Public Financial Management System

(PFMS)

https://cpsms.nic.in

Utilization Certificate Module

User Manual for Agencies

Controller General of Accounts

Ministry of Finance

Department of Expenditure

Government of India

AMENDMENT LOG

Version Number	Date	Change Number	Summary of Changes	Sections Changed
1.0	22nd Aug 2013	-	First Release	-
2.0	31st July 2015			

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1. INTRODUCTION

All agencies receiving sanctions have to mandatorily submit Utilization Certificates against the sanction amount received by them. Agencies need to certify that the amount received by it from the Central government has been utilized entirely or the balance amount will either be surrendered or adjusted towards grants in aids payable during the subsequent year.

Currently data of releases since 2009 has been recorded in PFMS, but there are no records of Utilization Certificates.

2. IDENTIFIED STAKEHOLDERS/USER GROUPS

The following stakeholders/user categories are authorized users of the UC module

- Agency Administrator
- Agency Maker
- Agency Checker
- Program Division (PD)
- Pay and Accounts Officer (PAO)

Every user of the system would have the User name and password for authentication.

3. FUNCTIONS OF DIFFERENT STAKEHOLDERS/USERS

3.1 Role of Agency Administrator

- Creates credentials (username,password) for Agency Maker and Agency Checker.
- Agency Administrator can perfom all functions of Agency Maker and Agency Checker.

3.2 Role of Agency Maker

- Enters and Submits UC – An agency maker can enter Utilisation Certificate details of current fiscal year as well as previous fiscal year's for the various schemes mapped to him.

- Can View UC and Modify Submitted UC.
- Digitally Sign the UC (Optional)/ Manually sign the UC.
- Generates GFR19 (In case of manual sign).

- Upload UC (In case of manual sign)

3.3 Role of Agency Checker

- Approves UC – approves the UC that has been uploaded or digitally signed by the Agency Maker.

3.4 Role of Program Division User

- Approves/Returns UC
  - ⁻ Verifies & approves the UC uploaded by Agency
  - ⁻ In case Agency has digitally signed the UC, digitally counter-signs the UC.

3.5 Role of PAO

- Records (Accepts) / Returns UC
  - ⁻ Verifies accepts the UC which has been approved by PD user.
  - ⁻ In case PD has digitally signed the UC, digitally counter-signs the UC.

4. FUNCTIONAL FLOW

1. Agency maker enters the UC details against each sanction and submits the UC. Utilised amount against multiple sanctions can be added in one UC. On submitting the UC the system generrarates a Utilisation Certificate Id.
2. Agency Maker can digitally sign or upload manually signed UC. In case of digital signature, the agency maker digitally signs UC and proceeds to step 6.
3. Agency Maker generates the GFR 19 and prints it (In case of manual signing).
4. Agency Maker signs the above print - out and scans the signed document in pdf format. (in case of manual signing).
5. Uploads the manually signed Scanned GFR19 document (in case of manual signing).
6. Once the UC is uploaded/digitally signed it flows to the Agency Checker, the agency maker cannot make any modifications once UC is uploaded/ digitally signed.

7. The Agency Checker approves or rejects the UC. The Agency Checker can also digitally sign the UC (Optional).

8. After approval the UC moves to the Program Division user and in case of rejection it moves back to Agency maker who can then make the necessary rectifications.

9. The Program Division user verifies & approves the UC or returns it back to the Agency. On approval by PD, UC flows to PAO and on return it flows back to Program division.

10. The PAO either Records (Accepts) the UC or returns it to PD.

11. The acceptance of UC by PAO completes the process.

5. AGENCY MAKER

5.1 Agency Maker – Entering and Submitting a UC

When Agency Maker logs in, the following screen appears. Select the option *Utilization Certificate – Add New UC* from the menu as shown below
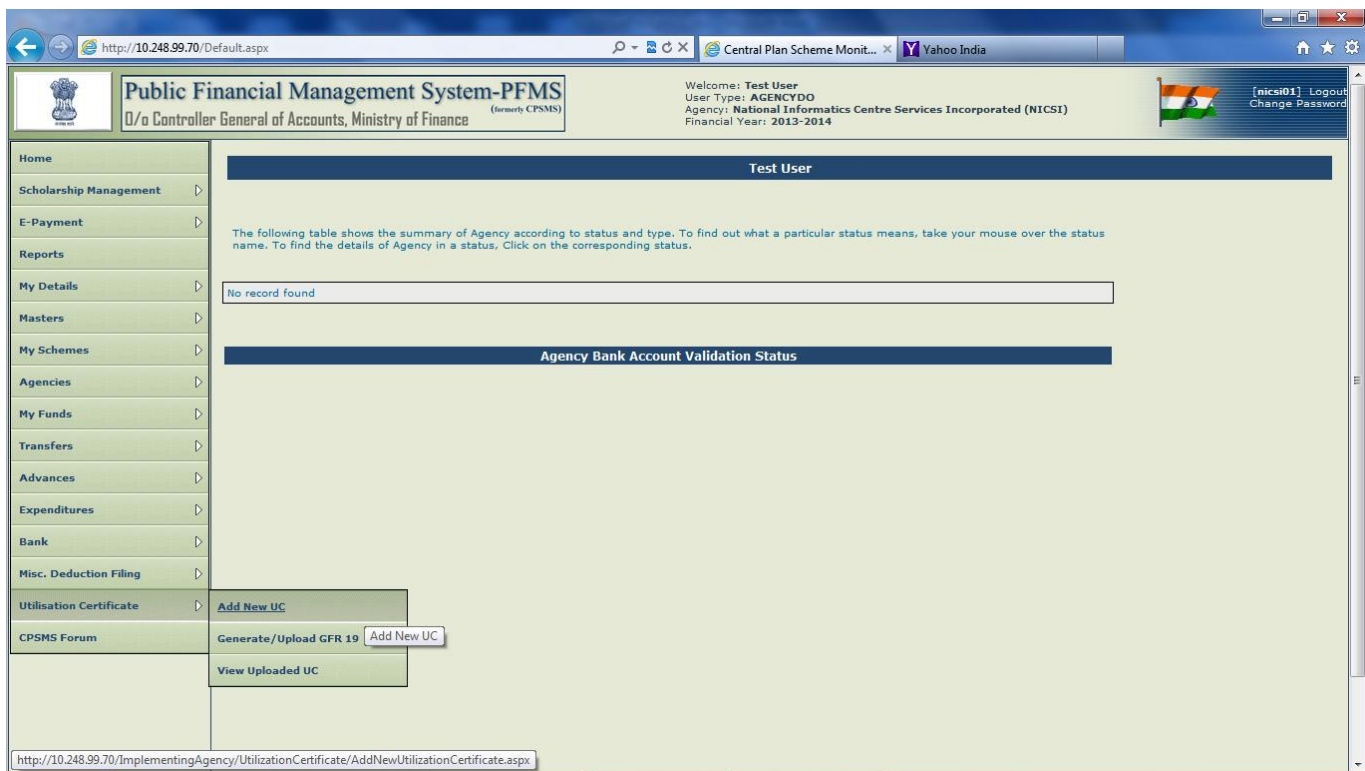
Figure 1.0 Main Menu

On choosing *Add New UC* option, the screen shown below appears, the user needs to choose the Scheme and Financial Year.

Figure 2.0 UC Data-Entry Screen1

On the basis of the Scheme the details of all the sanctions for the selected Financial Year will be displayed. See screen-shot below. Enter the details against each sanction and select 'Add' button. On completion of data entry, click on the Submit button.

Figure 2.1 UC Data-Entry Screen2

Click here to adjust unutilized amount from previous years.

After Clicking on the link button following screen will appear.

Figure 2.2 UC Data-Entry Screen3

By default all the checkboxes will be unchecked. Please check the boxes if you want to adjust previous year unutilized amount and click on submit button.

After Clicking on Submit button, a confirm pop up will shown where Total Adjusted amount and Total checked sanction is displayed in the message click Ok on pop up if agree for the same.

Figure 2.3 UC Data-Entry Screen3

After clicking on Ok button on pop up.
Total Amount from previous year and Total Utilized Amount Text Box value get updated.

Figure 2.4 UC Data-Entry Screen3

When the **Submit** button is clicked the ***system generates a unique Utilisation Certificate ID (UC-ID)*** , which is required for all operations here-after. Using this UC-ID the user will be able to view / edit / approve the Utilisation Certificate. An e-mail containing the UC-ID is also sent to the agency maker. See Screen-Shot below

Figure 2.5 UC Data-Entry Screen3

Note:

If you are not able to submit UC for the particular year (say 2013-2014)
You will get a message on screen that "***Please make sure, you have submitted all previous year outstanding UC***"

It implies that UC is not submitted for previous years .

So please change financial year drop down and check whether UC is submitted for previous years (say 2009-2010).

If previous year UC is not submitted/uploaded then system will not allow you to move further.

Figure 2.5 UC Data-Entry Screen3

5.2 Agency Maker – Modifying UC

To view or modify the submitted UC, Select the option *Utilization Certificate – Manage UC* from the

Figure 3.0 List of UC for Edit

menu. By default all UC's pertaining to the agency are displayed as shown in Figure 3.0 . The user can then filter on the basis of desired Financial Year, Certificate Status , or UC ID if required. Click on `Edit` to make changes . Screen shown below appears, make necessary changes and click on update button. Please note Uploaded or Digitally signed UC's cannot be edited.

Figure 3.1 Update UC

5.3 Agency Maker – Manual Signing and Uploading UC

After submitting the UC, the Agency Maker needs to Generate the form GFR 19, print it, sign it manually and upload the signed scanned document. Steps are described in detail below.

5.3.1 Generating GFR 19

On selecting *Utilization Certificate - Generate/Upload GFR 19* from the menu, the screen shown below appears. Select the desired UC Id for which GFR 19 has to be generated. Only UC ID's which have not yet been uploaded or digitally signed will appear in pull pull-down list. (Uploaded or digitally signed UC's will not appear.) Click on Generate GFR19 button.

Figure 4.0 Generate GFR 19

The GFR 19 is generated as displayed below. Take a print-out of it, sign-it manually and then scan it (as pdf). This pdf document has to be uploaded. (See Section on uploading)

Figure 4.1 Generated GFR19

5.3.2 Uploading GFR 19

On selecting *Utilization Certificate - Generate/Upload GFR 19* from the menu, the screen shown in Figure 5 appears. Choose `Upload Signed GFR-19`. Screen-shot as shown below appears, select the desired UC Id, choose the pdf file created in previous step and click on upload button to upload the file.(Imp Note – After uploading the UC no further amendments can be made by Agency Maker) Once the UC is uploaded it flows to Agency Checker

GFR 19 FORM VIEW/UPLOAD

Upload scanned signed UC in pdf format size should be less than 500kb.

Select
- ○ Generate Form GFR19
- ● Upload Signed GFR19
- ○ Digitally Signed GFR19

Utilization CertificateId   60855 / 17-04-2014

Upload Certificate: [   ] [Browse...]

[Upload] [Cancel]
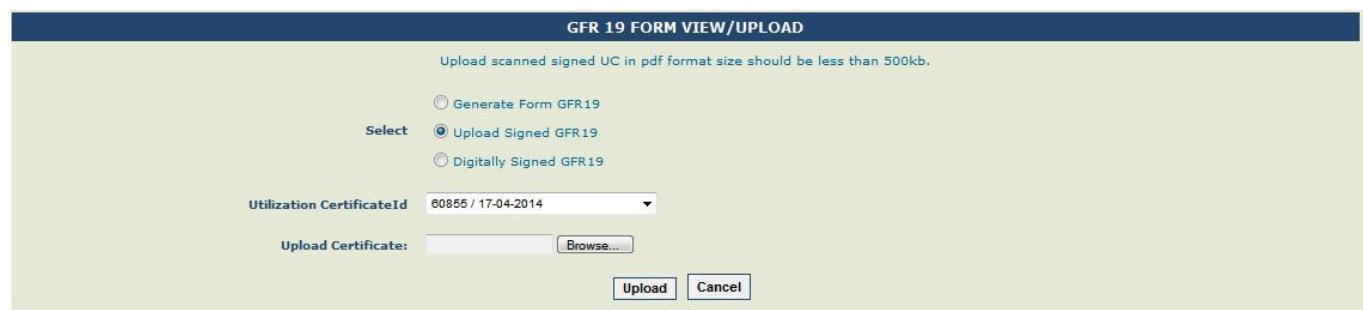
Figure 5.0 Upload GFR19

5.4 Agency Maker – Digitally Signing the UC

Digitally signing the UC is not mandatory. In case user does not want to digitally sign, the steps given in section 5.3 need to be performed. For digitally signing the user needs to first Enrol his/her digital signature. (For Enrolment Refer User – Manual available on PFMS site).

Select *Utilization Certificate - Generate/Upload GFR 19* option from the menu, the screen shown below appears. Select Digitally Sign GFR19 and choose the desired UC-Id and click on SignDigitally.Follow steps given in to Figure 6.1 to **Error! Reference source not found.**.

Figure 6.0 Digitally Sign GFR19

Click on 'No'

Figure 6.1 Digital Signature step1

Figure 6.2 Digital Signature step2

Figure 6.3 Digital Signature step2

Figure 6.4

Figure 6.5

Figure 6.6

Figure 7.0 Digitally Signed GFR19

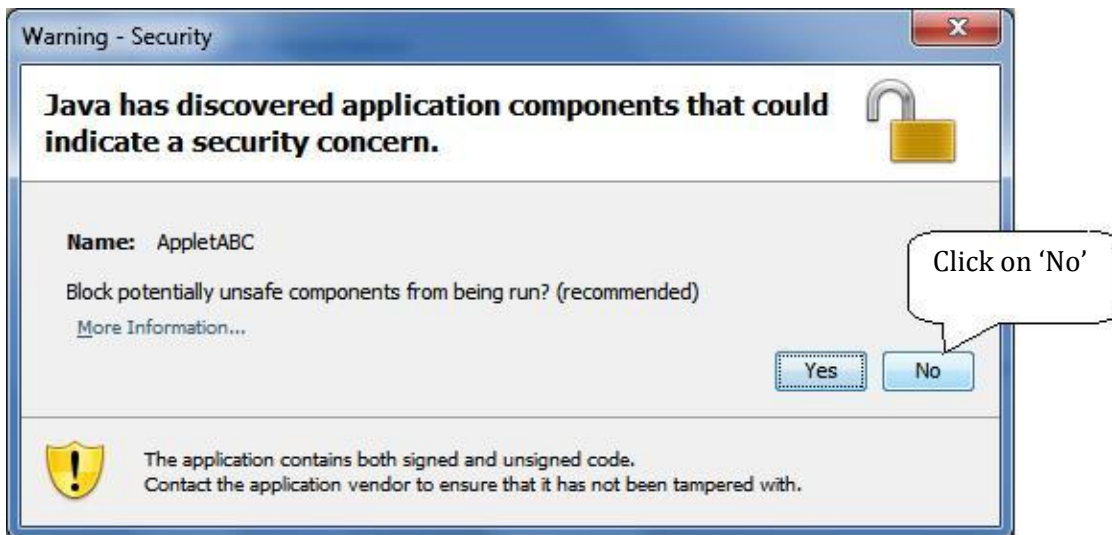**View Digital Sign Details**

Signture Detail

Serial Number: 110106EE96E75EB66502 Owner Name: CN=RAUSHAN RATNESH

DSC
Organisation: O=NIC Locality: OU=ACCOUNTS INFORMATICS DIVISION S=DELHI PostalCode=110003

Valid From: 08/05/2013 Valid To: 07/05/2015

Close

Figure 8.0 Details of Digital Signature

6. AGENCY CHECKER

Once the Agency Maker user uploads a scanned copy of GFR19(UC) or digitally signs the UC, it then flows to the Checker. An Agency Checker user has the authority to either approve or reject the UC. After approval the UC flows to the concerned Ministry, and status of UC is reflected as '*Approved and Sumitted to GOI'.* In case UC is rejected it flows back to Agency Maker.

6.1 Agency Checker – Approve/Reject UC

Login to the PFMS system and select *Utilization Certificate – Approve UC* option from the menu, the following screen appears.

	UC Id	SchemeName	Financial Year	Sanction Amount(Rs.)	Utilised Amount(Rs.)	Surrenderd Amount(Rs.)	Amount to be adjust next year(Rs.)	Certificates	UC Signed By	UC Status	Reason for reject	Digital Sign
☐	⊞ 6083	ELECTRONIC GOVERNANCE	2009-2010	23976000.00	23975000.00	500.00	500.00	View Signed	nicsi0	Approved and submitted to GOI		
☐	⊞ 6084	ELECTRONIC GOVERNANCE	2009-2010	5351000.00	5351000.00	0.00	0.00	View UC		Signed UC is not uploaded or not digitally signed		
☐	⊞ 6085	ELECTRONIC GOVERNANCE	2009-2010	384000.00	384000.00	0.00	0.00	View UC		Signed UC is not uploaded or not digitally signed		
☐	⊞ 6086	ELECTRONIC GOVERNANCE	2009-2010	6500000.00	5000000.00	500000.00	1000000.00	View UC		Signed UC is not uploaded or not digitally signed		

Certificate Approval

FinancialYear --All--   Certificate Status: --All--

UC Id [   ] search

Approve   Reject   Cancel

Figure 9.0 Approve UC

The Agency Checker can view the UC, before approving, for this click on `View UC` or `View Signed` under the 'Certificates' Column. To view the details of Digital Signature click on button under the column 'UC Signed By' .

To approve or reject click on `Approve` or `Reject` button. Only UC's which are *Pending for approval* can be approved or rejected. On clicking `Approve` button, the user is asked to confirm by stating 'I peruse the UC and authorize UC to be sent to grant Sanctioning Authority' as shown below. Click on to continue or else I l.

FinancialYear	--All-- ▼				Certificate Status:	--All-- ▼

UC Id [   ] search

UC Id	SchemeName	Financial Year	Sanction Amount (Rs.)	Utilised Amount (Rs.)	Surrenderd Amount (Rs.)	Amount to be adjust next year (Rs.)	Certificates	UC Signed By	UC Status	Reason for reject	Digi
⊞ 60833	NATIONAL KNOWLEDGE NETWORK						View Signed	rjbu00(	Approved and submitted to GOI		
⊞ 60834	NATIONAL KNOWLEDGE NETWORK						View UC		Approved and submitted to GOI		
⊞ 60835	NATIONAL KNOWLEDGE NETWORK						View UC		Peding for approval		
⊞ 60836	NATIONAL KNOWLEDGE NETWORK	2010-2011	200000000.00	200000000.00	0.00	0.00	View Signed	rjbu00(	Peding for approval		Di
⊞ 60839	NATIONAL KNOWLEDGE NETWORK	2011-2012	1950000000.00	1950000000.00	0.00	0.00	View UC		Signed UC is not uploaded or not digitally signed		

Message from webpage ✕

❓ I persue the UC and authorized UC to sent to grant sanctioning authority.?

[OK] [Cancel]

1 2 3

[Approve] [Reject] [Cancel]

7. AGENCY ADMINSTRATOR

The agency administrator is responsible for user management i.e creating users, editing user details, reseting password of users , and enabling/disabling user accounts. The agency administrator creates user-id's for agency maker and checker and manages their account. The agency administrator can also perform all operations of Agency Maker and Checker.

7.1 Agency Administrator – User Creation

When Agency Administrator logs in, the following screen appears. To create a new user select the option *Masters -> Users -> Add New* from the menu as shown below.
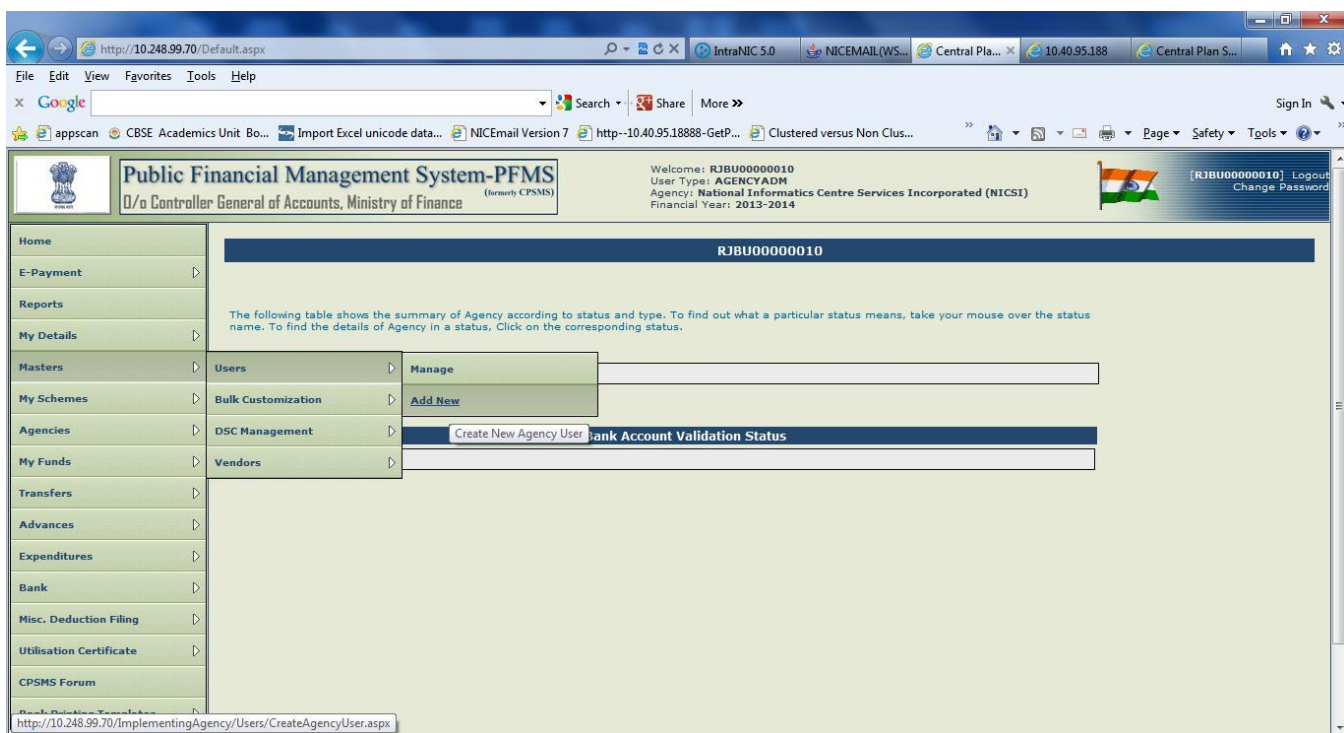
Figure 9.0 Menu for Agency Administrator

On selecting this option the following screen appears (Figure 10.0). Choose the type of user to be created from the pull down. To create Agency Maker user choose Agency Data Operator, and for creating Agency Checker choose Agency Data Approver. Enter all other details and click on Submit button. The user is created and password e-mailed to user.

Figure 10.0 Creating user Screen1

Figure 10.1 Creating User Screen2

7.2 Agency Administrator – Manage User

To manage users select the option *Masters -> Users -> Manage* from the menu. On selecting this option the following screen appears. Click on Search button, the screen shown in Figure 11.0 appears.

Figure 11.0 Managing User (Screen 1)

Figure 11.1 Managing User (Screen 2)

Click on desired user name (from first column). The details of the user is displayed as shown in Figure 11.2

Figure 11.2 Managing User (Screen 3)

On clicking Edit button, the screen shown below appears, modify the desired details and click on Update button.

Figure 11.3 Editing user details

On clicking Disable button in Figure 11.4 , the screen shown below appears, select the reason for disable and enter all other details and click on Save button.

Figure 11.4 Disabling User