

No: 16-01/2013-Inspn.
Government of India
Ministry of Communications & IT
Department of Posts
(Inspection Unit)

DakBhavan, Sansad Marg,
New Delhi 110001.
Dated: 28.08.2014

To

1. All Heads of Postal Circles,
2. All Postmasters General,
3. All Directors, Postal Training Centres,
4. Director RAKNPA Ghaziabad,
5. Army Postal Directorate, New Delhi

Subject: Second batch of Supplementary Inspection Questionnaire of HO / SO and BO relating to Remotely Managed Franking Machines, Instant Money Order (iMO), International Money Transfer Service (IMTS), Anti-Money Laundering / KnowYour Customer (AML/KYC).

Inspection Division in support with PO and FS Divisions have developed supplementary sets of inspection questionnaires on

- a. Remotely Managed Franking Machines,
 - b. Instant Money Order (iMO),
 - c. International Money Transfer Service (IMTS), Anti-Money Laundering / Know Your Customer (AML/KYC).
2. The copies of the questionnaires are enclosed. These inspection questions are supplementary to existing Inspection Questionnaire of HO / SO / BO. It is reiterated that these questions are in addition to existing questions laid down in the present questionnaire.
 3. Circles are requested to circulate the questionnaire to its subordinate units for using the same while inspecting the units. It is also requested that Circle may forward suggestions / recommendations to further improve the questionnaire.
 4. Receipt of this letter may be acknowledged.

Enclosures: Second batch of Supplementary Questionnaires

lemohel
28/08/2014
(T.Q. Mohammad)
Director (PO & Inspection)

Copy to:

1. Sr. DDG (Vigilance), Dak Bhawan, New Delhi
2. Shri Ravi Babu, Director, CEPT Mysore to upload the above questionnaire on the website for information to all concerned.

Department of Posts
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Supplementary Inspection Questionnaire on iMO

1. If the Post Office is Internet enabled. Whether iMO service is activated, If, not the reason thereof?
2. How many iMOs have been booked in Post Office?
3. Number of iMOs booked and paid be checked from vouchers/slips.
4. Whether KYC norms are adhered for iMO payment and proper procedure is followed at the time of booking/process of payment?
5. Whether location of iMO is provided suitably for public convenience?
6. Whether publicity material relating to iMO service is visible in Post Office premises?
7. Whether regular training is conducted to operator/supervisor for smooth functioning of iMO software?
8. Whether any marketing activity to popularize iMO service among the public has been conducted by P.O?
9. Whether money order above Rs. 5000/- to be sent by the member of public has been booked under iMO?
10. Whether tariff of the iMO has been displayed prominently in the public hall for information of public?

Supplementary Inspection Questionnaire on International Money Transfer Service (IMTS)

Operative Guidelines Compliance

1. Are proper signage about availability of IMTS Service is available at the location?
2. Whether proper forms and stationery are used for paying IMTS transactions and are easily available?
3. Date of last IMTS Transaction done (Separately for WU IMTS and MG IMTS)
4. Whether the cash balance of the Post Office is able to meet the requirements of IMTS transactions payments? Are transactions paid immediately or is there any waiting time for want of cash?
5. Is the staff aware of the Operational Guidelines, ie, permissible reasons for receiving remittance, limit of individual transaction amount, limit of paying the amount in cash, number of transactions permissible in a year, etc?
6. Is the staff trained in operating the IMTS software?
7. Is the system functioning properly? If not, since when not functioning and reasons for not making it active.
8. Whether the TRM forms are got filled in completely from the customer? Random check of TRM forms used for paying transactions should be done. The TRM Form should invariably have the Receiver's name and address Sender's Name and Address / Country, Unique Transfer No (MTCN / Reference No), reason for remittance, relation with sender and amount expected fields filled up by the customer.
9. Whether the correct format of the receipt is generated after the completion of the transaction and is attached to the documents related to the transaction records?
10. If the location is a Project Arrow Office, are the details of IMTS transactions entered in the Meghdoot Software at the end of the day? If not, why?

Regarding AML compliance

1. Whether all necessary up-to-date operational guidelines / Circulars on AML / KYC / CFT have been circulated to all the field units?
2. Is regular training / refresher courses being conducted by Circle for staff for the implementation of AML / KYC / CFT guidelines?
3. Are regular checks for all field units being conducted to ensure the implementation of AML / KYC / CFT guidelines?
4. Whether the compiled CTR / STR for IMTS are being sent by the Circle to DDG (PCO) on time? If not, reasons thereof.
5. Is there a proper system put in place for proper maintenance and preservation of transaction records? Is this data retrievable easily and quickly whenever requested by competent authorities?
6. Whether all documents / office records / memoranda pertaining to complex, unusual large transactions and all unusual patterns of transactions and purpose thereof are properly recorded and examined? Is a system put into place for preserving these records for a period of 10 years?
7. Are specific literature / pamphlets for educating the customer on the objectives of KYC programme prepared by the Circle and used by the field units?

Department of Posts
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**Supplementary Inspection Questionnaire on Remotely Managed
Franking Machines**

1. How many departmental RMFMs are currently in use in the office? Are the history sheets being maintained for each machine separately? The details of the machine be verified along with the record/history sheet of the expenditure incurred on each with respect of consumable, repairs etc.
2. How many private RMFMs are registered with the office? The details be checked and see if they are on record.
3. Review the revenue realized through the departmental franking machines during the last 3 years. Have adequate steps been taken for increase in revenue through the machines?
4. Verify error book for both private and Departmental machines maintained for cancelled franked articles with reasons for cancellation since last inspection and error extracts are submitted to Divisional Office.
5. Carry out random check of credits for four dates (one in each quarter) w.r.t. Register of RMFM and SO A/c and that the reading of the office RMFM is recorded on the requisition given by the treasurer/postmaster.
6. Is that bar code scanning being adopted during uploading/crediting in RMFM? If not, the reasons be recorded.
7. Examine the Register for the private RMFMs, see that the license is renewed in time and are current, check RMFM, Record Register, Ledger.
8. Check 10 dispatches made by private RMFM holder w.r.t. daily docket during inspection.
9. Whether MBC/BPC are insisting for production of SOM (Statement of mailing) along with article posted?
10. Are the prescribed checks being carried out by SPM/PM for correct postage as well as entries in the RMFM Register and that entry in RMFM register and ledger tally?
11. Check the register of EFMS with their validly date. See how many EFMS have been cancelled?

12. Check how many departmental EFMS are in existence and their usage w.r.t. their history sheet records?
13. Verify the register of cancellation for RMFM.
14. Check the amount of notional credit for departmental RMFM.
15. Verify how many RMFMs are used on click charge basis.