BABASAHEB BHIMRAO AMBEDKAR UNIVERSITY, LUCKNOW

Annexure-I

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-organsiation 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	**Fully met**
		(ii) Head of the organization	**Fully met**
		(iii) Vision, Mission and Key objectives	**Fully met**
		(iv) Function and duties	**Fully met**
		(v) Organization Chart	**Fully met**
		(vi) Any other details-the genesis, inception, formation of the	**Fully met**

		department and the HoDs from time to time as well as the committees / Commissions constituted from time 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**
		(iv) Exercised	**Fully me**
		(v) Work allocation	**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	**Fully met**
		(ii) Final decision making authority	**Fully met**
		(iii) Related provisions, acts, rules etc.	**Fully met**
		(iv) Time limit for taking a decisions, if any	**Fully met**
		(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**
		(ii) Norms/ standards for functions/ service delivery	**Fully met**
		(iii) Process by which these services can be accessed	**Fully met**
		(iv) Time-limit for achieving the targets	**Fully met**
		(v) Process of redress of grievances	**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.	**Fully met**
		(ii) List of Rules, regulations, instructions manuals and records.	**Fully met**
		(iii) Acts/ Rules manuals etc.	**Fully met**
		(iv) Transfer policy and transfer orders	**Partially met**

1.6	Categories of documents held by the authority under its control [Section 4(1)(b)(vi)]	(i) Categories of documents	**Fully met**
		(ii) Custodian of documents/categories	**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.	**Fully met**
		(ii) Composition	**Fully met**
		(iii) Dates from which constituted	**Fully met**
		(iv) Term/ Tenure	**Fully met**
		(v) Powers and functions	**Fully met**
		(vi) Whether their meetings are open to the public?	**Not met**
		(vii) Whether the minutes of the meetings are open to the public?	**partially met**
		(viii) Place where the minutes if open to the public are available?	**Fully met**
1.8	Directory of officers and employees [Section 4(1) (b)(ix)]	(i) Name and designation	**Fully met**
		(ii) Telephone , fax and email ID	**Fully met**
1.9	Monthly Remuneration received by officers & employees including system of compensation	(i) List of employees with Gross monthly remuneration	**Fully met**
		(ii) System of compensation as provided in its regulations	**Fully met**

	[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	**Fully met**
		(ii) Address, telephone numbers and email ID of each designated official.	**Fully met**
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	**Fully met**
		(ii) Finalised for Minor penalty or major penalty proceedings	**Fully met**
1.12	Programmes to advance understanding of RTI (Section 26)	(i) Educational programmes	**Fully met**
		(ii) Efforts to encourage public authority to participate in these programmes	**Fully met**
		(iii) Training of CPIO/APIO	**Fully met**
		(iv) Update & publish guidelines on RTI by the Public Authorities concerned	**Fully met**
1.13	Transfer policy and transfer orders [F No. 1/6/2011- IR dt. 15.4.2013]		**partially met**

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**
		(ii) Budget for each agency and plan & programmes	**Fully met**
		(iii) Proposed expenditures	**Fully met**
		(iv) Revised budget for each agency, if any	**Fully met**
		(v) Report on disbursements made and place where the related reports are available	**Fully met**
2.2	Foreign and domestic tours (F. No. 1/8/2012-IR dt. 11.9.2012)	(i) Budget	Not Applicable
		(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	Not Applicable
		(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,	**partially met**

			c) The works contracts concluded – in any such combination of the above-and 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	**Not-Applicable**
		(ii)	Objective of the programme	**Not-Applicable**
		(iii)	Procedure to avail benefits	**Not-Applicable**
		(iv)	Duration of the programme/ scheme	**Not-Applicable**
		(v)	Physical and financial targets of the programme	**Not-Applicable**
		(vi)	Nature/ scale of subsidy /amount allotted	**Not-Applicable**
		(vii)	Eligibility criteria for grant of subsidy	**Not-Applicable**
		(viii)	Details of beneficiaries of subsidy programme (number, profile etc)	**Not-Applicable**
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	**Not-Applicable**
		(ii)	Annual accounts of all legal entities who are provided grants by public authorities	**Not-Applicable**
2.5	Particulars of recipients of concessions, permits of authorizations	(i)	Concessions, permits or authorizations granted by public authority	**Not-Applicable**
		(ii)	For each concessions, permit or authorization granted a) Eligibility criteria	-

	granted by the public authority [Section 4(1) (b) (xiii)]	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	
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.	**Not-Applicable**

3. Publicity and 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	**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	Not- Applicable
		Public- private partnerships (PPP) (i) Details of Special Purpose Vehicle (SPV), if any	Not Applicable
		(ii) Detailed project reports (DPRs)	Not Applicable
		(iii) Concession agreements.	Not Applicable
		(iv) Operation and maintenance manuals	Not Applicable
		(v) Other documents generated as part of the implementation of the PPP	Not Applicable
		(vi) Information relating to fees, tolls, or the other kinds of revenues that may be collected under authorisation from the government	Not Applicable
		(vii) Information relating to outputs and outcomes	

			Not Applicable
		(viii) The process of the selection of the private sector party (concessionaire etc.)	Not Applicable
		(ix) All payment made under the PPP project	Not Applicable
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	**Fully met**
		(ii) Outline the Public consultation process	do
		(iii) Outline the arrangement for consultation before formulation of policy	Do
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)	**Fully met**
3.4	Form of accessibility of information manual/ handbook [Section 4(1)(b)]	Information manual/handbook available in (i) Electronic format	**Fully met**
		(ii) Printed format	**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	**Fully met**
		(ii) At a reasonable cost of the medium	-

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	**Partially 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	**Fully Met**
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	**Fully Met**
4.4	Particulars of facilities available to citizen for obtaining information [Section 4(1)(b)(xv)]	(i) Name & location of the faculty	**Fully Met**
		(ii) Details of information made available	**Fully Met**
		(iii) Working hours of the facility	**Fully Met**
		(iv) Contact person & contact details (Phone, fax email)	**Fully Met**
4.5	Such other information as may be prescribed under section 4(i)(b)(xvii)	(i) Grievance redressal mechanism	**Fully Met**

		(ii)	Details of applications received under RTI and information provided	**Fully Met**
		(iii)	List of completed schemes/ projects/ Programmes	**Fully Met**
		(iv)	List of schemes/ projects/ programme underway	**Fully Met**
		(v)	Details of all contracts entered into including name of the contractor, amount of contract and period of completion of contract	**Fully Met**
		(vi)	Annual Report	**Fully Met**
		(vii)	Frequently Asked Question (FAQs)	-
		(viii)	Any other information such as a) Citizen's Charter	**Fully Met**
			b) Result Framework Document (RFD)	-
			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	**Fully Met**
		(ii)	Details of appeals received and orders issued	**Fully Met**
4.7	Replies to questions asked in the parliament [Section 4(1)(d)(2)]	Details of questions asked and replies given		-

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	**Fully Met**
		(ii)	Details of third party audit of voluntary disclosure (a) Dates of audit carried out (b) Report of the audit carried out	Not Applicable
		(iii)	Appointment of Nodal Officers not below the rank of Joint Secretary/ Additional HoD (a) Date of appointment (b) Name & Designation of the officers	Not Applicable
		(iv)	Consultancy committee of key stake holders for advice on suo-motu disclosure (a) Dates from which constituted (b) Name & Designation of the officers	Not Applicable
		(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	Not Applicable

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	University Act, Academic Ordinance, Recruitment & Promotion Rules, Academic Council Minutes, Students Enrolled, Details of Deans / Heads and other officials, etc.	**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)	(i) Whether STQC certification obtained and its validity. (ii) Does the website show the certificate on the Website?	Not Applicable

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Registrar
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