

ToR – 5:

To evolve an approach and suggest a methodology for assessing and grading public authorities in terms of greater transparency and accountability and least corruption...

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List of Abbreviations / Acronyms

AR	<i>Annual Report</i>	IC	<i>Information Commission</i>
CGG	<i>Centre for Good Governance, Hyderabad</i>	ICT	<i>Information and Communication Technology</i>
CIC	<i>Central Information Commission.</i>	RTI	<i>Right to Information</i>
Dept.	<i>Department</i>	S.	<i>Section</i>
Govt.	<i>Government</i>	SIC	<i>State Information Commission</i>

1. Background, Introduction and Objectives

Central Chief Information Commissioner, issuing a Notification on 12 January 2009, constituted a Sub Committee to undertake an in-depth study and analysis of the problems and issues raised during the Annual Convention 2008, and to explore ways and measures for strengthening the information regime. Committee may suggest an action plan for effective implementation of the Right to Information 2005 (RTI Act).

One of the Terms of Reference assigned to the Committee is “to evolve an approach and suggest a methodology for assessing and grading public authorities in terms of greater transparency and accountability and least corruption”;

Long title of the RTI Act dictates the objects of the Act as

“An Act to provide for setting out the practical regime of right to information for citizens to secure access to information under the control of public authorities, in order to promote transparency and accountability in the working of every public authority, the constitution of a Central Information Commission and State Information Commissions and for matters connected therewith or incidental thereto. [1]”

Preamble to the RTI Act further articulates these objectives:

“AND WHEREAS democracy requires an informed citizenry and transparency of information which are vital to its functioning and also to contain corruption and to hold Governments and their instrumentalities accountable to the governed; [2]”

The Objectives of RTI Act, amongst other things, include:

1. provide for setting out the practical regime of right to information for citizens to secure access to information under the control of public authorities [3]
2. promote transparency in the working of every public authority [4]
3. promote accountability in the working of every public authority [5]
4. transparency of information is vital [6]
 - a. to contain corruption and
 - b. to hold Governments and their instrumentalities accountable to the governed

1.1. Accountability

United Nations Economic and Social Council (ECOSOC) defines ‘Accountability’ as follows: [7]

“Accountability is one of the prerequisites of democratic or good governance. It entails holding elected or appointed officials charged with a public mandate responsible and

¹ Emphasis added

² Emphasis added

³ Long title of the Right to Information Act

⁴ Long title of the Right to Information Act

⁵ Long title of the Right to Information Act

⁶ Preamble to the Right to Information Act

⁷ United Nations Economic and Social Council, *Definition of basic concepts and terminologies in governance and public administration*, E/C.16/2006/4 <http://unpan1.un.org/intradoc/groups/public/documents/un/unpan022332.pdf>

answerable for their actions, activities and decisions. It is the role of civil society to hold those in public office accountable. Accountability seeks to know who is liable for what and what kind of conduct is illegal.

Accountability may be categorized into four broad types:

- Accountability is associated with the idea of answerability, based on the premise that individual identity is determined by one's position in a structured relationship;
- Liability, a second form of accountability, sees individual identity rooted in more-formalized expectations developed through rules, contracts, legislation and similar relationships based on legalistic standing;
- Accountability is associated with role-based expectations. Such roles foster blameworthiness as a basis for shaping and directing one's behavior;
- Accountability expectations are derived from an individual's perceived status in a community where attributions come into play".

UK Constitution Unit [8] is at present evaluating the impact of Freedom of Information (FOI) in the UK to evaluate the performance of FOI against its policy objectives. [9] It defines 'accountability' as follows: [10]

"Giving an account of government policies, procedures and/or decisions, whether proactively (of one's own volition) or reactively (in response to a request for information)". Thus accountability has two aspects: giving account and 'being held to account'.

'Being held to account' includes:

- making public (read: publishing) mistakes and rectifications;
- explaining why decisions have been taken, by whom, and how outcomes came about;
- taking responsibility for and rectifying maladministration.

UK Constitution Unit further analyzes that in a representative system, civil servants are accountable to ministers, who are accountable to their electors through parliament. Civil Servants, therefore, are not directly accountable to parliament. But RTI causes officials to account directly for their actions or decisions.

1.2. Transparency

Transparency International (TI) defines "Transparency" as

"a principle that allows those affected by administrative decisions, business transactions or charitable work to know not only the basic facts and figures but also the mechanisms and processes".

⁸ Freedom of Information and Data Protection, The Constitution Unit, School of Public Policy, University College London.

⁹ UK Constitution Unit has identified six policy objectives to be investigated to what extent they are being achieved:

- Greater transparency
- Increased accountability
- Better public understanding of government decision making
- More effective public participation in the political process
- Increased public trust and confidence in government
- Better quality of government decision making

¹⁰ Sarah Holsen and Mark Glover, *Evaluating the FOIA 2000: Challenges and Progress*, The Constitution Unit, UCL, 31 Oct. 2007. http://www.ucl.ac.uk/constitution-unit/foidp/events/HolsenGloverEvaluatingFOIA_Slides31.10.07.pdf

UK Constitution Unit defines 'transparency' as

"the ability to observe what is going on inside an organization - as an organization being transparent about its policies, procedures or activities". [11]

1.3 Relationship between Transparency and Accountability

ECOSOC observes that 'Transparency and accountability are interrelated and mutually reinforcing concepts'; Without transparency, that is, unfettered access to timely and reliable information on decisions and performance, it would be difficult to call public sector entities to account. Unless there is accountability, that is, mechanisms to report on the usage of public resources and consequences for failing to meet stated performance objectives, transparency would be of little value. The existence of both conditions is a prerequisite to effective, efficient and equitable management in public institutions.

UK Constitution Unit also observes that accountability (giving account) overlaps with transparency. The law provides people with the mechanism to access information, which they can then use to hold government to account.

1.4 Corruption

Corruption literally means to destroy (from the Latin corruptus). [12] Transparency International (TI) defines 'Corruption' as the misuse of entrusted power for private gain. [13] ECOSOC defines 'Corruption' as

"a conduct that amounts to: influencing the decision-making process of a public officer or authority, or influence peddling; dishonesty or breach of trust by a public officer in the exercise of his duty; insider dealing/conflicts of interests; [and] influence peddling by the use of fraudulent means such as bribery, blackmail, which includes the use of election fraud. It is a form of behaviour that deviates from ethics, morality, tradition, law and civic virtue".

1.5 Transparency, Accountability and Least Corruption Index (TALC Index): How to measure Transparency, Accountability and Corruption?

World Bank states that corruption can be measured and is being measured. According to the World Bank there are three broad ways of measuring corruption: [14]

¹¹ The Constitution Unit divides this question into a number of sub-questions and indicators, of which the following are examples:

- Is more information placed in the public domain through proactive means (voluntary publication of information, disclosure logs, other)?
- Is the breadth/quality/relevance of the information released greater under [the law]?
- Do requesters and officials believe that authorities are more transparent as a result of [the law]?

¹² *Oxford English Dictionary* defines 'Corruption' as follows:

Guilty of dishonest practices, (such) as bribery; without integrity; debased in character; depraved; perverted; crooked; wicked; evil; decayed; putrid; infected; tainted. Applies to one, esp. in public office, who acts on mercenary motives, without regard to honour, right or justice.

¹³ http://www.transparency.org/news_room/faq/corruption_faq

¹⁴ World Bank, 'Measuring Corruption: Myths and Realities', *Findings*, April 2007.

- By gathering the informed views of relevant stakeholders: These include surveys of firms, public officials, and individuals, as well as views of outside observers in NGOs, multilateral donors, the private sector and experts in investment rating agencies and think tanks. Dozens of such sources are available.
- By tracking countries' institutional features: This provides information that can be related to opportunities or incentives for corruption, such as procurement practices, budget transparency etc. These do not measure actual corruption, but can provide useful indications of the possibility of corruption.
- By careful audits of specific projects: These can be purely financial audits, or more detailed comparisons of spending with the physical output of projects. Such audits can provide information about malfeasance in specific projects within a very particular context within a country, but not about country-wide corruption more generally.

The first methodology which attempts to measure corruption is expensive and time consuming and its reliability is debatable. Critical institutional capacities are decisive requirements even for covering a small sample. [15]

Global Integrity [16] argues that any attempt to measure corruption is 'effectively impossible' because of its criminal nature.

Transparency, Accountability and Least Corruption Index (TALC Index) adopts the second approach. This is a generic methodology to get information related to opportunities, incentives or disincentives for promotion of Transparency and Accountability and discourage Corruption. Though it does not measure actual levels of Transparency, Accountability and Corruption, it can provide useful pointers in that direction. [17] The goal of the TALC Index is to provide data on preparedness of the public authorities to promote transparency and accountability and contain corruption. It does not reflect the effectiveness or impact of these measures. It just examines whether these mechanisms exist and inspects their accessibility. Performance of such mechanisms is not guaranteed simply because they exist, but it would be worse if these mechanisms do not exist. For the TALC Index, the Indicators are organized into 8 main categories with 100 indicators. The categories are as follows:

1. Citizen's Charter
2. Citizen's Grievance Redressal
3. Citizen Interface
4. Internal Transparency/Accountability/Efficiency
5. Records Management/Maintenance

¹⁵ Since a large part of the study involves sample surveys and analysis of data, a major pre-requisite is that the organization should have either in-house capabilities such as analytical staff well-versed in quantitative methods to understand and interpret numbers or have resources to locate external support. And dedicated resource to anchor and manage the study and dedicated resources for communication and outreach. <http://www.citizenreportcard.com>

¹⁶ Global Integrity, an independent monitor of governance and corruption issues, has been honored by Ashoka, a global organization of the world's leading social entrepreneurs. A diverse group of organizations from across the globe have showcased their most successful strategies to create a more transparent and accountable society in "Ending Corruption: Honesty Instituted" collaborative competition. Global Integrity is one of the three winners from more than 80 innovations participating in this initiative. For more information, visit: <http://report.globalintegrity.org/globalIndex.cfm>

¹⁷ Though dozens of studies adopt the first methodology, very few studies adopt the second methodology. The Global Integrity Index is one such study. The Global Integrity Index assesses the existence, effectiveness, and citizen access to key national-level anti-corruption mechanisms used to hold governments accountable. The Index does not measure corruption. Rather than examine the "cancer" of corruption, the Index investigates the "medicine" being used against it — in the form of government accountability, transparency, and citizen oversight. Global Integrity monitors the systems that prevent, deter, and curb corruption.

6. Accessibility and Participation
7. e-Governance Readiness
8. Compliance with the Right to Information Act, 2005

2.. Scope and Methodology

The following points describe the methodology for scoring Public Authorities (PAs) using TALC Index.

1. Each question carries a maximum of 1 mark and a minimum of '0'. There are no negative marks.
2. The responses to the questions can broadly be categorized into 2 categories i.e.
 - a. Yes/No, whereby, each 'Yes' carries '1' mark while each 'No' carries '0' marks.
 - b. Multiple choices, whereby, each response option carries a specified score. The scores have been so assigned that the maximum score (summation of scores of the multiple response options, where applicable, does not exceed 1, which is the maximum score for all questions.
3. The performance of the PAs, as assessed by this tool, could be classified under 5 grades. The classification is based on the 'percentage' (total number of marks obtained/total number of questions attempted) of marks obtained by the PA. The higher the percentage a PA scores, the better; it is deemed, to perform on the parameters of transparency, accountability and integrity (least corruption). The classification is as under:

S.No	Percentage of Marks Obtained by the P.A	Grade
1.	90 % and above	A
3.	70 % to 89 %	B
4.	50 % to 69 %	C
5.	Below 50 %	D

Note: During the second meeting of the Sub-Committee in New Delhi on 18.04.2009, two recommendations had been offered by two Information Commissioners of the Central Information commission. These were as follows:

- **Prof Ansari stated that the output of this study should be an approach / methodology / conceptual framework which anybody can adopt to rate transparency, accountability and lack of corruption in PAs.**
- **Shri Satyanand Mishra suggested that this methodology could handed to the General Administration / Administrative Reforms Departments of State Governments to use it to improve the functioning of the Departments.**

In view of the above, it is proposed that this index could be suggested to Nodal Departments (of Appropriate Governments) / Competent Authorities< they could use it to gauge their compliance levels as also pass the methodology on to the PAs within their jurisdiction so that it can aid them to assess themselves.

- Alternatively, this index could also be used by an external agency to gauge a PA on any of the aforesaid parameters.

This simple methodology can be applied by even a small group of concerned citizens.

3. The Indicators

The Indicator Checklist for assessing the transparency, accountability and least corruption among Public Authorities (PA) are given in the following pages.

GENERAL INFORMATION

- 1. Name of the Public Authority (PA) : _____
- 2. Place/Location : _____
- 3. Date of Assessment : _____

3.1. CITIZEN'S CHARTER (15 Indicators)

1. The Public Authority (PA) has its own citizen's charter or its services and other related details are covered by the citizen's charter of the PA's parent department

1. Yes	2. No	Score:	1	<input type="checkbox"/>	0	<input type="checkbox"/>
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2. The citizen's charter of the PA is presently in force. *(If 'No' go to question 16)*

1. Yes	2. No	Score:	1	<input type="checkbox"/>	0	<input type="checkbox"/>
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3. The charter is displayed prominently in the premises of PA such that it is clearly visible to the public.

1. Yes	2. No	Score:	1	<input type="checkbox"/>	0	<input type="checkbox"/>
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4. The officials of the PA are aware and are fully committed to the service norms mentioned in the charter.

5.

1. Yes	2. No	Score:	1	<input type="checkbox"/>	0	<input type="checkbox"/>
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6. PA has prepared the Charter with active involvement of citizens and/or Civil Society Organizations.

1. Yes	2. No	Score:	1	<input type="checkbox"/>	0	<input type="checkbox"/>
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7. The Charter provisions are adhered to within the PA on a daily basis.

1. Yes	2. No	Score:	1	<input type="checkbox"/>	0	<input type="checkbox"/>
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8. The Charter mentions against each service, *(Tick what applies)*

1. Only, the entitlements of the user		Score:	0.25	<input type="checkbox"/>		<input type="checkbox"/>
2. Only, service standards			0.25	<input type="checkbox"/>		<input type="checkbox"/>
3. Only, remedies available to the user in case of non-adherence to standards			0.5	<input type="checkbox"/>		<input type="checkbox"/>
4. All of options '1. to 3'			1	<input type="checkbox"/>		<input type="checkbox"/>
5. None of the Above			0	<input type="checkbox"/>		<input type="checkbox"/>

9. PA undertakes the review of its Charter. *(Tick what applies)*

1. Once every year		Score:	1	<input type="checkbox"/>		<input type="checkbox"/>
2. Once in two years			0.75	<input type="checkbox"/>		<input type="checkbox"/>
3. Once in three years			0.5	<input type="checkbox"/>		<input type="checkbox"/>
4. Once in four years			0.25	<input type="checkbox"/>		<input type="checkbox"/>

5. Has not yet reviewed 0
10. Where necessary, Internal restructuring of the PA in the form of one or more of the following, preceded Charter formulation. *(Tick all that apply)*
- | | | | |
|--|--------|-----|--------------------------|
| 1. Additional staffing/reorganizing staff | Score: | 0.2 | <input type="checkbox"/> |
| 2. Simplicity of process | | 0.2 | <input type="checkbox"/> |
| 3. Fixing timelines for specific services | | 0.2 | <input type="checkbox"/> |
| 4. Training of staff members on service delivery standards | | 0.2 | <input type="checkbox"/> |
| 5. Use of Information and Communication Technology | | 0.2 | <input type="checkbox"/> |
11. PA has put in place a system (Procedure) to obtain the feedback on the charter from citizens.
- | | | | | | | |
|--------|-------|--------|---|--------------------------|---|--------------------------|
| 1. Yes | 2. No | Score: | 1 | <input type="checkbox"/> | 0 | <input type="checkbox"/> |
|--------|-------|--------|---|--------------------------|---|--------------------------|
12. PA has a monitoring system in place to assess its service delivery performance.
- | | | | | | | |
|--------|-------|--------|---|--------------------------|---|--------------------------|
| 1. Yes | 2. No | Score: | 1 | <input type="checkbox"/> | 0 | <input type="checkbox"/> |
|--------|-------|--------|---|--------------------------|---|--------------------------|
13. PA has mechanisms in place for awareness generation on the Citizens' Charter.
- | | | | | | | |
|--------|-------|--------|---|--------------------------|---|--------------------------|
| 1. Yes | 2. No | Score: | 1 | <input type="checkbox"/> | 0 | <input type="checkbox"/> |
|--------|-------|--------|---|--------------------------|---|--------------------------|
14. PA has taken steps to orient its staff on various components of the Charter.
- | | | | | | | |
|--------|-------|--------|---|--------------------------|---|--------------------------|
| 1. Yes | 2. No | Score: | 1 | <input type="checkbox"/> | 0 | <input type="checkbox"/> |
|--------|-------|--------|---|--------------------------|---|--------------------------|

3.2. CITIZEN's GRIEVANCE REDRESSAL (12 Indicators)

15. PA has Citizen Grievance Redressal Mechanism in place. *(If 'No' go to question 28)*
- | | | | | | | |
|--------|-------|--------|---|--------------------------|---|--------------------------|
| 1. Yes | 2. No | Score: | 1 | <input type="checkbox"/> | 0 | <input type="checkbox"/> |
|--------|-------|--------|---|--------------------------|---|--------------------------|
16. PA has appointed an officer to look into Redressal of Public Grievances.
- | | | | | | | |
|--------|-------|--------|---|--------------------------|---|--------------------------|
| 1. Yes | 2. No | Score: | 1 | <input type="checkbox"/> | 0 | <input type="checkbox"/> |
|--------|-------|--------|---|--------------------------|---|--------------------------|
17. PA displays the name, address, phone number & other contact details of the public grievance officer.
- | | | | | | | |
|--------|-------|--------|---|--------------------------|---|--------------------------|
| 1. Yes | 2. No | Score: | 1 | <input type="checkbox"/> | 0 | <input type="checkbox"/> |
|--------|-------|--------|---|--------------------------|---|--------------------------|
18. PA has published grievance lodging, redress procedure, and timelines for redress of grievances.
- | | | | | | | |
|--------|-------|--------|---|--------------------------|---|--------------------------|
| 1. Yes | 2. No | Score: | 1 | <input type="checkbox"/> | 0 | <input type="checkbox"/> |
|--------|-------|--------|---|--------------------------|---|--------------------------|
19. PA monitors newspaper reports everyday for grievances and promptly responds to them.
- | | | | | | | |
|--------|-------|--------|---|--------------------------|---|--------------------------|
| 1. Yes | 2. No | Score: | 1 | <input type="checkbox"/> | 0 | <input type="checkbox"/> |
|--------|-------|--------|---|--------------------------|---|--------------------------|
20. The Citizen's Charter of the PA contains provisions to levy penalties for non-adherence to timelines.
- | | | | | | | |
|--------|-------|--------|---|--------------------------|---|--------------------------|
| 1. Yes | 2. No | Score: | 1 | <input type="checkbox"/> | 0 | <input type="checkbox"/> |
|--------|-------|--------|---|--------------------------|---|--------------------------|
21. PA has prepared guidelines for recording and classifying grievances and takes action accordingly.
- | | | | | | | |
|--------|-------|--------|---|--------------------------|---|--------------------------|
| 1. Yes | 2. No | Score: | 1 | <input type="checkbox"/> | 0 | <input type="checkbox"/> |
|--------|-------|--------|---|--------------------------|---|--------------------------|
22. PA has a provision to register grievances through the following. *(Tick all that apply)*
- | | | | |
|-------------------|--------|-----|--------------------------|
| 1. Telephone/Oral | Score: | 0.2 | <input type="checkbox"/> |
|-------------------|--------|-----|--------------------------|

- | | | | | | |
|----|----------------------|--|-----|--------------------------|--|
| 2. | Web/e-Mail | | 0.2 | <input type="checkbox"/> | |
| 3. | Postal Communication | | 0.2 | <input type="checkbox"/> | |
| 4. | Fax | | 0.2 | <input type="checkbox"/> | |
| 5. | SMS | | 0.2 | <input type="checkbox"/> | |
23. PA has a mechanism in place to facilitate Social audit.
1. Yes 2. No **Score:** 1 0
24. PA has Internal/Independent Grievance Redressal Mechanism for employees.
1. Yes 2. No **Score:** 1 0
25. PA provides training opportunities to employees to enhance their Service Delivery Preparedness.
1. Yes 2. No **Score:** 1 0
26. PA has constituted an Internal Complaints Committees to deal with cases of sexual harassment at workplace and cases of atrocities on SC/STs and Dalits.
1. Yes 2. No **Score:** 1 0

3.3. CITIZEN INTERFACE (12 Indicators)

27. PA has established an information facilitation counter and is located at the main entrance which is easily accessible to the public. *(If 'No' go to question 36)*
1. Yes 2. No **Score:** 1 0
28. The facilitation counter is able to provide the following on demand. (Tick what applies)
- | | | | | |
|----|--|---------------|------|--------------------------|
| 1. | Brochures/pamphlets etc. on services & schemes of the PA | Score: | 0.25 | <input type="checkbox"/> |
| 2. | Brochures/pamphlets etc., containing procedures to avail the above | | 0.25 | <input type="checkbox"/> |
| 3. | Verbal responses to queries | | 0.25 | <input type="checkbox"/> |
| 4. | A combination of any 2 of the above | | 0.5 | <input type="checkbox"/> |
| 5. | All from 1 to 3. | | 1 | <input type="checkbox"/> |
29. Required forms for procedures in the PA are available in a printed form at the facilitation counter.
1. Yes 2. No **Score:** 1 0
30. The facilitation counter receives complaints, issue acknowledgment slips, indicating the section dealing with the complaints.
1. Yes 2. No **Score:** 1 0
31. The facilitation counter provides free assistance to the public in addition to the above responsibilities.
1. Yes 2. No **Score:** 1 0
32. The facilitation counter gives a numbered acknowledgment to the citizens who visit the PA with applications / complaints / grievances and the acknowledgement indicates the date by which the decisions will be taken, orders issued or request granted.
1. Yes 2. No **Score:** 1 0
33. There is an information/notice board which displays various services, time limits for delivery of

services, visiting hours and various procedures and their disposal.

1. Yes 2. No **Score:** 1 0

34. Various details pertaining to the programmes and schemes like budgets, list of beneficiaries etc., implemented by the PA are made available for public scrutiny.

1. Yes 2. No **Score:** 1 0

35. Various details pertaining to the programmes and schemes like budgets, list of beneficiaries etc., implemented by the PA are made available for public scrutiny.

1. Yes 2. No **Score:** 1 0

36. The PA has an officer/s designated to see visitors.

1. Yes 2. No **Score:** 1 0

3.4. INTERNAL TRANSPARENCY, ACCOUNTABILITY & EFFICIENCY (16 Indicators)

37. There is an internal mechanism (i.e. phone hotline, e-mail address, local office) through which employees can report complaints.

1. Yes 2. No **Score:** 1 0

38. The information of the complainant is kept confidential.

1. Yes 2. No **Score:** 1 0

39. PA has framed transfer guidelines for transparent and unbiased transfer process.

1. Yes 2. No **Score:** 1 0

40. Service Delivery procedures of the PA are in simple language and understandable.

1. Yes 2. No **Score:** 1 0

41. Employees are trained to enhance their Service Delivery Preparedness.

1. Yes 2. No **Score:** 1 0

42. The PA has a monitoring mechanism to effectively check the efficiency of the employee involved in a particular service delivery.

1. Yes 2. No **Score:** 1 0

43. Various guidelines pertaining to service matters are accessible to employees.

1. Yes 2. No **Score:** 1 0

44. PA provides performance based incentives for its employees.

1. Yes 2. No **Score:** 1 0

45. Employees declare the value of any gift received from any source if it exceeds a certain value.

1. Yes 2. No **Score:** 1 0

46. PA strictly adheres to the Code of conduct prescribed by the government for their employees.

1. Yes 2. No **Score:** 1 0

47. PA has identified the 'Focal Jobs' that are prone to corruption.

1. Yes 2. No **Score:** 1 0
48. Focal jobs are rotated periodically so as to prevent any nexus developing between the officers posted there and the citizens.
1. Yes 2. No **Score:** 1 0
49. PA looks into complaints on procurement procedures followed.
1. Yes 2. No **Score:** 1 0
50. PA has introduced e – Procurement, where applicable.
1. Yes 2. No **Score:** 1 0

3.5. RECORDS MANAGEMENT/MAINTENANCE (7 Indicators)

51. PA has set up an organized Records Room with sufficient space.
1. Yes 2. No **Score:** 1 0
52. PA maintains all its records duly catalogued and indexed in a manner and the form which facilitates the right to information under the Right to Information Act.
1. Yes 2. No **Score:** 1 0
53. PA provides for periodic inspection of records.
1. Yes 2. No **Score:** 1 0
54. PA has nominated Departmental Records Officers under the Public Records Act 1993/applicable state Act Nomination of Records Officers.
1. Yes 2. No **Score:** 1 0
55. PA arranges for periodic training to its officers in Records Management.
1. Yes 2. No **Score:** 1 0
56. PA has Record Retention Schedule of substantive functions.
1. Yes 2. No **Score:** 1 0
57. PA revises the record retention schedule where necessary, once every five years.
1. Yes 2. No **Score:** 1 0

3.6. ACCESSIBILITY & PARTICIPATION (5 Indicators)

58. PA publishes all relevant facts and considers suggestions and comments from public while formulating important policies or announcing the decisions that may affect the public (Section 4(1) (c) of the Right to Information Act).
1. Yes 2. No **Score:** 1 0
59. When asked for, PA provides reasons for its administrative or quasi-judicial decisions to affected persons (Section 4(1) (d) of the Right to Information Act).
1. Yes 2. No **Score:** 1 0

- 60.** PA invites and considers suggestions and comments from public while formulating important policies or announcing the decisions which may affect the public.
1. Yes 2. No **Score:** 1 0
- 61.** PA holds regular consultations/public hearings as may be applicable with members of public & members of the community who use the services offered by it.
1. Yes 2. No **Score:** 1 0
- 62.** PA provides for participation of the public in policy planning, implementation, service delivery and monitoring of schemes and programmes implemented by the PA.
1. Yes 2. No **Score:** 1 0
- 63.** PA has barrier-free environment under the Persons with Disabilities (Equal Opportunities, Protection of Rights & Full Participation) Act, 1995 such as ramps in public buildings and Braille symbols and auditory signals in elevators or lifts under section 46.
1. Yes 2. No **Score:** 1 0
- 64.** PA reserves required percentage of posts under section 33 of the Persons with Disabilities (Equal Opportunities, Protection of Rights & Full Participation) Act, 1995.
1. Yes 2. No **Score:** 1 0

3.7. e-GOVERNANCE READINESS (8 Indicators)

- 65.** PA has an intranet and Local Area Network (LAN) facility.
1. Yes 2. No **Score:** 1 0
- 66.** PA has concrete plans to adopt e-governance in the near future or has already done so.
1. Yes 2. No **Score:** 1 0
- 67.** PA has a Chief Information Officer or a similar officer with a leadership role to manage e-government programme.
1. Yes 2. No **Score:** 1 0
- 68.** PA allocates budget annually for e-government activities.
1. Yes 2. No **Score:** 1 0
- 69.** The allocated budget for e-Governance is utilized fully within the stipulated period.
1. Yes 2. No **Score:** 1 0
- 70.** Public Authority has a 'Citizen Friendly Portal' which includes information about the PA and its Acts, Rules, Instructions, Services and Contact list of officers.
1. Yes 2. No **Score:** 1 0
- 71.** The website of the PA provides for the following. online forms (redesigned and adaptable to e-Governance) for the services it renders to the citizens.(Tick all that apply)
- | | | | |
|--|---------------|-----|--------------------------|
| 1. Online Forms (Redesigned & Adaptable to e-governance) | Score: | 0.2 | <input type="checkbox"/> |
| 2. Citizen Services | | 0.2 | <input type="checkbox"/> |

3.	Mandatory publications under RTI	0.2	<input type="checkbox"/>
4.	Other published information and other departments related information	0.2	<input type="checkbox"/>
5.	Provision for e-suggestions	0.2	<input type="checkbox"/>
6.	All the above	1	<input type="checkbox"/>

72. The PA website has the following citizen interface provisions on the website. (Tick all that apply)

1.	Complaints Facility	Score: 0.25	<input type="checkbox"/>
2.	e-Mail facility to contact Public Authority	0.25	<input type="checkbox"/>
3.	e-surveys/e-opinion polls/feedback	0.25	<input type="checkbox"/>
4.	Provision to communicate with the staff of the PA	0.25	<input type="checkbox"/>
5.	All the above	1	<input type="checkbox"/>

73. Wherever necessary, the processes of the PA have been re-designed to make them adaptable to e-Governance.

1.	Yes	2.	No	Score:	1	<input type="checkbox"/>	0	<input type="checkbox"/>
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74. The above mentioned changes are backed by necessary policies or orders from Government

1.	Yes	2.	No	Score:	1	<input type="checkbox"/>	0	<input type="checkbox"/>
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3.8. COMPLIANCE WITH THE RIGHT TO INFORMATION ACT (8 Indicators)

75. The PA has designated an officer as PIO as per the requirements of the RTI Act.

1.	Yes	2.	No	Score:	1	<input type="checkbox"/>	0	<input type="checkbox"/>
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76. In case the information requested is concerning the life and liberty of a person, the PA disposes the same within 48 hours and other information requests within 30 days of the receipt of the request.

1.	Yes	2.	No	Score:	1	<input type="checkbox"/>	0	<input type="checkbox"/>
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77. The PA has an information board displaying the names, designations and contact details of the Public Information Officers.

1.	Yes	2.	No	Score:	1	<input type="checkbox"/>	0	<input type="checkbox"/>
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78. PA allocates Budget for RTI implementation.

1.	Yes	2.	No	Score:	1	<input type="checkbox"/>	0	<input type="checkbox"/>
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79. PA has submitted its annual report under section 25 of the RTI Act after the end of the previous year.

1.	Yes	2.	No	Score:	1	<input type="checkbox"/>	0	<input type="checkbox"/>
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80. PA distributes booklets/pamphlets to the public on the procedures, entitlements and grievance procedures in availing benefits from schemes & services implemented by it.

1.	Yes	2.	No	Score:	1	<input type="checkbox"/>	0	<input type="checkbox"/>
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81. PA has prepared the handbook under Section 4 (1) (b) of the RTI Act, which is updated annually and also available in local language.

1.	Yes	2.	No	Score:	1	<input type="checkbox"/>	0	<input type="checkbox"/>
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82. PA updates these handbooks annually and where necessary.
 1. Yes 2. No **Score:** 1 0
83. PA makes available printed handbooks with the PIO, for distribution to public for free or for a nominal cost.
 1. Yes 2. No **Score:** 1 0
84. The electronic form of the Handbook/s can be accessed by public from PA's website.
 1. Yes 2. No **Score:** 1 0

3.8-A. THE HANDBOOK UNDER SECTION 4(1)(b) CONTAINS INFORMATION REGARDING THE FOLLOWING (16 Indicators)

85. The particulars of its organization, functions and duties of the PA.
 1. Yes 2. No **Score:** 1 0
86. The powers and duties of its officers and employees of the PA.
 1. Yes 2. No **Score:** 1 0
87. The procedure followed in decision making, including channels of supervision and accountability.
 1. Yes 2. No **Score:** 1 0
88. The norms set by the PA for the discharge of its functions.
 1. Yes 2. No **Score:** 1 0
89. The rules, regulations, instructions, manuals and records, held by the PA or under its control or used by its employees for discharging its functions.
 1. Yes 2. No **Score:** 1 0
90. A statement of the categories of documents that are held by it or under its control.
 1. Yes 2. No **Score:** 1 0
91. The particulars of any arrangement that exists for consultation or representation by the public in relation to the formulation of its policy or implementation.
 1. Yes 2. No **Score:** 1 0
92. A statement showing details of the boards, councils, committees and other bodies consisting of two or more members created as part of the PA or as an advisory body and whether the minutes of meetings of these boards/councils/committees are accessible to public.
 1. Yes 2. No **Score:** 1 0
93. A directory of its officers and employees.
 1. Yes 2. No **Score:** 1 0
94. The monthly remuneration received by each of the PA's officers and employees including the system of compensation made available by the PA as per its rules and regulations.
 1. Yes 2. No **Score:** 1 0
95. The budget allocated to each of the PA's agencies, indicating the particulars of all plans, proposed

expenditures and reports on disbursements made.

1. Yes 2. No **Score:** 1 0

96. The manner of execution of subsidy programmes, if any, including the amounts allocated and the details of beneficiaries of such programmes.

1. Yes 2. No **Score:** 1 0

97. Particulars of recipients of concessions, permits or authorizations granted by it.

1. Yes 2. No **Score:** 1 0

98. Details in respect of the information, available to or held by it, reduced in an electronic form.

1. Yes 2. No **Score:** 1 0

99. The particulars of facilities available to citizens for obtaining information, including the working hours if maintained for public use.

1. Yes 2. No **Score:** 1 0

100. The names, designations and other particulars of the Public Information Officers.

1. Yes 2. No **Score:** 1 0

OTHER OBSERVATIONS

4. KEY POINTS

Note: The following points are to be considered while using the indicators:

- Though an attempt has been made to create an index/set of indicators such that they could be commonly applied to all the P.As, the same has not been possible.
- This is owing to the diversity of the P.As in terms of their size, location, extent of use of information technology in their functioning etc. Thus, all sections of the indicator set may not be applicable to all the P.As.

- In line with the above point, the percentage of marks scored by a P.A must be calculated such that the maximum marks is limited to the summation of scores obtained for the indicators attempted.

To illustrate this point, P.A 1 has attempted (found applicable) all the 100 indicators and has scored 90 marks. The percentage obtained by P.A 1 would be 90%. On the other hand, P.A 2 has found only 80 of the 100 indicators to be applicable (and has attempted only 80) to its case and has scored 72. The percentage obtained by P.A 2 would also be 90%. Thus the percentage of marks obtained by P.As is a function of number of attempts and the score obtained.