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**(समयबद्ध)**

C/87568/Adm/DGQA/PI Cell

Mar 2020

**रक्षा मंत्रालय**

**गुणता आश्वासन निदेशालय /जन सूचना कक्ष**

**A FRAMEWORK FOR TRANSPARENCY AUDIT**

**COMPLIANCE UNDER SECTION 4(1) (b) OF RTI ACT 2005**

You are requested to upload the Appendix 'C' (enclosed) on the DGQA website under RTI link in the same format as done by HAL (hal-india.co.in) for better compliance under section 4(i) (b) of RTI Act 2005.

Appendix 'C' to be uploaded on/before 13 Mar 2020. So, that the RTI cell of DGQA can further upload the required format on CIC website by 16 Mar 2020.

This has the Approval of DG, DGQA

(Kamlesh Saini)  
Asstt Director  
CPIO

**SDCC**

**Copy to :-**

**TS to DG, (DGQA)**

**ADG(Adm)**

**PD(Budget)**

**Director (RTI & Registry)**



## **Appendix 'C'**

### **A FRAMEWORK FOR TRANSPARENCY AUDIT** **COMPLIANCE UNDER SECTION 4(1) (b) OF RTI ACT 2005**

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 functions.
- 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 and Function**

### **1.1 Particular of its organization functions and duties**

(a) **Name and address of the Organization** : Directorate General of Quality Assurance (DGQA)  
Department of Defence Production  
Ministry of Defence, Room No 308, D-1 Wing, .  
Sena Bhawan, New Delhi-110011

(b) **Head of the Organization** : Director General, DGQA

(c) (i) **Vision** : DGQA will provide world class Quality Assurance Services to the Armed Forces, ensuring total User satisfaction.

(ii) **Mission** : To enhance knowledge skills, create systems and evolve methodologies for achieving operational excellence at all levels.

(iii) **Key Services/Objectives** :

(aa) Technical assistance/advice on product configuration identification, procurement, test and evaluation during pre, during and post-production stage.

(bb) Preparation and issue of quality related documents and document control.

(cc) Issue of DGQA approvals, assignment List and cataloguing of Defence store.

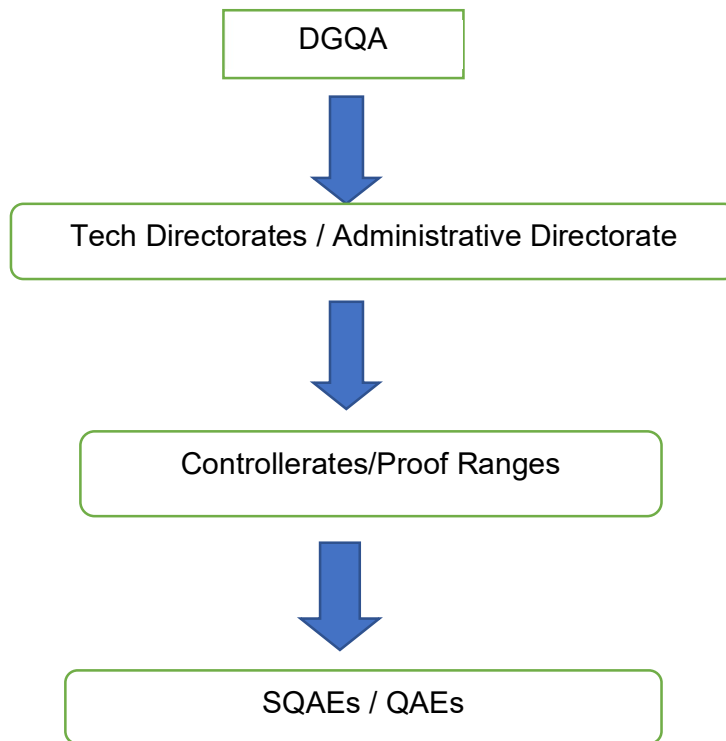
(dd) Provide Quality Assurance cover through Quality/Process.

(ee) Provide product support during the life cycle by interaction, defect investigation and attending customer requirements.

(iv) **Role** : Directorate General of Quality Assurance (DGQA) is an inter-service organization functioning under the Department of Defence Production in the Ministry of Defence. DGQA is responsible for second party quality assurance of all Defence stores and

equipment, both imported as well as indigenous, for the Army, Navy (excluding Naval Armaments) and common user items for the Air Force procured from private sector, public sector undertakings and Ordnance Factories.

(d) **Organization Chart :**



**1.2 (i) Power and Duties of its officers and employees**

DGQA is under the Department of Defence Production (DDP), Ministry of Defence (MoD), Govt. of India. The powers of its officers and employees are well defined at all levels in the organization. Duties are assigned to its officers and employees from time to time which are in line with the objectives specified by DDP/MoD. The powers and duties of employees of the DGQA are derived from the job descriptions, manuals, terms & conditions of appointments and delegation of powers enunciated by the DDP/MoD.

**(ii) Rules/orders under which powers and duty are derived**

CCS Rules, Army Rules & rules, memorandum, circular framed by Department of Defence Production, Ministry of Defence from time to time.

**1.3 (i) Procedure followed on decision making process**

As per Guidelines framed by DDP MoD and DGQA Organization standing orders

**(ii) Final decision-making authority**

- Director General, DGQA
- Delegated at all levels from Head of Establishments till Department of Defence Production/ MoD, through proper channel of supervision and accountability.
- In accordance with DGQA Role and Organizational structure.

**(iii) Time limit for decision making authority**

As per citizen charter framed by Directorate General of Quality Assurance.

#### **1.4 NORMS FOR DISCHARGE OF FUNCTIONS**

**(i) Nature of function/services offered**

The detailed function is listed in DGQA Standing Order.

**(ii) Norms/standards for function/service delivery**

As per Department of Defence of Production Circulars/Memorandum.

**(iii) Time limit for achieving the targets**

As per Citizen charter of DGQA and Standing Operating Procedure (SOP) framed by all Directorates / Controllerates/ Establishments at all levels.

**(iv) Process for redress of grievances**

Grievances received through CPGRAM and any other mode are suitably addressed in DGQA.

## **1.5 Rules/Regulations/Instructions/Manuals and Records for discharging functions**

### **(i) Title and nature of the Records/Manuals/Instructions and list of Rules/Regulations/Instructions/Manuals and Records/Policies.**

- NQDBMS implementation.
- Inspection of Equipment by DGQA Pending Extension of DD.
- Supply of Service specifications to Trade Firms and Central/State Government Departments.
- Supply as well as Checking of Gauges issued for Proof of Shot Guns to Trade Firms.
- Proof Testing Charges of Helmet Combat-Fibre Glass for Police.
- Proof Testing of Sporting Arms manufactured by Private Firms in India.
- Quality Assurance Charges alongwith applicable Service Tax: Levying of.
- Standard Operating Procedure for allotment and utilization of Proof and Field Firing Ranges by Private Defence Industry.
- Standard Operating Procedure (SOP) for Conduct of Process Audits.
- Authority Holding Sealed Particulars (AsHSP) including Repository of OEM documents and preparation, updation and issue of drawings, Specifications, Technical Publications and Quality related Instructions etc.
- SOP on Export promotion Scheme.
- SOP on self-certification.
- Third Party Inspection (TPI) of equipment procured.
- Green Channel Status.
- Intellectual Property Rights Facilitation (IPF).

### **(ii) Acts/Rules Manuals/Procurement etc**

As per DGQA standing Orders, CCS Rules.

Procurement as per GFR-2017, DPM-2009.

### **(iv) Transfer policy and Transfer Orders**

As per Rotational Transfer Policy (RTP) - 2016.



## **1.6 Categories of documents held by the authority under its control**

- Documents pertaining to recruitment of Group-A & Group-B by Directorate of Administration.
- Documents pertaining to recruitment of Group-C by Establishments.
- Documents pertaining to training by PP&T.
- Documents pertaining to Quality Assurance (QA) and SOP by PP&T.
- Documents pertaining to RTI by PI Cell.
- Documents pertaining to allotment of funds by Directorate of Administration
- Documents pertaining to procurement of Stores by all Directorates, Controllerates, Proof Range & Establishments.
- HR Documents and Service book maintained by each Establishments for Personnel under their Command.
- AsHSP includes Repository of OEM documents and preparation, updation and issue of drawings, Specifications, Technical Publications and Quality related Instructions etc.

**1.7 Boards Councils, Committees and other bodies constituted as part of the Public Authority**

- (i) **Name of Boards, councils, committees, composition and date from which constituted etc.**
- Board of officers (B.O.O) is constituted by competent authorities at different levels based on the need from time to time.

## 1.8 **Directory of officers and employees**

Name, Designation, Telephone, Fax and email id

- Directory of DGQA officers and its employees is available on DGQA website i.e. ([www.dgqadefence.gov.in](http://www.dgqadefence.gov.in)).

**1.9 Monthly remuneration received by officers & employees including system of compensation**

The pay & allowances are disbursed by individual establishment and not centrally at HQ DGQA. However, pay & allowances to the officers and employees of DGQA are governed by rules laid down by Govt of India.

**1.10 Name designation and other particulars of public information officers**

**(i) Name, Designation, Address, Telephone No. and email id of CPIO**

Kamlesh Saini  
Assistant Director  
Room No. 139/PI Cell  
G Block, DGQA  
Nirman Bhawan PO, New Delhi- 110011  
Telephone/Fax-011-23013187  
Email id- aparajita.1974@gov.in

**(ii) Name, Designation, Address, Telephone No. and email id of  
1<sup>st</sup> Appellant Authority**

Sheo Badan Yadav  
Director  
RTI & Registry  
Room No. 76  
H Block DGQA  
Nirman Bhawan PO, New Delhi- 110011  
Telephone- 011-23016439  
Email id- [sb.yadav0431@gov.in](mailto:sb.yadav0431@gov.in)

**1.11 Number of Employees against whom disciplinary action has been proposed /taken**

Vigilance Cell of DGQA deals with disciplinary cases of its officers and employees.

## **1.12 Programmes to advance understanding of RTI**

### **(i) Educational programmes & efforts to encourage public authority to participate in these programmes**

A capsule on understanding of RTI is included in the training curriculum of officers undergoing training at DIQA, Bengaluru.

### **(ii) Training of CPIO/PIO**

Regular conferences, seminar and Training programmes are attended by CPIO on regular basis

Training for PIO's and Audit of RTI documents at establishment level will be done by CPIO and 1<sup>st</sup> Appellant Authority in upcoming months.

### **1.13 Transfer policy and transfer order**

Transfers made in accordance with RTP-2016([www.dggadefence.gov.in](http://www.dggadefence.gov.in)) under employee corner (promotion/posting).



**2.1 Budget allocated to each agency including all plans proposed expenditure and reports on disbursements made etc.**

- Ministry of Defence allocates Budget under revenue and capital heads as per requirement projected by DGQA.
- Budget is further distributed to the Directorates and Establishments based on the allotments in BE stage.

## 2.2 **Foreign and domestic tours**

- Personnel are deputed on domestic tours to discharge the given responsibilities.
- DGQA is responsible for Quality Assurance of Arms/Ammunitions/Stores.
- DGQA Personnel are deputed to foreign countries to carry out pre dispatch inspection of Imported Arms/Ammunitions/Stores.

2.3 **Manner of execution of subsidy programme**

DGQA does not have any subsidy/scheme/programme for Public.

**2.4 Discretionary and non-discretionary grants/allocations to State Govt./NGOs./other institutions**

Not applicable.

2.5 **Particulars of recipients of concessions, permits of authorizations granted by the public authority**

DGQA does not grant any concession/permit/authorization to Public.

2.6 **CAG & PAC paras**

Timely action is being done in submitting the action taken report on CAG paragraphs as and when received.

### **3. Publicity Band Public interface**

#### **3.1 Particulars for any arrangement for consultation with or representation by the members of the public in relation to the formulation of policy or implementation there of**

- CPGRAM portal is available for grievances of the employees.
- Designated officers are available to deal with Public/Employees grievances.
- All the policies of DGQA are formulated in compliance with the provisions of all applicable statues, Rules, regulation etc.
- Since DGQA is under the Ministry of Defence, Department of Defence Production, there is no arrangement for consultation with the members of public prior to formulation of its internal policies.

3.2 **Are the details of policies / decisions which affect public informed to them**

Not Applicable



3.3 **Dissemination of information widely and in such form and manner which is easily accessible to the public**

General Information about DGQA is available on DGQA website ie ([www.dgqadefence.gov.in](http://www.dgqadefence.gov.in))

3.4. **Form of accessibility of information manual / handbook**

The following documents are held and available in Hard/Soft copy

- Technical Documents pertaining to Quality Assurance.
- Telephone Directory of officers and employees in DGQA.
- DGQA Standing Order.
- Rotational Transfer Policy 2016.
- Various SOPs on new initiatives.

3.5 **Whether information manual / handbook available free of cost or not**

It is available to the employees of DGQA as and when required related to discharge of their duties.

4. **E-Governance**

4.1 **Language in which information manual / Handbook available**

English

4.2 **When was the information manual / Handbook last updated?**

DGQA administration standing order updated in 2016.

#### 4.3 **Information available in electronic form**

Available in hard copy

4.4 **Particulars of facilities available to citizen for obtaining information**

Libraries are maintained at establishment level and at Directorate level.

4.5 **Such other information as may be prescribed**

Details of application received under RTI and information provided.

**List of RTI**

Duration of Report	Request(s) received	Information provided	Initial Action taken & under Process	Rejected/ Returned to applicant	Transferred to other public authority	Pending request for Aadhar and additional charges
01/01/2019 to 31/01/2020	451	320	14	76	17	24

**List of Appeal**

Duration of Report	Appeal(s) received	Information provided	Initial Action taken & under Process	Rejected/ Returned to applicant	Transferred to other public authority
01/01/2019 to 31/01/2020	88	73	07	08	00



### **Annual report/quarterly report**

- Regularly submitted to Central Information Commission (CIC)/Department of Personnel & Training (DoP&T) by RTI Cell of DGQA.
- Annual inspection of field units is carried out by Tech Directorates and reports are maintained by Tech Directorates.

### **Frequently asked question pertaining to RTI**

- Information related to posting transfer, salary, service book compassionate appointment, compassionate ground transfer and pension related issues etc.
- Information related to Tech Directorates

4.6 **Receipt & Disposal of RTI applications & appeals**

**01/01/2019 to 31/01/2020**

(a)	<b>Total RTI Received</b>	451
	Disposed off	413
	Pending/ under process	38
(b)	<b>Total Appeal Received</b>	88
	Disposed off	81
	Pending/ under process	07

#### 4.7 **Replies to questions asked in the parliament**

The replies are forwarded to Ministry of Defence who in turn collects information from the Departments under it and submit to the Parliament. Replies to such questions are already held in the website of Lok Sabha and Rajya Sabha.

5.1 **Such other information as may be prescribed**

(a) **Name, Designation, Address, Telephone No. and email id of current CPIO**

Kamlesh Saini  
Assistant Director  
Room No. 139/PI Cell  
G Block, DGQA  
Nirman Bhawan PO, New Delhi- 110011  
Telephone/Fax-011-23013187  
Email id- [aparajita.1974@gov.in](mailto:aparajita.1974@gov.in)

(b) **Name, Designation, Address, Telephone No. and email id of current 1<sup>st</sup> Appellant Authority**

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Director  
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Room No. 76  
H Block DGQA  
Nirman Bhawan PO, New Delhi- 110011  
Telephone- 011-23016439  
Email id- [sb.yadav0431@gov.in](mailto:sb.yadav0431@gov.in)

(c) **Earlier CPIO**

Shri RD Kargaonkar, Dy Director

(d) **Earlier 1<sup>st</sup> Appellate Authority**

Shri Amit Kumar, Director

(e) **Details of Third-Party Audit of voluntary disclosure**

Expected to be done in the month Mar 2020 by National Academy of Defence Production (NADP) Nagpur

(i) **Appointment of Nodal Officer**

Sheo Badan Yadav  
Director  
RTI & Registry  
Room No. 76  
H Block DGQA  
Nirman Bhawan PO, New Delhi- 110011  
Telephone- 011-23016439  
Email id- [sb.yadav0431@gov.in](mailto:sb.yadav0431@gov.in)

(ii) **Committee of PIO/FAA with rich experience in RTI to identify frequently sought information under RTI**

Committee will be formed in due course to identify frequently sought information under RTI.

6.1 **Item/ information disclosed so that public have minimum resort to use of RTI Act to obtain information**

Most of the Information is already available on DGQA website ([www.dgqadefence.gov.in](http://www.dgqadefence.gov.in)).

6.2 **Guidelines for Indian Governments Website (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 website?

Security audit for STQA certificate is in progress.

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Signature, Name & Designation  
Auditor

Office Seal

.....  
.....  
.....

Signature, Name & Designation of  
Nodal Officer