



# R F D

Results Framework Document  
for  
Department of Shipping

(2009-2010)

## Section 1: Vision, Mission, Objectives and Functions

### Vision

To ensure vibrant, efficient and safe ports and shipping services, shipping and shipbuilding industry, promote development of the Major Ports to attain global standards and promote increased inland water transportation in India.

### Mission

To enhance capacity & efficiency of Major Ports to cater to increase in international trade;  
Increase India's share in global shipping, promote and strengthen the Indian shipping and shipbuilding industry,  
Ensure safety of sea shipping and national waterways operations;  
Achieve optimum utilization of Inland waterways potential in the Country; and  
Strengthen maritime administration training and education.

### Objectives

- 1 Capacity Augmentation of Major Ports
- 2 Capacity Augmentation of major Ports
- 3 Capacity Augmentation of major Ports
- 4 Improve efficiency of ports
- 5 Improve efficiency of ports
- 6 improve efficiency of ports
- 7 Maintain/improve draught of channels for berthing of ships
- 8 Maintain/improve draught of channels for berthing of ships
- 9 Improve performance of PSUs/Autonomous Organizations
- 10 Improve performance of PSUs/Autonomous Organizations
- 11 Increase tonnage under Indian flag
- 12 Increase tonnage under Indian flag
- 13 Increase tonnage under Indian flag
- 14 Promotion of shipbuilding industry
- 15 Improvement of navigational aids
- 16 Improvement of navigational aids
- 17 Strengthening of Indian Maritime University
- 18 Strengthening of Indian Maritime University
- 19 Promotion of IWT Sector

## Section 1: Vision, Mission, Objectives and Functions

- 20 Promotion of IWT Sector
- 21 Promotion of IWT Sector
- 22 Implementation of Tsunami Rehabilitation Programme (TRP) Works of ALHW
- 23 Implementation of Tsunami Rehabilitation Programme (TRP) Works of ALHW
- 24 Monitoring progress of PPP Projects of Port Sector performance
- 25 Monitoring the Implementation of National Maritime Development Programme

### Functions

- 1 To provide inputs for the policy formulation including legislation, Cabinet/CoS Notes for the ports and its development, shipping, shipbuilding and IWT Sectors
- 2 To prepare Annual Reports, Outcome Budget of the Ministry, formulate and review the Demand for Grants of the Ministry and ensure its proper utilization
- 3 To formulate projects/schemes in the area of ports, shipping, shipbuilding and IWT Sectors
- 4 To ensure implementation and progress of projects under National Maritime Development Programme
- 5 To formulate PIB/EFC notes, getting decision on them and holding EFC meetings
- 6 To constitute and appoint Directors/Trustees and nominate Government nominees on the Boards of PSEs/Port Trusts and other autonomous/attached organizations
- 7 To support and strengthen profit making PSUs, to revive loss making PSEs, to locate JV partner/strategic buyer for loss making PSEs as per decisions and provide budgetary support for salary/wages to such PSEs
- 8 To process cases for providing shipbuilding subsidy to public and private sector shipyards as per the approved Scheme

## Section 2: Inter se Priorities among Key Objectives, Success indicators and Targets

Objective	Weight	Action	Success Indicator	Unit	Weight	Target / Criteria Value				
						Excellent	VeryGood	Good	Fair	Poor
						100%	90%	80%	70%	60%
1 Capacity Augmentation of Major Ports	15.00	(a) Capacity Addition in Major Ports	Creation of additional capacity by the end of financial year.	MMT	7.500	590	585	580	578	577
			null	0	0.000	--	--	--	--	--
			null	0	0.000	--	--	--	--	--
		(b) Capacity Augmentation through PPPs	EFC /SFC/PPPAC Approvals for PPP Projects	Nos.	4.500	4	3	2	1	0
		(c) Port Development Projects with internal resources	EFC Approvals for 2 projects of 2 ports through internal resources	Nos.	3.000	2	1	0	0	0
2 Improve efficiency of ports	10.00	(a) Reduction in average turnaround time attributable to Port account	Reduction achieved by end of financial year	Date	3.500	2.48	2.5	2.52	2.54	2.55
		(b) Reduction in Preberthing detention time attributable to Port account	Reduction achieved by end of financial year	Hours	3.500	9.5	9.75	10.25	10.75	11.01
		(c) Increase in Average Output per Ship per day	Increase achieved by end of financial year	Tonnes	3.000	10501	10490	10470	10455	10449
3 Maintain/improve draught of channels for berthing of ships	10.00	Dredging of channels of Major Ports by Dredging Corporation of India(DCI)	Quantity/ Volume of dredged material in last quarter of financial year	MCM	5.000	10.5	10.25	9.75	9.25	8.99
		(b) Deepening of Channels through Capital Dredging	Sanction and release of Government Budgetary Support (GBS) for Capital Dredging as	%	5.000	95	85	75	65	59

## Section 2: Inter se Priorities among Key Objectives, Success indicators and Targets

Objective	Weight	Action	Success Indicator	Unit	Weight	Target / Criteria Value				
						Excellent	VeryGood	Good	Fair	Poor
						100%	90%	80%	70%	60%
			per Revised Estimate (RE)							
4 Improve performance of PSUs/Autonomous Organizations	5.00	(a)Approval of proposals and facilitating PSUs/ Autonomous Organizations in improving their performance	Grant of approvals as per MOUs with PSUs/Autonomous Organisation	%	3.000	70	65	57.5	52	49
		(b) Quarterly review of PSUs, autonomous bodies and attached offices	On time review	%	2.000	80	78	73	68	61
5 Increase tonnage under Indian flag	10.00	(a)Increase in share of Indian ships to overall trade	Achievement of % share by end of financial year	%	3.000	--	--	--	--	--
		(b)Increase in tonnage under Indian ships	AchievementofIndiantonnage byend offinancialyea	MGT	5.000	--	--	--	--	--
		(c)Preparation of CoS Note for policy decisions	On time	Nos	2.000	--	--	--	--	--
6 Promotion of shipbuilding industry	5.00	Preparation and circulation of Draft Cabinet Note for shipbuilding subsidy scheme	On time	Nos	5.000	--	--	--	--	--
7 Imorovement of navigational aids	10.00	(a) Part commissioning of VTS Kutch	On time	Nos	5.000	--	--	--	--	--
		(b) Finalization of tender for AIS National Network	On time	Nos	5.000	--	--	--	--	--
8 Strengthening of Indian Maritime University	5.00	(a) EFC approval for plan expenditure for IMU	On time	Nos	2.500	--	--	--	--	--
		(b) Preparation of CCEA note for IMU	On time	Nos	2.500	--	--	--	--	--
9 Promotion of IWT Sector	10.00	(a)Acquisition of two cutter suction dredgers for development of National Waterways.	Acquisition	Nos.	5.000	2	1	0	0	0
		(b)Action Plan for making existing Waterways fully functional	Achievementinfinancialterms	Rs.	2.500	110	100	95	90	85
		(c) Increase in "Tonne KM" under IWT	AchievementinTonne/KM	Billion Tonnes	2.500	0.773	0.772	0.771	0.770	0.769

## Section 2: Inter se Priorities among Key Objectives, Success indicators and Targets

Objective	Weight	Action	Success Indicator	Unit	Weight	Target / Criteria Value				
						Excellent	VeryGood	Good	Fair	Poor
						100%	90%	80%	70%	60%
10 Implementation of Tsunami Rehabilitation Programme (TRP) Works of ALHW	5.00	(a) Provision of funds for Tsunami Rehabilitation Programme works	Allocation of adequate funds for TRP	Date	2.500	15/01/2010	31/01/2010	01/04/2010	15/04/2010	30/04/2010
		(b) Review progress of funds for Tsunami Rehabilitation Programme works	Timely monthly review	Numbers	2.500	1	0.5	0.3	0	0
11 Monitoring progress of PPP Projects of Port Sector performance	5.00	Submission of information on review of progress of the Cabinet Secretariat/ Committee on Infrastructure or Consultative Group in Planning Commission	Reviewing of Project through meetings with Port officials and timely submission of information	quarter	5.000	--	--	--	--	--
12 Monitoring the Implementation of National Maritime Development Programme	5.00	(a) Progress of projects under NMDP	No. of projects approved	Nos	3.000	--	--	--	--	--
		(b) Review the progress of implementation of the projects	Monthly review	Month	2.000	--	--	--	--	--
* Efficient Functioning of the RFD System	5.00	Timely submission of Draft for Approval	On-time submission	Number	2.000	0.00	1.00	2.00	3.00	4.00
		Timely submission of Results	On-time submission	Number	2.000	0.00	1.00	2.00	3.00	4.00
		Finalize a Strategic Plan	Finalize the Strategic Plan for next 5 years	Number	1.000	0.00	1.00	2.00	3.00	4.00

\* Mandatory Objective(s)

### Section 3: Trend Values of the Success Indicators

Objective	Action	Success Indicator	Unit	Actual Value for FY 07/08	Actual Value for FY 08/09	Target Value for FY 09/10	Projected Value for FY 10/11	Projected Value for FY 11/12
1 Capacity Augmentation of Major Ports	(a) Capacity Addition in Major Ports	Creation of additional capacity by the end of financial year.	MMT	532.07	574.77	585	600	0
		null	0	--	--	--	--	--
		null	0	--	--	--	--	--
	(b) Capacity Augmentation through PPPs	EFC /SFC/PPPAC Approvals for PPP Projects	Nos.	0	5	7	8	0
	(c) Port Development Projects with internal resources	EFC Approvals for 2 projects of 2 ports through internal resources	Nos.	0	0	3	0	0
2 Improve efficiency of ports	(a) Reduction in average turnaround time attributable to Port account	Reduction achieved by end of financial year	Date	2.63	2.51	2.48	0	0
	(b) Reduction in Preberthing detention time attributable to Port account	Reduction achieved by end of financial year	Hours	11.4	9.55	9.5	0	0
	(c) Increase in Average Output per Ship per day	Increase achieved by end of financial year	Tonnes	0	10473	10490	0	0
3 Maintain/improve draught of channels for berthing of ships	Dredging of channels of Major Ports by Dredging Corporation of India (DCI)	Quantity/ Volume of dredged material in last quarter of financial year	MCM	0	0	10.5	0	0
	(b) Deepening of Channels through Capital Dredging	Sanction and release of Government Budgetary Support (GBS) for Capital Dredging as	%	94.15	94.59	90	90	90

### Section 3: Trend Values of the Success Indicators

Objective	Action	Success Indicator	Unit	Actual Value for FY 07/08	Actual Value for FY 08/09	Target Value for FY 09/10	Projected Value for FY 10/11	Projected Value for FY 11/12
		per Revised Estimate (RE)						
4 Improve performance of PSUs/Autonomous Organizations	(a) Approval of proposals and facilitating PSUs/ Autonomous Organizations in improving their performance	Grant of approvals as per MOUs with PSUs/Autonomous Organisation	%	0	0	60	60	60
	(b) Quarterly review of PSUs, autonomous bodies and attached offices	On time review	%	--	--	1	4	4
5 Increase tonnage under Indian flag	(a) Increase in share of Indian ships to overall trade	Achievement of % share by end of financial year	%	1.35	1.28	1.28	1.26	1.24
	(b) Increase in tonnage under Indian ships	Achievement of Indian tonnage by end of financial year	MGT	8.99	9.28	9.38	9.44	9.5
	(c) Preparation of CoS Note for policy decisions	On time	Nos	1	1	1	1	1
6 Promotion of shipbuilding industry	Preparation and circulation of Draft Cabinet Note for shipbuilding subsidy scheme	On time	Nos	1	1	1	1	1
7 Improvement of navigational aids	(a) Part commissioning of VTS Kutch	On time	Nos	1	1	1	1	1
	(b) Finalization of tender for AIS National Network	On time	Nos	1	1	1	1	1
8 Strengthening of Indian Maritime University	(a) EFC approval for plan expenditure for IMU	On time	Nos	1	1	1	1	1
	(b) Preparation of CCEA note for IMU	On time	Nos	1	1	1	1	1
9 Promotion of IWT Sector	(a) Acquisition of two cutter suction dredgers for development of National Waterways.	Acquisition	Nos.	1	1	2	4	2
	(b) Action Plan for making existing Waterways fully	Achievement in financial terms	Rs.	79.63	91.84	110	120	130

### Section 3: Trend Values of the Success Indicators

Objective	Action	Success Indicator	Unit	Actual Value for FY 07/08	Actual Value for FY 08/09	Target Value for FY 09/10	Projected Value for FY 10/11	Projected Value for FY 11/12
	functional							
	(c) Increase in "Tonne KM" under IWT	Achievement in Tonne/KM	Billion Tonnes	0.775	0.772	0.773	0.774	0.775
10 Implementation of Tsunami Rehabilitation Programme (TRP) Works of ALHW	(a) Provision of funds for Tsunami Rehabilitation Programme works	Allocation of adequate funds for TRP	Date	--	--	15/01/2010	31/12/2010	31/12/2010
	(b) Review progress of funds for Tsunami Rehabilitation Programme works	Timely monthly review	Numbers	0	0	0	4	4
11 Monitoring progress of PPP Projects of Port Sector performance	Submission of information on review of progress of the Cabinet Secretariat/ Committee on Infrastructure or Consultative Group in Planning Commission	Reviewing of Projects through meetings with Port officials and timely submission of information	quarter	--	--	4	4	4
12 Monitoring the Implementation of National Maritime Development Programme	(a) Progress of projects under NMDP	No. of projects approved	Nos	0	9	7	10	0
	(b) Review the progress of implementation of the projects	Monthly review	Month	--	--	--	--	12
* Efficient Functioning of the RFD System	Timely submission of Draft for Approval	On-time submission	Number	23	20	125	23	25
	Timely submission of Results	On-time submission	Number	23	20	23	23	23
	Finalize a Strategic Plan	Finalize the Strategic Plan for next 5 years	Number	23	40	32	23	23

\* Mandatory Objective(s)

## Section 4: Description and Definition of Success Indicators and Proposed Measurement Methodology

Description and Definition of Success Indicators and Proposed Measurement Methodology Sl.No.

Success Indicator Description and Definition Measurement methodology

1.

(i) EFC /SFC/ PPPAC Sanction and release of 3.

funds for TRP

Tsunami Rehabilitation Programme covers reconstruction and rehabilitation of facilities and creation of additional facilities for improving the infrastructure in the Tsunami affected areas in the A&N Islands

Number of schemes implemented

Allocation of adequate

16

4. On time review

Frequency

Quarterly review of activities of all the PSUs, autonomous bodies under the Ministry will enhance the productivity of the ports and other organizations. Earlier, the review was done as and when required.

Govt. Directors play an important role as they guide the PSUs/autonomous bodies to act in keeping with the Govt. policies and to abide by various instructions of the Govt.

In view of proposed quarterly review, the PSUs/autonomous bodies will remain alert for enhancement of productivity.

To ensure attendance of Govt. Directors in the Board meetings.

5. On time One time activity. Some new policies are proposed for increase of tonnage under Indian Flag.

The policy requires comments of Ministries of Finance, Commerce, Petroleum and Natural Gas, Coal and Steel, Economic Affairs and Power, Law, Home Affairs, Defence, D/o. Fertilizers and Planning

Commission, Hence the Note for Committee of Secretaries (Cos)

6. On time One time activity. Subsidy scheme is needed for promotion of shipbuilding industry to make them internationally competitive.

The subsidy scheme requires comments of Ministries of Finance, Ministry of Defence and Ministry of Heavy Industries and Public Enterprises.

7. On time One time activity will improve the navigational facilities.

Vessel Traffic System (VTS) is set up in the ports or in a region as navigational aid for the ship

8. On time

One time activity. Promotion of AIS National Network is a safety requirement.

The Automatic Identification System (AIS) network being set up along the entire Indian coast line will help in getting vessel information such as name, call, dimensions, vessel position, course and navigation status etc. It will serve as navigational aid as well as for security of the coast.

CCEA – Cabinet Committee on Economic Affairs.

9. On time One time activity. The IMU has been set up in Nov. 2008. EFC and CCA approval is necessary for providing funds to strengthen the IMU.

Indian Maritime University is only University in Government Sector to promote higher maritime

## Section 4: Description and Definition of Success Indicators and Proposed Measurement Methodology

education and research.

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10. On time Cutter Suction Dredgers are required for providing LAD in the inland waters. Since IWT Sector is not well developed, private operators are reluctant to enter into this Sector. Hence, Govt. has decided to provide funds to Inland Waterways Authority of India to purchase cutter suction dredgers.

LAD (Least Available Draft) required for smooth navigation of the inland vessels.

approvals for Public

Private Partnership

Projects on port

development

(ii)EFC approvals for 2

projects of 2 ports

through internal

resources

EFC – Expenditure Finance Committee of the Ministry which approves port development projects

SFC – Standing Finance Committee which approves port development projects for submission to Committee of Secretaries consisting of Secretary, Ministry of Shipping and Secretary, Department of Economic Affairs

PPPAC – Public Private Partnership Appraisal Committee which approves port development projects chaired by Secretary, Department of Economic Affairs

Internal resources includes internal as well as Extra Budgetary Resources of the Ports

EFC – Approves Projects upto Rs.150 crores

SFC – Projects Projects of value more than 150 crores and less than Rs.250 crores

PPPAC – Approves Projects of value more than Rs.250 crores In Rupees Crores

2.

Government Budgetary

Support (GBS) for

Capital Dredging

Capital dredging is the removal from beneath water and raising through water or soil, rock or debris to create a greater depth than had previously existed.

Draught achieved/quantum dredged in cu.m

## Section 5: Specific Performance Requirements from other Departments

### SECTION 5

Specific Performance Requirements from other Departments

Department Relevant Success

Indicator

What do you need?

Why do you need it?

How much you need?

What happens if you do not get it?

Ministry of

Road,

Transport and

Highways

Sanction and timely completion

of Road linkage projects for Major

Ports

Timely sanction

and completion

of projects

Road linkage is

critical for

commissioning of

new projects of

ports and to

cater to

increasing traffic

Four lane

connectivity to

all Major Ports

Congestion and

reduction of

tonnage and

traffic

respectively

Ministry of

Railways

Sanction and

timely completion

of Rail linkage

projects for Major

Ports

Timely sanction

and completion

of projects

Rail linkage is

critical for

commissioning of

new projects of

ports and to

cater to

increasing traffic

Double line Rail

## Section 5: Specific Performance Requirements from other Departments

connectivity to  
all Major Ports  
Congestion and  
reduction of  
tonnage and  
traffic

respectively  
Ministry of  
Environment  
and Forests  
Environmental  
Clearance

Timely  
Environmental  
Clearance

Under their  
jurisdiction  
Within two  
months of  
submission of  
specific  
proposals

Pre-requisite for  
commencement  
of the project

Department of  
Expenditure

EFC approval Timely approval Under their  
jurisdiction

Within one  
month of  
submission of  
proposal

Pre-requisite for  
commencement  
of the project

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Department of  
Economic  
Affairs,  
Ministry of  
Finance

PPPAC Approval Approvals in time Procedural  
requirement for  
timely award of  
projects

Within one  
month of  
submission of  
proposal

Pre-requisite for  
timely sanction of  
the project

Planning  
Commission  
Appraisal for  
projects taken up  
through IEBR/

## Section 5: Specific Performance Requirements from other Departments

appraisal for EFC  
notes.  
Appraisal in time Procedural  
requirement for  
timely award of  
projects  
Within one month  
of submission of  
proposal  
Pre-requisite for  
timely sanction of  
the project  
Ministry of  
Home Affairs  
Ministry of  
Defence  
Ministry of  
External  
Affairs  
Cabinet  
Secretariat  
Security  
Clearances for  
PPP Projects  
Security  
clearances in  
time  
For timely  
sanction of  
projects  
Within one month  
of submission of  
proposal  
Pre-requisite for  
timely sanction of  
the project  
Department of  
Revenue  
- Increase in  
tonnage under  
Indian Ships  
- Increase in  
share of Indian  
ships to overall  
trade  
Fiscal benefits for  
Shipping Industry  
To have level  
playing field for  
Indian shipping  
Industry in  
comparison to  
global shipping  
- Inclusion of  
certain income  
under tonnage  
tax regime

## Section 5: Specific Performance Requirements from other Departments

- Service Tax benefits
  - Seafarers Taxation issue
- There will not be enough incentive for Indian Shipping Industry to procure ships and flag it under Indian Registry