	Number of Applications disposed off in 01 to 07 days	
(b)	Number of Applications disposed off in 07 to 14 days	
(c)	Number of Applications disposed off in 14 to 30 days	
(d)	Number of Applications disposed off in more than 30 days	

✓ 14. **Status of Dormant Company in the region (ROC wise)**

(i) Status of EES, 2010 and 2011 in the region.
 (Upto end June, 2011)

(ii) Status of Fast Track Exit u/s 560

S. No.		
(a)	Number of Applications pending	
(b)	Number of Applications received	
(c)	Number of Applications finally	

	disposed off	
(d)	Number of Applications pending at the closing of the financial year	

* Reasons for delay, if any.

- (iii) Percentage of compliance of statutory Annual filing in the region []
- (iv) Steps taken by RD to improve compliances by the companies, specially in respect of : --
- (a) Listed Companies.
- (b) Subsidiary Companies of listed companies.
- (c) Companies having raised funds through debenture issue or public deposit.
- (d) Companies having taken secured loans from banks or financial institutions and charge has been created by filing Form-8 with ROC.
- (e) Whether RD has taken following steps for improving compliances : --
- (i) Helpline has been used to reach out to companies which have not filed annual returns.
- (ii) Companies which have registered charges and have not filed returns whether their bankers have been be intimated.
- (iii) Whether Trainees have been used to visit some of the companies to verify existence of the company.
- (iv) Whether, necessary steps have been taken to strike off of the company (ies) Under Section 560 of the Companies Act.
- (v) Whether, support of local chapter of ICAI/ICSI/ICWA have been taken for improving compliances.
- (vi) Whether appeared on local media/news TV channels/radio and number of times.
- (vii) Whether organized interactive sessions/seminars with investors / professionals / industry organizations and how many times.
- (viii) Significant outcomes/finding, if any

15. **Dealing with prosecution cases** : Whether all pending cases have been reviewed with regard to : --

- (i) filed against nominee/independent directors,
- (ii) cases filed against companies for non-filing of statutory returns where the companies/directors are not available.
- (iii) companies which have applied for striking off under EES, 2010.
- (iv) where the companies and their directors are not available and in which no public interest is involved – to take action to strike off names of such companies.
- (v) updation of prosecution module – Whether it is being done on daily basis.

15.1 No. of Lok Adalats organized and cases disposed of during the year.

15.2 No. of prosecution compounded by RD & CLB during the year.

16. **Inspection of ROC/OL during the year under report**

- (a) Visits/Tours of Officers of ROC's and OL's;
- (b) Inspection of Field offices – Reports
- (c) Follow up action.

17. **Issues relating to “Corporate Oversight”**

- (i) Issues identified on the basis of local media (TV and Print) reports and inputs from local regulatory bodies such as REIC, RBI, SEBI etc.
- (ii) Important judgment of High Courts noted / issued in the region which requires to be circulated to other field offices.
- (iii) Compliance / follow up action taken on decisions taken in RD's meetings.
- (iv) Important companies / cases which need attention and regular monitoring

18. **IEPF**

- (a) **Investors' Education** : - Update on organizing programmes in one district/ town identified by RD/ ROC in each quarter in partnership with professional institutes.
- (b) **Redressal of Investors' Grievances** : -- Integration of three systems namely viz. MCA21 System, Investors' helpline and physical representations and monitoring of disposal of complaints by RDs.

19. **Important highlights concerning the region; (including any work item/ Achievements)**

20. **Report on meeting with Senior Officers of the State Government and other important dignitaries etc.**

21. **Report on compliance of the suggestions / directions given during last inspection.**

22. **Issues Pending with Headquarters**

ANNEXURE 'A'

DETAILS OF PENDING AUDIT OBJECTIONS

S. No.	Date of Internal Audit Report, Number of pending Audit Paras, brought to notice by Audit Team	Number of Audit Paras having financial implications	Number of cases of mis-appropriation/ Embezzlement, if any	Number of Audit paras, pending action, Action taken	Remarks
(1)	(2)	(3)	(4)	(5)	(6)

ANNEXURE 'B'

MONITORING OF COURT CASES AND VIP REFERENCES

S. No.	Type	Pendency	Remarks
1.	Court Cases		
2.	RTI		
3.	VIP		
4.	Replies to Parliament Questions		

(Briefly state the mechanism adopted for monitoring the above)

ANNEXURE 'C'

WEEDING OF OLD DOCUMENTS

Year :

Month	Section	Records Identified to be Weeded Out	Records Weeded out / Destroyed	Records Consigned to Record Room
January				
February				
March				
April				
May				
June				
July				
August				
September				
October				
November				
December				