

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

Sl.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, Ministry of Shipping, North End P.O, Post Box No. 3701, Willingdon Island, Kochi 682 009. (Available in DG Shipping website www.dgshipping.gov.in)
		(ii) Head of the organization	Principal Officer-cum-Joint Director General (Tech)
		(iii) Vision, Mission and Key objectives	As per DG Shipping website www.dgshipping.gov.in
		(iv) Function and duties	The Mercantile Marine Department, Kochi and the subordinate office located at Mangalore are committed to fulfil the national and international obligations through administration of Merchant Shipping Act, 1958 (MS Act) and implementation of the international Conventions and Protocols so as to serve the Indian maritime industry in an efficient manner which would benefit the industry and the country as a whole and the maritime administration is Committed to render all services to the members of public as specified here under. The details of services indicated are those in the MS Act and International Conventions and services which are not included and demanded by the citizens are also being rendered on priority as and when asked for.

		(v) Organization Chart	
		(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	NA

1.2	Power and duties of its officers and employees [Section 4(1) (b)(ii)]	(i) Powers and duties of officers (administrative, financial and judicial)	Registration of Indian ships, Surveys of Indian ships, Port State Control inspection of foreign flag ships, conducting audits under International Safety Management (ISM), International Labour Convention (MLC) and Ship and Port Security Facilities (ISPS), tonnage computation / calculation, Preliminary Inquiry into shipping casualties, Conduct of Certificates of Competency Examinations, Inspection of Maritime Training Institutes, etc.
		(ii) Powers and duties of other employees	Processing purchase of stationery and other items, through GeM, processing and finalisation of e-tenders, processing and awarding various AMCs, personal matters of officers and staff members such as sanctioning of leave, PF, etc., preparation of salary and other contingent bills, setting TA bills, preparation of budget, reports related to accounts, etc. processing files for survey of ships, plan approval, etc. assessment and conducting of Certificates of Competency examinations, etc.
		(iii) Rules/ orders under which powers and duty are derived and exercised	The Principal Officers and other officers derive statutory, financial and administrative powers from the Fundamental Rules and Supplementary Rules, General Financial Rules, Delegation of Financial Power Rules, Merchant Shipping Act, 1958 and the Rules framed thereunder, etc. and also discharge functions in accordance with the administrative instructions and guidelines issued by the Government of India from time to time.
		(iv) Work allocation	The Principal Officer allocates administrative, financial, technical and examination works amongst the officers.
1.3	Procedure followed in decision making process [Section 4(1)(b)(iii)]	(i) Process of decision making Identify key decision making points.	At the level of individual officers.
		(ii) Final decision making authority	Principal Officer-cum-Joint Director General (Tech)
		(iii) Related provisions, acts, rules etc.	As per DG Shipping website www.dgshipping.gov.in
		(iv) Time limit for taking a decisions, if any	NA
		(v) Channel of supervision and accountability	As per DG Shipping website www.dgshipping.gov.in

1.4	Norms for discharge of functions [Section 4(1)(b)(iv)]	(i) Nature of functions/ services offered	As per DG Shipping website www.dgshipping.gov.in
		(ii) Norms/ standards for functions/ service delivery	As per DG Shipping website www.dgshipping.gov.in
		(iii) Process by which these services can be accessed	As per DG Shipping website www.dgshipping.gov.in
		(iv) Time-limit for achieving the targets	As per DG Shipping website www.dgshipping.gov.in
		(v) Process of redress of grievances	As per DG Shipping website www.dgshipping.gov.in
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.	As per DG Shipping website www.dgshipping.gov.in
		(ii) List of Rules, regulations, instructions manuals and records.	As per DG Shipping website www.dgshipping.gov.in
		(iii) Acts/ Rules manuals etc.	As per DG Shipping website www.dgshipping.gov.in
		(iv) Transfer policy and transfer orders	As per DG Shipping website www.dgshipping.gov.in
1.6	Categories of documents held by the authority under its control [Section 4(1)(b) (vi)]	(i) Categories of documents	As per DG Shipping website www.dgshipping.gov.in
		(ii) Custodian of documents/categories	As per DG Shipping website www.dgshipping.gov.in
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.	NA
		(ii) Composition	NA
		(iii) Dates from which constituted	NA
		(iv) Term/ Tenure	NA
		(v) Powers and functions	NA
		(vi) Whether their meetings are open to the public?	NA
		(vii) Whether the minutes of the meetings are open to the public?	NA

		(viii) Place where the minutes if open to the public are available?	NA
1.8	Directory of officers and employees [Section 4(1) (b) (ix)]	(i) Name and designation	As per Annexure - I
		(ii) Telephone , fax and email ID	
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	As per Annexure - II
		(ii) System of compensation as provided in its regulations	NA
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	Public Information Officer ShriPradeepSudhakar, Ship Surveyor-cum-DDG (Tech) Assistant Public Information Officer ShriUbaiduRehman, Engineer & Ship Surveyor-cum-DDG (Tech) Appellate Authority Principal Officer, MMD, Kochi
		(ii) Address, telephone numbers and email ID of each designated official.	Mercantile Marine Department, Ministry of Shipping, North End P.O, Post Box No. 3701, Willingdon Island,Kochi 682 009. Public Information Officer - ShriPradeepSudhakar – Phone No. 0484-2587012 (email id: pradeepsk-dgs@gov.in) Assistant Public Information Officer ShriUbaiduRehman– Phone No. 0484-2587016 (email id: u.rehman@gov.in) Appellate Authority Principal Officer – 0484-2666489 / (po.mmd-ker@gov.in)

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
1.12	Programmes to advance understanding of RTI (Section 26)	(i) Educational programmes	NIL
		(ii) Efforts to encourage public authority to participate in these programmes	As when training is organized by DG Shipping, officers are deputed for the same.
		(iii) Training of CPIO/APIO	As when training is organized by DG Shipping, officers are deputed for the same
		(iv) Update & publish guidelines on RTI by the Public Authorities concerned	Since MMD, Kochi does not have a website, relevant details are on DG Shipping website.
1.13	Transfer policy and transfer orders [F No. 1/6/2011- IR dt. 15.4.2013]		These are done as per the transfer policy of DG Shipping

Note:- Mercantile Marine Department does not have website. However, relevant information are available in DG Shipping website, which is the headquarters of MMD, Kochi.

2. Budget and Programme

Sl.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	Total budget allocation in respect of MMD, Kochi for Financial Year 2020-21: Rs. 3,43,91,000/-
		(ii) Budget for each agency and plan & programmes	NA
		(iii) Proposed expenditures	NA
		(iv) Revised budget for each agency, if any	There is no separate budget for any agency. However, an amount of Rs. 20,00,000/- has been allocated by DG Shipping under Office Expenses in July, 2020.
		(v) Report on disbursements made and place where the related reports are available	Reports are being sent to DG Shipping and the Pay and Accounts Officer (Shipping) regularly
2.2	Foreign and domestic tours (F.No. 1/8/2012- IR dt. 11.9.2012)	(i) Budget	Domestic TA: Rs.9,00,000/-
		(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	No foreign travel TA is allocated to MMD, Kochi. The officers undertake tours as and when required and foreign tours are undertaken as and when nominated by DG Shipping and the ..
		(iii) Information related to procurements a) Notice/tender enquires, and corrigenda if any thereon, b) Details of the bids awarded comprising the names of the suppliers of goods/ services being procured, c) The works contracts concluded - in any such combination of the above-and	Stationery items are purchased through Government e-Market portal. Bids are awarded after completing all the due formalities. Since MMD, Kochi does not have website, these details are not uploaded in the site.

		d) The rate /rates and the total amount at which such procurement or works contract is to be executed.	
2.3	Manner of execution of subsidy programme [Section 4(i)(b)(xii)]	(i) Name of the programme of activity	NA
		(ii) Objective of the programme	NA
		(iii) Procedure to avail benefits	NA
		(iv) Duration of the programme/ scheme	NA
		(v) Physical and financial targets of the programme	NA
		(vi) Nature/ scale of subsidy /amount allotted	NA
		(vii) Eligibility criteria for grant of subsidy	NA
		(viii) Details of beneficiaries of subsidy programme (number, profile etc)	NA
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	NA
		(ii) Annual accounts of all legal entities who are provided grants by public authorities	NA
2.5	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	NA
		(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	NA
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.	NA

Note:- Mercantile Marine Department does not have website. However, relevant information are available in DG Shipping website, which is the headquarters of MMD, Kochi.

3. Publicity and Public interface

Sl.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	NA, as formulation of policy matters are dealt with by DG Shipping
		(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	NA, as formulation of policy matters are dealt with by DG Shipping
		Public- private partnerships (PPP)	NA
		(i) Details of Special Purpose Vehicle (SPV), if any	NA
		(ii) Detailed project reports (DPRs)	NA
		(iii) Concession agreements.	NA
		(iv) Operation and maintenance manuals	NA
		(v) Other documents generated as part of the implementation of the PPP	NA
		(vi) Information relating to fees, tolls, or the other kinds of revenues that may be collected under authorisation from the government	NA
		(vii) Information relating to outputs and outcomes	NA
(viii) The process of the selection of the private sector party (concessionaire etc.)	NA		
(ix) All payment made under the PPP project	NA		
3.2	Are the details of policies / decisions, which affect public,	Publish all relevant facts while formulating important policies or announcing decisions which affect public to make the process more interactive;	NA, as formulation of policy matters are dealt with by DG Shipping

	informed to them [Section 4(1) (c)]	(i) Policy decisions/ legislations taken in the previous one year	
		(ii) Outline the Public consultation process	NA, as formulation of policy matters are dealt with by DG Shipping
		(iii) Outline the arrangement for consultation before formulation of policy	NA, as formulation of policy matters are dealt with by DG Shipping
3.3	Dissemination of information widely and in such form and manner which is easily accessible to the public [Section 4(3)]	Use of the most effective means of communication (i) Internet (website)	MMD, Kochi does not have website and all relevant information are available in DG Shipping website, which is the headquarters of MMD, Kochi
3.4	Form of accessibility of information manual/handbook [Section 4(1)(b)]	Information manual/handbook available in (i) Electronic format	MMD, Kochi does not have website and all relevant information are available in DG Shipping website, which is the headquarters of MMD, Kochi
		(ii) Printed format	NA
3.5	Whether information manual/handbook available free of cost or not [Section 4(1)(b)]	List of materials available (i) Free of cost	NA
		(ii) At a reasonable cost of the medium	NA

Note:- Mercantile Marine Department does not have website. However, relevant information are available in DG Shipping website, which is the headquarters of MMD, Kochi.

4. E.Governance

Sl.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	NA
		(ii) Vernacular/ Local Language	NA
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	NA
4.3	Information available in electronic form [Section 4(1)(b)(xiv)]	(i) Details of information available in electronic form	NA, since MMD, Kochi does not have website.
		(ii) Name/ title of the document/record/ other information	NA, since MMD, Kochi does not have website.
		(iii) Location where available	NA, since MMD, Kochi does not have website.
4.4	Particulars of facilities available to citizen for obtaining information [Section 4(1)(b)(xv)]	(i) Name & location of the faculty	Mercantile Marine Department, Ministry of Shipping, North End P.O, Post Box No. 3701, WillingdonIsland,Kochi 682 009.
		(ii) Details of information made available	As requested by the applicants.
		(iii) Working hours of the facility	0900 hours to 1730 hours.
		(iv) Contact person & contact details (Phone, fax email)	Public Information Officer - ShriPradeepSudhakar - Phone: 0484-2587012 / (email id: pradeepsk-dgs@gov.in)

4.5	Such other information as may be prescribed under section 4(i) (b)(xvii)	(i)	Grievance redressal mechanism	Available
		(ii)	Details of applications received under RTI and information provided	8 (from 01.104.2019 to 31.03.2020)
		(iii)	List of completed schemes/ projects/ Programmes	NA
		(iv)	List of schemes/ projects/ programme underway	NA
		(v)	Details of all contracts entered into including name of the contractor, amount of contract and period of completion of contract	Bids are awarded after completing all the due formalities. Since MMD, Kochi does not have website, these details are not uploaded in the site.
		(vi)	Annual Report	NA
		(vii)	Frequently Asked Question (FAQs)	NA
		(viii)	Any other information such as	As per DG Shipping citizen charter
			a) Citizen's Charter	
			b) Result Framework Document (RFD)	NA
	c) Six monthly reports on the			
	d) Performance against the benchmarks set in the Citizen's Charter	NA		
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	8 (from 01.104.2019 to 31.03.2020)
		(ii)	Details of appeals received and orders issued	NIL
4.7	Replies to questions asked in the parliament [Section 4(1)(d)(2)]		Details of questions asked and replies given	

Note:- Mercantile Marine Department does not have website. However, relevant information are available in DG Shipping website, which is the headquarters of MMD, Kochi.

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 (b) Earlier CPIO & FAAs from 1.1.2015	(a) ShriPradeepSudhakar, Ship Surveyor-cum-DDG (Tech) FAA – Principal Officer (b)ShriEC Jayachandran, Radio Inspector / Shri L. Natarajan, Ship Surveyor-cum-DDG (Tech) / Shri C.S. Kiran, Engineer and Ship Surveyor-cum-DDG (Tech) FAA – Principal Officer
		(ii) Details of third party audit of voluntary disclosure (a) Dates of audit carried out (b) Report of the audit carried out	NA
		(iii) Appointment of Nodal Officers not below the rank of Joint Secretary/ Additional HoD (a) Date of appointment (b) Name & Designation of the officers	NA
		(iv) Consultancy committee of key stake holders for advice on suo-motu disclosure (a) Dates from which constituted (b) Name & Designation of the officers	NA
		(v) Committee of PIOs/FAAs with rich experience in RTI to identify frequently sought information under RTI (a) Dates from which constituted (b) Name & Designation of the Officers	NA

5.. 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		NA, since MMD, Kochi does not have website
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?	NA, since MMD, Kochi does not have website

Note:- Mercantile Marine Department does not have website. However, relevant information are available in DG Shipping website, which is the headquarters of MMD, Kochi.

MERCANTILE MARINE DEPARTMENT, KOCHI
Details of officers and employees- (Section 4(1) (b) (ix) of RTI Act)

Sl. No.	Name and Designation	Telephone No., fax and email ID
1.	Capt. S.I. AbulKalam Azad, Principal Officer (In-charge) Holding additional charge.	Tel. No. 0484 – 2666489 / 2666150 Fax No. 0484 – 2667424 Email ID: abulkalam.azad@gov.in
2.	Shri V.V. Paul, Engineer and Ship Surveyor	Tel. No. 0484 – 2587017/ Fax No. 0484 – 2667424 Email ID: paul.vv@gov.in
3.	ShriUbaiduRehman, Engineer and Ship Surveyor	Tel. No. 0484 – 2587016/ Fax No. 0484 – 2667424 Email ID: u.rehman@gov.in
4.	ShriPradeepSudhakar K., Ship Surveyor	Tel. No. 0484 – 2587012/ Fax No. 0484 – 2667424 Email ID: pradeepsk-dgs@gov.in
5.	Capt. V. Pardhasaradhi, Nautical Surveyor	Tel. No. 0484 – 2666595/ Fax No. 0484 – 2667424 Email ID: pardhs.vanamali@gov.in
6.	Smt. Daisy Joseph, Upper Division Clerk	Tel. No. 0484 – 2587037 / Fax No. 0484 – 2667424 Email ID: exam.mmd-ker@gov.in
7.	Shri S. Manoj Kumar, Upper Division Clerk (Presently posted at MMD, Mangalore)	Tel. No. 0484 – 2587037/ Fax No. 0824 – 2407572 Email ID: exam.mmd-ker@gov.in
8.	ShriAnand Vijay, Lower Division Clerk	Tel. No. 0484 – 2587000/ Fax No. 0484 – 2667424 Email ID: anandvijay.12@gov.in
9.	Shri P.N. Johnson, Multi Tasking Staff	Tel. No. 0484 – 2587037/ Fax No. 0484 – 2667424 Email ID: johnson.pn@gov.in
10.	Shri P.S. Shanil, Multi Tasking Staff	Tel. No. 0484 – 2666489 / Fax No. 0484 – 2667424 Email ID: ps.shanil@gov.in
11.	ShriAnand GS, Multi Tasking Staff	Tel. No. 0484 – 2587034/ Fax No. 0484 – 2667424 Email ID: anand.gs@gov.in

MERCANTILE MARINE DEPARTMENT, KOCHIList of employees with gross monthly remuneration
[Section 4(1) (b) (x) of RTI Act]

Sl. No.	Name and Designation	Monthly remuneration
1.	Capt. S.I. AbulKalam Azad, Principal Officer (In-charge)	Drawing salary from Mercantile Marine Department, Chennai, as he is holding additional charge of MMD, Kochi.
2.	Shri V.V. Paul, Engineer and Ship Surveyor	Rs. 1,29,986/-
3.	ShriUbaiduRehman, Engineer and Ship Surveyor	Rs. 1,33,577/-
4.	ShriPradeepSudhakar K., Ship Surveyor	Rs. 1,26,395/-
5.	Capt. V. Pardhasaradhi, Nautical Surveyor	Rs. 1,22,937/-
6.	Smt. Daisy Joseph, Upper Division Clerk	Rs. 61,136/-
7.	Shri S. Manoj Kumar, Upper Division Clerk (Presently posted at MMD, Mangalore)	Rs. 50,518/-
8.	ShriAnand Vijay, Lower Division Clerk	Rs. 29,867/-
9.	Shri P.N. Johnson, Multi Tasking Staff	Rs. 53,688/-
10.	Shri P.S. Shanil, Multi Tasking Staff	Rs. 45,162/-
11.	ShriAnand GS, Multi Tasking Staff	Rs. 27,527/-

