

## 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-organization 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. Organization andFunction

S. No.	Item	Details of disclosure	Particulars
1.1	Particulars of its organization, functions and duties [Section 4(1)(b)(i)]	(i) Name of the Organization and its website	Department of Local Government, Punjab. <a href="http://www.lgpunjab.gov.in">www.lgpunjab.gov.in</a>
		(ii) Head of the organization	Director, Department of Local Government, Punjab
		(iii) Vision, Mission and Key objectives	The Department of Local Government was established in the year 1966 and was given permanent status in the year 1979. The aim of the Department is to make the Urban Local Bodies in the State of Punjab to be the best in India. State of the art Urban Infrastructure, citizen facilitation and efficient service delivery system are the objectives of Urban Local Bodies in Punjab.The main functions are to direct, supervise and control the functioning of all the Municipal Corporations, Municipal Councils, Nagar Panchayats and Improvement Trusts in the State, to implement the State/Centrally sponsored schemes through these urban local bodies and to get the water supply and sewerage schemes executed through Punjab Water Supply and Sewerage Board for which the Department serves as Administrative Department.
		(iv) Function and duties	

		(v) Organization Chart	Annexure-A
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)	The Senior Officials of the Department like Director, Joint Director, and Deputy Director etc are authorities for approval which are granted for various processes like granting approvals for Resolutions (Development work). The Local Government Punjab is a vast organization with various branches like Establishment Branch, Trust Service Cell, Municipal Service Cell, General Branch, Recruitment Cell etc. These branches have their own respective functions. Supporting staff like Superintendents, Senior Assistant, Junior Assistant, Clerks provide assistance to senior officials in the departmental working.
		(ii) Power and duties of other employees	
		(iii) Rules/ orders under which powers and duty are derived and	As per Punjab Government Rules.
		(iv) Exercised	As per Rules.
		(v) Work allocation	Annexure-A

1.3	Procedure followed in decision making process [Section 4(1)(b)(iii)]	(i) Process of decision making. Identify key decision making points	Every matter in the Department is registered by the Dak Branch. Thereafter, the matter is sent to concerned Branch by the Superintendent. The Senior Officials like Director, Joint Director and Deputy Director deals with the official matters which comes under the branch headed by them. As an overall perspective, the Director is the decision making authority in the Local Government Department.	
		(ii) Final decision making authority		
		(iii) Related provisions, acts, rules etc.		As per Punjab Government Rules.
		(iv) Time limit for taking a decisions, if any		It depends upon the Subject Matter of the Information.
		(v) Channel of supervision and accountability		As Per Annexure-A
1.4	Norms for discharge of functions [Section 4(1)(b)(iv)]	(i) Nature of functions/ services offered	The Local Government Punjab performs various functions such as, to direct, supervise and control the functioning of all the Municipal Corporations, Municipal Councils, Nagar Panchayats and Improvement Trusts in the State, to implement the State/Centrally sponsored schemes through these urban local bodies and to get the water supply and sewerage schemes executed through Punjab Water Supply and Sewerage Board for which the Department serves as Administrative Department.	
		(ii) Norms/ standards for functions/ service delivery	As per Departmental Rules	
		(iii) Process by which these services can be accessed	The Departmental Services are available for common citizens in the office premises during working hours.	
		(iv) Time-limit for achieving the targets	It depends upon the Subject Matter of the Information.	
		(v) Process of redress of grievances	There is a separate section in the department for redressal of grievances of citizens.	
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.	Department of Local Government Punjab deals with various types of records like files related to local complaints, files impending approval for resolutions in matters such as recruitment, development works, service related matters etc.	
		(ii) List of Rules, regulations, instructions manuals and records.		
		(iii) Acts/ Rules manuals etc.		As per Punjab Government Rules.

		(iv) Transfer policy and transfer orders	In the Directorate of Local Government, Punjab the regular employees can only be transferred in Additional Deputy Commissioners (ADC) departments.
1.6	Categories of documents held by the authority under its control [Section 4(1)(b) (vi)]	(i) Categories of documents	Department of Local Government Punjab deals with various types of records like files related to local complaints , files impending approval for resolutions in matters such as recruitment, development works, service related matters etc.
		(ii) Custodian of documents/categories	Superintendent/Senior Assistant of the Concerned Branch.
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.	Annexure-B
		(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	Annexure-C
		(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	Annexure-C
		(ii) System of compensation as provided in its regulations	
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	Annexure-D
		(ii) Address, telephone numbers and email ID of each designated official.	
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	Such actions are adequately addressed by the Department.
		(i) Pending for Minor penalty or major penalty proceedings	
		(ii) Finalised for Minor penalty or major penalty proceedings	
1.12	Programmes to advance understanding of RTI (Section 26)	(i) Educational programmes	The Officials of Local Government Punjab are nominated for trainings on various topics including RTI.
		(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	

## 2. Budget and Programme

S. No.	Item	Details of disclosure	Particulars
2.1	Budget allocated to each agency including all plans, proposed expenditure and reports on disbursements made etc. [Section 4(1)(b)(xi)]	<ul style="list-style-type: none"> <li>(i) Total Budget for the public authority</li> <li>(ii) Budget for each agency and plan &amp; programmes</li> <li>(iii) Proposed expenditures</li> <li>(iv) Revised budget for each agency, if any</li> <li>(v) Report on disbursements made and place where the related reports are available</li> </ul>	Annexure-E
2.2	Foreign and domestic tours during 2019-20	<ul style="list-style-type: none"> <li>(i) Budget</li> <li>(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. <ul style="list-style-type: none"> <li>a) Places visited</li> <li>b) The period of visit</li> <li>c) The number of members in the official delegation</li> <li>d) Expenditure on the visit</li> </ul> </li> </ul>	NA
		<ul style="list-style-type: none"> <li>(iii) Information related to procurements <ul style="list-style-type: none"> <li>a) Notice/tender enquires, and corrigenda if any thereon,</li> <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> </li> </ul>	NA
2.3	Manner of execution of subsidy programme [Section 4(i)(b)(xii)]	<ul style="list-style-type: none"> <li>(i) Name of the programme or activity</li> <li>(ii) Objective of the programme</li> <li>(iii) Procedure to avail benefits</li> <li>(iv) Duration of the programme/scheme</li> <li>(v) Physical and financial targets of the programme</li> <li>(vi) Nature/ scale of subsidy /amount allotted</li> </ul>	NA

		(vii) Eligibility criteria for grant of subsidy	NA
		(viii) Details of beneficiaries of subsidy programme (number, profile etc)	
2.4	Discretionary and non-discretionary grants.	(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	
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 <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> <li>d) Date of award of concessions /permits of authorizations</li> </ul>	
2.6	CAG & PAC paras	CAG and PAC paras and the action taken reports (ATRs) after these have been laid on the table of Administrator, U.T., Chandigarh.	This relates to Audit Branch of the Department.





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)	<a href="http://www.lgpunjab.gov.in">www.lgpunjab.gov.in</a>
3.4	Form of accessibility of information manual/handbook [Section 4(1)(b)]	Information manual/handbook available in (i) Electronicformat	NA
		(ii) Printedformat	
3.5	Whether information manual/handbook available freeof cost or not [Section4(1)(b)]	List of materials available (i) Free of cost	NA
		(ii) At a reasonable cost of themedium	

4. E. Governance

S .No.	Item	Details of disclosure	Particulars
4.1	Language in which Information Manual/Handbook Available	(i) English	NA
		(ii) Vernacular/ Local Language	
4.2	When was the information Manual/Handbook last updated?	Last date of Annual Update	NA
4.3	Information available in electronic form [Section 4(1)(b)(xiv)]	(i) Details of information available in electronic form	All the information related to department is available on the website, <a href="http://www.lgpunjab.gov.in">www.lgpunjab.gov.in</a>
		(ii) Name/ title of the document/record/ other information	
		(iii) Location where available	
4.4	Particulars of facilities available to citizen for obtaining information [Section 4(1)(b)(xv)]	(i) Name & location of the facilities	The Departmental Services are available for citizens in the office premises. Office Address:- Punjab Municipal Bhawan, Plot No. 3, Sector 35-A, Chandigarh. Working Hours:- 09:00 am to 05:00 pm Contact Details: 0172-2619267
		(ii) Details of information made available	
		(iii) Working hours of the facility	
		(iv) Contact person & contact details (Phone, faxemail)	
4.5	Such other information as may be prescribed under section 4(i) (b)(xvii)	(i) Grievance redressal mechanism	There is a separate section in the department for redressal of grievances of citizens.
		(ii) Details of applications received under RTI and information provided	The RTI applications which are received in the Department are adequately addressed.
		(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	
		(vi) Annual Report	
		(vii) Frequently Asked Question (FAQs)	NA

		(viii) Any other information such as a) Citizen's Charter	NA
		c) Six monthly reports loaded on the website or not	
		d) Performance against the benchmarks set in the Citizen's Charter	
4.6	Receipt & Disposal of RTI applications & appeals	(i) Details of applications received and disposed  (ii) Details of appeals received and orders issued	The RTI applications which are received in the Department are adequately addressed.
4.7	Replies to questions asked in the parliament, if any. [Section 4(1)(d)(2)]	Details of questions asked and replies given	The Parliamentary questions are often asked and they are adequately addressed by the Department of Local Government, Punjab.

**5. Information as may be prescribed**

S. No.	Item	Details of disclosure		Particulars
5.1	Such other information as may be prescribed	(i)	Name & details of (a) Current CPIOs & First Appellate Authority (FAAs) Earlier CPIO & First Appellate Authority (FAAs) from 1.1.2015	Annexure-D
		(ii)	Details of third party audit of voluntary disclosure	The Third Party audit carried out on 13-12-2021.
			(a) Dates of audit carried out (b) Report of the audit carried out	
		(iii)	Appointment of Nodal Officers not below the rank of Joint Director/ Additional Director	Mr. Rakesh Kumar (PCS), Joint Director, Department of Local Government, Punjab.
			(a) Date of appointment (b) Name & Designation of the officers	
		(iv)	Consultancy committee of key stake holders for advice on suo-motu disclosure	NA
			(a) Dates from which constituted (b) Name & Designation of the officers	
		(v)	Committee of PIOs/FAAs with rich experience in RTI to identify frequently sought information under RTI	NA
			(a) Dates from which constituted (b) Name & Designation of the Officers	

**6. Information Disclosed on own Initiative**

<b>S. No.</b>	<b>Item</b>	<b>Details of disclosure</b>	<b>Particulars</b>
6.1	Item / information disclosed so that public have minimum resort to use of RTI Act to obtain information		<a href="http://www.lgpunjab.gov.in">www.lgpunjab.gov.in</a>

**PART B**  
**RECORD MANAGEMENT**  
Section 4(1) a

1. How do you define record?

The record includes all the information related to Departmental working.

2. What is the ABC of record management?

The record management means proper maintenance and storage of official information.

3. How do you maintain records?

The records are maintained by arranging documents in the files related to concerned subject matter.

4. Language in which records are maintained?

English or

Punjabi or

Both

Both English and Punjabi.

5. When did your department destroy official records in the past?

The department destroy records as per Government instructions.

6. Has proper procedure been adopted for destroying the record?

As per Government Instructions.

7. If yes, what procedure has been adopted in seeking approval from this competent authority?

As per Government Instructions.

8. How do you index the record?

As per Subject matter of the information.

9. Do the record rooms have sufficient space to store the record?

Yes/ No

Yes

10. Are sufficient steel almirahs/ racks available to store records?

Yes/ No

Yes

11. How many steel almirahs/ racks are placed in the record room?

Approx 200

12. How often record room is cleaned?

It is frequently cleaned.

13. What is the retrieval system of records?

The record retrieval as per the instructions of the officials.

14. How much time is required to retrieve the record?

As per the subject matter of the informations.

15. How frequently record is retrieved?

as per the instructions of the officials.

16. Who is incharge of record room (designation)?

Record Keeper

17. How many files which are more than 25 years old are not weeded out?

There are few files in the Department which are older than 25 years.

18. How many files/records are marked for weeding out during the year?

NA

19. Why these files are not weeded out?

NA

20. Who is responsible for initiating the process of weeding out record?

Director, Department of Local Government, Punjab



