

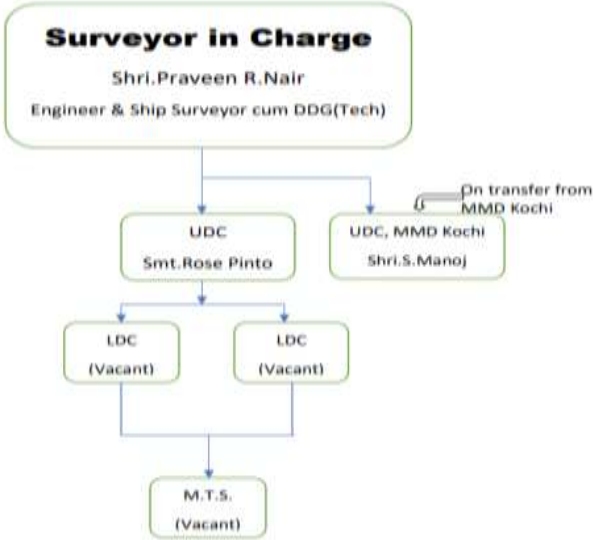
## A FRAMEWORK FOR TRANSPARENCY AUDIT

The RTI Act under section 4 provides a comprehensive framework for promoting openness in the functioning of the public authorities.

While Section 4(1) (a) provides a general guideline for record management, so that the information could be easily stored and retained, the sub-sections b,c and d of Section 4 relate to the organizational objects and functions. Sub-sections (b), (c) and (d) of Section 4 of the RTI Act and other related information can be grouped under six categories; namely, 1-organisation and function, 2- Budget and programmes, 3- Publicity and public interface, 4-E. governance, 5-Information as prescribed and 6. Information disclosed on own initiative.

### 1. Organisation and Function

S.No.	Item	Details of disclosure	Remarks/ Reference Points (Fully met/partially met/ not met- Not applicable will be treated as fully met/partially met)
1.1	Particulars of its organisation, functions and duties [Section 4(1)(b)(i)]	(i) Name and address of the Organization: <b>Mercantile Marine Department, Mangalore</b>	Fully met
		(ii) Head of the organization: <b>Surveyor in Charge</b>	Fully met
		(iii) Vision, Mission and Key objectives: Endeavour to follow the Vision and achieve key objectives laid by the parent Organisation, i.e. Directorate General of Shipping	Fully met
		(iv) Function and duties: MMD Mangalore is a subordinate office under administrative control of Principal Officer, MMD Kochi Function and duties include (a) undertake statutory surveys of ships (b) Flag State and Port State inspection of ships resulting in issuance of a report to the ships and hosting of the same on the respective websites (c) undertake statutory	Fully met

		<p>audits mandated under the International conventions/Codes such as ISM, ISPS, MLC etc. (d) undertake inspection of FFA and LSA service stations as directed by the DGS (e) undertake the audit of the Port Reception Facilities (f) inspect Maritime Training Institutes as directed by the Principal Officer, MMD Kochi (g) other occasional inspections include those mandated for grant of towing permission and inspection for verification of carving and marking note</p>	
		<p>(v) Organization Chart</p>  <pre> graph TD     A["<b>Surveyor in Charge</b> Shri.Praveen R.Nair Engineer &amp; Ship Surveyor cum DDG(Tech)"] --&gt; B["UDC Smt.Rose Pinto"]     A --&gt; C["UDC, MMD Kochi Shri.S.Manoj <small>On transfer from MMD Kochi</small>"]     B --&gt; D["LDC (Vacant)"]     B --&gt; E["LDC (Vacant)"]     D --&gt; F["M.T.S. (Vacant)"]     E --&gt; F   </pre>	Fully met
		<p>(vi) Any other details-the genesis, inception, formation of the department and the HoDs from time to time as well as the committees/ Commissions constituted from time to time have been dealt</p>	N.A
1.2	<p>Power and duties of its officers and employees [Section 4(1) (b)(ii)]</p>	<p>(i) Powers and duties of officers (administrative, financial and judicial):</p>	Fully met

		<p><b>Surveyor in Charge:</b>  (a) Administration of the Merchant Shipping Act, 1958 and the Rules framed there under;  (b) Supervision and control of the financial administration of the MMD as the Drawing &amp; Disbursing Officer;  (c) Supervision and control of the general administrative matters of the MMD as the Head of Office;  (d) duties as detailed in 1.1(iv)</p>	
		<p>(ii) Power and duties of other employees:  <b>UDC:</b>  (a) Responsible for receipt, distribution and accountability of all the references received;  (b) Examination of receipts with reference to Rules and regulations and putting up in the files with necessary notings;  (c) Maintenance of service records and Annual Confidential Reports of officers and staff Fully Met members;  (d) Preparation of budget proposals and returns on revenue and expenditure;  (e) Preparation of periodical reports on various matters;  (f) Carry out any other duties as and when assigned by the superior officers</p>	Fully met
		<p>(iii) Rules/ orders under which powers and duty are derived and</p>	Fully met
		<p>(iv) Exercised</p>	Fully met
		<p>(v) Work allocation</p>	Fully met
1.3	<p>Procedure followed in decision making process  [Section 4(1)(b)(iii)]</p>	<p>(i) Process of decision making Identify key decision making points:  Mode of processing and disposal of work:  • <b>Receipts</b> are sent directly to the Surveyor in Charge (SIC)  • <b>SIC</b> sends the receipt to the UDC with remarks, if any  • <b>UDC</b> diarises the receipts, examines and puts up the case in the relevant file and puts up the file to the SIC.</p>	Fully met

		<ul style="list-style-type: none"> <li>• <b>SIC</b> may either dispose of the case directly or refer to the Principal Officer for Orders/Approval, where necessary. The file then travels down to the Section where the decision is communicated to the concerned.</li> </ul>	
		(ii) Final decision making authority: Surveyor in Charge	Fully met
		(a)GFR, (b)FRSR, (c)CCS Rules (d)Delegation of Financial Powers Rules, 1976 (e) Merchant Shipping Act, 1958 as amended and the Rules framed there under.	Fully met
		(iii) Time limit for taking a decisions, if any : as per Citizen Charter promulgated by the Director General of Shipping	Fully met
		(iv) Channel of supervision and accountability: The processes are supervised by the Head of Department and are subject to annual audits.	Fully met
1.4	Norms for discharge of functions [Section 4(1)(b)(iv)]	<p>(i) Nature of functions/ services offered:</p> <p>(a) Statutory surveys of ships</p> <p>(b) Mandatory audits of ships, shipping companies, Port facility, Maritime Training Institutes under the various Conventions and Codes developed by the International Maritime Organisation and the International Labour Organisation (ILO)</p> <p>(c) Inspection of ships to verify compliance with the national and international requirements as applicable</p>	Fully met
		<p>(ii) Norms/ standards for functions/ service delivery:</p> <p>The Directorate General of Shipping mandates key statutory functions to be performed under the rules and regulations prescribed by the Government of India and the regulations of the International Maritime Organization and International Labour Organization, etc. to fulfill its objectives. As other central Government Departments, the MMD also discharges its designated functions strictly in accordance with the provisions contained in the Supplementary Rules and Fundamental Rules, General Financial Rules, Delegation of Financial Powers Rules, Central Civil Service (Classification, Control and Appeal) Rules, Central Civil Service (Conduct) Rules and the instructions, orders and guidelines stipulated by the Government of India from time to time. In the case of technical and statutory matters, the Merchant Shipping Act, 1958, META Manual and the guidelines and regulations of the International Maritime Organization (IMO) under various</p>	Fully met

		International Conventions like STCW, MARPOL, SOLAS and the such issued by the International Labour Organization (ILO) are relevant. In addition, the Rules framed under the Merchant Shipping Act on various matters like Examination, CDC, regulation of Recruitment and Placement of Seafarers, etc. forms standards for service delivery.	
		(iii) Process by which these services can be accessed: Online and Offline process for service request	Fully met
		(iv) Time-limit for achieving the targets: As per the Citizen Charter promulgated by the DG Shipping	Fully met
		(v) Process of redress of grievances: The following grievances redressal system is available (a) Public Grievances Portal (b) Online Concurrent feedback Grievances redress mechanism of the Directorate General of Shipping (c) Query/grievances received through e-mail are also addressed.	Fully met
1.5	Rules, regulations, instructions manual and records for discharging functions [Section 4(1)(b)(v)]	(i) Title and nature of the record/ manual /instruction:  <b>1. Merchant Shipping Act and Rules framed there under. 2. For Administrative purposes CCS, FRSR and GFR 3. Rules available in the DG Shipping website.</b>	Fully met
		(ii) List of Rules, regulations, instructions manuals and records.  <b>Rules framed under Merchant Shipping Act, 1958 and the executive orders issued by DG Shipping are available on the DG Shipping website <a href="https://www.dgshipping.gov.in/">https://www.dgshipping.gov.in/</a></b>	Fully met
		(iii) Acts/ Rules manuals etc  <b>As per (ii) above</b>	
		(iv) Transfer policy and transfer orders	Fully met

		<ul style="list-style-type: none"> <li>• The transfer of Group 'A' officers are undertaken as per the transfer policy of the Directorate General of Shipping.</li> <li>• Transfers of Group 'C' employees are as per the Recruitment Rules of respective MMDs and are regulated by the concerned Principal Officer.</li> </ul>	
1.6	Categories of documents held by the authority under its control  [Section 4(1)(b)(vi)]	(i) Categories of documents <b>1. Confidential Documents</b> <b>2. Personal files of Officers &amp; staff</b> <b>3. Documents related to survey / Audit of ships</b> <b>4. Documents related to Port State/ Flag State inspection of ships</b> <b>5. Documents related to Audit of Port facilities</b> <b>6. Documents related to Administration, Accounts related to the office</b>	Fully met
		(ii) Custodian of documents/categories  <b>Surveyor in Charge</b>	Fully met
1.7	Boards, Councils, Committees and other Bodies constituted as part of the Public Authority [Section 4(1)(b)(viii)]	(i) Name of Boards, Council, Committee etc.	Nil
		(ii) Composition	--
		(iii) Dates from which constituted	--
		(iv) Term/ Tenure	--
		(v) Powers and functions	--
		(vi) Whether their meetings are open to the public?	--
		(vii) Whether the minutes of the meetings are open to the public?	--
		(viii) Place where the minutes if open to the public are available?	--
1.8		(i) Name and designation	<b>Fully met</b>

	Directory of officers and employees [Section 4(1) (b) (ix)]	<b>(a) Praveen R. Nair, Surveyor in Charge</b> <b>(b) Rose Pinto, UDC</b> <b>(c) S.Manoj Kumar, UDC</b>		
		(ii)	Telephone , fax and email ID <b>Phone: 824 -2407572 (D)</b> <b>Fax: 824-2400430 (F)</b> <b>Email: mlr-sicmmd@gov.in</b>	

1.9	Monthly Remuneration received by officers & employees including system of compensation [Section 4(1) (b) (x)]	(i)	List of employees with Gross monthly remuneration	<b>Fully met</b>	
			<b>Shri Praveen Nair, Surveyor in Charge</b>		<b>₹1,29,365/-</b>
			<b>Smt. Rose Pinto, Upper Division Clerk</b>		<b>₹67,276/-</b>
			<b>Shri S. Manoj Kumar</b>	<b>₹45,468/-</b>	
		(ii)	System of compensation as provided in its regulations <b>N.A</b>	<b>N.A</b>	
1.10	Name, designation and other particulars of public information officers [Section 4(1) (b) (xvi)]	(i)	Name and designation of the public information officer (PIO), Assistant Public Information (s) & Appellate Authority  <b>Praveen R. Nair</b> <b>Surveyor in Charge</b>	<b>Fully met</b>	
		(ii)	Address, telephone numbers and email ID of each designated official.  <b>Mercantile Marine Department, 1<sup>st</sup> Floor,</b> <b>MMD Quarters Building, 23<sup>rd</sup> Street,</b> <b>NMPT colony, Panambur,</b> <b>Mangalore - 575010</b>		

		<b>Phone: 824 -2407572 (D)</b> <b>Fax: 824-2400430 (F)</b> <b>Email: mlr-sicmmd@gov.in</b>	
1.11	No. Of employees against whom Disciplinary action has been proposed/taken (Section 4(2))	No. of employees against whom disciplinary action has been (i) Pending for Minor penalty or major penalty proceedings: Nil (ii) Finalised for Minor penalty or major penalty proceedings: Nil	<b>Fully met</b>  <b>Fully met</b>
1.12	Programmes to advance understanding of RTI (Section 26)	(i) Educational programmes: <b>NIL</b> (ii) Efforts to encourage public authority to participate in these programmes: NA (iii) Training of CPIO/APIO: <b>Nil</b> <b>(iv)</b> Update & publish guidelines on RTI by the Public Authorities concerned: <b>Nil</b>	<b>Not met</b>  <b>Not met</b>  <b>Not met</b>  <b>Not met</b>
1.13	Transfer policy and transfer orders [F No. 1/6/2011- IR dt. 15.4.2013]	Transfer policy and transfer orders <ul style="list-style-type: none"> <li>• The transfer of Group 'A' officers are undertaken as per the transfer policy of the Directorate General of Shipping.</li> <li>• Transfers of Group 'C' employees are as per the Recruitment Rules of respective MMDs and are regulated by the concerned Principal Officer.</li> </ul>	<b>Fully met</b>



## 2. Budget and Programme

S.No.	Item	Details of disclosure		Remarks/ Reference Points (Fully met/partially met/ not met- Not applicable will be treated as fully met/partially met)
2.1	Budget allocated to each agency including all plans, proposed expenditure and reports on disbursements made etc. [Section 4(1)(b)(xi)]	(i) Total Budget for the public authority: <b>Nil</b>		<b>Fully met</b>
		(ii) Budget for each agency and plan & programmes: <b>Nil</b>		
		(iii) Report on disbursements made and place where the related reports are available: <b>Nil</b>		
2.2	Foreign and domestic tours (F.No. 1/8/2012- IR dt. 11.9.2012)	(i) Budget for Domestic Tour: FY 2019-20 : <b>Rs.3,17,000/-</b>		
		(ii) Foreign and domestic Tours by ministries and officials of the rank of Joint Secretary to the Government and above, as well as the heads of the Department. a) Places visited b) The period of visit c) The number of members in the official delegation d) Expenditure on the visit	<b>There are no officers in this Department of the rank of Joint Secretary to the Government of India and above</b>	<b>N.A</b>
		(iii) Information related to procurements a) Notice/tender enquires, and corrigenda if any thereon,		

		<ul style="list-style-type: none"> <li>b) Details of the bids awarded comprising the names of the suppliers of goods/ services being procured,</li> <li>c) The works contracts concluded – in any such combination of the above-and</li> <li>d) The rate /rates and the total amount at which such procurement or works contract is to be executed.</li> </ul>	<b>N.A</b>
<b>2.3</b>	Manner of execution of subsidy programme [Section 4(i)(b)(xii)]	(i) Name of the programme of activity	<b>N.A</b>
		(ii) Objective of the programme	<b>N.A</b>
		(iii) Procedure to avail benefits	<b>N.A</b>
		(iv) Duration of the programme/ scheme	<b>N.A</b>
		(v) Physical and financial targets of the programme	<b>N.A</b>
		(vi) Nature/ scale of subsidy /amount allotted	<b>N.A</b>
		(vii) Eligibility criteria for grant of subsidy	<b>N.A</b>
		(viii) Details of beneficiaries of subsidy programme (number, profile etc)	<b>N.A</b>
<b>2.4</b>	Discretionary and non-discretionary grants [F. No. 1/6/2011-IR dt. 15.04.2013]	(i) Discretionary and non-discretionary grants/ allocations to State Govt./ NGOs/other institutions: <b>Nil</b>	<b>N.A</b>
		(ii) Annual accounts of all legal entities who are provided grants by public authorities: <b>Nil</b>	<b>N.A</b>
<b>2.5</b>	Particulars of recipients of concessions, permits of authorizations granted by the public authority [Section 4(1) (b) (xiii)]	(i) Concessions, permits or authorizations granted by public authority <b>NIL</b>	<b>N.A</b>
		(ii) For each concessions, permit or authorization granted <ul style="list-style-type: none"> <li>a) Eligibility criteria</li> <li>b) Procedure for getting the concession/ grant and/ or permits of authorizations</li> <li>c) Name and address of the recipients given concessions/ permits or authorisations</li> </ul>	<b>N.A</b>

		d) Date of award of concessions /permits of authorizations	
2.6	`CAG & PAC paras [F No. 1/6/2011- IR dt. 15.4.2013]	CAG and PAC paras and the action taken reports (ATRs) after these have been laid on the table of both houses of the parliament.	N.A

### 3. Publicity Band Public interface

S.No.	Item	Details of disclosure	Remarks/ Reference Points (Fully met/partially met/ not met- Not applicable will be treated as fully met/partially met)
3.1	Particulars for any arrangement for consultation with or representation by the members of the public in relation to the formulation of policy or implementation there of [Section 4(1)(b)(vii)] [F No 1/6/2011-IR dt. 15.04.2013]	Arrangement for consultations with or representation by the members of the public (i) Relevant Acts, Rules, Forms and other documents which are normally accessed by citizens	NIL
		(ii) Arrangements for consultation with or representation by a) Members of the public in policy formulation/ policy implementation b) Day & time allotted for visitors c) Contact details of Information & Facilitation Counter (IFC) to provide publications frequently sought by RTI applicants	N.A
		Public- private partnerships (PPP) (i) Details of Special Purpose Vehicle (SPV), if any	N.A
		(ii) Detailed project reports (DPRs)	N.A
		(iii) Concession agreements.	N.A
		(iv) Operation and maintenance manuals	
		(v) Other documents generated as part of the implementation of the PPP	N.A

		(vi) Information relating to fees, tolls, or the other kinds of revenues that may be collected under authorisation from the government	N.A
		(vii) Information relating to outputs and outcomes	N.A
		(viii) The process of the selection of the private sector party (concessionaire etc.)	N.A
		(ix) All payment made under the PPP project	N.A
3.2	Are the details of policies / decisions, which affect public, informed to them [Section 4(1) (c)]	<p>Publish all relevant facts while formulating important policies or announcing decisions which affect public to make the process more interactive;</p> <p>(i) Policy decisions/ legislations taken in the previous one year</p> <p><b>Available in DGS website <a href="https://www.dgshipping.gov.in/">https://www.dgshipping.gov.in/</a></b></p>	<b>Fully met</b>
		(ii) Outline the Public consultation process <b>As per the Standard Operating Procedures laid by the DGS</b>	<b>Fully met</b>
		(iii) Outline the arrangement for consultation before formulation of policy <b>As per the Standard Operating Procedures laid by the DGS</b>	<b>Fully met</b>
3.3	Dissemination of information widely and in such form and manner which is easily accessible to the public [Section 4(3)]	<p>Use of the most effective means of communication</p> <p>(i) Internet (website)</p> <p><b>DGS website <a href="https://www.dgshipping.gov.in/">https://www.dgshipping.gov.in/</a></b></p>	<b>Fully met</b>
3.4	Form of accessibility of information manual/ handbook [Section 4(1)(b)]	<p>Information manual/handbook available in</p> <p>(i) Electronic format <b>Manuals and SOPs are available on the DGS website</b></p> <p>(ii) Printed format : <b>Yes</b></p>	<b>Fully met</b>
3.5		List of materials available	<b>Yes</b>

	Whether information manual/ handbook available free of cost or not [Section 4(1)(b)]	(i) Free of cost <b>Yes</b>	
		(ii) At a reasonable cost of the medium	<b>N.A</b>

#### 4. E.Governance

S.No.	Item	Details of disclosure		Remarks/ Reference Points (Fully met/partially met/ not met- Not applicable will be treated as fully met/partially met)
4.1	Language in which Information Manual/Handbook Available [F No. 1/6/2011-IR dt. 15.4.2013]	(i) English: Yes	Only limited service delivery is on e-governance	<b>Partially met</b>
		(ii) Vernacular/ Local Language: No		N.A
4.2	When was the information Manual/Handbook last updated? [F No. 1/6/2011-IR dt 15.4.2013]	Last date of Annual updation	The e-governance system is centralised with the DG Shipping undertaking periodic updation and up gradation, as required.	<b>Partially met</b>
4.3	Information available in electronic form [Section 4(1)(b)(xiv)]	(i) Details of information available in electronic form <b>Standard Operating Procedures (SOP) of each category of service offered are available on DGS website</b>		<b>Fully met</b>
		(ii) Name/ title of the document/record/ other information: SOP in DGS website		
		(iii) Location where available: <a href="https://www.dgshipping.gov.in/">https://www.dgshipping.gov.in/</a>		
4.4	Particulars of facilities available to citizen for obtaining information [Section 4(1)(b)(xv)]	(i) Name & location of the facility	Particulars are available on the DG Shipping website <a href="https://www.dgshipping.gov.in/">https://www.dgshipping.gov.in/</a>	<b>Fully met</b>
		(ii) Details of information made available		
		(iii) Working hours of the facility		
		(iv) Contact person & contact details (Phone, fax email)		

4.5	Such other information as may be prescribed under section 4(i) (b)(xvii)	(i) Grievance redressal mechanism	<b>Fully met</b>
		Details of applications received under RTI and information provided	<b>Fully met</b>
		(i) <b>01 RTI query received and Information for the same provided</b>	<b>Fully met</b>
		(ii) List of completed schemes/ projects/ Programmes: Nil	<b>N.A</b>
		(iii) List of schemes/ projects/ programme underway: <b>NIL</b>	<b>N.A</b>
		(iv) Details of all contracts entered into including name of the contractor, amount of contract and period of completion of contract <b>NIL</b>	<b>N.A</b>
		(v) Annual Report : <b>NIL</b>	<b>N.A</b>
		(vi) Frequently Asked Question (FAQs) <b>NIL</b>	<b>N.A</b>
		(vii) Any other information such as a) Citizen's Charter: <b>Centralised and is available on DG Shipping website</b>	<b>Fully met</b>
		b) Result Framework Document (RFD)	<b>N.A</b>
		c) Six monthly reports on the	<b>N.A</b>
		d) Performance against the benchmarks set in the Citizen's Charter	<b>N.A</b>
4.6	Receipt & Disposal of RTI applications & appeals [F.No 1/6/2011-IR dt. 15.04.2013]	(i) Details of applications received and disposed <b>01 (RTI received as transfer from DGS)</b>	<b>Fully met</b>
		(ii) Details of appeals received and orders issued : Nil	<b>N.A</b>
4.7	Replies to questions asked in the parliament [Section 4(1)(d)(2)]	Details of questions asked and replies given:Nil	<b>N.A</b>

## 5. Information as may be prescribed

S. No.	Item	Details of disclosure	Remarks/ Reference Points (Fully met/partially met/ not met- Not applicable will be treated as fully met/partially met)
5.1	Such other information as may be prescribed [F.No. 1/2/2016-IR dt. 17.8.2016, F No. 1/6/2011-IR dt. 15.4.2013]	(i) Name & details of (a) Current CPIOs & FAAs : See 1.10 (above) (b) Earlier CPIO & FAAs from 1.1.2015	Fully met
		(ii) Details of third party audit of voluntary disclosure  (a) Dates of audit carried out (b) Report of the audit carried out	N.A
		(iii) Appointment of Nodal Officers not below the rank of Joint Secretary/ Additional HoD: <b>NA</b>  (a) Date of appointment (b) Name & Designation of the officers	N.A
		(iv) Consultancy committee of key stake holders for advice on suo-motu disclosure: <b>NIL</b> (a) Dates from which constituted (b) Name & Designation of the officers	N.A
		(v) Committee of PIOs/FAAs with rich experience in RTI to identify frequently sought information under RTI <b>Nil</b>  (a) Dates from which constituted (b) Name & Designation of the Officers	N.A



## 6. Information Disclosed on own Initiative

S.No.	Item	Details of disclosure	Remarks/ Reference Points (Fully met/partially met/ not met- Not applicable will be treated as fully met/partially met)
6.1	Item / information disclosed so that public have minimum resort to use of RTI Act to obtain information	<b>Information available on DGS website</b>	<b>Fully met</b>
6.2	Guidelines for Indian Government Websites (GIGW) is followed (released in February, 2009 and included in the Central Secretariat Manual of Office Procedures (CSMOP) by Department of Administrative Reforms and Public Grievances, Ministry of Personnel, Public Grievance and Pensions, Govt. Of India)	(i) Whether STQC certification obtained and its validity. (ii) Does the website show the certificate on the Website?	<b>Not met</b>

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