

CONFIDENTIAL

REPORT

ON

TRANSPARENCY AUDIT

OF



NATIONAL INSTITUTE OF UNANI MEDICINE

SUBMITTED BY



NATIONAL PRODUCTIVITY COUNCIL

II FLOOR, KSDB BUILDING, 55, RISALDAR STREET,
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MARCH 2020

Acknowledgement

National Productivity Council (NPC) wishes to place on record its deep gratitude to the progressive management of ***National Institute of Unani Medicine, Bengaluru*** for vesting its confidence in National Productivity Council to carry out the ***TRANSPARENCY AUDIT***.

We are thankful to all executives, non-executives and other staff, who have rendered co-operation and assistance to NPC during the entire period of the Audit at ***National Institute of Unani Medicine, Bengaluru***.



Date: 18/03/2020

Place: Bengaluru

**C. Narendra
Regional Director
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INTRODUCTION

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
6. Information Disclosed on Own Initiative.

It is under these six categories, National Institute of Unani Medicine (NIUM) RTI Cell was audited on 17th March 2020.

METHODOLOGY

The comprehensive format containing all the relevant indicators as designed and developed by CIC for evaluating disclosure by PAs was used. The format issued by CIC has captured and identified all the relevant parameters that are mentioned in section-4 of the RTI Act as well as other information that has been prescribed by the CIC, the Courts, provisions under different Acts and the directions issued from time to time by the Department of Personnel and Training (DoPT). Broadly, information has been grouped under six categories as described below:

1. Organisation and Function

- Are organisational details given?
- Have all the designated officers been appointed?
- Is the objective and purpose of the establishment given in clear and concise terms?
- Annual reports including information regarding number of RTI applications received and disposed of in that year.
- Are RTI application queries reflected in the FAQs on the PA website? (random check)
- Monthly reports of RTI applications received and disposed.

2. Budget and Programmes

- Are the budget details furnished on the website?
- Are the comprehensive end-to-end e-procurement details disclosed under Section 4?
- Information about fees, tolls, or other kinds of revenue that may be collected under authorization from the Government, information in respect of outputs and outcomes, process of selection of the private sector party may also be proactively disclosed.
- All discretionary /non-discretionary grants/ allocations to state governments/ NGOs/Other institutions by Ministry/Department should be placed on the website of the Ministry/Department concerned.
- Annual Accounts of all legal entities who are provided grants by Public Authorities should be made available through publication, directly or indirectly on the Public Authority's website.
- Are all the payments made under PPP projects disclosed in a periodic manner along with the purpose of making such payments?
- Is the PA proactively disclosing the CAG & PAC paras and the Action Taken Reports (ATRs) (After these have been laid on the floor of both the houses of Parliament)?
- Is the PA disclosing details of foreign and domestic official tours undertaken by the
- Minister(s) and officials of the rank of Joint Secretary to the Government of India and above and Heads of departments?
- Is the nature of official tours, places visited, number of people included in the official delegation and total cost of such travel undertaken disclosed?

3. Publicity and Public Interface

- It should be the endeavour of all public authorities that all entitlements to citizens and all transactions between the citizen and government are gradually made available through computer-based interface. The 'Electronic Delivery of Services Bill, 2012 under formulation in Government of India would provide the necessary impetus.
- Websites should contain detailed information from the point of origin to the point of delivery of entitlements/ services provided by the Public Authorities to citizens.
- Service delivery standards and performance indicators and penalties for noncompliance to standards of service delivery should be prominently published.
- Orders of the public authority should be uploaded on the website immediately after they have been issued.
- Information must be presented from a user's perspective, which may require rearranging it, simplifying it, etc. However, original documents in original formats should continue to be made available because these are needed for community monitoring of government's functioning. Is this fact observed on the PA website?

4. E-Governance / Digitisation

- Website should contain all the relevant Acts, Rules, forms and other documents which are normally accessed by citizens.
- While adhering to the standards of government guidelines as laid down by Department of Information Technology and Department of Administrative Reforms & Public Grievances, the following principles additionally should also be kept in view to ensure that websites' disclosures are complete, easily accessible, technology and platform neutral and in a form, which conveys the desired information in an effective and user-friendly manner.
- Maintain reliability of information and its real time updation, information generation in a digital form should be automatically updated on the basis of key work outputs, like a muster roll and salary slip (NREGA in Andhra Pradesh) or formalization of a government order (Andhra Pradesh). Such an approach will lead to automation of proactive disclosure.
- The 'National Data Sharing and Accessibility Policy' by the Department of Science and Technology is based on the principle that all publicly funded information should be readily available. The policy has been notified in March 2012 and the schedule should be strictly adhered to.
- Information and data should be presented in open data formats whereby it can be pulled by different Application Protocol Interfaces to be used in different fashions more appropriate to specific contexts and needs. Information/ data can, for instance, be presented in powerful visual ways using visualisation techniques. Such visual representation of information/ data can give insights that may remain largely hidden in a textual or tabular presentation of data. In some contexts, pictures and audio/videos recordings etc may be more useful. There have been moves in some parts of the country to video record Gram Sabha meetings. A picture of a NREGA worksite, for instance, may tell much more than words can. All such different media and forms should be used for proactive disclosure.
- Every webpage displaying information or data proactively disclosed under the RTI Act should, on the top right corner, display the mandatory field 'Date last updated (DD/MM/YY)'.
- The data about digitized record may include the name of the record and any categorization or indexing used; the subject matter and any other information that is required to be compiled in relation to a file as prescribed by Manual of Office Procedure (and to be prescribed by MOP for electronic records that is under finalization by DARPG), the division/ section/ unit/ office where the record is normally held; the person, with designation, responsible for maintaining the record; and the life span of the record, as prescribed in the relevant record retention schedule.
- The government has issued directions to all the Ministries/ Departments to include a chapter

on RTI Act in the Annual Reports submitted to parliament. Details about compliance with proactive disclosure guidelines should be mandatorily be included in the relevant chapter in Annual Reports of Ministries / departments. Is the Annual Report regularly prepared and uploaded on the website?

5. Information as Prescribed

- Each Central Ministry/Public Authority should appoint a senior officer not below the rank of a Joint Secretary and not below rank of Additional HOD in case of attached offices for ensuring compliance with the proactive disclosure guidelines. The Nodal Officer would work under the supervision of the Secretary of the Ministry/Department or the HOD of the attached office, as the case may be. Nodal Officers of Ministry/ Department and HOD separately should also ensure that the formations below the Ministry/Department/Attached Office also disclose the information as per the proactive disclosure guidelines. Is this fact mentioned anywhere on the website?

6. Information Disclosed on Own Initiative

- Maximum weight-age would be given to the items/ information disclosed with a purpose that public may have minimum resort to use of RTI Act to obtain information.

AUDIT REPORT

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 department and the HoDs from time to time as well as the committees/ Commissions constituted from time to time have been dealt	List of teaching staff given in the website along with contact numbers.
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 met
		(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	Partially met
		(iii) Related provisions, acts, rules etc.	Fully met
		(iv) Time limit for taking a decisions, if any	Partially met
		(v) Channel of supervision and accountability	Partially 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	Partially met

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)
		(v) Process of redress of grievances	Partially 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	N.A
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	Partially 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	Not Met
		(iv) Term/ Tenure	Fully met
		(v) Powers and functions	Not met
		(vi) Whether their meetings are open to the public?	Fully met
		(vii) Whether the minutes of the meetings are open to the public?	Fully met
		(viii) Place where the minutes if open to the public are available?	N.A
1.8	Directory of officers and employees	(i) Name and designation	Fully met
		(ii) Telephone , fax and email ID	Fully met
	[Section 4(1) (b) (ix)]		
1.9	Monthly Remuneration	(i) List of employees with Gross monthly remuneration	Fully met

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)
	received by officers & employees including system of compensation [Section 4(1) (b) (x)]	(ii) System of compensation as provided in its regulations	Partially met
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	Not met
		(ii) Finalised for Minor penalty or major penalty proceedings	Not met
1.12	Programmes to advance understanding of RTI (Section 26)	(i) Educational programmes	Partially met
		(ii) Efforts to encourage public authority to participate in these programmes	Partially met
		(iii) Training of CPIO/APIO	Partially met
		(iv) Update & publish guidelines on RTI by the Public Authorities concerned	Partially met

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)
1.13	Transfer policy and transfer orders [F No. 1/6/2011- IR dt. 15.4.2013]		N.A

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	Partially met
		(ii) Budget for each agency and plan & programmes	Partially met
		(iii) Proposed expenditures	Partially met
		(iv) Revised budget for each agency, if any	N.A
		(v) Report on disbursements made and place where the related reports are available	Not met
2.2	Foreign and domestic tours (F. No. 1/8/2012-IR dt. 11.9.2012)	(i) Budget	Not 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 b) The period of visit c) The number of members in the official delegation d) Expenditure on the visit	Not met
		(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 d) The rate /rates and the total amount at which such procurement or works contract is to be executed.	Partially met
2.3	Manner of execution of subsidy programme [Section 4(i)(b)(xii)]	(i) Name of the programme of activity	N.A
		(ii) Objective of the programme	N.A
		(iii) Procedure to avail benefits	N.A
		(iv) Duration of the programme/ scheme	N.A
		(v) Physical and financial targets of the programme	N.A
		(vi) Nature/ scale of subsidy /amount	N.A

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)
		allotted	
		(vii) Eligibility criteria for grant of subsidy	N.A
		(viii) Details of beneficiaries of subsidy programme (number, profile etc)	N.A
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
		(ii) Annual accounts of all legal entities who are provided grants by public authorities	N.A
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
		(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	N.A
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.	N.A

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

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)
3.3	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	Available
		(ii) Printed format	Available
3.5	Whether information manual/ handbook available free of cost or not [Section 4(1)(b)]	List of materials available (i) Free of cost	Available (Only soft copies)
		(ii) At a reasonable cost of the medium	Available (All hardcopies apart from soft copies).

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	Not 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 facility	Partially met
		(ii) Details of information made available	Partially 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	Partially met
		(ii) Details of applications received under RTI and information provided	Fully met
		(iii) List of completed schemes/ projects/ Programmes	Partially 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	N.A
		(vi) Annual Report	Fully met
		(vii) Frequently Asked Question (FAQs)	Fully met

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)
		(viii) Any other information such as a) Citizen's Charter	N.A
		b) Result Framework Document (RFD)	N.A
		c) Six monthly reports on the	N.A
		d) Performance against the benchmarks set in the Citizen's Charter	N.A
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	N.A

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	N.A
		(iii) Appointment of Nodal Officers not below the rank of Joint Secretary/ Additional HoD (a) Date of appointment (b) Name & Designation of the officers	Fully met
		(iv) Consultancy committee of key stake holders for advice on suo-motu disclosure (a) Dates from which constituted (b) Name & Designation of the officers	N.A
		(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	Partially met

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	<ol style="list-style-type: none"> 1. RTI Act 2005 2. By-laws of NIUM 3. NIUMRTI Booklet 4. Annual Report 	Partially 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)	<ol style="list-style-type: none"> (i) Whether STQC certification obtained and its validity. (ii) Does the website show the certificate on the Website? 	Not met

NATIONAL PRODUCTIVITY COUNCIL

NPC is a national level organization to promote productivity culture in India. Established as a registered society in 1958 by Government of India, it is an autonomous, not for profit organization with equal representation from the Government, Employers and Employees' organizations, apart from technical & professional institution on its governing council. Besides providing training, consultancy and undertaking research in the area of productivity, NPC also implements the productivity promotion plans and programmes of the Tokyo based Asian Productivity Organization (APO), an inter-governmental body of which the Government of India is a founder member.

The Mission of NPC is Development, Dissemination and Application of knowledge and experience in productivity, for promoting consciousness and improvement in productivity, with the objective of strengthening the performance and competitiveness of the economy as well as of improving the working conditions and quality of working life.

The Union Minister for Industry is the President of NPC, and the Secretary (Industrial Development) is its Chairman. Director General is the Chief Executive Officer, and is a government appointee. NPC has 12 Regional Directorates (RDs) in India, located in Major State Capitals and strength of over 127 full time consultants.

CORE COMPETENCIES

NPC offers TOTAL SOLUTIONS, as also specific services in management as well as technological areas. These include,

- **Human Resource Development:** Work culture, Participative group activities, Workload assessment, Organization Redesign, Productivity Linked reward Scheme, Training needs assessment, Wage structure design, Competency Matrix design.
- **Strategic Productivity Management:** Systems & Procedures redesign, Material requirement planning, MIS, Project Management, Cost reduction.
- **Process Management:** Total Quality Management, ISO 9000, Certification, Business Process engineering, KAIZEN, Benchmarking etc.
- **Information Technology:** Management Information system, E – Governance, IT Infrastructure Planning.
- **Energy Management:** Energy Audits, Co-generation, Demand side management, Renewable & Green energy sources, Process Optimization & energy Conservation.
- **Environment Management:** Integrated environment planning, Environmental Audit, Cleaner Production Techniques, Hazardous Waste Management, Waste Minimization & Utilization, Green Productivity, ISO 14000 & OHSAS 18000.
- **Productivity Implementation:** Policy Research & Techno-economic Consultancy, Productivity Audit.
- **Technology Management:** Condition Monitoring, Safety audit, Risk assessment, Total Productive Maintenance.
- **World Class Manufacturing:** Flexible/ cellular manufacturing, JIT, Cycle time reduction, Six Sigma.
- **Agribusiness:** Food Processing, Warehousing Logistics, Evaluation Studies, Soil & Water conservation.

NPC brings out literature suitable to Indian situation on current and emerging subjects relating to productivity and quality.

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