

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: Mercantile Marine Department 7-8-26/A, Harbour Park down, Visakhapatnam - 530003	Fully met
		(ii) Head of the organization: Surveyor in Charge	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 Visakhapatnam is a subordinate office under administrative control of Principal Officer, MMD, Chennai. Function and duties include (a) undertake statutory surveys of ships (b) Flag State and Port State inspection of ships	Fully met

		<p>resulting in issuance of a report to the ships and hosting of the same on the respective websites (c) undertake statutory 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 Chennai (SAC Chairman) (g) other occasional inspections include those mandated for grant of towing permission and inspection for verification of carving and marking note. (h) Registrar of Indian Ships and the jobs associated therewith. (j) Incharge for SID cards facilitation centre and the connected jobs. (k) Seafarers Grievances Officer (L) Public Grievances Officer (M) Government Trustee Member of VPT</p>	
		(v) Organization Chart	Fully met
		(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	N.A
1.2	Power and duties of its officers and employees [Section 4(1) (b)(ii)]	<p>(i) Powers and duties of officers (administrative, financial and judicial):</p> <p>Surveyor in Charge:</p> <p>(a) Administration of the Merchant Shipping Act, 1958 and the Rules framed</p>	Fully met

		<p>there under;</p> <p>(b) Supervision and control of the financial administration of the MMD as the Drawing & Disbursing Officer;</p> <p>(c) Supervision and control of the general administrative matters of the MMD as the Head of Office;</p> <p>(d) duties as detailed in 1.1(iv)</p>		
		<p>(ii) Power and duties of other employees:</p> <p>Superintendent</p> <p>(1) Overall General supervision of staff.</p> <p>(2) Tapal/Dak marking to staff.</p> <p>(3) Assisting SIC in day to day administration and PFMS, PFMS EIS on line bills processing and other works as may be assigned by SIC.</p> <p>(4) Gem Buyer</p> <p>(5) Liaison with Government Counsels and other Departments</p> <p>(6) Providing guidance to the staff on rules and work disposal from time to time as per need.</p> <p>UDC</p> <p>Section incharge and responsible for disposal of Dak marked to him and safe keeping relevant records. Attend to any other work given by the SIC/Superintendent due to exigencies.</p> <p>LDC</p> <p>Section in charge and responsible for disposal of Dak marked to her and safe keeping of relevant records. Attend to any other official work given by the SIC/Superintendent due to exigencies.</p>	Fully met	
		<p>(iii) Rules/ orders under which powers and duty are derived and</p>	<p>(a)GFR, (b)FRSR, (c)CCS Rules (d)Delegation of Financial Powers Rules, 1978 as amended, Central Government Receipt and Payment</p>	Fully met
		<p>(iv) Exercised</p>		Fully met

		(v) Work allocation	Rules 1983 as amended. (e) Merchant Shipping Act, 1958 as amended and the Rules framed there under.	Fully met
1.3	Procedure followed in decision making process [Section 4(1)(b)(iii)]	(i) Process of decision making Identify key decision-making points: Mode of processing and disposal of work: <ul style="list-style-type: none"> • Receipts are sent directly to the Surveyor in Charge (SIC) by the Dak section. • SIC sends the receipt to the Superintendent with remarks, if any • Superintendent diarised receipts by the Dak section, examines and Distributes to the concerned sections. • The concerned sections will process receipts on file and submit to SIC as is relevant. • SIC 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. 		Fully met
		(ii) Final decision-making authority: Surveyor in Charge in consultation and concurrence with the PO/Dy.NA		Fully met
		(a)GFR, (b)FRSR, (c)CCS Rules (d)Delegation of Financial Powers Rules, 1978 as amended. (e) Central Govt. Receipt and payment Rules 1983 as amended. (e) Merchant Shipping Act, 1958 as amended and the Rules framed there under.		Fully met
		(iii) Time limit for taking a decision, 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)]	(i) Nature of functions/ services offered: <ul style="list-style-type: none"> (a) Statutory surveys of ships (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) (c) Inspection of ships to verify compliance with the national and international requirements as applicable 		Fully met

		<p>(ii) Norms/ standards for functions/ service delivery: 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 fulfil 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 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.</p>	Fully met
		(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
		<p>(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.</p>	Fully met
1.5	Rules, regulations, instructions manual and records for discharging	<p>(i) Title and nature of the record/ manual /instruction: 1. Merchant Shipping Act and Rules framed there under. 2. For Administrative purposes CCS, FRSR andGFR, DFRP</p>	Fully met

	functions [Section 4(1)(b)(v)]	<p>1978 as amended, Central Government Account Receipt and payment Rules 1983 as amended.</p> <p>3. Rules and regulations available in the DG Shipping website.</p>	
		<p>(ii) List of Rules, regulations, instructions manuals and records.</p> <p>Rules framed under Merchant Shipping Act, 1958 and the executive orders issued by DG Shipping are available on the DG Shipping websitehttps://www.dgshipping.gov.in/</p>	Fully met
		<p>(iii) Acts/ Rules manuals etc</p> <p>As per (ii) above</p>	
		<p>(iv) Transfer policy and transfer orders</p> <ul style="list-style-type: none"> • The transfer of Group 'A' officers are undertaken as per the transfer policy of the Directorate General of Shipping. • Transfers of Group ' B and C' employees are and are regulated by the Principal Officer, MMD, CHENNAI. 	Fully met
1.6	Categories of documents held by the authority under its control [Section 4(1)(b) (vi)]	<p>(i) Categories of documents</p> <ol style="list-style-type: none"> 1. Confidential Documents 2. Personal files of Officers & staff 3. Documents related to survey / Audit of ships 4. Documents related to Port State/ Flag State inspection of ships 5. Documents related to Audit of Port facilities 6. Documents related to Administration; Accounts related to the office 	Fully met
		<p>(ii) Custodian of documents/categories</p> <p>Surveyor in Charge</p>	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	Directory of officers and employees [Section 4(1) (b) (ix)]	(i) Name and designation (a) S.SatyanarayanaMurty, Surveyor Incharge-cum-DDG(Tech) (b) Vanneru Rajasekhar - SUPERINTENDENT (c) P.Satyamadhusudhan, UDC (d) D.Jagadeswari, LDC.	Fully met
		(ii) Telephone, fax and email ID Phone: 0891- 2502148,2525475 2729431 (D) Email: sic.vizag-mmd@gov.in	

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			Fully met
		Shri S.SatyanaryanaMurty, Surveyor Incharge-cum-DDG(Tech)	₹114309/-		
		Shri.VanneruRajasekhar, Superintendent	₹66690/-		
		Shri P.Satyamadhusudhan, UDC	₹45981/-		
		Smt.D.Jagadeswari, LDC	₹36387/-		
		(ii) System of compensation as provided in its regulations N.A			N.A

1.10	Name, designation and other particulars of public information officers [Section 4(1) (b) (xvi)]	<p>(i) Name and designation of the public information officer (PIO), Assistant Public Information (s) & Appellate Authority</p> <p>Shri S.SatyanarayanaMurty Surveyor in Charge</p> <p>(ii) Address, telephone numbers and email ID of each designated official. S.SatyanarayanaMurty, Surveyor Incharge-cum-DDG(Tech) Mercantile Marine Department, 7-8-26/A, Harbour Park down, Visakhapatnam 53003. Phone: 0891-2729431(D) Email: sic.vizag-mmd@gov.in</p>	Fully met
1.11	No. Of employees against whom Disciplinary action has been proposed/taken (Section 4(2))	<p>No. of employees against whom disciplinary action has been</p> <p>(i) Pending for Minor penalty or major penalty proceedings: Nil</p> <p>(ii) Finalised for Minor penalty or major penalty proceedings: Nil</p>	Fully met
1.12	Programmes to advance understanding of RTI (Section 26)	<p>(i) Educational programmes: NIL</p> <p>(ii) Efforts to encourage public authority to participate in these programmes: NA</p> <p>(iii) Training of CPIO/APIO:Nil</p> <p>(iv) Update & publish guidelines on RTI by the Public Authorities concerned: Nil</p>	Not met

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">• The transfer of Group 'A' officers is undertaken as per the transfer policy of the Directorate General of Shipping.• Transfers of Group 'B and C' employees are regulated by the Principal Officer, MMD, CHENNAI.	Fully met
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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: 2020-21-Rs.9310000/-		Fully met
		(ii) Budget for each agency and plan & programmes: Nil		
		(iii) Report on disbursements made and place where the related reports are available: PFMS		
2.2	Foreign and domestic tours (F.No. 1/8/2012- IR dt. 11.9.2012)	(i) Budget for Domestic Tour: FY 2020-21:Rs.400000/-		N.A
		(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	There are no officers in this Department of the rank of Joint Secretary to the Government of India and above	
		(iii) Information related to procurements a) Notice/tender enquires, and corrigenda if any thereon,		Gem procurements:

		<p>b) Details of the bids awarded comprising the names of the suppliers of goods/ services being procured,</p> <p>c) The works contracts concluded – in any such combination of the above-and</p> <p>d) The rate /rates and the total amount at which such procurement or works contract is to be executed.</p>	<p>Rs.26238/- Office car hire charges – M/s Kumar travels, Visakhapatnam: Rs.31900 Office building private security M/s. Jayendra security Services: Rs.56754/- per month. Outsourcing DEO:13553/- per DEO. M/s.Jayendra Security services, Visakhapatnam</p>
2.3	Manner of execution of subsidy programme [Section 4(i)(b)(xii)]	(i) Name of the programme of activity	N.A
		(ii) Objective of the programme	N.A
		(iii) Procedure to avail benefits	N.A
		(iv) Duration of the programme/ scheme	N.A
		(v) Physical and financial targets of the programme	N.A
		(vi) Nature/ scale of subsidy /amount allotted	N.A
		(vii) Eligibility criteria for grant of subsidy	N.A
		(viii) Details of beneficiaries of subsidy programme (number, profile etc)	N.A
2.4	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: Nil	N.A
		(ii) Annual accounts of all legal entities who are provided grants by public authorities: Nil	N.A
2.5	Particulars of	(i) Concessions, permits or authorizations granted by public	N.A

	recipients of concessions, permits of authorizations granted by the public authority [Section 4(1) (b) (xiii)]	authority NIL	
		(ii) For each concessions, permit or authorization granted a) Eligibility criteria b) Procedure for getting the concession/ grant and/ or permits of authorizations c) Name and address of the recipients given concessions/ permits or authorisations d) Date of award of concessions /permits of authorizations	N.A
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	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

	[Section 4(1)(b)(vii)]	Public- private partnerships (PPP)	N.A
	[F No 1/6/2011-IR dt. 15.04.2013]	(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)]	Publish all relevant facts while formulating important policies or announcing decisions which affect public to make the process more interactive;	Fully met
		(i) Policy decisions/ legislations taken in the previous one year Available in DGS website https://www.dgshipping.gov.in/	
		(ii) Outline the Public consultation process As per the Standard Operating Procedures laid by the DGS	
		(iii) Outline the arrangement for consultation before formulation of policy As per the Standard Operating Procedures laid by the DGS	Fully met
3.3	Dissemination of information widely and in such form and manner which is easily accessible to	Use of the most effective means of communication (i) Internet (website) DGS website https://www.dgshipping.gov.in/	Fully met

	the public [Section 4(3)]		
3.4	Form of accessibility of information manual/ handbook [Section 4(1)(b)]	Information manual/handbook available in (i) Electronic format Manuals and SOPs are available on the DGS website	Fully met
		(ii) Printed format : Yes	Fully met
3.5	Whether information manual/ handbook available free of cost or not [Section 4(1)(b)]	List of materials available (i) Free of cost Yes	Yes
		(ii) At a reasonable cost of the medium	N.A

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	Partially met
		(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.	Partially met
4.3	Information available in electronic form [Section 4(1)(b)(xiv)]	(i) Details of information available in electronic form Standard Operating Procedures (SOP) of each category of service offered are available on DGS website		Fully met
		(ii) Name/ title of the document/record/ other information: SOP in DGS website		
		(iii) Location where available: https://www.dgshipping.gov.in/		
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 https://www.dgshipping.gov.in/	Fully met
		(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	Fully met
		Details of applications received under RTI and information provided	
		(i) NORTI query received and Information for the same provided	Fully met
		(ii) List of completed schemes/ projects/ Programmes: Nil	N.A
		(iii) List of schemes/ projects/ programme underway:	N.A
		(iv) Details of all contracts entered into including name of the contractor, amount of contract and period of completion of contract NIL	N.A
		(v) Annual Report: NIL	N.A
		(vi) Frequently Asked Question (FAQs) NIL	N.A
		(vii) Any other information such as a) Citizen's Charter: Centralised and is available on DG Shipping website	Fully met
		b) Result Framework Document (RFD)	N.A
		c) Six monthly reports on the	N.A
		d) Performance against the benchmarks set in the Citizen's Charter	N.A
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 NIL	Fully met
		(ii) Details of appeals received and orders issued: Nil	N.A
4.7	Replies to questions asked in the parliament [Section 4(1)(d)(2)]	Details of questions asked and replies given: Nil	N.A

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:NA (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: NIL (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 NIL (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	Information available on DGS website	Fully met
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)	<ul style="list-style-type: none"> (i) Whether STQC certification obtained and its validity. (ii) Does the website show the certificate on the Website? 	Not met
