

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: National Institute of Hydrology, Jalvigyan Bhawan, IIT Roorkee Campus, Roorkee-247667	Fully met
		(ii) Head of the organization: Dr. Y.R.S. Rao, Director, NIH	Fully met
		(iii) Vision, Mission and Key objectives	Fully met(Citizen charter)
		(iv) Function and duties	Fully met (A.R. 2016-17, page no.....)
		(v) Organization Chart	Fully met (A.R. 2016-17, page no.....)
		(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	History of NIH is attached as Annexure-1 ; HoD details are given at Annexure-2

		to time have been dealt	
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)	Fully met
		(ii) Power and duties of other employees	Fully met
		(iii) Rules/ orders under which powers and duty are derived and	Fully met; As per the direction of GB
		(iv) Exercised	As above
		(v) Work allocation	As above
1.3	Procedure followed in decision making process [Section 4(1)(b)(iii)]	(i) Process of decision making Identify key decision making points	Director/Chairman, Governing Body of NIH.
		(ii) Final decision making authority	Chairman, Governing Body of NIH.
		(iii) Related provisions, acts, rules etc.	Fully met.
		(iv) Time limit for taking a decisions, if any	
		(v) Channel of supervision and accountability	Fully met
1.4	Norms for discharge of functions [Section 4(1)(b)(iv)]	(i) Nature of functions/ services offered	Fully met. Research in Water Sector & offered Consultancy Services.
		(ii) Norms/ standards for functions/ service delivery	Fully met. ISO9001:2015
		(iii) Process by which these services can be accessed	Fully met. Through MoWR, RD & GR.
		(iv) Time-limit for achieving the targets	Fully met. Depending upon the nature of problem.
		(v) Process of redress of grievances	Fully met. Through NIH Staff Grievance Officer.
1.5	Rules, regulations, instructions manual and records for discharging functions	(i) Title and nature of the record/ manual /instruction.	As per Govt. of India Rules & Regulation
		(ii) List of Rules, regulations, instructions manuals and records.	As above
		(iii) Acts/ Rules manuals etc.	As above

	[Section 4(1)(b)(v)]	(iv) Transfer policy and transfer orders	Fully met. Transfer Policy attached as Annexure-3.
1.6	Categories of documents held by the authority under its control [Section 4(1)(b) (vi)]	(i) Categories of documents	Fully met. Technical Reports.
		(ii) Custodian of documents/categories	Fully met. Head, Library, Documentation and Outreach Cell
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.	Fully met. (AR 2016-17 page no.....)
		(ii) Composition	Fully met. (AR 2016-17 page no.....)
		(iii) Dates from which constituted	Fully met. (AR 2016-17 page no.....)
		(iv) Term/ Tenure	Fully met. (AR 2016-17 page no.....)
		(v) Powers and functions	Fully met. (AR 2016-17 page no.....)
		(vi) Whether their meetings are open to the public?	NO
		(vii) Whether the minutes of the meetings are open to the public?	Yes
		(viii) Place where the minutes if open to the public are available?	Fully met. Library document and outreach cell
1.8	Directory of officers and employees [Section 4(1) (b) (ix)]	(i) Name and designation	Fully met. (Telephone Directory, Annexure- 4)
		(ii) Telephone , fax and email ID	Fully met. (Telephone Directory, Annexure- 4)
1.9	Monthly Remuneration received by officers & employees including system of compensation	(i) List of employees with Gross monthly remuneration	Fully met. (Annexure-5)
		(ii) System of compensation as provided in its regulations	Fully met. As per Govt. of India instructions.

	[Section 4(1) (b) (x)]		
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 (ii) Address, telephone numbers and email ID of each designated official.	Fully met. Annexure-6
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 (ii) Finalised for Minor penalty or major penalty proceedings	NIL NIL
1.12	Programmes to advance understanding of RTI (Section 26)	(i) Educational programmes (ii) Efforts to encourage public authority to participate in these programmes (iii) Training of CPIO/APIO (iv) Update & publish guidelines on RTI by the Public Authorities concerned	Fully met. Previously educational programmes were held through training programme for CPIO/APIO & dealing assistants at ISTM, Delhi, as per guidelines of the Ministry. Not Available
1.13	Transfer policy and transfer orders [F No. 1/6/2011- IR dt. 15.4.2013]		Fully met. Transfer Policy attached as Annexure-3.

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	Fully met. Kindly see Annexure-7
		(ii) Budget for each agency and plan & programmes	
		(iii) Proposed expenditures	
		(iv) Revised budget for each agency, if any	
		(v) Report on disbursements made and place where the related reports are available	
2.2	Foreign and domestic tours (F.No. 1/8/2012- IR dt. 11.9.2012)	(i) Budget	Fully met
		(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 : As & when required. b) The period of visit: As per requirement c) The number of members in the official delegation: NIL d) Expenditure on the visit : As per TA Rules	Fully met
		(iii) Information related to procurements a) Notice/tender enquires, and corrigenda if any thereon, As provided in GFRs b) Details of the bids awarded comprising the names of the suppliers of goods/ services being procured,: As per GFR c) The works contracts concluded – in any such combination of the above-and : NIL d) The rate /rates and the total amount at which such	Fully met

		procurement or works contract is to be executed.: NIL	
2.3	Manner of execution of subsidy programme [Section 4(i)(b)(xii)]	(i) Name of the programme of activity: N/A	Fully met
		(ii) Objective of the programme: N/A	Fully met
		(iii) Procedure to avail benefits: N/A	Fully met
		(iv) Duration of the programme/ scheme: N/A	Fully met
		(v) Physical and financial targets of the programme: N/A	Fully met
		(vi) Nature/ scale of subsidy /amount allotted: N/A	Fully met
		(vii) Eligibility criteria for grant of subsidy: N/A	Fully met
		(viii) Details of beneficiaries of subsidy programme (number, profile etc): N/A	Fully met
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: N/A	Fully met
		(ii) Annual accounts of all legal entities who are provided grants by public authorities : N/A	Fully met
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: N/A	Fully met
		(ii) For each concession, permit or authorization granted a) Eligibility criteria: N/A b) Procedure for getting the concession/ grant and/ or permits of authorizations: N/A c) Name and address of the recipients given concessions/ permits or authorisations: N/A d) Date of award of concessions /permits of authorizations : N/A	Fully met
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. NIL	Fully met

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 thereof [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	Partially met
		(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	Partially met
		Public- private partnerships (PPP)	Not Applicable
		(i) Details of Special Purpose Vehicle (SPV), if any	
		(ii) Detailed project reports (DPRs)	
		(iii) Concession agreements.	
		(iv) Operation and maintenance manuals	
		(v) Other documents generated as part of the implementation of the PPP	
		(vi) Information relating to fees, tolls, or the other kinds of revenues that may be collected under authorisation from the government	
		(vii) Information relating to outputs and outcomes	
(viii) The process of the selection of the private sector party (concessionaire etc.)			
(ix) All payment made under the PPP project			

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; (i) Policy decisions/ legislations taken in the previous one year (ii) Outline the Public consultation process (iii) Outline the arrangement for consultation before formulation of policy	Not Applicable
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)	Yes. Fully met.
3.4	Form of accessibility of information manual/handbook [Section 4(1)(b)]	Information manual/handbook available in (i) Electronic format (ii) Printed format	Not Applicable
3.5	Whether information manual/handbook available free of cost or not [Section 4(1)(b)]	List of materials available (i) Free of cost (ii) At a reasonable cost of the medium	Not Applicable

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	Fully met.
		(ii) Vernacular/ Local Language	Fully met.
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	
4.3	Information available in electronic form [Section 4(1)(b)(xiv)]	(i) Details of information available in electronic form	Fully met.
		(ii) Name/ title of the document/record/ other information	Fully met.
		(iii) Location where available	NIH Website - www.nihroorkee.gov.in
4.4	Particulars of facilities available to citizen for obtaining information [Section 4(1)(b)(xv)]	(i) Name & location of the faculty	Fully met. NIH Library.
		(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	(i) Grievance redressal mechanism	Fully met. A Grievance redressal mechanism is available in the Institute

	under section 4(i) (b)(xvii)	(ii) Details of applications received under RTI and information provided	Fully met. All related details are available with dealing assistant in Administration Section of NIH.
		(iii) List of completed schemes/ projects/ Programmes	
		(iv) List of schemes/ projects/ programme underway	
		(v) Details of all contracts entered into including name of the contractor, amount of contract and period of completion of contract	
		(vi) Annual Report	Fully met. (AR-2024-25)
		(vii) Frequently Asked Question (FAQs)	Yes
		(viii) Any other information such as a) Citizen's Charter	Yes
		b) Result Framework Document (RFD)	Yes
		c) Six monthly reports on the d) Performance against the benchmarks set in the Citizen's Charter	
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 (ii) Details of appeals received and orders issued	Fully met. Yes Fully met. Yes
4.7	Replies to questions asked in the parliament [Section 4(1)(d)(2)]	Details of questions asked and replies given	Fully met.

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]	<p>(i) Name & details of (a) Current CPIOs & FAAs (b) Earlier CPIO & FAAs from 1.1.2015</p> <p>(ii) Details of third party audit of voluntary disclosure (a) Dates of audit carried out (b) Report of the audit carried out</p> <p>(iii) Appointment of Nodal Officers not below the rank of Joint Secretary/ Additional HOD (a) Date of appointment (b) Name & Designation of the officers</p> <p>(iv) Consultancy committee of key stake holders for advice on suo-moto disclosure (a) Dates from which constituted (b) Name & Designation of the officers</p> <p>(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</p>	<p>Fully met Annexure-6</p> <p>No such audit has taken place till date.</p> <p>Director, NIH, Roorkee 01/07/2017 Dr. Sharad Kumar Jain, Director, NIH, Roorkee</p> <p>Fully met. 37th Annual General Meeting page No.....</p> <p>Not Applicable</p>

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		Not Applicable
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? 	Fully met (Annexure-8)
