



MANUAL OF MINISTRY OF CORPORATE AFFAIRS

Shastri Bhawan,
Dr. Rajendra Prasad Road,
New Delhi

Website: <http://www.mca.gov.in>

PREFACE/ACKNOWLEDGEMENT

An enlightened citizenry is the key to the success of a Democracy. *Pari-passu*, a well-trained and enlightened workforce is essential for success of Public Institutions in a democratic state. In modern world, a democratic nation strives to achieve the well-being of its people through well-run Public Institutions. In this dispensation, the people have to engage with the Public Institutions. The engagement of the citizens with the Public Institutions, implementing the intent of the Constitution, will be effective and meaningful if both are well conversant with the procedures regulating their interests, privileges, and obligations. In this perspective, the general public and the public servant alike, need to be disseminated the information about Public Institutions - to match the legitimate expectations with defined obligations and thereby ensuring the sustainability of public services and Public Institutions.

2. For the purpose of providing effective service to the stakeholders, the Ministry of Corporate Affairs has put in place a well- defined Citizens' /Clients' Charter. The Ministry has also prescribed a strong decision making procedure in accordance with the rules and regulations prescribed by the Central Government. Particulars of the Ministry are publicized in the form of Induction Material and the Mandatory Disclosures in pursuance of Section 4(1)(b) of the Right to Information Act, 2005.

3. Nonetheless, with the objective to make available the information about Ministry of Corporate Affairs at *one-stop-shop* to the stakeholders, this unified Manual is presented as per the guidelines issued by the Department of Administrative Reforms of Public Grievances. The manual, inter-alia, contains vision, mission, description of the organization; objectives of the Ministry, duties of various functionaries, channel of submissions and level of disposal, Acts, Rules and Regulations pertaining to the organization, supervision and control system, recruitment and training of the officials, monitoring and inspection of field offices in desired detail.

Tapan Ray
Secretary,
Ministry of Corporate Affairs

Index

S. No	Subject	Pg.No
1.	Vision & Mission	4
2.	Description of the organization with its objectives	5
3.	Organizational chart of MCA	6
4.	Allocation of Business Rules	7
5.	Duties of Officers/ Staff	8-21
6.	Allocations of works to Officers	22-28
7.	Channels of Submission and Levels of disposal	29-38
8.	Rule & Regulation Pertaining to the Organization	39-44
9.	Supervision and control system	45
10.	Recruitment and training of the officials	46-47
11.	Monitoring (monthly & annually)	48
12.	Inspection (monthly & annually), formats and questionnaire	49
13.	Instructions for "How to avoid mistakes"	50
14.	Subject/Service-wise transactions prescribed to perform the particular duty as per the job chart of the Officer/ Organization	51-55
15.	Guideline for improvement in working of the organization-feedback/ suggestions by the employees working in the organization & stakeholders	56
16.	Adoption of new technology wherever possible	57-60
17.	Investors' Grievances Management/Redressal	61-64

VISION

- To be a facilitator of world class governance of corporates.

MISSION

- To transform regulatory environment for easy compliance;
- To balance competing interests of various stakeholders; and
- To build and strengthen institutions for achieving excellence in service delivery.

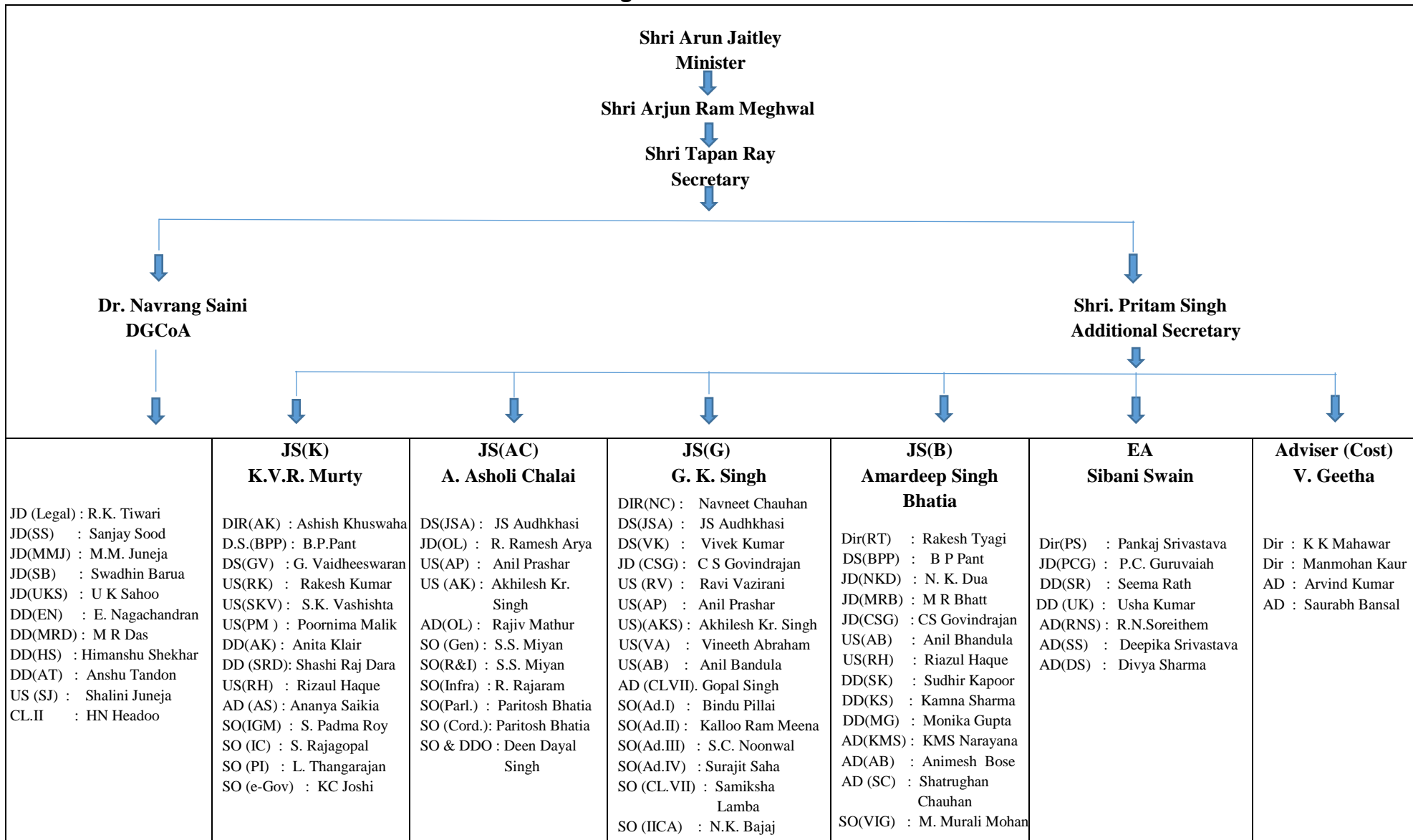
DESCRIPTION OF THE ORGANIZATION WITH ITS OBJECTIVES

The Department of Company Affairs was first constituted in 1950s. It remained either a Department or a part of Ministry of Law, Ministry of Finance or Ministry of Commerce till 2004. It became a Ministry in 2004 and acquired its present name in May, 2007.

The objectives of the Ministry

1. To simplify and rationalise the Companies Act, 2013 and other allied laws in order to achieve the objectives of 'ease of doing business' without diluting corporate governance standard`
2. To Speed up the process of identifying non-compliance of the Companies Act, 2013 and other laws and prosecution for non-compliance
3. To Speed up serious fraud investigation
4. To Promote LLP and one-person company among small and mid-sized enterprises and start-ups
5. To Promote fair competition
6. Effective implementation of Insolvency and Bankruptcy Code, 2016 by making IBBI fully functional
7. To strengthen e-Governance in order to improve transparency and efficiency in service delivery
8. Disseminate corporate data to public, including researchers and analysts
9. To strengthen regulatory institution and institutions of good governance(NCLT/NCLAT, CCI, IEPFA, IBBI, SFIO, IICA)
10. Encourage business firms to adopt good governance and responsible business practices

Organizational Chart of MCA



<p>Chief Vigilance Officer : Amardeep Singh Bhatia, JS</p> <p>Web Master : Ashish Khushwaha, Director</p> <p>Welfare Officer : Anil Prashar, US</p>	<p><u>Integrated Finance & Accounts Wing</u></p> <p>JS&FA : Reena Sinha Puri</p> <p>CCA : Binod Kumar</p> <p>DIR(IFD) : Sushma Kataria</p> <p>US(IFD) : Kshitish Kumar</p> <p>SO(IFD) : Annakunju Matthew</p>	<p><u>Budget</u></p> <p>JS&FA : Reena Sinha Puri</p> <p>CCA : Binod Kumar</p> <p>Director : Shushma Kataria</p> <p>US : Kshitish Kumar.</p> <p>SO(Budget) : Amitesh Roy</p>
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ALLOCATION OF BUSINESS RULES

Under the Govt. of India (Allocation of Business) Rules, 1961, following subjects are assigned to the Ministry:

- (i) Administration of the Companies Act, 1956/2013.
- (ii) Administration of the Companies (Donation of National Funds) Act, 1951 (54 of 1951)
- (iii) Administration of the Monopolies and Restrictive Trade Practices Act, 1969 (54 of 1969) (Only residual matters)
- (iv) Monopolies and Restrictive Trade Practices Commission. (Only residual matters)
- (v) Professions of Accountancy (The Chartered Accountants Act, 1949(38 of 1949); Profession of Costs and Works Accountancy [The Cost and Works Accountants Act, 1959) (23 of 1959)]; Profession of Company Secretaries [The Company Secretaries Act, 1980 (56 of 1980)].
- (vi) Collection of Statistics relating to companies.
- (vii) Legislation relating to law of Partnership and the exercise of certain functions under Chapter VII of the Indian Partnership Act, 1932 (9 of 1932) in centrally administered areas. (The administration of the Act vests with the State Governments).
- (viii) The responsibility of the Centre relating to matters concerning centrally administered areas. (The administration of the Act vests with the State Governments)
- (ix) Legislation in relation to registration of societies and exercise of functions under the Societies Registration Act, 1860 (21 of 1860) in centrally administered areas.
- (x) Competition Commission of India. The Competition Act, 2000 (12 of 2003)
- (xi) Serious Frauds Investigation Office.
- (xii) Insolvency and Bankruptcy Code.

DUTIES OF OFFICERS/STAFF

(As per the stipulations in the Manual of Office Procedure prescribed by Department of AR & PG)

(A) Secretary -

Secretary to the Government of India in the Ministry of Corporate is the administrative head of the Ministry. He is the principal adviser to the Minister on all matters of policy and administration within his Ministry/Department, and his responsibility is complete and undivided.

(B) Special Secretary/Additional Secretary/Joint Secretary and equivalent Officers [DGCoA, Economic Advisor, Adviser (Cost)] -

Such functionaries head the Wings under their charge, and are entrusted with the maximum measure of independent functioning and responsibility in respect of all business falling within their Wing subject, to the general responsibility of the Secretary for the administration of the wing as a whole.

(C) Director/Deputy Secretary and equivalent Officers (Joint Directors, ICLS, Directors/Joint Directors of IES & ISS, Joint Director of CSOLS, 'Directors/Joint Directors of ICoAS') -

Director /Deputy Secretary is an officer who acts on behalf of the Secretary. He holds charge of a Secretariat Division and is responsible for the disposal of Government business dealt within the Division under his charge. He should, ordinarily be able to dispose of the majority of cases coming upto him on his own. He should use his discretion in taking orders of the Joint Secretary/Secretary on more important cases, either orally or by submission of papers.

(D) Under Secretary and equivalent Officers (Deputy Directors of ICLS, Deputy Director of IES & ISS, Deputy Director of ICoAS)-

An Under Secretary is in charge of the Branch in the Ministry consisting of two or more Sections and in respect thereto exercises control both in regard to the dispatch of business and maintenance of discipline. Work comes to him from the sections under his charge. As Branch Officer he disposes of as many cases as possible at his own level but he takes the orders of Deputy Secretary or higher officers on important cases.

(E) Section Officer and equivalent Officers (Assistant Director of ICLS, Assistant Director of IES & ISS, Assistant Director of ICoAS)

(a) General Duties -

- (i) Distribution of work among the staff as evenly as possible;
- (ii) Training, helping and advising the staff;
- (iii) Management and co-ordination of the work;
- (iv) Maintenance of order and discipline in the section;
- (v) Maintenance of a list of residential addresses of the Staff.

(b) Responsibilities relating to Dak -

- (i) to go through the receipts;
- (ii) to submit receipts which should be seen by the Branch Officer or higher officers at the dak stage;
- (iii) to keep a watch on any hold-up in the movement of dak; and
- (iv) to scrutinize the section diary once a week to know that it is being properly maintained.

(c) Responsibilities relating to issue of draft -

- i. to see that all corrections have been made in the draft before it is marked for issue;
- ii. to indicate whether a clean copy of the draft is necessary;
- iii. to indicate the number of spare copies required;
- iv. to check whether all enclosures are attached;
- v. to indicate priority marking;
- vi. to indicate mode of dispatch.
- vii. Responsibility of efficient and expeditious disposal of work and checks on delays
- viii. to keep a note of important receipts with a view to watching the progress of action;
- ix. to ensure timely submission of arrear and other returns;
- x. to undertake inspection of Assistants' table to ensure that no paper of file has been overlooked;
- xi. to ensure that cases are not held up at any stage;
- xii. to go through the list of periodical returns every week and take suitable action on items requiring attention during next week.

(d) Independent disposal of cases -

He should take independently action of the following types -

- i. issuing reminders;
- ii. obtaining or supplying factual information of a non-classified nature;
- iii. any other action which a Section Officer is authorized to take independently.
- iv. duties in respect of recording and indexing
- v. to approve the recording of files and their classification;
- vi. to review the recorded file before destruction;

- vii. to order and supervise periodic weeding of unwanted spare copies;
- viii. ensuring proper maintenance of registers required to be maintained in the section;
- ix. ensuring proper maintenance of reference books, Office Orders etc. and keep them up-to-date;
- x. ensuring neatness and tidiness in the Section;
- xi. dealing with important and complicated cases himself;
- xii. ensuring strict compliance with Departmental Security Instructions.

(F) Assistant Section Officer/Senior Secretariat Assistant

He works under the orders and supervision of the Section Officer and is responsible for the work entrusted to him. Where the line of action on a case is clear or the Branch Officer or higher officers have given clear instructions, he should put up a draft without much noting. In other cases he will put up a note keeping in view the following points:

- (i) to see whether all facts open to check have been correctly stated;
- (ii) to point out any mistakes or incorrect statement of the facts;
- (iii) to draw attention, where necessary, to precedents or Rules and Regulations on the subject;
- (iv) to put up the Guard file, if necessary, and supply other relevant facts and figures;
- (v) to bring out clearly the question under consideration and suggest a course of action wherever possible.

(G) Private Secretary/ Personal Assistant/ Stenographer

He keeps the officer free from routine nature of work by mailing correspondence, filing papers, making appointments, arranging meeting and collecting information so as to give the officer more time to devote himself to the work in which he has specialized. The Personal Assistant will maintain the confidentiality and secrecy of confidential and secret papers entrusted to him. He will exercise his skill in human relations and be cordial with the persons who come in contact with his boss officially or who are helpful to his boss or who have dealings with the boss as professional persons. Some of the more specific functions are enumerated below:-

- (i) taking dictation in shorthand and its transcription in the best manner possible;
- (ii) fixing up of appointments and if necessary cancelling them;

- (iii) screening the telephone calls and the visitors in a tactful manner;
- (iv) keeping an accurate list of engagements, meetings etc. and reminding the officer sufficiently in advance for keeping them up;
- (v) maintaining, in proper order, the papers required to be retained by the Officer;
- (vi) keeping a note of the movement of files, seen by his officer and other officers, if necessary;
- (vii) destroying by burning the stenographic record of the confidential and secret letters after they have been typed and issued;
- (viii) carrying out the corrections to the officer's reference books and making fair copies of draft demi-official letters to be signed by the officer;
- (ix) generally assisting him in such a manner as he may direct and at the same time, he must avoid the temptation of abrogating to himself the authority of his boss.

(H) Junior Secretariat Assistant

Junior Secretariat Assistants are ordinarily entrusted with work of routine nature, for example - registration of Dak, maintenance of Section Diary, File Register, File Movement Register, Indexing and Recording, typing, comparing, dispatch, preparation of arrears and other statements, supervision of correction of reference books and submission of routine and simple drafts etc.

(I) Assistant Director (Hindi)

He/ She has to supervise the work of Hindi Branch. In addition to that he has to provide help in translation work.

(J) Sr./ Jr. Hindi Translator

They have to do translation work of Parliament Questions, Cabinet Notes and other papers/ documents provided by officers/ Sections of the Ministry.

(K) Sr. Librarian

He/she is responsible for the maintenance of the library and its supervision.

(L) Jr. Librarian

Jr. Librarian is responsible for maintaining the records of the books and issuance.

(M) Investigating Officer

- (i) Technical analysis of Balance Sheets
- (ii) Compilation & Dissemination of corporate sector data
- (iii) Correspondence with field offices of Department, RBI, CSO, State Government etc.
- (iv) Supervision of day to day work carried out by Statistical Assistants.
- (v) Preparation of Annual Report of the Minister,
- (vi) Press Note on the growth of Corporate Sector

(N) Statistical Assistants

They have to assist the Investigating Officers in connection with the above mentioned work and also to do the work assigned to them by the officers of the R&A Division.

(O) Jr. Technical Assistant/Sr. Technical Assistants

They are generally posted in the Sections dealing with the provisions of the Companies Act, 1956/2013. They work under the orders and supervision of the Section Officer and are responsible for the work entrusted to them.

Where the line of action on a case is clear or the Branch Officer or higher Officers have given clear instructions, he should put up a draft without much noting. In other cases, he will put up a note keeping in view the following points:-

1. to see whether all facts as are open to check have been correctly stated;
2. to point out any mistakes or mis-statements of the facts;
3. to draw attention where necessary to precedents or Rules and Regulations on the subject;
4. to put up the Guard File, if necessary, and supply other relevant facts and figures;
5. to bring out clearly the question under consideration and suggest a course of action wherever possible.

(P) Research Assistants

They have to work under Sr. Analyst and Jr. Analyst in R&A Division to deal with the work relating to O&M Section.

(Q) Sr. Library Attendant/Jr. Library Attendant

He has to assist in the functioning of Library.

(R) Multi-Tasking Staff (MTS)

- (i) Physical Maintenance of records of the Section.
- (ii) General cleanliness & upkeep of the Sectional Unit.
- (iii) Carrying of files & other papers within the building.
- (iv) Photocopying, sending of FAX etc.
- (v) Other non-clerical work in the Sectional Unit.
- (vi) Assisting in routine office work like diary, dispatch etc., including on computer, delivering of dak (outside the building) etc.

FUNCTIONING OF REGIONAL DIRECTORATES

Regional Directors: There are seven Regional Directors (RD) as under:

- (a) RD (North) at New Delhi is having jurisdiction over the states of Jammu and Kashmir , Punjab, Himachal Pradesh , Haryana , Uttar Pradesh , Uttrakhand , NCT of Delhi and Chandigarh (UT).
- (b) RD (East) at Kolkata is having Jurisdiction over the states of West Bengal, Orissa, Jharkhand and Bihar.
- (c) RD (West) at Mumbai having jurisdiction over Maharashtra, Goa and Daman.
- (d) RD (NWR) at Ahmedabad having jurisdiction over the states of Madhya Pradesh, Rajasthan and Gujarat.
- (e) RD (South) at Chennai having jurisdiction over the states of Tamilnadu, Kerala and UT of Andaman and Nicobar.
- (f) RD (SER) at Hyderabad having jurisdiction over the sates of Telangana, Andhra Pradesh and Karnataka.
- (g) RD (NER) at Shillong having jurisdiction over all North Eastern States.

1. **Functions of RD:** The Office of RD is headed by an SAG level ICLS officer and assisted by Joint Directors, Deputy Directors, Assistant Directors, STAs, JTAs and Company Prosecutors on technical side, and by ministerial staff of LDCs and UDCs etc on Ministerial side. The functions of RDs are as under :

- (a) Administrative and supervisory control over all offices of RoCs and OLs within their respective regions.
- (b) Inspections and investigations under sections 206(5) and 210/213 of the Companies Act, 2013 respectively and follow up thereof.
- (c) Exercising delegated powers of the Central Government for approval functions of change of Registered offices by the companies, condonation of delay in filing of charges, rectification of names of companies , filing of representations in case of

schemes of arrangements with the respective High Courts/Benches of NCLT, sanctions for filing of prosecutions against the companies or their officers in default etc. besides, the powers vested with RDs as per the Act for removal of auditors of the companies etc.

(d) Appointing Inspection Officer (IOs) for Inspections and processing of inquiry, inspection and investigation reports by the IOs and report to Ministry.

(e) Quasi-Judicial functions of compounding of Offences and adjudication of Appeals arising out of adjudication of Penalties by RoCs in the region.

(f) Performing financial powers and administrative duties as head of the office and accord financial sanctions to the field offices as per GFR and delegation of financial powers therein.

2. Discharge of business within RD offices :

Designation	Work Allotted
RD	Overall supervision and execution of duties pertaining to Legal, CSR, compliance, Service delivery, Quasi-Judicial functions and delegated powers of CG under CA, Act and GFR.
Joint Director(s)-1	Inspection, Investigation (206(5)/210/213)
	Parliament Question
	Pre- Processing of files for the functions of RD's
	Weekly report on Service Delivery and monitoring of disposal by Rocs
	LLP related matters
	Processing of reports on Technical Scrutiny/Inquiry from Rocs
Joint Director -2	Nodal officer of Legal Section (High Court & Supreme Court)
	Government Counsel matters
	Hindi Section
	Establishment Section
	DDO

JD-3/DD	Nodal Officer Complaint Section
	Processing of Technical Scrutiny/Inquiry reports from Rocs
	First Appellate authority (RTI)
	Draft Reports to HC on Schemes of arrangements
ADs	Inspections
	To assist in investigations and other functions of RDs
Company Prosecutors (CPs)	All legal, matters/preparation of petitions, affidavits and appearances before the court.
	Liaison with the Legal counsels.
STA/JTAs	To assist the JDs and Ads in all technical matters.

FUNCTIONING OF REGISTRAR OF COMPANIES

Registrar of Companies (ROC): The ROC is appointed by the Central Government under section 396 of the Companies Act, 2013 (Corresponding to section 609 of the Companies Act, 1956). RoCs are responsible for overall administration of Companies Act and Limited Liability Partnership Act - from Incorporation of Companies and LLPs, custody of the records, issue of certified copies, inspection of records so maintained by general public to all other functions of approvals and certifications assigned to the ROCs as per the respective Acts. The ROC also performs the enforcement functions of taking actions against the Companies and their Directors/officers in default for contraventions of the provisions of the Acts, striking off the names of the Companies and LLPs, conducting inquiries and inspections as per section 206 of the Companies Act, 2013 on receipt of complaints or otherwise. The RoC also coordinates with sectorial regulators by representing the Ministry/Roc in matters of coordinated action against the defaulting companies and sharing of data/information. The ministry has established offices of RoCs having jurisdiction over the companies having their registered offices in the respective States and Union territories.

The distribution of duties amongst the officers of the Office of RoCs, generally, are:

Designation	Work Allotted
Registrar of Companies	Overall supervision and execution of duties pertaining to Registry and Service Delivery for Incorporation of Companies, approvals under the Companies Act and LLP Act, registration of forms, Legal, compliances, Coordination with other sectorial regulators, Head of Office for establishment, administrative and financial functions etc. Similar functions are performed by the ROC on Central Registration Centre (CRC).
Deputy Registrar of Companies -1	Inspection, Investigations
	Parliament Question
	Section 621A (compounding)
	Central Registration Centre
	Weekly report on e-form disposal
	LLP
	Technical Scrutiny/inquiry (A to E, K to M, Q to V)
Deputy Registrar of Companies -2	Nodal officer of Legal Section (High Court & Supreme Court)
	Government Counsel matters
	Hindi Section

	Establishment Section
	DDO
	SLCC
Deputy Registrar of Companies -3	Nodal Officer Complaint Section (Alphabet R to Z)
	Nodal officer of Technical Scrutiny Cell (Alphabet R to J, N to P, W to Z)
	First Appellate authority (RTI)
	Management Dispute
	Lok Adalat
Deputy Registrar of Companies -4	Vanishing Companies matters
	Certified Copies (govt.)
	CS training
	REIC
	Professional Misconduct
	MCA 21 issues
	Complaint
	Report u/s 13/17
Deputy Registrar of Companies -5/ Assistant Registrar of Companies	Master Data
	Women Directors
	Rectification of Charges u/s 87
	Default notices for non-filing
	Complaint (A to H)
Deputy Registrar of Companies/ Assistant Registrar of Companies	Nodal Officer Lower Courts
	Strike off
	Compliance of Court Summons
	Charges u/s 87 registration
	Report u/s 16 or Sec 22
	On Demand Scanning
Assistant Registrar of Companies	Matter u/s 12
	Wrong Certification of professionals

	Certified Copy - Public
	Signatory details updation
	Swatch Bharat
	CPIO of RTI
Assistant Registrar of Companies	Merger
	Amalgamation/arrangement
	Liquidation
	Reply to Summons

FUNCTIONING OF OFFICIAL LIQUIDATORS

Official Liquidators:

The Official Liquidators (OL) are appointed by the Central Government under section 359 (1) the Companies Act, 2013 for performance of duties as Liquidators of the Companies ordered to be wound up as per the Orders of the High Court. The role of OL begins when he is appointed as Provisional Liquidator or the Liquidator by the Court on a petition filed or otherwise. The OL functions as per the orders of the court read with the provisions of the Act and the Companies (Court) Rules. The OL takes into his possession all the assets and properties of the company under liquidation, assesses the financial position of the company on the basis of the Statement of Affairs filed with him by the ex- Directors of the Company, files the periodic reports with the Court and the ROC, , makes realizations out of the assets of the company as per the orders of the court, settles the claims of the creditor's and finally files a dissolution report with the court and seeks orders of dissolution. The OL also files the dissolution reports in case of voluntary winding up when the liquidators appointed by the creditors or members, as the case may be in voluntary winding up , files final report and Statement of Affairs with the OL . The OL also makes a reports with the Court in case of schemes of arrangements involving winding up of any company without following the process of winding up i.e. in case of mergers and amalgamations to report, on scrutiny of the books and papers of the company that the affairs of the company have not been conducted in a manner prejudicial to the interest of its members or to public interest. The Ministry has established the offices of OL's in different states.

1. The distribution of duties amongst the officers generally are as follows:

Within the office of OL, the work load is assigned/bifurcated in cells like Technical Cell -1 (TC-I) , Technical Cell -2 (TC-2) which comprises of certain number of companies in Liquidation on alphabetical order or on the basis of the date of order of Liquidation. Matters relating to a TC are put under the charge of a Deputy OL who reports to the OL. Accordingly, the duties assigned to Officers are as under:

Designation	Work Allotted
OL	Overall supervision and execution of duties pertaining to Liquidation, appearances before the Court, preparation of reports, realization of assets, settlement of claims and payments to creditors and workmen etc.
Deputy Official Liquidator (DOL) and AOL	In charge of TC -1 , TC -2 etc. and assist to the OL in performance of duties , taking possession of assets of companies in Liquidation and all such other matters
	Parliament Question
	Draft reports in case of mergers and Amalgamations.
	Supervision of records
	FAA in RTI Act
	CPIO
	Investments/Deposits in Banks and Periodic Reconciliation

Allocations of work to Officers of Ministry of Corporate Affairs

S. No.	Name Shri/Smt/Ms.	Designation	Powers & Duties
1	Tapan Ray	Secretary	Administrative in-charge of the Ministry of Corporate Affairs
2	Pritam Singh	Additional Secretary	Admn. I Section (Establishment matters in respect of MCA Headquarters) & General Section
			Admn. II Section (Establishment matters in respect of the Indian Corporate Law Service (ICLS))
			Admn. III Section (Work pertaining to SFIO, monitoring of performance of field offices, training etc.)
			Admn IV Section (matters of NCLT, NCLAT)
			Budget Section (all budget matters of MCA)
			Corporate Governance
			Infrastructure Section
			Investors Education Protection Fund (IEPF)
			Indian Institute of Corporate Affairs (IICA)
			Matters related to Satyam
			MCA-21 e Governance
			Vigilance Section (All vigilance matters)
3	Dr.Navrang Saini	DGCoA	CL-II, Legal Cell and overall control of field offices
4	Amardeep Singh Bhatia	Joint Secretary	CL.I Section (Companies Act & LLP Act)

			CL-V Section (Policy)
			Capital Market and SEBI related issues
			Issues relating to Accounting Standards
			Vigilance Section
			IEPF Section
			Insolvency
5	K.V.R. Murthy	Joint Secretary	MCA-21 e-Governance
			International Cooperation
			IGM Section
			Professional Institute Section
			Competition Section (CCI & CAT)
6	Gyaneshwar Kumar Singh	Joint Secretary	Admn. I Section
			Admn. II Section
			Admn. III Section
			Admn. IV Section
			IICA Section
			CL-III Section
			CL-VII Section
7	Asholi Chalai	Joint Secretary	General Section
			Coordination Section
			RTI Matters
			Cash Section
			Hindi Section
			Parliament Section
			Infrastructure Section
			R&I and Protocol

			Library
8	Ms. Rina Sinha Puri	JS & FA	Budget & IFD
9	V. Geetha	Adviser (Cost)	Cost Audit Branch
10	Smt. Sibani Swain	Economic Adviser	R&A Division
			Statistics
			CSR Cell including CSR Policy
11	Navneet Chouhan	Director	CL-VII
			Admn. IV Section
			IICA Section
12	Ashish Kushwaha	Director	e-Governance Cell
			International Cooperation Section
13	Rakesh Tyagi	Director	Insolvency Section
			IEPF Authority Section
14	Dr. Pankaj Srivastava	Director	All statistics related work
			CDM Project
15	P.C. Guravaiah	Joint Director	R&A Division
16	K.K. Mahawar	Director	Cost Audit Branch
17	Ms. Manmohan Kaur	Director	Cost Audit Branch
18	G. Vaidheeswaran	Deputy Secretary	Professional Institutes
			Competition Section
19	J.S. Audhkhasi	Deputy Secretary	Admn.I Section
			General with Protocol
			Coordination Section & RTI matters
			Parliament Section
			Infrastructure Section
20	B.P. Pant		Vigilance Section

		Deputy Secretary	Cash Section
			IGM
			Liaison Officer-SC/ST/OBC
21	Smt. Sushma Kataria	Director	IFD
			Budget
22	Vivek Kumar	Deputy Secretary	Ad.II & Ad.III
23	Dr. R. Ramesh Arya	Joint Director	Hindi Section
24	N.K. Dua	Joint Director	CL-I Section
25	Sanjay Sood	Joint Director	CL-II Section
26	R.K. Tiwari	Joint Director	CL-IV (Legal) Section
27	M.R. Bhat	Joint Director	CL-V Section
28	U.K. Sahoo	Joint Director	CL-II Section
29	Swadhin Barua	Joint Director	CL-II Section
30	C.S. Govindarajan	Joint Director	CL-III Section
			Insolvency Section
31	Smt. Poornima Malik	Under Secretary	IGM Section
			IC Section
32	Anil Bhandula	Under Secretary	CL.VII Section (CL.VI is being merged with CL.VII)
			IEPF Section
33	S. K. Vashishtha	Under Secretary	e-Governance Cell Insolvency Section
34	Anil Prashar	Under Secretary	IICA Section
			Infrastructure Section
			Coordination
35	Rakesh Kumar	Under Secretary	Competition Section
36	Kshitish Kumar		IFD

		Under Secretary	Budget Section
37	Ravi Vazirani	Under Secretary	Admn. II Section
			Admn. III Section
38	Riazul Haque	Under Secretary	Vigilance Section
			Professional Institutes Section
39	Ms. Shalini Juneja	Under Secretary	CL-IV (Legal) Section
40	Vineet Abraham	Under Secretary	Admn.IV Section
41	Akhilesh Kumar Singh	Under Secretary	Admn. I Section
			General Section
			Cash Section
42	E. Nagachandran	Deputy Director	CL-II Section
43	M.R. Das	Deputy Director	CL-II Section
44	Ms. Anita Klair	Deputy Director	IGM Section
45	Shashiraj Dara	Deputy Director	e-Governance Cell
46	Ms. Seema Rath	Deputy Director	CSR Cell
47	Ms. Monika Gupta	Deputy Director	IEPF Section
48	Himanshu Shekhar	Deputy Director	CL-II Section
49	Ms. Kamna Sharma	Deputy Director	CL-V Section
50	Sudhir Kapoor	Deputy Director	CL-V Section

51	Smt. Usha Kumar	Deputy Director	R&A Division
52	Ms. Anshu Tandon	Deputy Director	CL-II Section
53	Gopal Singh	Assistant Director	CL-VII Section
54	Animesh Bose	Assistant Director	CL-I Section
55	K.M.S. Narayanan	Assistant Director	<i>CL-I Section [CL-V]</i>
55	Ms. Anannya Saikia	Assistant Director	e-Governance Cell
56	Shatrughan Chauhan	Assistant Director	Insolvency Section
57	R.N. Soreithem	Assistant Director	<i>Statistics Division(EA)</i>
58	Ms. Divya Sharma	Assistant Director	R&A Division
59	Ms. Deepika Srivastava	Assistant Director	R&A Division
60	Saurabh Bansal	Assistant Director	Cost Audit Branch
61	Arvind Kumar	Assistant Director	Cost Audit Branch
62	Rajeev Mathur	Assistant Director	Hindi Section
63	Amitesh Roy	Section Officer	Budget Section
64	M. Murali Mohan	Section Officer	Vigilance Section
65	Kaloo Ram	Section Officer	Admn.II Section
66	S.C. Noonwal	Section Officer	Admn.III Section
67	Smt. Bindu Pillai	Section Officer	Admn.I Section
68	R. Rajaram	Section Officer	Infrastructure Section

69	L. Thangaraj	Section Officer	Professional Institutes Section
70	H.N. Hedaoo	Section Officer	CL. II Section
71	Ms. Samiksha Lamba	Section Officer	CL. VII Section
72	S.C. Chakraborty	Section Officer	Competition Section
73	Paritosh Bhatia	Section Officer	Coordination Section
			Parliament Section
74	Deen Dayal Singh	Section Officer	Cash Section
75	Smt. Annakunju Mathew	Section Officer	IFD
76	Surajit Saha	Section Officer	Admn.IV Section
77	S.S. Miyan	Section Officer	General Section
			Library
78	K.C. Joshi	Section Officer	e-Governance Cell
79	Smt. S. Padma Roy	Section Officer	IGM Section
80	Smt. Sushma Sharma	Section Officer	Statistics
81	N.K. Bajaj	Section Officer	IICA Section
82	Rakesh Sharma	Section Officer	Insolvency Section
83	S.V. Rajagopal	Section Officer	IC Section
84	Brijesh Singh	Section Officer	Legal Section

CHANNELS OF SUBMISSION AND LEVEL OF DISPOSAL

STATEMENT INDICATING THE ITEMS OF WORK TO BE SUBMITTED TO CORPORATE AFFAIRS MINISTER (CAM) & MINISTER OF STATE FOR CORPORATE AFFAIRS (MOS) FOR FINAL DISPOSAL IN THE MINISTRY OF CORPORATE AFFAIRS

I. ITEMS OF WORK TO BE SUBMITTED DIRECTLY TO CAM

1. Starred Questions
2. Calling Attention Motion
3. VIP References addressed to the Minister (CAM)
4. Serious Fraud Investigations
5. Establishment and vigilance matters relating to Joint Secretary level and above in the Ministry/ Subordinate organisations/Autonomous bodies and Board level officers in CPCUs
6. Cases arising out of powers inherent under the Companies Act, 1956 and 2013
7. Any urgent/immediate matter.

II. ITEMS OF WORK TO BE SUBMITTED AND DISPOSED OF AT THE LEVEL OF MOS

1. All matters relating to :
 - a. Unstarred Questions
 - b. Assurances (Fulfilment/extension of time, request for dropping the Assurance)
 - c. Special Mentions
 - d. Laying of Annual Reports/Rules/Regulations, etc.
 - e. Authentication of Papers
2. Matters relating to Official Language
3. VIP References addressed to the MOS(CA)
4. Matters pertaining to Delhi & District Cricket Association in the MCA.

III. ALL OTHER MATTERS SHALL BE SUBMITTED TO MINISTER OF CORPORATE AFFAIRS THROUGH MOS (CA)

2. CHANNEL OF SUBMISSION AND LEVEL OF FINAL DISPOSAL OF CASES IN RESPECT OF COMMON ITEMS OF WORK HANDLED BY ALL DIVISIONS OF THE MCA.

S. No.	Types of cases	Channel of submission	Level of final disposal
1.	Action taken note on the recommendations of Parliamentary Committees and furnishing of replies to Questionnaire and other references received from Parliamentary Committees	US/DS or Dir./ JS/ AS	Secretary
2.	Furnishing of facts of Question to Lok Sabha/ Rajya Sabha Secretariat	SO/US/DS or Dir.	AS
3.	Comments on Note for Cabinet/ Committee of Cabinet received from other Ministries/ Departments.	US/DS/ or Dir./JS/ AS/MOS	CAM
4.	Court cases in which the Ministry is a respondent and where the issues raised are covered by existing rules/orders/policy decisions	SO/US/DS or Dir.	JS
5.	Court cases where the issues raised have major policy implications/contempt against Secretary	SO/US/DS or Dir./JS/ AS	Secretary
6.	Court matters - Institutions/advice to other Branches of MCA/Field offices on receipt of petition/case etc.	SO/US/JD	AS
7.	Extension of the period of deputation to ex-cadre posts beyond the initial 3 years for the 4 th year	DS or Dir./ JS or AS	Secretary
8.	Posting and Transfers & work, allocation at MCA Hq. (a) DS and equivalent posts (b) All group 'A' officers below DS (c) All group 'B' and 'C' officers and staff	DS or Dir. /JS DS or Director SO/ US	Secretary JS DS or Dir.
9.	Nomination/Deputation for participation in various Training programmes within the country and forwarding of applications for deputation to ex-cadre posts/appointment to outside posts in response to advertisements or circulars (a) JS and above (b) All other officers and staff subject to the recommendation of concerned Divisional Head/controlling officers	US/DS or Dir./ JS SO/US/DS or Dir.	Secretary JS(Admn)
10.	Appeal/Petitions(against penalty/suspension/APARS)	US/DS or Dir. / JS	Secretary

	(a) Group 'B' (Gazetted and Non-Gazetted) officers (b) Group 'C' Staff	SO/US/DS or Dir.	JS(Admn)
11.	Permission/Intimation under the Conduct Rules (i) Cases of officers of the level of DS/Dir/JS/ AS (ii) All others	US/DS or Dir./JS SO/US/DS or Dir	Secretary JS (Vig.)
12.	Grant of permission to receive fees from outside agencies for talks, articles etc. [(as per Appendix 4 SR2(6))] (a) JS and above (b) All other officers/staff	US/DS or Dir. /JS SO/US/DS or Dir.	Secretary JS(Vig.)
13.	Payments of OTA to staff (As per Deptt. Of Expenditure instructions and GFRs) (a) Staff car drives (upto 100 hours per month) (b) Staff of Administration Division detained for parliamentary, budget and other urgent work (subject to 40 hours in a month) (c) All other cases	SO/US SO/US SO/US/DS or Dir.	DS or Dir(HoD) DS or Dir(HoD) JS(Admn)
14.	(i) Declaration of US (Admn.) as Head of Office (ii) Declaration of a Gazetted Officer as DDO	SO/US/DS or Dir SO/US	JS(Admn) JS(Admn)
15.	Grant of Advances (i) leave salary advance(as per GFRS) (ii) TA advance to non-official (as per GFRS) (iii) House Building Advance (as per HBA rules) (iv) Conveyance, Computer, Bicycle/Scooter/Motor Cycle (as per GFRS) (v) Pay and TA on transfer , LTC, TA advance for tour etc. (as per GFRS)	SO/US SO/US SO/US SO/US SO	DS or Dir (HoD) DS or Dir (HoD) DS or Dir (HoD) DS or Dir (HoD) US(HoO)
16.	Medical Expenses (as per CS(MA) Rules 1944)	SO/US	DS or Dir (Admn)
17.	General Provident Fund (as per GPF Rules) (i) Allotment of Accounts Nos. to Subscribers (ii) Acceptance of nominations of subscribers (iii) Grant of permissible advance/ withdrawal (iv) Grant of advance/withdrawal in excess of permissible limit but not exceeding 75% (and 90% in case of construction/renovation of a residential house) of the balance or before repayment of last advance. (v) Advance/withdrawal upto 90% of the balance for special reasons (vi) 90% of the withdrawal within one year of retirement without any reason.	SO(Cash) SO (Admn. I) SO (Admn. I) SO/US US/DS or Dir/JS SO/US	SO(Cash) US(H.O.O.)* US(H.O.O.)* DS/Dir(H.O.D.)* Secretary DS/Dir(H.O.D.)*

*H.O.O. - Head of the Office

**H.O.D. - Head of the Department

Company Law Section (Policy Section)

S. No.	Type of Cases	Channel of Submission	Level of final disposal
1.	General Policy issues	AD or DD/JS/DII/JS/AS	Secretary

Legal Section

S. No.	Type of Cases	Channel of Submission	Level of final disposal
5.	Order u/s 399(4) of the Companies Act, 1956 (Section 241(2) of new Companies Act, 2013) (Application to the Tribunal in cases of oppression)	JD/JS/Secy./MOS	CAM
6.	Tendering of legal advice to Divisions of MCA/Field Offices (i) Ordinary cases (ii) Important cases	US/JD US/JD/JS	JS Secy.
7.	Payments of Counsel fee/fee bills in cases of approved engagement of counsel	SO/US/JD	JS
8.	Engagement of counsel	SO/US/JD	JS
9.	Withdrawal of prosecution (i) Prosecution of non-filing of statutory returns / documents (ii) Rest of prosecution cases	US/JD/JS US/JD/JS/Secy./MOS	Secretary CAM
10.	Statistical data for Annual Report	SO/US/JD	JS/EA

Insolvency Section

S. No.	Type of cases	Channel of Submission	Level of final disposal
11.	Examination of Draft Rehabilitation Scheme (DRS).	DD/US	JS
12.	Examination of Sanctioned Rehabilitation Scheme.	DD/DS/JS	Secretary
13.	Approval of monetary concession in r/o Govt. Companies as per Benchmark Policy to deal with BIFR matters.	DD/DS/JS/Secy./MOS	CAM
14.	Deviation from the Benchmark Policy on specific grounds.	DD/DS/JS/Secy./MOS	CAM

Admn. II Section (for ICLS Officers)

S. No.	Type of cases	Channel of Submission	Level of final disposal
15.	<p>Recruitment and Appointment -</p> <p>(i) Recruitment Rules/ Service Rules for Gr. A and recruitment Rules/ Service Rules for Gr. B</p> <p>(ii) Reporting of Vacancies of Gr. A post to UPSC and reporting of vacancies of Gr. B Gazetted post to UPSC & other Recruiting agencies.</p> <p>(iii) Reporting of vacancies of Gr. B Non-Gazetted post Appointment after following prescribed rules and procedure-</p> <p>(iv) Appointment of Gr. A officers</p> <p>(v) Appointment of Gr. B Gazetted officials</p> <p>(vi) Appointment of Gr. B Non-Gazetted officials</p>	<p>SO/US/DS/Dir/JS/ AS/Sec y./MOS</p> <p>SO/US/DS/Dir/JS</p> <p>SO/US/DS/Dir</p> <p>SO/US/DS/Dir/JS/ AS/Sec y./MOS</p> <p>SO/US/DS/Dir/JS/ AS/Sec y.</p> <p>SO/US/DS/Dir</p>	<p>CAM</p> <p>AS</p> <p>JS</p> <p>CAM</p> <p>Secy.</p> <p>JS</p>
16	<p>DPC & Promotions & MACP/NFU/NFSG-</p> <p>(i) Seniority List of Gr. A including Finalization of Batch year for grant of NFU</p> <p>(ii) Seniority List of Gr. B & C</p> <p>(iii) Constitution of DPC/Screening Committee</p> <p>(iv) Circulation of provisional Seniority List</p>	<p>SO/US/DS/Dir./JS/ AS</p> <p>SO/US/DS/Dir.</p> <p>SO/US/DS/Dir./JS/ AS</p> <p>SO/US</p>	<p>Secy.</p> <p>JS</p> <p>Secy</p> <p>DS/Dir.</p>
17.	<p>Transfer posting on the recommendations of Transfer committees-</p> <p>(i) Transfer posting of Gr. A Officers (SAG and above)</p> <p>(ii) Transfer posting of Gr. A Officers (upto JAG)</p> <p>(iii) Transfer Posting of Gr. B officials</p>	<p>SO/US/DS/Dir. to Transfer Committee (A)/MOS</p> <p>SO/US/DS/Dir. To Transfer Committee (B)</p> <p>SO/US/DS/Dir.</p>	<p>CAM</p> <p>Secy.</p> <p>AS</p>

18.	<p>Personal matters-</p> <p>(i) Leave application (SAG and above)</p> <p>(ii) Leave application (upto JAG)</p> <p>(iii) Permission/NOC for going abroad:</p> <p>(a) HAG and SAG rank, working in Headquarter or field or attached offices</p> <p>(b) JAG (NFSG) and JAG rank working in Headquarter or field or attached offices</p> <p>& C Officers) working in Headquarter</p> <p>(e) Subordinate Grades of ICLS (Group B & C officers) working in field or attached offices</p> <p>(iv) Permission/NOC for Higher Studies</p> <p>(a) For Employee at Headquarter</p> <p>(b) RDs and Head of attached/Subordinate Offices</p> <p>(c) For employees in field/attached/subordinate offices</p> <p>(d) Acquiring Passport</p> <p>(v) Permission under conduct rules viz. writing books, contribution of articles, taking lectures etc. (for Gr. A SAG and above)</p>	<p>SO/US/DS/Dir./JS</p> <p>SO/US/DS/Dir.</p> <p>SO/US/DS/Dir./JS/AS</p> <p>SO/US/DS/Dir./JS</p> <p>SO/US/DS/Dir./JS</p> <p>SO/US/DS/Dir./JS</p> <p>SO/US/DS/Dir.</p> <p>SO /US</p> <p>SO/US/DS/Dir./JS/AS</p>	<p>AS</p> <p>JS/DII/RD</p> <p>Secy.</p> <p>AS</p> <p>RD</p> <p>AS</p> <p>JS</p> <p>RD/HOD of attached office</p> <p>Dir</p> <p>Secy.</p> <p>AS</p>

	(vi) Permission under conduct rules viz. writing books, contribution of articles, taking lectures etc. (for Gr. A JAG and below)	SO/US/DS/Dir./JS	
	(vii) Permission under conduct rules viz. writing books, contribution of articles, taking lectures etc. (for Gr. B & C in MCA Hqrs.)	SO/US/DS/Dir.	JS
	(viii) Permission under conduct rules viz. writing books, contribution of articles, taking lectures etc. (for Gr. B & C in field/attached offices of MCA)		Concerned RDS
	(ix) Permission for taking lecture in IICA		Controlling Officer
19.	Misc. Matters -		
	(i) Tour programme of SAG and above	SO/US/DS/Dir./JS/AS	Secy.
	(ii) Other residual Matters	SO/US/DS/Dir.	JS
	(iii) Tour Program of RDs in his region		Not required

e-Gov. Cell

S.N o.	Types of Cases	Channel of Submission	Level of final disposal
20.	Service Level Agreement (SLA) Methodology Related Matters	SO/US/DS/JS	Secy. CA
21.	Nomination of Nodal Officers in various organizations/agencies	SO/US/DS/JS	Secy. CA
22	Approval of Data Centre- Data Registry Drill/Switchover/Outage	SO/US/DS/JS	AS
23	Approval of System Specification Requirement (SRS)	SO/US/DS	JS
24	Approval of Change Control Note	SO/US/DS	JS
25	Sanction of order of DSC for MCA use	SO/US/DS	JS

26	Digital Signature Certificate (DSC) Approval of any type of down-time in MCA21 System	SO/US/DS	JS
27	Action against Professionals for wrong Certification	STA/US/DS	JS
28	Matters related to ISO Certification of MCA21	STA/US/DS	JS
29	Any changed to be made from back-end in MCA21	STA/US/DS	JS
30	Creation of account in MCA21 portal for External Govt. Departments/ Agencies Users	SO/US/DS	JS
31	Creation of accounts for Banks/1 Institution Nodal Officers for DSC role check mapping	Astt./US/DS	JS
32	Administration matters/Budget Estimate and Comments/replies of MCA to other agencies	SO /US/DS	JS
33	Registration of Companies (RoC) Seeking Clarification from RoC on filing related matters and re-issuance of refund cheque due expiry or change of address	STA/US	DS
34	Preparation of content for print and electronic media for educating investors	AD/US/Dir.	Secretary
35	Transfer of funds to Directorate of Advertisements and Visual Publicity (DAVP), Prasar Bharti and other Government Organizations for Media campaigns	AD/US/Dir./JS	IFD/JS
36	Transfer of funds to Regional Directors and other Organizations for conducting Investor Awareness Programmes (IAPs)	AD-US-Dir.	IFD/JS
37	Issues relating to National Foundation for Corporate Governance (NFCG)	Secretary (as chairperson of BOT of NFCG)	Secretary (as chairperson of BOT of NFCG)

WORK FLOW IN IGM SECTION

Redressal Mechanism of online Grievances through PG Portal

- CPGRAM portal is accessed through link of Public Grievance in MCA-21 portal by logging in through login ID: (DCOYA) and password: (dcoya123) allotted by DARPG.
- Online Examination option if grievances pertains to MCA.
- If No, Complainant requested online to take up with appropriate authority.
- If Yes, Cases transmitted online by the Ministry to Field offices such as ROC/OL/RD and Division within the Ministry through 82 USER Code.
- Action is taken by field offices and reports are sent online in the CPGRAM portal itself to MCA.
- ATR / reply from that 82 users are entered into the designated box in the CPGRAM portal by the Ministry. Grievances stands disposed of in CPGRAM Portal.

Redressal Mechanism of Physical Complaints/ Grievances

- Receipt of a complaint in IGM Section of MCA.
- Examination of grievances –whether pertains to Ministry.
- If No, forwarded to other Ministries/ Departments and other organization such as RBI, SEBI etc.
- If Yes:
- Physical Grievance are sorted out ROC wise / section wise within the Ministry manually with the help of master Data.
- All physical grievances received in IGM section are scanned.
- Grievances are converted into electronic form by assigning it a work number and generating SRN (service request number) and forwarded to ROCs through MCA21 portal.
- Physical grievances thus gets integrated in MCA21 portal at the end of ROCs.
- ROCs take up redressal measures offline by taking the matter with the concerned companies.
- On action taken report (ATR) being taken, ROCs uploads ATR on the system of MCA21.
- Grievance stands disposed of in the MCA21 system.

Redressal mechanism adopted by IGM in respect of E-mail-complaints is as follows:-

- In case of email complaint with/without attachment is received in the IGM section of the Ministry, as a first step the same is forwarded to the respective ROC(s)/RD(s) as per functions of IGM for taking action as per Companies Act/Rules framed thereunder with request to inform the complainant from time to time about the action taken under intimation to the Ministry.
- Then, E-Complaint is created in respect of already sent Email by generation of unique SRN (Service Request Number) and the same is forwarded to respective ROC(s) through MCA Portal in order to integrate the E-Complaint with MCA-21 informing about the Email.
- This unique SRN can be used as reference by the ROC/complainant for future communication.
- If the complaint pertains to other Section(s) of the Ministry, then it is forwarded to the concerned section through Email for taking action as deemed appropriate.
- If the complaint does not pertain to IGM/MCA, complainant is requested to approach appropriate authority/forum for redressal, if he/she desires to do so otherwise to approach the authorities as specified in Standard Operating Procedure (SOP) issued by IGM vide No.5/3/2015-IGM dt.01.01.2016 to adopt uniform procedure for grievance redressal.

The complaints are also filed on the Ministry's website- www.mca.gov.in .

- On filing of complaint, SRN is generated, which can be used by the complainant for reference.
- The concerned ROC takes up the complaint with the concerned company.
- On the basis of the reply received from the company, the ROC informs the complainant and asks for his comments. If no reply is received within stipulated number of days, the complaint is closed.
- On action taken report (ATR) being taken, ROCs uploads status on the system of MCA21.
- Grievance stands disposed of in the MCA21 system.

Rules and Regulations

Apart from the Acts mentioned under Allocation of Business Rules, the following Rules and Regulations framed under the Companies Act, 1956 are also monitored by the Ministry.

1. The Companies (Court) Rules, 1959
2. Investor Education and Protection Fund (Awareness and Protection of Investor) Rules, 2001
3. The Companies (Accounting Standards) Rules, 2006
4. Companies (Central Government's) General Rules and Forms, 1956 [CL-V]

Rules and Regulations framed under the Companies Act, 2013

1. Companies (Specification of Definition Details) Rules, 2014
2. Companies (Incorporation) Rules, 2014
3. Companies (Prospectus and Allotment of Securities) Rules, 2014
4. Companies (Issue of Global Depository Receipts) Rules, 2014
5. Companies (Share Capital and Debentures) Rules, 2014
6. Companies (Acceptance of Deposits) Rules, 2014
7. Companies (Registration of Charges) Rules, 2014
8. Companies (Management and Administration) Rules, 2014
9. Companies (Declaration of Payment of Dividend) Rules, 2014
10. Investor Education and Protection Fund Authority (Appointment of Chairperson and Members, holding of meetings and Provision for offices and officers) Rules, 2016
11. Companies (Accounts) Rules, 2014
12. Companies (Cost Records and Audit) Rules, 2014
13. Companies (Filing of Documents and Forms in Extensible Business Reporting Language) Rules, 2015
14. Companies (Corporate Social Responsibility Policy) Rules, 2014
15. Companies (Audit and Auditors) Rules, 2014
16. Companies (Appointment and Qualification of Directors) Rules, 2014

17. Companies (Meetings of Board and its Powers) Rules, 2014
18. Companies (Appointment and Remuneration of Managerial Personnel) Rules, 2014
19. Companies (Inspection, Investigation and Inquiry) Rules, 2014
20. Companies (Authorized to Registered) Rules, 2014
21. Companies (Registration of Foreign Companies) Rules, 2014
22. Companies (Registration Offices and Fees) Rules, 2014
23. Companies (Nidhi) Rules, 2014
24. Companies (adjudication of Penalties) Rules, 2014
25. Companies (Miscellaneous) Rules, 2014
26. Companies (Indian Accounting Standards) Rules, 2015
27. Investor Education and Protection Fund Authority (Accounting, Audit, Transfer and Refund) Rules, 2016
28. The Companies (Central Government's) General Rules and Forms Amendment Rules, 2014
29. The National Company Law Appellate Tribunal (Salaries and Allowances and other terms and conditions of service of the Chairperson and other Members) Rules, 2015
30. National Company Law Tribunal Rules, 2016
31. National Company Law Appellate Tribunal Rules, 2016
32. Companies (Mediation and Conciliation) Rules, 2016 [CL-V]

Rules framed under the Competition Act, 2002

1. The Competition Commission of India (Terms of the Selection Committee and the manner of selection of panel of names) Rules, 2008.
2. The Competition Commission of India (Oath of Office and of Secrecy for Chairperson and other Members) Rules, 2003.
3. The Competition Appellate Tribunal (Term of the Selection Committee and manner of selection of panel of names) Rules , 2008.
4. The Competition Commission of India (Return on Measures for the promotion of competition Advocacy, Awareness and Training on Competition issues) Rules, 2008
5. The Competition Commission of India (Form and time of Preparation of Annual Report) Rules, 2008
6. The Competition Appellate Tribunal (Forms and fee for filing an appeal and fee for filing compensation application) Rules , 2009.
7. The Competition Commission of India (For of Annual Statement of Accounts) Rules, 2009
8. The Competition Commission of India (Salary, Allowances and other Terms and Conditions of Service of Chairperson and other Members) Rules, 2003
9. The Competition Appellate Tribunal (Salary and Allowances and other Terms and Conditions of Service of Chairperson and other Members) Rules, 2009
10. The Competition Commission of India (Number of Additional, Joint, Deputy or Assistant Director-General other officers and employees, their manner of appointment, qualification, salary, allowances and other terms and conditions of service) Rules, 2009
11. The Competition Commission of India (salary, allowances, other terms and conditions of service of the Secretary and other employees of the Commission and the number of such officers and other employees) Rules, 2009
12. The Competition Commission of India (Director-General) Recruitment Rules, 2009.
13. The Competition Appellate Tribunal (Recruitment, salaries and other Terms and Conditions of Service of officers and other employees) Rules, 2010

Regulations framed under the Competition Act, 2002

1. The Competition Commission of India (Engagement of Experts and Professionals) Regulations, 2009
2. The Competition Commission of India (General) Regulations, 2009
3. The Competition Commission of India (Meeting for Transaction of Business) Regulations, 2009
4. The Competition Commission of India (Lesser Penalty) Regulations, 2009
5. The Competition Commission of India (Determination of Cost of Production) Regulations, 2009
6. The Competition Commission of India (Determination of Cost of Production) Regulations, 2009
7. The Competition Commission of India (Procedure in regard to the transaction of business relating to combinations) Regulations, 2009

Rules and Regulations pertaining to Professional Institutes [PIs]

A. Rules :-

- i. The Chartered Accountants (Election to the Council) Rules, 2006
- ii. The Chartered Accountants (Nomination of Members to the Council) Rules, 2006
- iii. The Chartered Accountants (Election Tribunals) Rules, 2006
- iv. The Chartered Accountants (Procedures of Meetings of Quality Review Board, and Terms and Conditions of Service and Allowances of the Chairperson and Members of the Board) Rules, 2006
- v. The Chartered Accountants (Procedure of Investigations of Professional and Other Misconduct and Conduct of Cases) Rules, 2007
- vi. The Appellate Authority (Allowances payable to, and other terms and conditions of service of Chairperson and members and the manner of meting expenditure of the Authority) Rules 2006
- vii. The Company Secretaries (Election to the Council) Rules, 2006

- viii. The Company Secretaries (Nomination of Members to the Council) Rules, 2006
- ix. The Company Secretaries (Election Tribunals) Rules, 2006
- x. The Company Secretaries (Procedures of Meetings of Quality Review Board, and Terms and Conditions of Service and Allowances of the Chairperson and Members of the Board) Rules, 2006
- xi. The Company Secretaries (Procedure of Investigations of Professional and Other Misconduct and Conduct of Cases) Rules, 2007
- xii. The Cost and Works Accountants (Election to the Council) Rules, 2006
- xiii. The Cost and Works Accountants (Nomination of Members to the Council) Rules, 2006
- xiv. The Cost and Works Accountants (Election Tribunals) Rules, 2006
- xv. The Cost and Works Accountants (Procedures of Meetings of Quality Review Board, and Terms and Conditions of Service and Allowances of the Chairperson and Members of the Board) Rules, 2006
- xvi. The Cost and Works Accountants (Procedure of Investigations of Professional and Other Misconduct and Conduct of Cases) Rules, 2007

B. Regulations:-

- i. The Cost and Works Accountants Regulations, 1959
- ii. The Company Secretary Regulations 1982
- iii. The Chartered Accountants Regulations, 1988

Service Rules

1. All India Services (AIS) Rules.
2. Manual of Office Procedures
3. Central Secretariat Service Rules, 1962
4. Central Secretariat Clerical Service Rules, 1962
5. CCS (Temporary Service) Rules, 1965
6. Central Civil Services (Leave Travel Concession) Rules, 1988
7. Central Civil Services (Leave Rules)
8. CCS (Conduct) Rules, 1964.
9. Central Secretariat Stenographer Service Rules, 2010
10. FR & SR (Part I to V)
11. Pension Compilation relating to the CCS (Pension) Rules, 1972.
12. CCS (Commutation of Pension) Rules, 1981
13. Leave Travel Concession Rules, 1988
14. General Financial Rules, 2005
15. Delegation of Financial Power Rules, 1978
16. CCS (Revised Pay) Rules, 1997.
17. Seniority and Promotion in Central Government Service.
18. Reservations and Concessions for SCs and STs, Ex-Servicemen, Sportsmen, Compassionate Appointments, Physically, Handicapped and SEBC (Mandal Commission).
19. Complete manual on Establishment and Administration.
20. Compendium of orders under Central Govt. Health Schemes (CGHS).

SUPERVISION AND CONTROL SYSTEM

The business allocated to the Ministry of Corporate Affairs under the Allocation of Business Rules ,1961 is disposed of under the directions of the Corporate Affairs Minister in accordance with the Transaction of Business Rules, 1961 (Presidential Order dated 14.01.1961). For the purpose of office procedure, the provisions of the Manual of Office Procedure (MoP) prescribed by the Department of AR & PG are followed. Secretary, Corporate Affairs is the overall administrative in-charge of the Ministry. A Joint Secretary in the Ministry is the head of a Wing. Wings are divided into divisions, branches and sections. Divisions are headed by Deputy Secretary/Director; Branches are headed by Under Secretaries; and sections are headed by Section Officers. Duties and responsibilities of each functionary are as per the definitions contained in the MoP.

2. The Ministry, with the approval of Corporate Affairs Minister, has put in place a well-defined channel of submission of cases and levels of disposal thereof.
3. The Ministry has also adopted a Citizens'/Clients' Charter which *inter-alia* defines the service transaction and service- standards to be followed by officers dealing with requests of stakeholders.
4. Thus, for the purpose of supervision and control of the discharge of business, the Ministry follows the guidelines mentioned under the Manual of Office Procedure (MoP) prescribed by the Department of AR & PG and the Transaction of Business Rules, 1961.

RECRUITMENT AND TRAINING OF THE OFFICIALS

RECRUITMENT -

The Ministry of Corporate Affairs is manned by Officers drawn from following sources:

(i) Central Staffing Scheme -

Officer of the level of Deputy Secretary and above are appointed from the panel drawn by the DoP&T under the Central Staffing Scheme on central tenure deputation basis.

(ii) Central Secretariat Service (CSS) - The DoP&T is the cadre authority in respect of the posts of CSS -

Recruitment to various posts of Central Secretariat Service *viz.*, Assistant Section Officer, Section Officer, Under Secretary, Deputy Secretary, Director and Joint Secretary is undertaken by the DoP&T. Based on nominations from the DoP&T these Officers are appointed to the posts they are recommended for appointment.

(iii) Indian Corporate Law Service (ICLS) -

This is the Service which the Ministry of Corporate Affairs is the Cadre Controlling Authority. Officers of this Service man the positions like, DGCoA, Director (Investigation & Inspection), Regional Directors, Registrar of Companies, Official Liquidators, Joint Directors, Deputy Director and Assistant Directors. Recruitment to this Service is done as per the Indian Corporate Law Service Rules, 2015, through Civil Service Examination conducted by the UPSC.

(iv) Recruitment for cadres of Company Prosecutor, Senior Technical Assistant and Junior Technical Assistant:

Recruitment to the post of Company Prosecutor is done through Union Public Service Commission. The essential qualification for the post of Company Prosecutor is Degree in Law. Recruitment to the post of Senior Technical Assistant and Junior Technical Assistants is done through Staff Selection Commission. The essential qualifications for Senior Technical Assistant and Junior Technical Assistants is Degree in Commerce and Degree in Economics or Degree in Law.

(iv) Central Secretariat Clerical Services (CSCS) -

Recruitment to the posts of Junior Secretariat Assistant and Senior Secretariat Assistant, classified as CSCS is done by the DoP&T through SSC.

(v) Other Cadre Posts -

In addition to the abovementioned posts, Officers of IES, ISS, CSOLS and *ICoAS* are also posted in the Ministry. These are Economic Advisor, Director, Deputy Director and Assistant Director of IES; Director, Joint Director, Assistant Director of ISS; Advisor (Cost), Director (Cost) and Assistant Director (Cost) of *ICoAS*; Joint Director (Hindi), Assistant Director (Hindi), Junior and Senior Hindi Translators of CSOLS. Recruitment to these posts is done by the respective Cadre authorities - Department of Economic Affairs, Ministry of Statistics & Programme Implementation and the Ministry of Home Affairs.

TRAINING-

- Training to ICLS officers, Company Prosecutors, Senior Technical Assistant, Junior Technical Assistant and Investigating Officers is imparted by the ICLS Academy, Manesar through various courses conducted by the Institute. Professional Training to ICLS probationers is also imparted by the ICLS Academy.
- Training for other officers belonging to other Services are imparted as per requirements of their Cadre Training Plans devised by respective Cadre Controlling Authorities.

MONITORING (MONTHLY AND ANNUALLY)

Performance of all Wings is monitored by the Secretary, MCA regularly in the fortnightly Senior Officers' Meeting chaired by him. In addition, the Additional Secretary/ Joint Secretaries and other Wing Officers take stock of the functioning of Sections under their control. The Divisional Heads ensure that decision taken in the Senior Officers' Meeting are complied with.

As regards utilization of budgetary provisions of MCA, the pace of Expenditure is monitored on monthly basis and as per the requirements of the Ministry of Finance prescribed under Monthly Management Information System (MMIS). Expenditure Review Meetings are held by AS/SCA on regular basis.

The performance of the Offices of Regional Director, Registrar of Companies and Official Liquidators is monitored by DGCoA and Senior Officers of the rank of Joint Secretary and above.

Inspections are ordered by the Ministry after obtaining approval of the Secretary, MCA. Inspections are allocated to the Regional Director under whose jurisdiction the registered offices of the company are situated.

The Regional Director is required to submit a Monthly DO to the Ministry/ DGCoA providing all the details of the inspections allocated to his office from the date of ordering to the date on which the inspection report is submitted to the Ministry.

The status of inspections ordered, in progress and completed by the RD Office is also monitored and reviewed by the Director (Inspection and Investigation) as well as DGCoA. This includes the monitoring of processing of inspection reports submitted by the RDs to the Ministry.

After processing of an inspection report, the Ministry issues instructions/ sanctions in respect of observations reported in Part A of the inspection report and also convey approval for sharing the report if the inspection report contains any such recommendation under Part D of the Report. The Regional Director is required to ensure and take action in respect of observations reported in Part B and Part C of the report before submitting the complete inspection report to the Ministry. The Ministry also undertakes an exercise of reconciliation of the instructions issued and their compliance by the RD/ ROC offices on periodical basis.

The Ministry has also started review of functioning of RD offices through Video Conferencing whereby the status of inspections is reviewed and monitored periodically at the level of Secretary, MCA.

Inspection (Monthly and Annually), formats/questionnaire

Sections/Divisions of Headquarters are inspected as per provisions in Manual of Office Procedure prescribed by the Department of Administrative Reforms and Public Grievances.

2. Inspection of field Offices is carried out by Officers of JS level and above periodically. Format devised by the Ministry for inspection of the Offices of RDs, RoCs and OLs is at **Annexure 'I, II' & 'III' respectively.**

Instructions for “How to avoid Mistakes”

The stipulation of Manual of Office Procedure is strictly observed, so that the nothing is lost sight of and that business is transacted smoothly. In addition to guidelines prescribed in MOP, administrative Head of the Ministry also gives directives from time to time to avoid mistakes. Often, Head of the Department focusses not only how to avoid mistakes but also to avoid procrastination and exhorts the officers to deliver the services on priority basis. In the fortnight Senior Officers’ Meeting chaired by Secretary, MCA, several issues/agendas which are of important nature are also discussed. In the meeting, the officers share their experiences/provide feedbacks. Based on the discussion/sharing of experiences, the best practices are emulated and thereby avoid making mistakes or compromising with the system detrimental to service delivery/progress towards achieving the goal of the Ministry.

Subject/Service-wise transaction prescribed to perform the particular duty as per the job chart of the Officer/Organization

S. No	Services/ Transactions	How we measure performance in this area	Service Standard
1.	Availability of names for new company	Maximum time to inform deficiencies in the application from the date of receipt of the application.	2 Working Days
		Maximum time taken to communicate approval by the concerned ROC on receipt of the application	2 Working Days
2.	Incorporation of a Company.	Maximum time to inform deficiencies in the application from the date of receipt of the application	2 Working Days
		Maximum time taken to communicate approval and issue of certificate of Incorporation by the concerned ROC on receipt of the application	2 Working Days
3.	Registration of unregistered Companies	Maximum time to inform deficiencies in the application from the date of receipt of the application	2 Working Days
		Maximum time taken to issue of certificate of Registration by the concerned ROC on receipt of approval	2 Working Days
4.	Registration of a place of Business in India by a company incorporated outside India	Maximum time to inform deficiencies in the application from the date of receipt of the application	2 Working Days
		Maximum time taken to issue of certificate by the concerned ROC on receipt of approval	1 Working Days
5.	Change of name of the Company	Maximum time to inform deficiencies in the application from the 7date of receipt of the application	3 Working Days
		Maximum time taken to issue of certificate by the concerned ROC on receipt of approval	3 Working Days
6.	Registration for change of Objects of the Company	Maximum time to inform deficiencies in the application from the date of receipt of the application	3 Working Days

		Maximum time taken to issue of certificate by the concerned ROC on receipt of approval	2 Working Days
7.	Conversion of Private Company to Public company	Maximum time to inform deficiencies in the application from the date of receipt of the application	3 Working Days
		Maximum time taken to issue of certificate by the concerned ROC on receipt of approval	3 Working Days
8.	Conversion of unlimited company into limited company	Maximum time to inform deficiencies in the application from the date of receipt of the application	3 Working Days
		Maximum time taken to issue of certificate by the concerned ROC on receipt of approval	3 Working Days
9.	Registration of a Prospectus before issue of IPO or FPO	Maximum time to inform deficiencies in the application from the date of receipt of the application	2 Working Days
		Maximum time taken to issue acknowledgement by the concerned ROC from the date of receipt of the application.	1 Working Days
10	Registration of Charge Creation/ modification/ satisfaction	Maximum time to inform deficiencies in the application from the date of receipt of the application	3 Working Days
		Maximum time taken to issue of certificate by the concerned ROC on receipt of approval	2 Working Days
11.	Condonation of delay in filing of charge creation/modification/ satisfaction	Maximum time to inform deficiencies and take up queries and clarification on the application from the date of receipt of the application	20 Working Days
		Maximum time taken to issue of order granting condonation by the concerned Regional Director on receipt of approval	10 Working Days
12.	Application for extension of time to hold AGM.	Maximum time to inform deficiencies in the application from the date of receipt of the application	5 Working Days
		Maximum time taken to communicate approval by the concerned ROC on receipt of approval	2 Working Days

13.	Registration of Court or NCLT or RD order.	Maximum time to inform deficiencies in the application from the date of receipt of the application	2 Working Days
		Maximum time taken for granting of license to the applicant on receipt of duly completed application form with required documents	2 Working Days
14.	Issuance of certified copies of documents of a company.	Maximum time to inform deficiencies in the application from the date of receipt of the application	4 Working Days
		Maximum time taken to issue certified copy of the document on receipt of duly completed application form with required documents	3 Working Days
15.	Issuance of Director Identification Number (DIN).	Maximum time to inform deficiencies in the application from the date of receipt of the application	1 Working Days
		Maximum time taken to issue approval letter granting DIN on receipt of duly completed application form with required documents.	1 Working Days
16.	Change in DIN Particulars	Maximum time to inform deficiencies in the application from the date of receipt of the application	1 Working Days
		Maximum time taken to issue letter for changing DIN on receipt of duly completed application form with required documents.	1 Working Days
17.	Conversion of company to LLP	Maximum time to inform deficiencies in the application from the date of receipt of the application.	2 Working Days
		Maximum time taken to issue certificate of conversion on receipt of duly completed application form with required documents.	3 Working Days
18.	Shifting of registered office of the company from one State to another.	Maximum time to inform deficiencies and take up queries and clarification on the application from the date of receipt of the application	45 Working Days
		Maximum time taken to issue order confirming the change of Registered Office of a Company on receipt of duly completed application form with required documents	15 Working Days

19.	Shifting of registered office of the company from one RoC to another RoC within the State.	Maximum time to inform deficiencies in the application from the date of receipt of the application	45 Working Days
		Maximum time taken to issue order confirming the change of Registered Office of a Company on receipt of duly completed application form with required documents	15 Working Days
20.	Grant of license under Section 8 of the Companies Act, 2013.	Maximum time to inform deficiencies in the application from the date of receipt of the application	5 Working Days
		Maximum time taken for granting of license to the applicant on receipt of duly completed application form with required documents	2 Working Days
21.	Appointment or Reappointment and payment of remuneration to or payment of increased remuneration to or waiver of recovery of excess remuneration paid to Managing Director/ Whole-Time Director/Manager/ Chief Executive Officer.	Maximum time to inform deficiencies in the application from the date of receipt of the application	15 Working Days
		Maximum time taken for communicating approval on receipt of application completed in all respect.	30 Working Days
22.	Investor Grievance Redressal /CPGRAMS	Maximum time taken to dispose of from the date of receipt of grievance	60 Working Days
23.	Other Grievances/ Complaints related to MCA-21	Maximum time taken to dispose of from the date of receipt of grievance.	30 Working Days
24.	Application for seeking status of Company as dormant under Section 455	Maximum time to inform deficiencies from date of receipt of the form	3 Working Days
		Maximum time to communicate approval or intimation about the form having been taken on record	2 Working Days
25.	Application for seeking status of Company as active under Section 455	Maximum time to inform deficiencies from date of receipt of the form	3 Working Days

		Maximum time to communicate approval or intimation about the form having been taken on record	2 Working Days
26.	Registration of intimation about appointment of Receiver/Manager [Section 84(1)]	Maximum time to inform deficiencies from date of receipt of the form	3 Working Days
		Maximum time to communicate approval or intimation about the form having been taken on record	2 Working Days
27.	Condonation of delay u/s 460	Maximum time to inform deficiencies in the application from the date of receipt of the application	15 Working Days
		Maximum time taken to issue of approval by CG	30 Working Days

Guideline for improvement in working of the Organization - Feedback/ Suggestions by the employees working in the Organization & Stakeholders

The Secretary, Corporate Affairs chairs fortnight meetings of Senior Officers of the Ministry and based on deliberations therein, suitable corrective measures are taken by the Ministry for improvement of functioning regularly. Apart from fortnight meetings, Secretary also chairs meeting of Divisions concerned as and when required.

2. Further, Additional Secretary, MCA also chairs meetings of the Ministry as and when necessity arises. All Joint Secretaries meet the officers of their Division to take stock of the functioning and for eliciting feedback from subordinate officers. This process of evaluation of functioning has proved to be very useful for improvement in working of the Ministry.

3. Meetings are also chaired by JS(Admn.) with the staff side from time to time wherein the staff side brings various issues pertaining to the welfare of the staff. The feedback/suggestions provided by the staff are taken into consideration and implemented whenever found to be logical/tenable.

4. The e-Governance Division also regularly monitors and reports the working of the field offices - Registrar of Companies (RoC), Central Registration Centre (CRC), Regional Directors (RDs), and DIN Cell on the basis of decided Key Performance Indicators. The KPI reports are regularly shared in public domain for wider reach.

ADOPTION OF NEW TECHNOLOGY WHERE EVER POSSIBLE

'MCA-21' is the first of its kind, state-of-the-art e-Governance platform under the National e-Governance Plan (NeGP). All the Ministry's services are delivered through 'MCA-21'. The first phase of MCA 21 ended on 16th January, 2013 and the Infosys Limited has been appointed as service provider for MCA V2 for a period of 6.5 years.

2. The work relating to the MCA 21 Project is being handled by the e-Governance. All the required changes as per the requirement of the Act and Rules thereunder. The data base is also examined by e-Governance Cell and necessary changes, if any, are suggested by e-Governance Cell to the service provider.

3. The Phase-2 of the e-governance project, the connectivity of MCA-21 portal being extended to office of the Official Liquidators situated across the country, SFIO etc. The work related to development of financial module, case management and e-auction portal has been developed by Infosys team for Official Liquidator Offices.

4. The Phase 2 of the MCA 21 Project is to emphasise on facilitating 360⁰ view of companies' data.

5. In order to fulfil the agenda of Minimum Government Maximum Governance, the Ministry has adopted e-Office for achieving the goal of Governance with Accountability, Transparency & Innovation (GATI) which is the sine-qua-non for achieving Hon'ble Prime Minister's mission of PRAGATI. By and by, the Ministry would be transforming itself to an e-Office platform wherein there would be paperless in day to day functioning.

REFORM, TRANSFORM, PERFORM AND INFORM

The e-Governance division operates an end-to-end e-Governance project called 'MCA21' for service delivery comprising Company and Limited Liability Partnership (LLP) registration, incorporation, registry and other compliance related services. The project was started in March 2006 on Build, Own, Operate and Transfer (BOOT) Model under Public-Private Partnership (PPP). The vision is "to introduce a service-oriented approach in the Design and Delivery of Citizen Centric Services by the Government". The project was undertaken on a Mission Mode to bring about a Service Centric Approach in the delivery of public services and administration of the Companies and LLP Act, and specifically focuses on:

- i) Speedy incorporation of companies and LLPs,
- ii) Compliance related filings by companies and LLPs,
- iii) Providing Ease of Doing Business

The project has been implemented in the MCA Headquarters, all Regional Directorates and Registrar of Companies offices, and all services are provided online. The documents filed by the stakeholders are available in public domain.

There is a need for providing speedy and efficient services to stakeholders and the Ministry has continuously made efforts to introduce best practices in the online delivery of services. Sustained efforts have resulted in recognition of MCA21 as one of the most successful Mission Mode Projects under the Government of India's National e-Governance Plan (NeGP). The portal is regarded as a model for transformation of traditional paper based systems into a paperless system through the use of Information Technology. The e-Governance Division constantly works towards implementing continual enhancements, providing convenient, easy and secure access/services to all stakeholders and thereby ensuring transparency, speed and efficiency in the functioning of the Ministry.

1. Government Process Re-engineering

The e-Governance Division foresees the emerging needs of the stakeholders and brings about transformational changes through Government Process Re-engineering in addition to the regular change requests (CRs) as applicable for the work-flow, e-Form design, e-Form processing, processes, technology platform, and system architecture for bringing Ease of Doing Business to the stakeholders.

2. Contract / Vendor Management

The e-Governance Division is responsible for overall management of the technology partnership with the service provider for operation of MCA21 - including performance management, appraisal of service level points, and disbursement of Service Level Agreement (SLA) driven payments. It also administers functioning of the Project Management Unit (PMU) set up by NISG to assist MCA in monitoring the MCA21 system.

3. Technology Platform Updation / Maintenance

The up-gradation of MCA's technology platforms (Back office, Front office and Ministry's Website) is regularly undertaken by the Division, keeping in mind the current technology trends so as to provide enhanced experience and value to the end users. It also oversees the STQC Audit of MCA applications/website related matters and coordinates with banks for payment gateway related matters. The recently upgraded SAP-based MCA21 system has a new architecture platform for leveraging industry proven technologies which are accepted globally, improved mechanism for ensuring data integrity, enhanced user experience with personalization and aesthetically designed user interfaces for ease of navigation.

4. Change Management

As per requirements of the Companies Act and LLP Act, rules thereunder and amendments made, necessary changes are made in the e-Forms, processes and deployment methodology by the Division.

5. Data sharing and Integration with other agencies

Regularly generated standard reports (filing related, performance related, and pendency related), customized reports and select data are retrieved and shared with the field offices and other Divisions of the Ministry (e.g., CSR Cell, DGCoA Office, CDM Project, SFIO). Upon request from external agencies, the Division creates special User IDs/DSCs for external agencies to enable access of the MCA database for their regulatory purposes. E-Governance Division also co-ordinates with external regulatory agencies viz. Income Tax Department, Custom & Excise Department, etc. and provides them data as and when requested for regulatory purposes. The Division, on behalf of the Ministry, also works in coordination with external agencies for integration of databases (such as PAN/TAN/UIDAI etc.) and other such requirements, as and when need arises.

6. Ease of Doing Business

The Ministry offers select services on 'e-Biz' - a single window portal launched for the purpose of providing "Ease of Doing Business" by the Government of India, integrating several government services of different ministries/departments so as to facilitate faster clearances for businesses. The e-Governance Division coordinates with e-Biz for functioning of the MCA services offered on the e-Biz platform.

INVESTORS' GRIEVANCES MANAGEMENT/REDRESSAL

Functions of Investor Grievances Management Cell (IGMC)

1. Investor Grievance Management Cell (IGM) [earlier known as Investor Protection Cell (IPC)] was set up in 1993 to deal with investors' grievances. Its function is to take up the grievances of investors through the jurisdictional Registrars of Companies and Official Liquidators. It also coordinates with the Department of Economic Affairs, Reserve Bank of India and SEBI for redressal of investors' complaints received in Ministry but pertaining to these agencies. Broadly, the complaints relate to the following issues:

(i) Non-receipt of annual report (ii) Non-receipt of dividend amount (iii) Non-refund of application money (iv) Non-payment of matured deposits and interest thereon (v) Non-receipt of duplicate shares (vi) Non-registration of transfer of shares (vii) Non-issuance of share certificates (viii) Non-receipt of debentures/bonds certificates (ix) Non-issuance of bonus shares (x) Non-issuance of interest on late payment (xi) Non-redemption of debentures and interest thereon (xii) Non-receipt of share certificates on conversion.

STANDARD OPERATING PROCEDURE FOR DISPOSAL OF GRIEVANCES RECEIVED IN MINISTRY (HQ.) AND FIELD OFFICES

In order to integrate the Investors Grievance/Complaints received in physical form/Email in the Ministry into electronic form with MCA21 portal, the following steps have been devised:

(a) Action by Central Investor Grievance Cell (IGM Section):

- All grievances/complaints received in physical/Email form which concerns the Ministry of Corporate Affairs are scanned /uploaded/ forwarded online to RDs/ROCs/OLs through MCA21 portal by concerned Dealing Hands grievances/complaints pertaining to other Ministries/Departments and regulatory organizations such as RBI, SEBI, IRDA etc., are forwarded to concerned Departments/Ministries/Organization by DAK.
- IGM section in the Ministry headed by a Joint Secretary level Officer oversees, reviews and monitors the redressal mechanism operating at Regional and ROC level.

(b) Action by Regional Investor Grievance Cell (RD Office)

- It must be ensured that each and every complaint/grievance received through any mode (physical or electronic) is entered on MCA21 system.
- RD Office has the original jurisdiction of attending to the grievances relating to its own jurisdiction and over ROCs/OLs. It shall supervise the functioning of Local Investor Grievance Cell (ROCs/OLs). The Regional Director will head the Regional Investor Grievance Cell and shall submit consolidated monthly report in the prescribed proforma to Central IGM Cell.
- RDs have to ensure that grievances pending in their jurisdiction are redressed within the time period stipulated in the Citizen Charter. If it is not possible to do

so, a detailed report is to be sent to the Central Investor Grievance Cell (IGM Section) alongwith a time bound action plan for speedy clearance.

- All grievances/complaints received in physical/Email form which concerns Ministry of Corporate Affairs shall be scanned /uploaded/ forwarded online to ROCs/OLs through MCA21 portal by concerned Official.

RD Office shall also attend to investor grievance relating to investors within its own jurisdiction. Grievances/complaints pertaining to other Ministries/Departments and regulatory organizations such as RBI, SEBI, EPFO etc., shall be forwarded to concerned Departments/Ministries/Organization by DAK.

- Action taken report on Grievances/Complaints shall be submitted online to IGM Cell at HQ.
- One officer of sufficiently senior level must be designated as nodal officer for grievances. His details like name, designation, telephone no. (Landline and mobile) and email address is displayed prominently on the portal of the RD office and also conveyed to the Ministry.

(c) Action by Local Investor Grievance Cell (ROC and OLs)

- It must be ensured that each and every complaint/grievance received through any mode (physical/email) is entered on MCA21 system.
- These shall be located in the offices of ROC/OL. This investor grievance cell shall attend to investor grievance relating to investors within the respective jurisdiction. They have to send a monthly report in the prescribed proforma to the Regional Grievance Cell (RD Office).
- ROCs have to ensure that grievances pending in their jurisdiction are redressed within the time period stipulated in the Citizen Charter. If it is not possible to do so, a detailed report is to be sent to the Regional Investor Grievance Cell (RD Office) alongwith a time bound action plan for speedy clearance.
- All grievances/complaints received in physical/Email form which concerns Ministry of Corporate Affairs shall be scanned /uploaded into the MCA21 portal and converted into online work item. Thereafter, the online work item shall be processed by the concerned official manually. Grievances/complaints pertaining to other Ministries/Departments and regulatory organizations such as RBI, SEBI, EPFO etc., shall be forwarded to concerned Departments/Ministries/Organization by DAK.
- Action taken reports on Grievances/Complaints shall be submitted online to Central IGM Cell in HQ Ministry of Corporate Affairs.

One officer of sufficiently senior level must be designated as nodal officer for grievances. His details like name, designation, telephone no.(Landline and mobile) and email address must be displayed prominently on the portal of the ROC office and also conveyed to the Ministry.

2. The following categories of grievances to be closed immediately:

- Complaints relating to companies under liquidation after advising the complainants to approach the concerned Official Liquidator.

- Complaints relating to internal management disputes, matters pending before judicial forums and litigation based complaints.
- Duplicate complaints.
- In case the appropriate authority files prosecution against the company and/or its officers in default pursuant to matter complained by complainant.
- ROC to send well drafted and reasoned reply to the citizens before closing/disposing the grievance on MCA21 portal and indicate reasons for closure of complaints in MCA21.

3. The complaints pertaining to other organizations should be forwarded to such organizations in physical form under intimation to the complainant. The categories/nature of complaints pertaining to other organizations are detailed below:-

S.No	Nature of Complaint	Concerned Organization
1.	Multi-level marketing scheme or a scheme falling under the Price Chit and Money Circulation Schemes (Banning) Act, 1978, including a company carrying on chit fund business	Department of Economic Affairs
2.	Termination of services, non-payment of salary, terminal benefits etc. (service-related matters)	Ministry of Labour & Employment
3.	Non-Banking Finance Company (NBFC) or Residuary Non-Banking Company (RNBC) registered with RBI	Reserve Bank of India
4.	Collective investment scheme	SEBI
5.	Intermediaries registered with SEBI, such as stock brokers, depository participants, mutual funds	SEBI
6.	Issue and transfer of securities and non-payment of dividend in respect of listed companies and also the companies which intend to get their securities listed on any recognized stock exchange	SEBI
7.	Chit Fund Companies	Registrar of Chit Funds of the concerned State.
8.	Real estate companies	Ministry of Urban Development and Housing
9.	Disputes concerning title of properties or in the nature of commercial disputes	Court/Tribunal of appropriate jurisdiction

10.	Misuse of digital signature (resulting in alleged filling of form 32 or form 2 etc.)	Appropriate police authority, as prescribed in Information Technology Act, 2000
11.	Deficiencies in products or services of a company	Consumer Court of appropriate jurisdiction or the Ministry of Consumer Affairs

Check List/ Matters to be included in Review of Offices of RDs

1. Review Details:

- a. Date of last Review
- b. Date of present Review
- c. Period covered in the present Review

2. Name and designation of the officer conducting present Review and the names and designations of officers /staff accompanying him during Review.
3. Name of the RD incumbent at the time of Review with date of his posting.
4. Matters pointed out in last Review and still pending resolution/ action and the point where action is pending with RD or MCA HQ or any other point.

5. Establishment matters:a. Staff strength:

SN	Group	Sanctioned	Filled	Vacant
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b. Reasons for vacancy and action taken to fill the vacancy.

c. Names of the officers/staff on leave for a period more than one month, if any, and reasons thereof.

d. Service matters litigations pending, if any:

SN	Name of Officer/Official	Forum/Court	Since pending (date)	Brief of Litigation
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e. Whether all service books, leave records and other service records are prepared up-to-date.

f. Whether all the Notice boards statutorily to be displayed have been installed and displayed conspicuously?

g. List of all standing committees in the office

SN	Name of the Commttee	Chairperson	Total meetings held
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h. Attendance Records: Whether verified periodically? Whether attendance is marked in manual registers or on bio-matric machines?

- i. Whether there are separate rest rooms/washrooms for female staff? Whether there is a crech facility/common room for female staff?²
 - j. Whether the accounts of expenditure /budget have been reconciled with PAO regularly? When was the last reconciliation done? Whether any irregularities were observed? If yes, details thereof.
 - k. Whether the office is up-to-date in depositing Income tax deducted at source and filing of TDS returns? If no, what is the period of default?
 - l. Whether Form 16/16A of Income tax have been issued to all employees and other persons from whom TDS was deducted at source?
 - m. Whether all bills are being processed in time? What is the pendency as on the date of the Review?
 - n. Whether all utility bills are being paid in time?³
6. **Visitor's management:** Whether the public timings as per regulations are being adhered to? Whether visitors are attended in a professional and courteous manner?⁴.
7. **Audit:** RD offices are subject to audit by AG office/PAO/Principal PAO/CCA/CAG. The following details to be captured :

SN	Date of Audit/Number of audit para	Number of audit para having financial implications	Action taken	Number of audit paras pending action	Remarks

8. **Allocation of work to each officer and staff:**

- a. This shall contain information for work allocated to each officer and staff and the period since then they are on the same job
- b. Whether there have been periodic rotations or not?
- c. Are there any instances that there is concentration of functions with one or two officers? Is there equitable distribution of functions amongst officers/staff?

9. **Infrastructure Issues and office management:**

Area	Furniture	Office	Number of	Further

² Check the norms for crech facilities etc. on the basis of number of employees.

³ Instances of inordinate delay of say more than one month are to be reported.

⁴Efforts should be made to take a feel of the satisfaction level of the visitors and the stakeholders. Try to talk to a few of them and take feedback. For this a feedback form can be prepared

occupied	available	equipment's	desk tops	requirements
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- a. Whether on rent or own building? If on rent, whether it is justified to have own building.
- b. General upkeep and hygienic condition of the office
- c. What are the physical access rules in the office for safe guard and to control unauthorized entry in the office during the day as well as night watchman arrangements?
- d. Whether record is kept of the persons having keys of the doors/locks for entry in the office?
- e. Whether rooms/cabins within the office are locked before leaving the office? If so, who keeps the keys?
- f. Whether there are adequate arrangements for fire prevention? Whether clearance has been taken from Fire Department wherever required?

10. **File/Registers management:**

- a. Whether files are being maintained in a tidy manner?
- b. Whether files are properly named and numbered? Whether files are properly marked as confidential/secret etc. wherever required?
- c. Whether diary, dispatch, VIP references, and other registers maintained properly?

11. **Evaluation of Internal Control system:** Whether there is an internal control in place to attend to the following in time and give Pending numbers as on date in each case ::

- (a) Parliament Questions/ Assurances ;
- (b) VIP references;
- (c) Other Ministry/Department references;
- (d) MCA References/RD references
- (e) REIC references
- (f) From other regulators

12. **Inspection and Investigation** (under section 206) Attach a list of cases pending indicating the stage at which each case is pending and also indicating the reason to take up in each case viz complaint/IPO fund utilization/reference from other departments/audit qualification etc. and time taken from order to sending report in each case) :

	Pending (opening)	New cases taken up	Closed (Report sent)	Pending (Closing)	Recommended Investigation
Inquiry					
Inspection					
Total					

13. Follow up of Inquiry and Inspection :

	Total reports Inspection submitted in last 3 year)			Instructions received	All action taken and matter closed	Partially action taken	No action taken till date
	Less than six months	More than 6 months but upto 3 years	More than 3 years				
Inquiry							
Inspection							
Investigation							
Total							

14. Compounding of Offences :

S.No.	Cases Received during the year	Cases compounded	Cases pending	Pending more than 2 months

15. Report on Schemes of arrangements:

S. No.	Cases Received during the year	Cases in which affidavit filed	Cases pending	Pending more than 2 months

6. Details in respect of delegated matters (in last financial year)

Section	Opening Balance as on 1 st April __	Received during the financial year	Disposed during the financial year	Balance as at the end of the financial year
S.22-C.A.1956				
S.16-C.A.2013				
S.621A				
S.391 to 394				
S.224(7) C.A.1956				
S.140(1)-C.A.2013				
S.224(3)-C.A.1956				
S.139-C.A.2013				
S.141-C.A.1956				
S.87-C.A.2013				
S.17(2)-C.A.1956				
S.13(4)-C.A.2013				
S.18-C.A.1956				
Total				

Average compliance rate of filing of Annual Report and Balance Sheet in respect of all RoCs of the Region.

(Note Special steps taken if any to increase the compliance rate may be stated)

Check List/ Matters to be included in Review of Offices of ROC's

1. Review Details:

- a. Date of last Review
- b. Date of present Review
- c. Period covered in the present Review

2. Name and designation of the officer conducting present Review and the names and designations of officers/staff accompanying him during Review.

3. Name of the ROC incumbent at the time of Review with date of his posting

4. Matters pointed out in last Review and still pending resolution/ action and the point where action is pending ROC/RD or MCA HQ or any other point.

5. Establishment matters:

a. Staff strength:

SN	Group	Sanctioned	Filled	Vacant
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- b. Reasons for vacancy and action taken to fill the vacancy
- c. Names of the officers/ staff on leave for a period more than one month, if any, and reasons thereof.
- d. Service matters litigations pending, if any

SN	Name of Officer/ Official	Forum/Court	Since pending (date)	Brief of Litigation
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- e. Whether all service books, leave records and other service records are prepared up-to-date.
- f. Whether all the Notice boards statutorily to be displayed have been installed and displayed conspicuously?
- g. List of all standing committees in the office:

1 The review should include both quantitative as well as qualitative examination of the functions performed in the office. Use reports available in MCA21 and analyse the same instead of ROC's to fill up the data again in this report. The relevant reports considered shall be part of the report as Annexures. The reviewing officer shall not only report the facts/statistics but also give his view and suggestive course of action wherever required. Test check of at least 10% of total records and point out deficiencies, if any. If the deficiencies are more than 20% increase the test check to another 10%.

2. Specific comments if there are any lapses in the order, conduct of meetings and maintenance of minutes of the said meetings.

SN	Name of the Committee	Chairperson	Total meetings held
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- h. **Attendance Records:** Whether verified periodically? Whether attendance is marked in manual registers or on bio-matric machines?
- i. Whether there are separate rest rooms/washrooms for female staff? Whether there is a crech facility/common room for female staff?³
- j. Whether the accounts of expenditure /budget have been reconciled with PAO regularly? When was the last reconciliation done? Whether any irregularities were observed? If yes, details thereof.
- k. Whether the office is up-to-date in depositing Income tax deducted at source and filing of TDS returns? If no, what is the period of default?
- l. Whether Form 16/16A of Income tax have been issued to all employees and other persons from whom TDS was deducted at source?
- m. Whether all bills are being processed in time? What is the pendency as on the date of the Review?
- n. Whether all utility bills are being paid in time?⁴
6. **Visitor's management:** Whether the public timings as per regulations are being adhered to? Whether visitors are attended in a professional and courteous manner?⁵.
7. **Audit:** Roc offices are subject to audit by AG office/PAO/Principal PAO/CCA/CAG. The following details to be captured :

SN	Date of Audit/Number of audit para	Number of audit para having financial implications	Action taken	Number of audit paras pending action	Remarks
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8. **Allocation of work to each officer and staff:**

- a. This shall contain information for e form and non e form functions to each officer and staff and the period since then they are on the same job

³ Check the norms for crech facilities etc. on the basis of number of employees.

⁴ Instances of inordinate delay of say more than one month are to be reported.

⁵ Efforts should be made to take a feel of the satisfaction level of the visitors and the stakeholders. Try to talk to a few of them and take feedback. For this a feedback form can be prepared

- b. Whether there have been periodic rotations or not?
- c. Are there any instances that there is concentration of functions with one or two officers? Is there equitable distribution of functions amongst officers/staff?

9. **Infrastructure Issues and office management:**

Area occupied	Furniture available	Office equipment's	Number of desk tops	Further requirements
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- a. Whether on rent or own building? If on rent, whether it is justified to have own building.
- b. General upkeep and hygienic condition of the office
- c. What are the physical access rules in the office for safe guard and to control unauthorized entry in the office during the day as well as night watchman arrangements?
- d. Whether record is kept of the persons having keys of the doors/locks for entry in the office?
- e. Whether rooms/cabins within the office are locked before leaving the office? If so, who keeps the keys?
- f. Whether there are adequate arrangements for fire prevention? Whether clearance has been taken from Fire Department wherever required?

10. **File/Registers management:**

- a. Whether files and record room are being maintained in a tidy manner?
- b. Whether files are properly named and numbered? Whether files are properly marked as confidential/secret etc. wherever required?
- c. What are the arrangements to keep keys of record room?
- d. Whether files are kept in the record room at the close of the day or found kept/scattered on the tables? What is the file management system? Whether file movement registers are maintained properly and up-to-date and checked periodically. Specifically point out deficiencies, if any, in the system
- e. Whether diary, dispatch, VIP references, and other registers maintained properly?

11. **Evaluation of Internal Control system:** Whether there is an internal control in place to attend to the following in time and give Pending numbers as on date in each case ::

- (a) Parliament Questions/ Assurances ;
- (b) VIP references;
- (c) Other Ministry/ Department references;
- (d) MCA References/ RD references
- (e) REIC references
- (f) From other regulators

12. Action against companies defaulting in filing of Annual Returns and Balance Sheets⁶:

SN	Companies	Non-Government Public Listed	Non-Government Public Unlisted	Non-Government Private	Govt. Public	Govt. Private
1	Total defaulting (BS)					
2	Prosecution filed (BS)					
3	Total defaulting (AR)					
4	Prosecution filed (AR)					

- a. Whether action against defaulting companies is satisfactory?
- b. Comments for reasons if there is a delay in taking action.
- c. Whether ROC has chalked out a plan to take timely action and whether any targets are fixed?

13. Details of legal cases (separate for cases filed by ROCs and other cases) being filed against Government/ contempt, etc.) :

Cases pending Opening	Cases filed	Cases disposed	Pending	Cases disposed in favour	Cases disposed against	Cases wherein accused was acquitted	Appeal filed
In lower court							
At High court							
At Supreme court							
CLB							

- a. Aging schedule of pending cases :
 - i. 0 to 6 months

⁶ There is a detailed Report in MCA21 Intelliview report regarding defaulting companies and number of defaulting companies can be taken from such report. ROC is to fill only the action taken in each category.

- ii. 6 months to 1 year
 - iii. > 1 year but < 3 years
 - iv. >3 years but <5 years.
 - v. More than 5 years.
- b. List of Accused declared Proclaimed Offenders by the court under section 82 of Cr.PC in the cases filed by Roc with further action taken in each case like proceedings under section 83 of Cr.PC in each case.
 - c. General reasons for pendency of cases in court for period more than 1 year, if any, and specifically number of cases pending for want of service. What action has been taken for substituted service? Whether efforts have been taken to clear the pendency?
 - d. Any significant orders like cases resulting in some land mark judgment settling a legal issue which can be shared with all ROC's/RD's and MCA HQ

14. Investor Complaints⁷ :

	Pending (Opening)	Received	Disposed	Pending (Closing)
Received Physically (manual)				
E-complaints				
Total				

- a. Whether each complaint is acknowledged?
 - b. Whether the complaints received in paper format are converted to e-complaints regularly? What is the number of paper complaints received and yet to be converted to e- complaints?
 - c. Whether a master register is maintained for paper complaints received?
 - d. At what stage a complaint is treated to be as disposed?
15. **Inquiry and Inspection** (under section 206) Attach a list of cases pending indicating the stage at which each case is pending and also indicating the reason to take up in each case viz complaint/IPO fund utilization/reference from other departments/audit qualification etc. and time taken from order to sending report in each case):

⁷ There are detailed reports on Complaints management in MCA21 system. This is summary of such report. The detailed reports should be studied to see whether the complaints are being attended properly.

	Pending (opening)	New cases taken up	Closed (Report sent)	Pending (Closing)	Recommended Investigation
Inquiry					
Inspection					
Total					

16. Follow up of Inquiry and Inspection :

	Total reports received since last Inspection (in case of first Inspection in last 3 year)			Instructions received	All action taken and matter closed	Partially action taken	No action taken till date
	Less than six months	More than 6 months but upto 3 years	More than 3 years				
Inquiry							
Inspection							
Total							

17. Adjudication of Penalties:

Opening	Initiated	Closed	Pending closing	Total penalty imposed

18. Disposal of e-Forms by each officer⁸ (Service Delivery)

Name of the officer	Total Forms approved	Forms approved without resubmission/ PUCL	Forms approved with Resubmission/ PUCL	Average disposal per month ⁹

19. Aging Schedule of disposal of e-forms (Number of forms) :

- On the same day
- >1 day but <3 days
- 3 days but <5 days
- 5 days but less than 7 days
- 7 days but <15 days
- Over 15 days but less than 30 days

⁸ Various report on disposal of e- forms are available in MCA21 system. These report should be studied to know the quality and also to have a fair idea of quality of disposal.

⁹ Number of forms approved by each officer. See if there are mismatches from average disposal per officer and find out what else he/she is doing to explain variances from average

g. Over 30 days

20. Compounding of Offences :

S.No.	Cases Received during the year	Cases forwarded to compounding authority	Cases pending	Number of cases wherein report was forwarded beyond 30 days with brief reasons for delay.

21. Report on Schemes of arrangements:

S. No.	Cases Received during the year	Cases forwarded to compounding authority	Cases pending	Number of cases wherein report was forwarded beyond 30 days with brief reasons for delay

22. List out the unresolved issues pointed out by the office on the working of MCA21 Application.
23. List out the unresolved issues/references sent by the office to RD and MCA HQ.
24. List out the suggestions , if any, sent by office to RD and MCA HQ to improve the working /service delivery
25. Overall comments on qualitative assessment of functions performed by the office and suggestions for further improvements.

FORMAT FOR REVIEW OF THE OFFICES OF OFFICIAL LIQUIDATOR**1. Review Details:**

- (a) Date of Last review
 - (b) Date of present review
 - (c) Period covered in the present review
2. Name and designation of the officer conducting present review and the names and designations of officers/staff accompanying him during review
3. Name of the OL incumbent at the time of review with date of his posting.
4. Matters pointed out in last review and still pending for resolution/action and the point where action is pending with OL/RD or MCA HQ or any other point.

Part-A*(To be filled by the Official Liquidator)***5. Staff position:**

Sl. No.	Name of post/grade	Sanctioned		In position	Number of vacancies and date from which vacant	Remarks, if any
		(i) Permanent	(ii) Temporary			

6. A. COMPANY PAID STAFF

- (a) Number of persons in position as on date
- (b) Number of persons appointed prior and after 27.08.1999
- (c) Number of Company Paid Staff absorbed till date
- (d) Number of Company Paid Staff waiting absorption:
- (e) Whether OL is satisfied with their performance, if not, what is his recommendation:

B. Hiring of Professionals/Consultant

Whether OL has engaged trainees from ICSI/ ICWAI / ICAI or engaged the consultants to assist him. If so, furnish the details of such engagement (date of engagement, period for which engaged, remuneration paid, account/head under which remuneration is being paid)

7. Infrastructure and office equipment:

- (a) Whether the building/office premises of Official liquidator is owned by the Government of India or is rented:
- (b) If rented, what is the rent being paid:
- (c) Whether the accommodation available with OL is sufficient for accommodating all the officials of OL:
- (d) If not, what alternative arrangements OL have:
- (e) Whether the records of the companies properly preserved, inventorized.

Area occupied	Office equipment available including computer (whether in working order)	Number of printers, fax machine & scanners available	numbers of ports where internet facility is available	Availability of MCA21 system access. To whom available	Opinion of OL on deficiencies in infrastructure available

8. Punctuality:

- (a) Whether attendance is marked in manual registers or bio-metric machine.
- (b) Whether the punctuality is monitored on regular basis. How the records of attendance are maintained?

9. Comments on the capacity/capability of the staff:

- (a) Knowledge of rules and procedures
- (b) Efficiency in disposal of work/Knowledge of working on computer
- (c) Any other

10. Details of Capacity Building programme:-

- (a) Number of officials trained by IICA (Government Staff and Company Paid Staff separately).
- (b) Plan of Action for providing training to remaining officials including Company Paid Staff.
- (c) Whether the Official Liquidator is satisfied with the Course Module of training programme being provided by IICA.
- (d) If No, the specific suggestions/comments of the Official Liquidator to make it more effective.
- (e) Specify the evaluation of performance of officials after the training who have undergone training programme

11. Maintenance of Registers and Books of Accounts (Take a sample of five registers)

- (a) Whether the OL is maintaining registers and books of accounts as prescribed under Rule 286 of the Companies (Court) Rules, 1959 and is also maintaining the books of accounts of Companies under liquidation.
- (b) Whether said registers & books of accounts are being maintained manually or they have been computerized.

12. Audit and filing of Accounts

Whether the OL is regularly filing the half-yearly and annual accounts of companies under liquidation after its audit. If not, the reasons for non-filing of accounts.

13. Details of investment of Surplus Fund

Total amount invested in Fixed Deposits/Government Securities under Rule 293 of Companies (Court) Rules, 1959

SL	Name of Company	Amount invested	Name of Bank/Branch where invested	Date of investment	Date of Maturity	Remarks

Whether Register of FDR has been maintained and updated regularly. How often the Register of FDRs is verified and reconciled.

14. Total amount lying in the Common Pool Fund being maintained by OL:

15. Audit Objections:

- (a) Is internal Audit being done every year?
 (b) Date of last visit of internal Audit Team:

Details of pending Audit Objections

Sl. No.	Number of pending Audit Paras, brought to notice by Audit Team	Number of Audit Paras having financial implications	Number of cases of mis-appropriation/em bezzlement, if any	Number of Audit Paras, pending action	Remarks

16. Areas of special concern:

SL	Areas of special concern
(a)	Number of companies having no assets
(b)	Number of companies where assets have been realized but payments have not been made to the eligible claimants alongwith reasons thereof.
(c)	Specify the number of companies pending for dissolution for more than 10 years along with the reasons of such pendency
(d)	Number of those companies under liquidation, where regular hearings are not being held for various reasons (specify the reasons) or where there is very little or no progress.
(e)	Are there companies with landed property for which no watch and ward arrangements have been made? Give the list alongwith reasons

Have special efforts been made by the OL to expedite the dissolution of the abovementioned companies? If yes, the details thereof

17. Number of Companies under liquidation as on _____ (Age-wise)

Modes of winding up	0-5 yrs	5-10 yrs	10-15 yrs	15-20 yrs	20yrs & above	Total
Winding up by the Court						

Voluntary Winding up						
Total						

Specify the reasons/justification for pendency for more than 10 years

PART - B

Voluntary Liquidation

- (i) The number of cases pending in voluntary liquidation
 - (a) Members voluntary liquidations.
 - (b) Creditors voluntary liquidations.
- (ii) The date of submission of final accounts, books and records of the company in voluntary liquidation by the voluntary Liquidator of the company.
- (iii) The date of submission of report under Section 497/509 of the Companies Act by the Official Liquidator.
- (iv) The order passed for dissolution under Section 497/509 of the Act by the High Court.
- (v) The date of intimation of High Court order to ROC by OL.

PART - C

Summing up

- 1 (a). Brief re-capitulation of defects or short-comings noticed and any other comments which Reviewing Officer (s) may have to make:
 - (b) Reviewing Officer to examine & comment on the functions being performed by the sections which it is not supposed to do and the functions not being performed by the sections which they are supposed to do:
 - (c) Comments on punctuality and discipline:
2. Suggestions for improvements
- (a) by the Reviewing officer received from the section staff together with the comments of the Reviewing officer thereon.
3. A general assessment of performance of the section including a comparative appraisal with particular reference to the picture revealed during the last review.

Signature of Reviewing officer
