

# A FRAMEWORK FOR TRANSPARENCY AUDIT

The RTI Act under section 4 provides a comprehensive framework for promoting openness in the functioning of the public authorities.

While Section 4(1) (a) provides a general guideline for record management, so that the information could be easily stored and retained, the sub-sections b, c and d of Section 4 relate to the organizational objects and functions. Sub-sections (b), (c) and (d) of Section 4 of the RTI Act and other related information can be grouped under six categories; namely, 1-organisation and function, 2- Budget and programmes, 3- Publicity and public interface, 4- E. governance, 5- Information as prescribed and 6. Information disclosed on own initiative.

## 1. Organisation and Function

S. No.	Item	Details of disclosure	Remarks/ Reference Points (Fully met/partially met/ not met- Not applicable will be treated as fully met/partially met)
1.1	Particulars of its organisation, functions and duties [Section 4(1)(b)(i)]	(i)Name and address of the Organization	Cauvery Water Management Authority (CWMA), Bhikaji
		(ii)Head of the organization	Chairman, CWMA
		(iii)Vision, Mission and Key objectives	Cauvery Water Management Authority (CWMA), New Delhi, and Cauvery Water Regulation Committee (CWRC), Bengaluru, are Statutory Autonomous bodies constituted by Central Government on 01st June, 2018 to give effect to the decision of Cauvery Water Disputes Tribunal as modified by the Hon'ble Supreme Court vide its order dated 16th February, 2018.
		(iv)Function and duties	May be seen in the Gazette Notification of Cauvery Water management Authority dated 01.06.20218
		(v)Organizational Chart	<b>Annexure-A.</b>

		(vi) Any other details-the genesis, inception,formation of the department	May be seen in the Gazette Notification at page-7.
		(vii) HoDs from time to time..	<b>Annexure-B</b>
		(viii) 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)	Administrative and financial powers rest with the Head of the Department, while there are no judicial powers available to CWMA. Duties are performed by the officers in CWMA/CWRC as per the rules of Central Government and in consonance with the activities of CWMA/CWRC envisaged in the Gazette Notification dated 01.06.2018.
		(ii) Power and duties of other employees	It is pertinent to mention that there are only 3 Gr. C officials posted in CWMA, while the number of Assistant Directors is 2 and in addition to them incumbents also have been deployed in CWMA as Chairman, Member (Agriculture), Member (WR) & Secretary, CWMA. In CWRC, 5 officers are posted on deputation-1 Director, 2 Deputy Directors and 2 AD-II.
		(iii) Rules/ orders under which powers and duty are derived and (iv) Exercised	Powers are derived by the officers in CWMA/CWRC from Gazette Notification and rule books applicable in Central Government under different rules like FRSR, Conduct Rules, GFRs, CCS (CCA) Rules etc.

		(v) Work allocation	Since the manpower available in CWMA/CWRC is too meagre, there is no scope for work allocation at middle or lower level.
1.3	Procedure followed in decision making process [Section 4(1)(b)(iii)]	(i) Process of decision making Identify key decision making points	The decisions taken in the meetings of CWRC and other administrative and financial decisions taken at the level of HoD are referred to the Cauvery Water Management Authority as and when required in its meetings held from time to time.
		(ii) Final decision making authority	CWMA for major policy decisions.
		(iii) Related provisions, acts, rules etc.	The provisions available in Central Government Rules are referred.
		(iv) Time limit for taking a decisions, if any	Depends on case to case basis.
		(v) Channel of supervision and accountability	Routine administrative and financial activities are supervised by the Assistant Director and DDO, while technical activities are supervised by Director, CWRC, and Assistant Director (Technical), CWMA.
1.4	Norms for discharge of functions [Section 4(1)(b)(iv)]	(i) Nature of functions/ services offered	CWMA does not deal with the public directly. As per its mandate, CWMA is responsible for regulation of Cauvery Water among riparian States of Cauvery basin.
		(ii) Norms/ standards for functions/ service delivery	N.A in view of the above.
		(iii) Process by which these services can be accessed	As above
		(iv) Time-limit for achieving the targets	Targets to hold the meetings of CWMA and CWRC during a specified timeframe have been fixed and achieved.
		(v) Process of redress of grievances	Grievances are redressed as per standard procedure.
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.	No title of record/manual/instruction is required by CWMA/CWRC.
		(ii) List of Rules, regulations, instructions manuals and records.	Rules applicable to Central Government offices are followed.
		(iii) Acts/ Rules manuals etc.	As above.
		(iv) Transfer policy and transfer orders	Since all the posts in CWMA, excepting 2 posts of SAG officers namely Member (WR) and Secretary, CWMA, are filled up on deputation basis, no transfer policy is required to be framed by CWMA.
1.6	Categories of documents held by the authority under its control	(i) Categories of documents	The CWDT Award, the Hon'ble Supreme Court order dated 16.02.2018, the minutes of meetings of CWMA/CWRC, Annual Water

	[Section 4(1)(b) (vi)]		Accounts, Annual Reports, routine technical, administrative and financial matters etc.
		(ii) Custodian of documents/categories	Custodian of the above documents is Assistant Director.
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.	There is no Board or Council constituted by CWMA/CWRC. Committees/Sub-Committees have been constituted for certain matters.
		(ii) Composition	Description of Committee constituted is given at <b>Annexure ‘C’</b>
		(iii) Dates from which constituted	
		(iv) Term/ Tenure	
		(v) Powers and functions	
		(vi) Whether their meetings are open to the public?	No
		(vii) Whether the minutes of the meetings are open to the public?	No
		(viii) Place where the minutes if open to the public are available?	N.A
1.8	Directory of officers and employees [Section 4(1) (b) (ix)]	(i) Name and designation	The name and designation of officers/officials of CWMA/CWRC are available in the website of CWMA at following address. <a href="https://jalshakti-dowr.gov.in/cauvery-water-management-authority/">https://jalshakti-dowr.gov.in/cauvery-water-management-authority/</a>
		(ii) Telephone , fax and email ID	All telephone numbers and email IDs are given in the website.

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	<b>Annexure-D</b>
		(ii) System of compensation as provided in its regulations	There is no system of compensation.
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	As given in the website.
		(ii) Address, telephone numbers and email ID of each designated official.	As above.
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	Nil
		(i) Pending for Minor penalty or major penalty proceedings	
		(ii) Finalised for Minor penalty or major penalty proceedings	Nil
1.12	Programmes to advance understanding of RTI (Section 26)	(i) Educational programmes	Since the officers are appointed on deputation basis for a specified term of 2-3 years initially, no programme is arranged by CWMA/CWRC. However, officers/officials willing to go on any training programme arranged by DoPT or any other Government agency, they are being sent/would be sent.
		(ii) Efforts to encourage public authority to participate in these programmes	As above
		(iii) Training of CPIO/APIO	As above
		(iv) Update & publish guidelines on RTI by the Public Authorities concerned	N.A
1.13	Transfer policy and transfer orders [F. No. 1/6/2011- IR dt. 15.4.2013]		No transfer policy is applicable as the posts are filled up on deputation basis.

## 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	Financial Assistance to undertake activities is given by the party States viz. Karnataka, Tamil Nadu, Kerala and UT of Puducherry, is provided in the ratio of 40:40:15:5 respectively on year to year basis.
		(ii) Budget for each agency and plan & programmes	There is no agency under CWMA/CWRC which needs separate budgetary allocation.
		(iii) Proposed expenditures	Estimated expenditure for 2024-25 is Rs. 9.50 crore (Approx.)
		(iv) Revised budget for each agency, if any	No agency is working under CWMA/CWRC.
		(v) Report on disbursements made and place where the related reports are available	No disbursement is made by CWMA/CWRC to any other Agency for their functioning.
2.2	Foreign and domestic tours (F. No. 1/8/2012-IR dt. 11.9.2012)	(i) Budget	Proposed amount is Rs.62 lakhs (2024-25)
		(ii) Foreign and domestic Tours by Ministry 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	During the year 2024 (from 01.01.2024 to 31.07.2024) following officers were on domestic tours: <u>Member (Agriculture), CWMA</u> i. Delhi to Jodhpur (19.01.2024 to 20.01.2024) Expenditure-Rs.31,769/- ii. Delhi to Rajkot (27.05.2024 to 01.06.2024) Expenditure- Rs. 21,711/-  <u>Member, (WR), CWMA</u> i. Delhi to Ahmadabad (Sponsored by CWC, New Delhi) (07.01.24 to 13.01.24) (MCTP training for SAG officers of CWES(Group-A) ii. Delhi to Puducherry (20.03.2024 to 23.03.2024) Expenditure-Rs.20,598/- <u>Secretary, CWMA</u> i. Delhi to Ahmadabad (Sponsored by CWC, New Delhi) (08.04.24 to 12.04.24) (MCTP training for SAG officers of CWES(Group-A)

			<p>iii. Delhi-Puducherry (20.03.2024 to 23.03.2024) Expenditure-Rs.27,284/-</p> <p><u>Chairman, CWMA</u> i. Delhi-Varanasi (27.03.2024 to 29.03.2024) Expenditure – Rs.37,219/-</p> <p>ii. Delhi-Bengaluru (27.06.2024 to 01.07.2024) Expenditure – Rs.77,114/-</p>
		<p>(iii) Information related to procurements</p> <p>a) Notice/tender enquires, and corrigenda, if any thereon,</p> <p>b) Details of the bids awarded comprising the names of the suppliers of goods/ services being procured,</p> <p>c) The works contracts concluded in any such combination of the above-and</p> <p>d) The rate /rates and the total amount at which such procurement or works contract is to be executed.</p>	<p>i. “Services of Housing Keeping for CWMA” through WAPCOS Ltd. extension w.e.f. 01.10.2023 Value of the work - Rs. 12,90,000/- plus GST per annum.</p> <p>ii. “Manpower Outsourcing Services” Contract to M/s Jinendra Enterprises extension w.e.f. 01.08.2024 Value of work Rs.40,29,824/- plus GST per annum.</p> <p>iii. Hiring of vehicle at CWMA extension w.e.f. 02.08.2024. Value of Service of work Rs.21,57,648/- including GST per annum and excluding parking charges.</p>
2.3	Manner of execution of subsidy programme [Section 4(i)(b)(xii)]	(i) Name of the programme of activity	There is no subsidy programme to be executed by CWMA/CWRC.
		(ii) Objective of the programme	Nil
		(iii) Procedure to avail benefits	Nil
		(iv) Duration of the programme/ scheme	Nil
		(v) Physical and financial targets of the programme	Nil
		(vi) Nature/ scale of subsidy /amount	Nil

		allotted	
		(vii) Eligibility criteria for grant of subsidy	Nil
		(viii) Details of beneficiaries of subsidy programme (number, profile etc)	Nil
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	Nil
		(ii) Annual accounts of all legal entities who are provided grants by public authorities	Nil
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	Nil
		(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	Nil
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.	Audit of CWMA/CWRC is yet to be taken.



### 3. Publicity Band Public interface

S. No.	Item	Details of disclosure	Remarks/ Reference Points(Fully met/partially met/ not met-Not applicablewill 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	N.A
		(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	N.A
		Public- private partnerships (PPP) (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 authorization 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
(ix) All payment made under the PPP project	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
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)	Information related to the activities of CWMA have been put in the present website which is part of the website of Ministry of Jal Shakti.
3.4	Form of accessibility of information manual/handbook [Section 4(1)(b)]	Information manual/handbook available in (i) Electronic format	N.A
		(ii) Printed format	The Gazette Notification dated 01.06.2018. Annual Reports 2018-19 and 2019-20.
3.5	Whether information manual/handbook available free of cost or not [Section 4(1)(b)]	List of materials available (i) Free of cost	N.A
		(ii) At a reasonable cost of the medium	N.A

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	No handbook has been published by CWMA.
		(ii) Vernacular/ Local Language	N.A
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	N.A
4.3	Information available in electronic form [Section 4(1)(b)(xiv)]	(i) Details of information available in electronic form	Citizen's Charter on the website of CWMA at following address. <a href="https://jalshakti-dowr.gov.in/cauvery-water-management-authority/">https://jalshakti-dowr.gov.in/cauvery-water-management-authority/</a>
		(ii) Name/ title of the document/record/ other information	N.A
		(iii) Location where available	N.A
4.4	Particulars of facilities available to citizen for obtaining information [Section 4(1)(b)(xv)]	(i) Name & location of the faculty	Details are available in website.
		(ii) Details of information made available	As above
		(iii) Working hours of the facility	
		(iv) Contact person & contact details (Phone, fax email)	
4.5	Such other information as may be prescribed under section 4(i) (b)(xvii)	(i) Grievance redressal mechanism	Grievance redressal mechanism is available in CWMA.
		(ii) Details of applications received under RTI and information provided	During the year 2024 (from 01.01.2024 to 31.07.2024) 19 RTI applications which have been received. While 18 RTI applications have been replied to well on time, the remaining 1 is under process.
		(iii) List of completed schemes/ projects/ Programmes	No schemes/ projects/ Programmes are executed by CWMA/CWRC.
		(iv) List of schemes/ projects/ programme underway	N.A
		(v) Details of all contracts entered into including name of the contractor, amount of contract and period of completion of contract	As given above under para 2.2 (iii)

		(vi) Annual Report	The annual report of CWMA for the years 2018-19 and 2019-20 approved by the Authority (CWMA) have been brought out.
		(vii) Frequently Asked Question (FAQs)	Nil
		(viii) Any other information such as a) Citizen's Charter	Citizen's Charter of CWMA is available.
		b) Result Framework Document (RFD)	Nil
		c) Six monthly reports on the	Nil
		d) Performance against the benchmarks set in the Citizen's Charter	The activities are performed considering the time lines as assigned, if any.
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	As given under above para 4.5
		(ii) Details of appeals received and orders issued	4 Appeals received. 3 Orders issued.
4.7	Replies to questions asked in the parliament [Section 4(1)(d)(2)]	Details of questions asked and replies given	Replies to Parliament questions are furnished to DoWR, RD & GR in time.

5. Information as may be prescribed

S. No.	Item	Details of disclosure	Remarks/ Reference Points (Fully met/ partially met/ not met- Not applicable will be treated as fully met/ partially met)
5.1	Such other information as may be prescribed [F.No. 1/2/2016- IR dt. 17.8.2016, F No. 1/6/2011- IR dt. 15.4.2013]	<p>(i) Name &amp; details of</p> <p>(a) Current CPIOs &amp; FAAs</p> <p>(b) Earlier CPIO &amp; FAAs from 1.1.2015</p>	<p>a. Shri Dinesh Kumar, Assistant Director, CWMA, New Delhi (Current CPIO)</p> <p>Shri V. Mohan Murali, Director, CWRC, Bengaluru (Current FAA)</p> <p>b. Cauvery Water Management Authority and Cauvery Water Regulation Committee came into existence through a Government Notification on 01.06.2018. Earlier CPIO was Deputy Director, CWMA and FAA was Secretary, CWMA.</p>
		<p>(ii) Details of third party audit of voluntary disclosure</p> <p>(a) Dates of audit carried out</p> <p>(b) Report of the audit carried out</p>	<p>Audit of CWMA / CWRC is yet to be taken.</p>
		<p>(iii) Appointment of Nodal Officers not below the rank of Joint Secretary/Additional HoD</p> <p>(a) Date of appointment</p> <p>(b) Name &amp; Designation of the officers</p>	<p>No such Nodal Officer has been appointed.</p>
		<p>(iv) Consultancy committee of key stake holders for advice on suo-motu disclosure</p> <p>(a) Dates from which constituted</p> <p>(b) Name &amp; Designation of the officers</p>	<p>No such Committee has been formed.</p>
		<p>(v) Committee of PIOs/FAAs with rich experience in RTI to identify frequently sought information under RTI</p> <p>(a) Dates from which constituted</p> <p>(b) Name &amp; Designation of the Officers</p>	<p>No such Committee has been formed as the number of RTIs and Appeals is very less.</p>

**6. Information Disclosed on own Initiative**

<b>S. No.</b>	<b>Item</b>	<b>Details of disclosure</b>	<b>Remarks/ Reference Points (Fully met/partially met/ not met- Not applicable will be treated as fully met/partially met)</b>
6.1	Item / information disclosed so that public have minimum resort to use of RTI Act to obtain information		Since the office does not deal with public directly, no such disclosure is required. However, information relating to activities of CWMA/CWRC has been given in the website.
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?	Nil

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