Department of Information Technology Management

Performance Report
2020

Department of Information Technology Management
The Secretariat
Colombo 01
Sri Lanka

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http://www.treasury.gov.lk

Annual Performance Report 2020

Department of Information Technology Management

Head No 329

Contents

Chapter 01
Institutional Profile/Executive Summary

1.1. Introduction

Department of Information Technology Management, often abbreviated as ITMD was established under the purview of the Ministry of Finance as per the decision taken by the Cabinet of Ministers on November 28, 2012. Whilst the core responsibility of the ITMD is to automate the Departments of the General Treasury and the Ministry of Finance, the other responsibilities of designing, developing and maintaining IT systems and providing hardware maintenance support for the Departments of the General Treasury/Ministry of Finance are also vested with the ITMD.

The project called Integrated Treasury Management Information System (ITMIS) is in the process of being implemented islandwide, which is monitored and facilitated by the Ministry of Finance and the ITMD. In furtherance to the above, the ITMD has implemented several systems to cater to the specific requirements of certain functions of the Departments of the General Treasury/Ministry of Finance.

ITMD also provides, coordinates and facilitates the use of information and communication technology and resources to support decision making on designing, executing and evaluating fiscal policies while promoting paperless environment to reach a world class Treasury Management System.

1.2. Vision, Mission, Objectives of the Institution

Vision

Digitalized treasury management system for the economic development of the country.

Mission

Coordinate and facilitate digitalized transformation of treasury management to assist decision making on designing, implementing, executing, monitoring and evaluating of treasury functions.

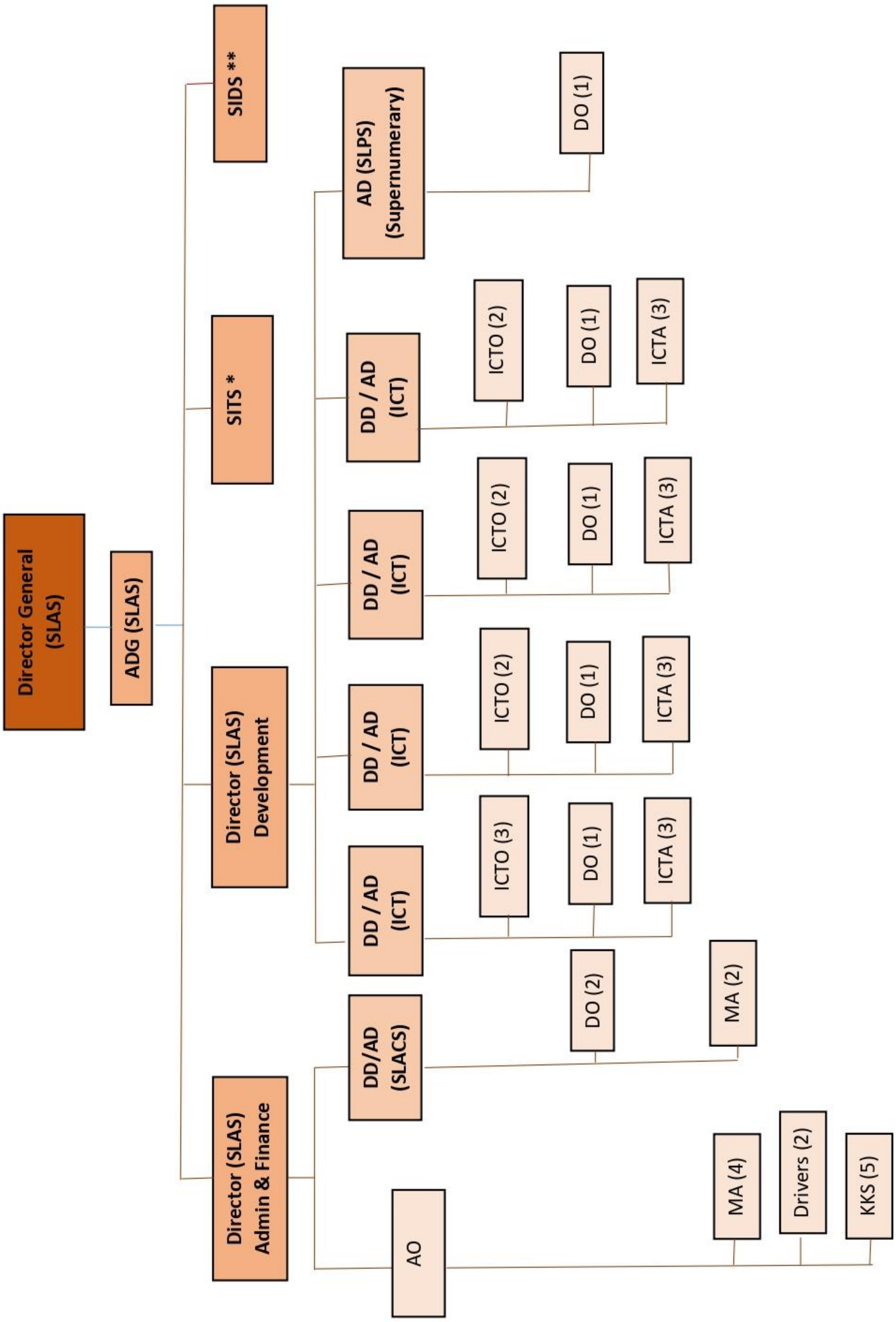
Objectives

- To coordinate ICT activities for achieving e-governance
- To create and deploy effective digital communication channels for a paperless office environment
- To facilitate and develop ICT based systems
- Upgrade and maintaining ICT infrastructure
- To provide access to the treasury information for general public and government institutions through web-portal

1.3. Key Functions

- Implement common IT policy to the Ministry of Finance
- Provide maintenance support for optimum usage of ICT resources
- Timely upgrade ICT infrastructure
- Capacity development of staff on ICT
- Designing, developing, implementing and maintaining IT systems
- Coordinate with Information and Communication Technology Agency (ICTA) for National Level ICT activities
- Ensure cyber security
- Provide timely updated information through treasury web site

1.4. Organizational Chart



* SITS - Senior Information Technology Specialist
** SIDS - Senior Infrastructure Development Specialist

1.5. Main Divisions of the Department

- Administration and Finance Division
- Development Division (ICT)

1.6. Institutions/Funds coming under the Department

No

1.7. Details of the Foreign Funded Projects (if any) – N/A

Chapter 02
Progress and the Future Outlook

The National Policy Framework "Vistas of Prosperity and Splendour" has outlined major policies aimed at the fourfold outcome of a productive citizenry, a contented family, a disciplined and just society and a prosperous nation. It is also highlighted the importance of a technology-based society while creating a Culture of Technological Innovation.

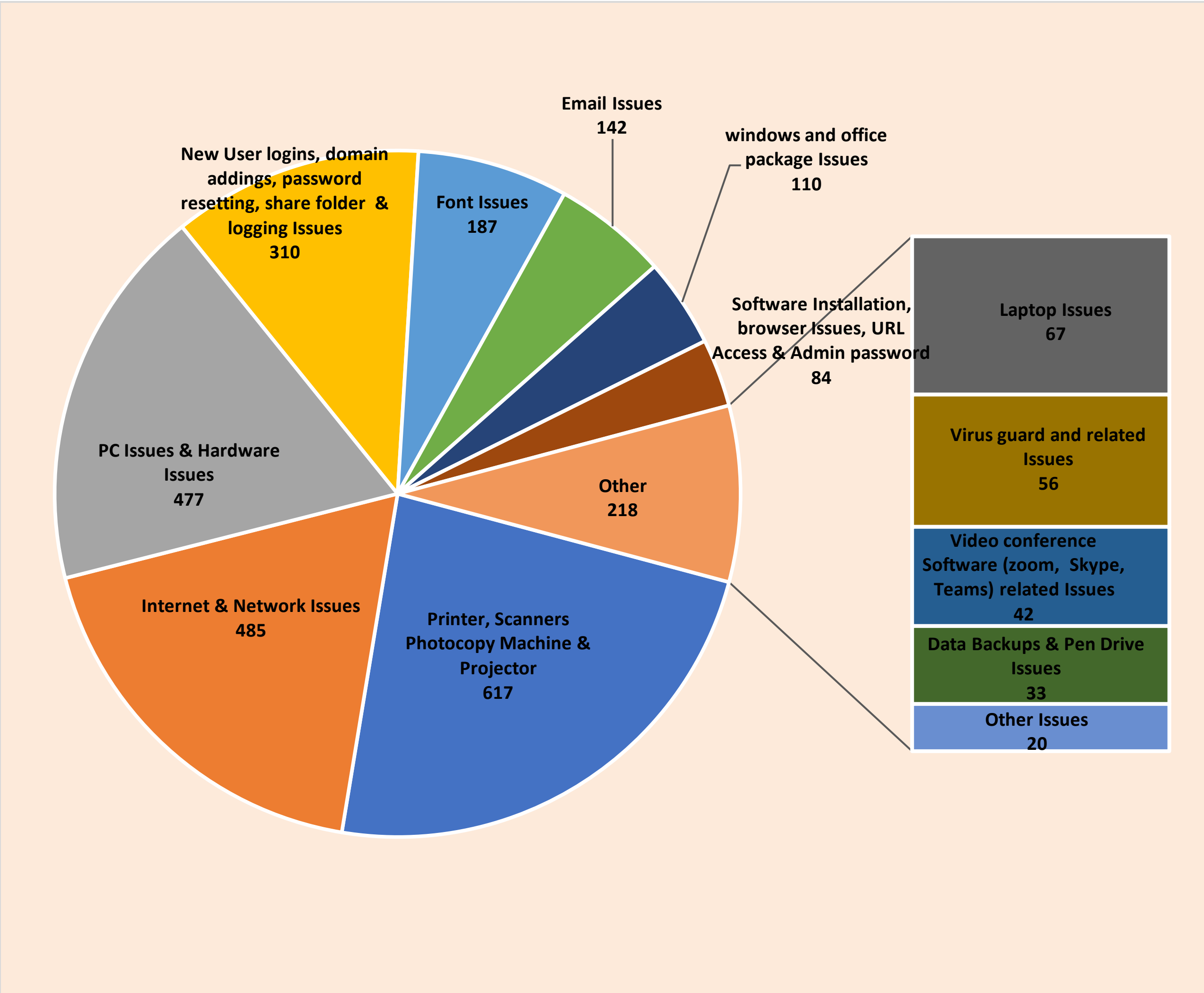
In this context, Department of Information Technology Management is mainly focusing on coordinating and facilitating digitalized transformation of treasury management to assist decision making on designing, implementing, executing, monitoring and evaluating of treasury functions.

2.1 Special Achievements in the year 2020

- Implemented the Payroll system simultaneously in 14 departments in the Ministry of Finance
- Provided supporting services for ITMIS rollout
- Conducted a test run of the system and established the system at the Sri Lanka Standards Institution (SLSI) under the implementation of the single window trade portal
- Facilitated "Work From Home" requirements under limited resources for smooth functioning of services of the Departments of the General Treasury/ Ministry of Finance amidst Covid-19
- Completed Phase - I of revamping the Treasury website and updated contents of the existing website
- Migrated Old file server of the Ministry of Finance to a new file server
- The website of the Ministry of Finance was identified as a critical IT infrastructure by the Sri Lanka Computer Emergency Readiness Team (SLCERT). Accordingly, the security of the website was enhanced based on the recommendations of the SLCERT
- Developed Information Systems for Treasury Departments

Resolved IT related Issues - from 01.01.2020 to 31.12.2020

During the year 2020, the ITMD resolved different types of IT related issues of the Ministry of Finance as follows;



Source: ITMD

2.2 Future Activities

The Department has planned to accomplish the following activities in the future, in order to have a digital working environment in the Ministry of Finance.

- Preparing and implementing IT Policy (including security and e-mail) to the Ministry of Finance
- Facilitating for Digital Treasury Management
- Completing the process of revamping the MoF website
- Strengthening cyber security measures with the support of the SLCERT
- Equipping the staff with required IT knowledge and skills
- Providing necessary technical assistance for Treasury Departments
- Enhancing shared solution facilities to the Ministry of Finance

…………………

A V Janadara

Director General

Department of Information Technology Management

A. V. Janadara
Director General
Department of Information Technology Management
Ministry of Finance
Colombo 01.

Chapter 03
Overall Financial Performance for the year ended 31st December 2020

3.1 Statement of Financial Performance

ACA -F

Statement of Financial Performance

for the period ended 31st December 2020

Rs.

Budget 2020		Note	Actual 2020	Actual 2019	
-	**Revenue Receipts**				
-	Income Tax	1		-	
-	Taxes on Domestic Goods & Services	2		-	ACA-1
-	Taxes on International Trade	3		-	
-	Non Tax Revenue & Others	4		-	
-	**Total Revenue Receipts (A)**			-	
-	**Non Revenue Receipts**				
-	Treasury Imprests		406,027,000	344,808,000	ACA-3
-	Deposits		848,339	147,166	ACA-4
-	Advance Accounts		3,455,392	2,929,017	ACA-5/5(a)/5(b)
-	Other Receipts		1,953,919	1,608,631	
-	**Total Non Revenue Receipts (B)**		**412,284,650**	349,492,814	
-	**Total Revenue Receipts & Non Revenue Receipts C = (A)+(B)**		**412,284,650**	349,492,814	
	Less: Expenditure				
-	**Recurrent Expenditure**				
36,857,500.00	Wages, Salaries & Other Employment Benefits	5	**35,569,437**	31,451,511	
427,002,500.00	Other Goods & Services	6	370,573,481	305,812,408	ACA-2(ii)

-	Subsidies, Grants and Transfers	**7**	119,555	181,949	
-	Interest Payments	**8**		-	
-	Other Recurrent Expenditure	**9**			
463,860,000.00	**Total Recurrent Expenditure (D)**		**406,262,473**	337,445,868	
	Capital Expenditure				
-	Rehabilitation & Improvement of Capital Assets	**10**		-	**ACA-2(ii)**
780,000.00	Acquisition of Capital Assets	**11**	716,630	1,721,550	
-	Capital Transfers	**12**			
-	Acquisition of Financial Assets	**13**			
	Capacity Building	**14**		699,521	
-	Other Capital Expenditure	**15**			
780,000.00	**Total Capital Expenditure (E)**		**716,630**	2,421,071	
	Main Ledger Expenditure (F)		**3,240,912**	3,931,849	
	Deposit Payments		636,600	147,166	**ACA-4**
	Advance Payments		2,604,312	3,784,683	**ACA-5/5(a)/5(b)**
464,640,000.00	**Total Expenditure G = (D+E+F)**		410,220,015	343,798,788	
-	**Imprest Balance as at 31st December 2020 H = (C-G)**		**2,064,635**	**5,694,026**	

3.2 Statement of Financial Position

ACA-P

Statement of Financial Position
As at 31st December 2020

	Note	Actual 2020 Rs	2019 Rs
Non Financial Assets			
Property, Plant & Equipment	ACA-6	43,889,423	43,172,793
Financial Assets			
Advance Accounts	ACA-5/5(a)	5,832,058	6,683,138
Cash & Cash Equivalents	ACA-3	316,061	204,040.00
Total Assets		**50,037,542**	**50,059,971**
Net Assets / Equity			
Net Worth to Treasury		5,620,319	6,683,138
Property, Plant & Equipment Reserve		43,889,423	43,172,793
Rent and Work Advance Reserve	ACA-5(b)		
Current Liabilities			
Deposits Accounts	ACA-4	211,739	
Imprest Balance	ACA-3	316,061	204,040.00
Total Liabilities		**50,037,542**	**50,059,971**

Detail Accounting Statements in ACA format Nos. 1 to 6 presented in pages from .... to...... and Notes to accounts presented in pages from .... to .... form and integral parts of these Financial Statements. The Financial Statements have been prepared in complying with the Generally Accepted Accounting Principles whereas most appropriate Accounting Policies are used as disclosed in the Notes to the Financial Statements and hereby certify that figures in these Finacial Statements, Notes to accounts and other relevant accounts were reconciled with the Treasury Books of Accounts and found to in agreement.

Chief Accounting Officer
Name :
Designation :
Date : 24/2/21

S. R. Attygalle
Secretary to the Treasury and
Secretary to the Ministry of Finance
The Secretariat
Colombo 01

Accounting Officer
Name :
Designation :
Date : 19/02/2021

A. V. Janadara
Director General
Department of Information Technology Management
Ministry of Finance,
Colombo 01.

Chief Financial Officer/ Chief Accountant/ Director (Finance)/ Commissioner (Finance)
Name :
Date : 19/02/2021

K.M.B.P. Weerasinghe
Accountant
Department of Information Technology Management
Ministry of Finance
Colombo 01.

3.3 Statement of Cash Flows

ACA-C

Statement of Cash Flows
for the Period ended 31st December 2020

	Actual	
	2020 Rs.	**2019 Rs.**
Cash Flows from Operating Activities		
Total Tax Receipts		-
Fees, Fines, Penalties and Licenses		-
Profit		-
Non Revenue Receipts	1,838,211	1,608,631
Revenue Collected for the Other Heads		
Imprest Received	406,027,000	344,808,000
Total Cash generated from Operations (a)	**407,865,211**	**346,416,631**
Less - Cash disbursed for:		
Personal Emoluments	35,569,437	31,451,510
Subsidies & Transfer Payments	119,555	
Expenditure on Other Heads	1,050,262	6,322,077
Imprest Settlement to Treasury	316,061	204,040
Other Main Ledger Expenditure	370,573,481	307,747,982
Total Cash disbursed for Operations (b)	**407,628,796**	**345,725,609**
NET CASH FLOW FROM OPERATING ACTIVITIES (c)=(a)-(b)	**236,415**	**691,022**
Cash Flows from Investing Activities		
Interest		-
Dividends		-
Divestiture Proceeds & Sale of Physical Assets		-
Recoveries from On Lending		-
Recoveries from Advance	3,275,317	3,324,562
Total Cash generated from Investing Activities (d)	**3,275,317**	**3,324,562**

<u>**Less - Cash disbursed for:**</u>		
Purchase or Construction of Physical Assets & Acquisition of	716,630	699,521
Other Investment		
Advance Payments	2,583,363	3,316,063
Total Cash disbursed for Investing Activities (e)	**3,299,993**	**4,015,584**
NET CASH FLOW FROM INVESTING ACTIVITIES (f)=(d)-(e)	**(24,676)**	**(691,022)**
NET CASH FLOWS FROM OPERATING & INVESTMENT ACTIVITIES (g)=(c) + (f)	**211,739**	**-**
<u>**Cash Flows from Fianacing Activities**</u>		
Local Borrowings		-
Foreign Borrowings		-
Grants Received		-
Deposit Received	848,339	147,166
Total Cash generated from Financing Activities (h)	**848,339**	**147,166**
<u>***Less - Cash disbursed for:***</u>		
Repayment of Local Borrowings		-
Repayment of Foreign Borrowings		-
Deposit Payments	636,600	147,166
Total Cash disbursed for Financing Activities (i)	**636,600**	**147,166**
NET CASH FLOW FROM FINANCING ACTIVITIES (j)=(h)-(i)	**211,739**	**-**
Net Movement in Cash (k) = (g) -(j)	**-**	
Opening Cash Balance as at 01st January	**-**	**-**
Closing Cash Balance as at 31st December	**-**	**-**

3.4 Notes to the Financial Statements

Basis of Reporting

1) Reporting Period

The reporting period for these Financial Statements is from 01st January to 31st December 2020.

2) Basis of Measurement

The Financial Statements have been prepared on historical cost modified by the revaluation of certain assets and accounted on a modified cash basis, unless otherwise specified.

The figures of the Financial Statements are presented in Sri Lankan rupees rounded to the nearest rupee.

3) Recognition of Revenue

Exchange and non-exchange revenues are recognized on the cash receipts during the accounting period irrespective of relevant revenue period.

4) Recognition and Measurement of Property, Plant and Equipment (PP&E)

An item of Property, Plant and Equipment is recognized when it is probable that future economic benefit associated with the assets will flow to the entity and the cost of the assets can be reliably measured.

PP&E are measured at a cost and revaluation model is applied when cost model is not applicable.

5) Property, Plant and Equipment Reserve

This revaluation reserve account is the corresponding account of PP&E.

6) Cash and Cash Equivalents

Cash & cash equivalents include local currency notes and coins on hand as at 31st December 2020.

3.5 Performance of the Revenue Collection

Rs. ,000

Revenue Code	Description of the Revenue Code	Revenue Estimate		Collected Revenue	
		Original	Final	Amount (Rs.)	as a % of Final Revenue Estimate
	____________Not Relevant____________				

3.6 Performance of the Utilization of Allocation

Rs. ,000

Type of Allocation	Allocation		Actual Expenditure	Allocation Utilization as a % of Final Allocation
	Original	Final		
Recurrent	463,660	463,860	406,262	87.58
Capital	780	780	717	91.92

3.7 In terms of F.R.208 grant of allocations for expenditure to this Department/District Secretariat/Provincial Council as an agent of the other Ministries/ Departments

Rs. ,000

Serial No.	Allocation Received from Which Ministry / Department	Purpose of the Allocation	Allocation		Actual Expenditure	Allocation Utilization as a % of Final Allocation
			Original	Final		
	____________Not Relevant____________					

3.8 Performance of the Reporting of Non-Financial Assets

Rs. ,000

Assets Code	Code Description	Balance as per Board of Survey Report as at 31.12.2020	Balance as per financial Position Report as at 31.12.2020	Yet to be Accounted	Reporting Progress as a %
9151	Building and Structures	-	-	-	-
9152	Machinery and Equipment	35,010	35,010	-	100
9153	Land	-	-	-	-
9154	Intangible Assets	1,479	1,479	-	100
9155	Biological Assets	-	-	-	-
9160	Work in Progress	-	-	-	-
9180	Lease Assets	-	-	-	-

3.9 Auditor General's Report

The final audit report for 31st December 2020 to be issued by the Auditor General has been attached (Annxure 01).

Chapter 04
Performance Indicators

4.1 Performance indicators of the Institute (Based on the Action Plan)

Specific Indicators (Activity/action)	Actual output as a percentage (%) of the expected output		
	100%- 90%	75%-89%	50%- 74%
1.0 Renovate current Network System of MOF for efficient & reliable communication 1.1 Knowledge sharing & implementation of Installing New Switches and Cabling together with supplier 1.2 Configuration, Testing 1.3 Maintain the system throughout the year 1.4 Switch configuration & cabling for computer lab of ITMD 1.5 Firewall Configuration and maintenance	90% 90% 100% 100%	*(TOD, NPD, PED Network infrastructure should be renovated to complete this activity)*	0% *(Establishing the Lab was delayed due to country situation)*
2.0 Upgrade & Maintenance of IT infrastructure in the Ministry of Finance Premises 2.1 Continuous technical support (Servers, Firewall, Switches, Routers and Network) 2.2 Monitoring and managing Leased line and 2 ADSL routers at NOC 2.3 Troubleshooting other ADSL routers (around 30) within the Ministry 2.4 Creation of LGN user accounts for MOF officials	**100%**		
3.0 Hardware Maintenance of Ministry of Finance 3.1 Maintain the 1200 computers and 600 printers with other connected devices in order to uninterrupted service delivery 3.2 Onsite computer repairing & troubleshooting 3.3 In house computer repairing on major problems 3.4 Software installation, updating and uninstalling unnecessary Software (OS, Applications, Virus guard, Drivers)	**100%**		

Specific Indicators (Activity/action)	Actual output as a percentage (%) of the expected output		
	100%- 90%	75%-89%	50%- 74%
4.0 Expand Payroll System for Treasury Departments 4.1 Continue parallel run in 8 departments 4.2 Start parallel run for other 6 departments 4.3 Live run Payroll system for 14 Departments in the Ministry of Finance		85%	70% 0% *(Initial plan was revised due to the country situation)*
5.0 Implementation of Single Window Trade Portal 5.1 Connecting of Central Bank Payment Gateway with SLSI system 5.2 Start test run of system developed for NPQS and live run 5.3 System development for DAPH	100% 95%		70%
6.0 Supporting services for ITMIS 6.1 Facilitating ITMIS implementation 6.2 Facilitating ITMIS user training programs 6.3 Help Desk support 6.4 Troubleshooting 6.5 Monitoring infrastructure and services	**100%**		
7.0 Updating contents of the Treasury website 7.1 Periodically update circulars, gazettes, news and other information 7.2 Make awareness of the web coordinators of treasury departments 7.3 Checking and monitoring the contents of the web site	**100%**		
8.0 Upgrading the Treasury web site (existing) 8.1 Requirement gathering 8.2 Designing 8.3 Developing 8.4 Implementation	**100%**		*(Started developing a new web site in November 2020 as requested by the ST)*
9.0 Deploying the upgraded Treasury Intranet 9.1 Utilize intranet for internal communication among treasury departments 9.2 Make necessary changes	**100%**		

Specific Indicators (Activity/action)	Actual output as a percentage (%) of the expected output		
	100%- 90%	75%-89%	50%- 74%
10.0 Co-ordinate e- mail system (Outlook) for efficient official communication 10.1 E-mail account creation and inactivation when necessary 10.2 Create e-mail groups according to the requirements 10.3 Monitoring the e-mail system	**100%**		
11.0 Migrate MoF documents to new server 11.1 Creating secure folders 11.2 Maintenance and monitoring 11.3 Old file server migration	100% 100%	80%	*Lack support of end users*
12.0 Handling and Monitoring Active Directories (AD) 12.1 Accounts creation 12.2 AD Accounts changing 12.3 AD Accounts disabling	**100%**		
13.0 System Development 13.1 Mail Management System 13.2 Trainee Task/HR and Payment Management System 13.3 Automated Vehicle Permit Approving System - TIPD 13.4 Transport Management Information System for MOF 13.5 Developing new system for departments of MOF, as per their request - System for Maintaining Computer Survey Details (As per the ITMD requirement)	100% 90%	75% 75%	50%
14.0 Conducting/ Managing Training Programs for Internship Trainees 14.1 Hardware 14.2 Troubleshooting of system and application software 14.3 Network implementation and Administration 14.4 System development 14.5 Software quality assurance and testing	**100%**		

Specific Indicators (Activity/action)	Actual output as a percentage (%) of the expected output		
	100%- 90%	75%-89%	50%- 74%
15.0 Establishment of IT Lab and Upgrade Infrastructure for ITMD 15.1 Wiring and LAN configuration for ITMD computer lab 15.2 Purchase new PCs/ Laptops, Smart board, printer and other devices for computer lab and ITMD			**0%** *(Establishing the Lab was delayed due to country situation/For ITMIS training another lab was established at 4th Floor)*
16.0 Technical Training Programs for IT staff of ITMD 16.1 Networking 16.2 Software Development/ Mobile Application Development			50% 0%
17.0 IT Awareness Programs for Treasury departments as per the requirements (including ITMD) 17.1 Basic introduction of how to use PC 17.2 Physical security of PCs and other electronic devices 17.3 Internet security 17.4 Security of Hardware, Software and Data 17.5 Applying Social Media for official purposes 17.6 Best practices of using computers 17.7 Networking 17.8 Software development	**100%**		
18.0 Participation of training programs conducted by MILODA 18.1 Need identification 18.2 Select suitable programs for official 18.3 Attending officials as requirements of the department			**15%** *(Could not complete due to COVID-19 situation)*
19.0 Preparing Reports 19.1 Annual Action Plan of the department 19.2 Progress Reporting & Reviewing 19.3 Annual Performance Report for the previous year	**100%**		
20.0 Providing Information according to RTI Act 20.1 Responding letters 20.2 Providing requested information	**100%**		

Chapter 05
Performance of the achieving Sustainable Development Goals (SDG)

5.1 Indicate the Identified respective Sustainable Developments Goals

Goal / Objective	Targets	Indicators of the achievement	Progress of the Achievement to date		
			0%-49%	50%-74%	75%- 100%
8. Promote sustained, inclusive and sustainable economic growth, full and productive employment and decent work for all	To ensure automated systems and procedures to be implemented at each departments using modern ICT	Expansion of Payroll system		85%	
		Implementation of Single Window system • Sri Lanka Standard Institution			100%
		• National Plant Quarantine Services Department of		95%	
		• Animal Production & Health		70%	
		Promote Internal Mail System (Outlook)			100%
	To provide management information for decision making entities	Updating Treasury website			100%
		Upgrading the Treasury intranet			100%
	To provide easy access of treasury information to General Public	Updating Treasury website			100%

Goal / Objective	Targets	Indicators of the achievement	Progress of the Achievement to date		
			0%-49%	50%-74%	75%- 100%
9. Build resilient infrastructure, promote inclusive and sustainable industrialization and foster innovation	Coordinate ICT activities of other departments for achieving e-government objectives	Renovate current Network System			80%
		Conducting IT awareness programs			75%
		Maintain IT Infrastructure			100%

5.2 Briefly explain the achievements and challenges of the Sustainable Development Goals

The ITMD is responsible for automation activities of all departments of the General Treasury/Ministry of Finance. Accordingly, the ITMD has accomplished several activities in the year 2020 in order to achieve Sustainable Development Goals (SDGs) identified in para 5.1 above.

- Implementing and monitoring network infrastructure of the Ministry of Finance to ensure, quality, effective and efficient communication system
- Developed/ Developing several Information Systems / Applications such as Single Window, Mail Management System, Vehicle Management System for improvement of e-Government Services
- Implementing e-Payroll system in the departments of General Treasury/Ministry of Finance for efficient and effective payment of salaries to government employees
- Revamping the Ministry website for proper communication and interaction with public /private Institutions as well as general public

When achieving Sustainable Development Goals, the Department has faced challenges such as;

- Unexpected situation caused due to Covid-19 pandemic
- Shortage of competent and skilled technical staff for implement e-services
- High cost for IT infrastructure and maintenance
- Shortage of ICT hardware resources

Chapter 06

Human Resource Profile

6.1 Cadre Management

	Approved Cadre	Existing Cadre	Vacancies / (Excess)**
Senior	10	8	2
Territory	10	9	1
Secondary	25	15	10
Primary	7	7	0

6.2 **Briefly state how the shortage or excess in human resources has been affected to the performance of the institute

ITMD is responsible for automation activities of all departments of the Ministry of Finance. In order to achieve the mandate of ITMD, it is required a staff with necessary skills such as System Development, Network Administration, Database Management and comprehensive working knowledge on Server Maintenance, Cyber Security, Network Security, Mobile Application Development, Quality Assurance etc.

There were 02 vacancies avilable at senior level positions of Sri Lanka Information and Communication Technology Service, 01 vacancy of Information and Communication Technology Officer, 04 vacancies of Development Officers, and 06 vacancies of Information and Communication Technology Assistants. Although there were 13 vacancies in the Department, the ITMD was successful in delivering timely services with the support of trainees attached from vocational and higher educational institutes.

6.3 Human Resource Development

Name of the Program	No. of staff trained	Duration of the program	Total Investment (Rs'000)		Nature of the Program (Abroad/ Local)	Output/ Knowledge Gained*
			Local	Foreign		
01. VMware VSphere: install, configure, Manage,(v6.7)Training	06	06 days			Local	Subject knowledge
02. Certificate in English for Employment purpose	01	Every Thursday (December 2019 – May 2020)			Local	Subject knowledge
03. Supporting Agriculture Productivity Inclusion	01	01 day			Local	Subject knowledge
04. Induction Training	02	08 days			Local	Subject knowledge
05. Awareness programme on e-procurement	01	01 day			Local	Subject knowledge
06. Integrated Treasury Management Information System	01	04 days			Local	Subject knowledge

Chapter 07

Compliance Report

No.	Applicable Requirement	Compliance Status (Complied/ Not Complied)	Brief explanation for Non Compliance	Corrective actions proposed to avoid non-compliance in future
1	**The following Financial Statements/Accounts have been submitted on due date**			
1.1	Annual financial statements	**Complied**		
1.2	Advance to public officers account	**Complied**		
1.3	Trading and Manufacturing Advance Accounts (Commercial Advance Accounts)	-		
1.4	Stores Advance Accounts	-		
1.5	Special Advance Accounts	-		
1.6	Others	-		
2	**Maintenance of Books and Registers (FR445)**			
2.1	Fixed assets register has been maintained and update in terms of Public Administration Circular 267/2018	**Complied**		
2.2	Personal emoluments register/ Personal emoluments cards has been maintained and update	**Complied**		
2.3	Register of Audit queries has been maintained and update	**Complied**		
2.4	Register of Internal Audit reports has been maintained and update	**Complied**		
2.5	All the monthly account summaries (CIGAS) are prepared and submitted to the Treasury on due date	**Complied**		
2.6	Register for cheques and money orders has been maintained and update	**Complied**		
2.7	Inventory register has been maintained and update	**Complied**		

No.	Applicable Requirement	Compliance Status (Complied/ Not Complied)	Brief explanation for Non Compliance	Corrective actions proposed to avoid non-compliance in future
2.8	Stocks Register has been maintained and update	**Complied**		
2.9	Register of Losses has been maintained and update	**Complied**		
2.10	Commitment Register has been maintained and update	**Complied**		
2.11	Register of Counterfoil Books (GA – N20) has been maintained and update	**Complied**		
3	**Delegation of Functions for Financial Control (FR 135)**			
3.1	The financial authority has been delegated within the institute	**Complied**		
3.2	The delegation of financial authority has been communicated within the institute	**Complied**		
3.3	The authority has been delegated in such manner so as to pass each transaction through two or more officers	**Complied**		
3.4	The controls has been adhered to by the Accountants in terms of State Account Circular 171/2004 dated 11.05.2014 in using the Government Payroll Software Package	**Complied**		
4	**Preparation of Annual Plans**			
4.1	The annual action plan has been prepared	**Complied**		
4.2	The annual procurement plan has been prepared	**Complied**		
4.3	The annual Internal Audit plan has been prepared	**Complied**		
4.4	The annual estimate has been prepared and submitted to the NBD on due date	**Complied**		
4.5	The annual cash flow has been submitted to the Treasury Operations Department on time	**Complied**		
5	**Audit Queries**			
5.1	All the audit queries has been replied within the specified time by the Auditor General	**Complied**		

No.	Applicable Requirement	Compliance Status (Complied/ Not Complied)	Brief explanation for Non Compliance	Corrective actions proposed to avoid non-compliance in future
6	**Internal Audit**			
6.1	The internal audit plan has been prepared at the beginning of the year after consulting the Auditor General in terms of Financial Regulation 134(2)) DMA/1-2019	**Complied**		
6.2	All the internal audit reports has been replied within one month	**Complied**		
6.3	Copies of all the internal audit reports has been submitted to the Management Audit Department in terms of Sub-section 40(4) of the National Audit Act No. 19 of 2018	**Complied**		
6.4	All the copies of internal audit reports has been submitted to the Auditor General in terms of Financial Regulation 134(3)	**Complied**		
7	**Audit and Management Committee**			
7.1	Minimum 04 meetings of the Audit and Management Committee has been held during the year as per the DMA Circular 1-2019	**Complied**[1]		
8	**Asset Management**			
8.1	The information about purchases of assets and disposals was submitted to the Comptroller General's Office in terms of Paragraph 07 of the Asset Management Circular No. 01/2017	**Complied**		
8.2	A suitable liaison officer was appointed to coordinate the implementation of the provisions of the circular and the details of the nominated officer was sent to the Comptroller General's Office in terms of Paragraph 13 of the aforesaid circular	**Complied**		
8.3	The boards of survey was conducted and the relevant reports submitted to the Auditor General on due date in terms of Public Finance Circular No. 05/2016	**Complied**		
8.4	The excesses and deficits that were disclosed through the board of survey and other relating recommendations, actions were carried out during the period specified in the circular	**Complied**		
8.5	The disposal of condemn articles had been carried out in terms of FR 772	**Complied**		

[1] Hold 02 meetings as per the instruction of the letter issued by the Department of Management Audit dated 02.06.2020

No.	Applicable Requirement	Compliance Status (Complied/ Not Complied)	Brief explanation for Non Compliance	Corrective actions proposed to avoid non-compliance in future
9	**Vehicle Management**			
9.1	The daily running charts and monthly summaries of the pool vehicles had been prepared and submitted to the Auditor General on due date	N/A		
9.2	The condemned vehicles had been disposed of within a period of less than 6 months after condemning	N/A		
9.3	The vehicle logbooks had been maintained and updated	**Complied**		
9.4	The action has been taken in terms of F.R. 103, 104, 109 and 110 with regard to every vehicle accident	N/A		
9.5	The fuel consumption of vehicles has been re-tested in terms of the provisions of Paragraph 3.1 of the Public Administration Circular No. 30/2016 of 29.12.2016	N/A		
9.6	The absolute ownership of the leased vehicle log books has been transferred after the lease term	N/A		
10	**Management of Bank Accounts**			
10.1	The bank reconciliation statements had been prepared, got certified and made ready for audit by the due date	**Complied**		
10.2	The dormant accounts that had existed in the year under review or since previous years settled	**Complied**		
10.3	The action had been taken in terms of Financial Regulations regarding balances that had been disclosed through bank reconciliation statements and for which adjustments had to be made, and had those balances been settled within one month	**Complied**		
11	**Utilization of Provisions**			
11.1	The provisions allocated had been spent without exceeding the limit	**Complied**		
11.2	The liabilities not exceeding the provisions that remained at the end of the year as per the FR 94(1)	**Complied**		

No.	Applicable Requirement	Compliance Status (Complied/ Not Complied)	Brief explanation for Non Compliance	Corrective actions proposed to avoid non-compliance in future
12	**Advances to Public Officers Account**			
12.1	The limits had been complied with	**Complied**		
12.2	A time analysis had been carried out on the loans in arrears	**Complied**		
12.3	The loan balances in arrears for over one year had been settled	**Complied**		
13	**General Deposit Account**			
13.1	The action had been taken as per F.R.571 in relation to disposal of lapsed deposits	**Complied**		
13.2	The control register for general deposits had been updated and maintained	**Complied**		
14	**Imprest Account**			
14.1	The balance in the cash book at the end of the year under review remitted to TOD	**Complied**		
14.2	The ad-hoc sub imprests issued as per F.R. 371 settled within one month from the completion of the task	**Complied**		
14.3	The ad-hoc sub imprests had not been issued exceeding the limit approved as per F.R. 371	**Complied**		
14.4	The balance of the imprest account had been reconciled with the Treasury books monthly	**Complied**		
15	**Revenue Account**			
15.1	The refunds from the revenue had been made in terms of the regulations	-		
15.2	The revenue collection had been directly credited to the revenue account without credited to the deposit account	-		
15.3	Returns of arrears of revenue forward to the Auditor General in terms of FR 176	-		
16	**Human Resource Management**			
16.1	The staff had been paid within the approved cadre	**Complied**		
16.2	All members of the staff have been issued a duty list in writing	**Complied**		

No.	Applicable Requirement	Compliance Status (Complied/ Not Complied)	Brief explanation for Non Compliance	Corrective actions proposed to avoid non-compliance in future
16.3	All reports have been submitted to MSD in terms of their circular no.04/2017 dated 20.09.2017	**Complied**		
17	**Provision of Information to the Public**			
17.1	An information officer has been appointed and a proper register of information is maintained and updated in terms of Right To Information Act and Regulation	**Complied**		
17.2	Information about the institution to the public have been provided by Website or alternative measures and has it been facilitated to appreciate / allegation to public against the public authority by this website or alternative measures	**Complied**		
17.3	Bi- Annual and Annual reports have been submitted as per section 08 and 10 of the RTI Act	**Complied**		
18	**Implementing Citizens Charter**			
18.1	A citizens charter/ Citizens client's charter has been formulated and implemented by the Institution in terms of the circular number 05/2008 and 05/2018(1) of Ministry of Public Administration and Management	**Complied**		
18.2	A methodology has been devised by the Institution in order to monitor and assess the formulation and the implementation of Citizens Charter / Citizens client's charter as per paragraph 2.3 of the circular	**Complied**		
19	**Preparation of the Human Resource Plan**			
19.1	A human resource plan has been prepared in terms of the format in Annexure 02 of Public Administration Circular No.02/2018 dated 24.01.2018.	**Complied**		
19.2	A minimum training opportunity of not less than 12 hours per year for each member of the staff has been ensured in the aforesaid Human Resource Plan	**Complied**		
19.3	Annual performance agreements have been signed for the entire staff based on the format in Annexure 01 of the aforesaid Circular	**Complied**		

No.	Applicable Requirement	Compliance Status (Complied/ Not Complied)	Brief explanation for Non Compliance	Corrective actions proposed to avoid non-compliance in future
19.4	A senior officer was appointed and assigned the responsibility of preparing the human resource development plan, organizing capacity building programs and conducting skill development programs as per paragraph No.6.5 of the aforesaid Circular	**Complied**		
20	**Responses Audit Paras**			
20.1	The shortcomings pointed out in the audit paragraphs issued by the Auditor General for the previous years have been rectified	**Complied**		