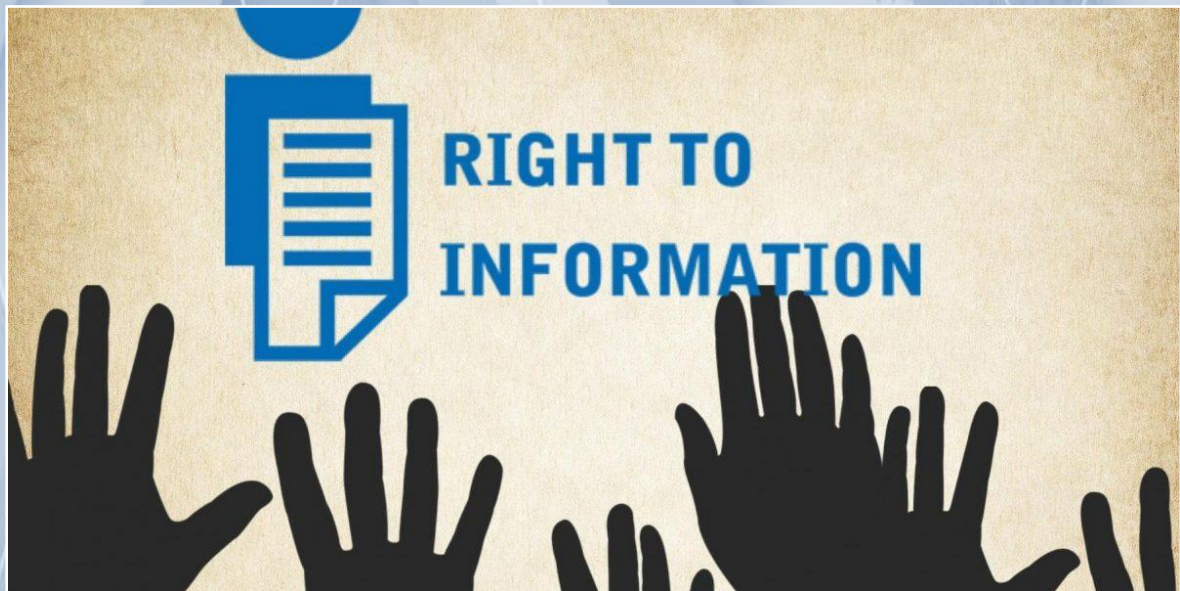


REPORT

THIRD PARTY AUDIT OF PROACTIVE DISCLOSURE OF INFORMATION



Submitted to

**Indian Institute of Science
Education and Research
Mohali**



Submitted by

**Indian Institute of Public
Administration
New Delhi**

Third Party Audit of Proactive Disclosure of Information

REPORT

Project Coordinator

Dr. Sapna Chadah



Submitted to

**Indian Institute of Science Education and Research Mohali
Knowledge city, Sector 81, SAS Nagar, Manauli**



Submitted by

**Indian Institute of Public Administration
New Delhi**

Preface

The Right to Information Act, 2005 was enacted with an aim to promote transparency and accountability in administration. The Act empowers Indian citizens to seek information from a Public Authority, thus making the Government and its functionaries more accountable and responsible. Another important aspect of the Act pertains to the obligation of public authorities to proactively disclose information to the public. Right to Information laws not only require governments to provide information upon request, they also impose a duty on public bodies to actively disclose, disseminate and publish, as widely as possible, information of general public interest even before it has been requested. The RTI Act mandates every public authority to disclose information as required under the 17 sub-clauses of section 4 (1) (b). The purpose of the proactive disclosure was to minimize the time, money and effort required by the public to access important but routine information; and reduce the overall number of individual requests, thereby reducing the administrative burden on government of implementing access to information laws.

However, the quality and quantity of proactive disclosure was not up to the desired level. It was felt by the government that the weak implementation of the Section 4 of the RTI Act was partly due to the fact that certain provisions of this Section have not been fully detailed and, in case of certain other provisions there is need for laying down detailed guidelines. Further there is need to set up a compliance mechanism to ensure that requirements under section 4 of the RTI Act are met. In order to address the above, Government of India issued guidelines for suo motu disclosure under section 4 of the RTI Act.

The Report presents a detailed analysis of the proactive disclosure of information by the Indian Institute of Science and Research Mohali as required under the RTI Act and the guidelines for suo motu disclosure under section 4 of the RTI Act. The objective of the study was to study the information disclosed by Indian Institute of Science and Research Mohali proactively; assess the quality of proactive disclosure made under the Act and the guidelines; and help identify information gaps in the proactive disclosure. I am thankful to Ms. Varuni B. R. for her help and assistance in bringing out this report.

**New Delhi
12.12. 2020**

**Dr. Sapna Chadah
Project Coordinator, IIPA**

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Chapter 1

Introduction

Background

Democracy means meaningful participation by the people in the public affairs. A democratic government must be sensitive to the public opinion, for which information must be made available to the people. Information and knowledge are instruments of transformation. Transparency, openness and accountability are the basic postulates of a responsive, responsible and accountable government. Effective accountability rests on the peoples' acquaintance with the information and circumstances for the decisions taken. Openness and full access to information are two pillars of any democratic state. Importance of the right to information has now been well recognized as one of the essential requirements of good governance as evident in the prescriptions provided by the international organizations such as World Bank, IMF, UNDP, OECD countries and ADB.

The Right to Information Act enacted on June 15, 2005, is an instrument to promote transparency and accountability in administration. The legislation confers on all citizens a right to seek information and correspondingly makes it the duty of the public authorities to disseminate information for better governance and accountability. The law has widest possible reach covering Central and State Governments, Panchayati Raj Institutions, local bodies and recipients of government grants but would not apply to the intelligence and security organizations except if the information relates to the allegations of corruption. It was expected that RTI Act would usher in a new era of performance and transparency to benefit the common man in the complex modern world and empower the people to judge if the government was functioning in public interest. RTI will give public-spirited people an instrument to prevent misuse of public power and funds. However, the Act has not yet reached the stage of implementation which was envisioned and one of the grey areas is proactive disclosure of information.

Suo-motu Disclosure under RTI Act

Section 4(1)(b) of the Act lays down the information which shall be disclosed by the Public Authorities proactively. It was supposed to be strongest pillar of the historic law that came into effect in 2005. It listed 17 categories of information which had to be proactively disclosed within 120 days from the enactment of this Act. These are as follows:

- (i) the particulars of its organisation, functions and duties;
- (ii) the powers and duties of its officers and employees;
- (iii) the procedure followed in the decision-making process, including channels of supervision and accountability;
- (iv) the norms set by it for the discharge of its functions;
- (v) the rules, regulations, instructions, manuals and records, held by it or under its control or used by its employees for discharging its functions;
- (vi) a statement of the categories of documents that are held by it or under its control;
- (vii) the particulars of any arrangement that exists for consultation with, or representation by, the members of the public in relation to the formulation of its policy or implementation thereof;
- (viii) a statement of the boards, councils, committees and other bodies consisting of two or more persons constituted as its part or for the purpose of its advice, and as to whether meetings of those boards, councils, committees and other bodies are open to the public, or the minutes of such meetings are accessible for public;
- (ix) a directory of its officers and employees;
- (x) the monthly remuneration received by each of its officers and employees, including the system of compensation as provided in its regulations;
- (xi) the budget allocated to each of its agency, indicating the particulars of all plans, proposed expenditures and reports on disbursements made;
- (xii) the manner of execution of subsidy programmes, including the amounts allocated and the details of beneficiaries of such programmes;
- (xiii) particulars of recipients of concessions, permits or authorisations granted by it;
- (xiv) details in respect of the information, available to or held by it, reduced in an electronic form;
- (xv) the particulars of facilities available to citizens for obtaining information, including the working hours of a library or reading room, if maintained for public use;

- (xvi) the names, designations and other particulars of the Public Information Officers;
- (xvii) such other information as may be prescribed; and thereafter update these publications every year;

Thus Section 4(1)(b) requires Public Authorities to routinely disclose information about their functions, decision-making norms, documents held, employee contacts and budgets. Sections 4(2) and 4(3) prescribe the method of dissemination. "Every public authority shall constantly endeavour to provide as much information *suo motu* to the public at regular intervals through various means of communications, including internet, so that the public have minimum resort to the use of this Act to obtain information." Every information shall be disseminated widely and, in such form, and manner which is easily accessible to the public. However, all materials shall be disseminated taking into consideration the cost effectiveness, local language and the most effective method of communication in that local area and the information should be easily accessible, to the extent possible in electronic format with the Central Public Information Officer or State Public Information Officer, as the case may be, available free or at such cost of the medium or the print cost price as may be prescribed.¹

The purpose of *suo-motu* disclosure is to place maximum information in the public domain on proactive basis which can easily be assessed by people without asking for the same. The idea was to cut number of RTI applications and lessen the burden on public authorities. Further, this will ensure transparency and openness in the functioning of public authorities. Since promulgation of RTI Act large amount of information relating to the functioning of the government is being put in public domain. However, the quality and quantity of proactive disclosure is not up to desired level. The major criticism against proactive disclosure is that every ministry and department is paying only lip service to section 4 and dishing out outdated information. This has given rise to a growing suspicion among the civil society groups that the government, let alone implementing section 4 of the Act, was trying to further restrict the Act.

A study commissioned by the government in 2009 and conducted by PricewaterhouseCoopers said that 75 percent of the respondents noted their dissatisfaction with the information furnished by the public authorities. This, the study

¹ *ibid* Section 4(2),(3), (4)

said, is usually due to poor record-keeping within the public authorities and, therefore, becomes a crucial factor in the non-compliance of public authorities with Section 4(1)(b) of the RTI Act. Against the backdrop of continued indifference to section 4 by the public authorities, the civil society groups mounted pressure on the government to come up with a detailed guideline on section 4. It was also felt by the government that the weak implementation of the section 4 of the RTI Act is partly due to the fact that certain provisions of this have not been fully detailed and in case of certain other provision there is need for laying the detail guidelines. Further there is need to set up a compliance mechanism to ensure that requirements under section 4 of the RTI are met. In order to address the above, Government of India constituted a Task Force on *suo motu* disclosure under the RTI Act, 2005 in May 2011 which included, apart from officials from various ministries, representatives of civil society organisations active in the field of RTI. The mandate of the task force was to examine the provisions of section 4(l)(b) and to recommend guidelines for disclosures to be made at various levels of administration; to recommend other items which may be included for *suo motu* disclosure; to explore the possibility of prescribing simple templates for disclosing specific category of information in order to facilitate disclosure; to recommend mediums through which such disclosure is to be made at various levels, which would include disclosure through electronic means; and to recommend guidelines for complying with the provisions under Section 4.²

Based on the report of the Task Force, the Government issued guidelines for *suo motu* disclosure under section 4 of the RTI Act.³ The Guidelines for Implementation of *suo-motu* disclosure under Section 4 of the RTI Act, 2005 for Central Ministries / Departments issued on April 15, 2013 are on:

- *Suo motu* disclosure of more items under Section 4
- Guidelines for digital Publication of proactive disclosure under Section 4
- Detailing of Section 4(1)(b)(iii), 4(1)(b)(iv), 4(1)(b)(xi), 4(1)(b)(xiv)
- Compliance mechanism for *suo motu* disclosure (proactive disclosure) under the RTI Act, 2005

² Brajesh Kumar (June 17 2013), Section 4 changes welcome addition to RTI Act, *Governance Now*, <http://governancenow.com/news/regular-story/section-4-changes-welcome-addition-rti-act>

³ Office Memorandum No. 1/6/2011-IR DoPT dated April 15, 2013

Guidelines on *suo motu* disclosure under Section 4 of the RTI Act

A *Suo motu* disclosure of more items under Section 4

The guidelines mandate that in addition to the information specified in Section 4(1)(b) of RTI Act, the Public Authorities also may proactively disclose the following items under the *suo motu* disclosure provisions of Section 4:

1. Information related to Procurement-

- Information relating to procurement made by Public Authorities including publication of notice/tender enquiries, corrigenda thereon, and details of bid awards detailing the name of the supplier of goods/services being procured or the works contracts entered or any such combination of these and the rate and total amount at which such procurement or works contract is to be done should be disclosed.
- At present the limit is fixed at Rs. 10 lakh.
- In case of procurements made through DGS&D Rate Contracts or through Kendriya Bhandar/ NCCF, only award details need to be published.
- However, information about procurement which fall within the purview of Section 8 of the RTI Act would be exempt.

2. Public Private Partnerships-

- If Public services are proposed to be provided through a Public Private Partnership (PPP), all information relating to the PPPs must be disclosed in the public domain by the Public Authority entering into the PPP contract/concession agreement.
- This may include details of the Special Purpose Vehicle (SPV), detailed project reports, concession agreements, operation and maintenance manuals and other documents generated as part of the implementation of the PPP project.
- 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 payments made under the PPP project may also be disclosed in a periodic manner along with the purpose of making such payment.
- The documents under the ambit of the exemption from disclosure of information under section 8(1)(d) and 8(1)(j) of the RTI Act would not be disclosed *suo motu*.

3. Transfer Policy and Transfer Orders –

- Transfer policy for different grades/cadres of employees serving in Public Authority should be proactively disclosed.
- All transfer orders should be publicized through the website or in any other manner listed in Section 4(4) of the Act.
- The guidelines would not apply to transfers made keeping in view sovereignty, integrity, security, strategic, scientific or economic interests of the State and the exemptions covered under Section 8 of the Act.

4. RTI Applications –

- All Public Authorities shall proactively disclose RTI applications and appeals received and their responses, on the websites maintained by Public Authorities with search facility based on key words.
- RTI applications and appeals received and their responses relating to the personal information of an individual may not be disclosed, as they do not serve any public interest.

5. CAG & PAC paras –

- Public Authorities may proactively disclose the CAG & PAC paras and the Action Taken Reports (ATRs) only after these have been laid on the table of both the houses of the Parliament.
- CAG paras dealing with information about the issues of sovereignty, integrity, security, strategic, scientific or economic interests of the State and information covered under Section 8 of the RTI Act would be exempt.

6. Citizens Charter-

- Citizens Charter prepared by the Ministry/Department, as part of the Result Framework Document of the department/organization should be proactively disclosed
- Six monthly reports on the performance against the benchmarks set in Citizens Charter should also be displayed on the website of public authorities.

7. Discretionary and Non-discretionary Grants –

- 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.
- Disclosures would be subject to provisions of Section 8 to 11 of the RTI Act.

8. Foreign Tours of PM/ Ministers-

- Public Authorities may proactively disclose the **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, since 1st January, 2012.
- The disclosures may be **updated once every quarter**.
- Information to be disclosed proactively may contain nature of the official tour, places visited, the period, number of people included in the official delegation and total cost of such travel undertaken.
- Exemptions under Section 8 of the RTI Act, 2005 may be kept in view while disclosing the information. These instructions would not apply to security and intelligence organisations under the second schedule of the RTI Act, 2005 and CVOs of public authorities.

B Guidelines for digital publication of proactive disclosure under Section 4

The guidelines provide that 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.

- a. 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.
- b. 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.
- c. Orders of the public authority should be uploaded on the website immediately after they have been issued.
- d. Website should contain all the relevant Acts, Rules, forms and other documents, which are normally accessed by citizens.
- e. Websites should have detailed directory of key contacts, details of officials of the Public Authority.
- f. Under Section 4 (1) (b) (xiv) every public authority should indicate through the website t which digitally held information is made available publicly over the internet and which is not.
- g. The requirement of bringing due transparency as provided in the RTI Act is given adequate consideration at the design stage itself.
- h. To 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.
- i. Information must be presented from a user's perspective, which may require re-arranging 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.

- j. The schedule mentioned in the 'National Data Sharing and Accessibility Policy' notified in March 2012 to make all the publically funded information readily available should be strictly adhered to.
- k. 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 should be presented in powerful visual ways using visualisation techniques. All such different media and forms should be used for proactive disclosure.
- l. 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)'.

3 Guidelines for certain clauses of Section 4(1)(b) to make disclosure more effective

The elements of information listed in the various sub-clauses of Section 4(1)(b) must be disclosed in an integrated manner. Considering that disclosure in regard to certain sub-clauses have been relatively weak, detailed guidelines for four sub-clauses are provided in the guidelines. These are **section 4(1)(b)(iii) - "the procedure followed in the decision-making processes, including channels of supervision and accountability"**; **Section 4(1)(b)(iv) - "the norms set by it for the discharge of its functions"**; **Section 4(1)(b)(xi)- "the budget allocated to each of its agency, indicating the particulars of all plans, proposed expenditures and reports on disbursements made"**; **Section 4(1)(b)(xiv) – details in respect of information, available to or held by it, reduced in an electronic form.**

A Guidelines for section 4(1)(b)(iii)- "the procedure followed in the decision-making processes, including channels of supervision and accountability"

The major challenge under this provision is to present a simplified version of the decision-making procedure that is of interest to a common citizen. For this, the guidelines for detailing the decision-making processes are as follows:

- a) Every public authority should specifically identify the major outputs/ tangible results/ services/ goods, as applicable, that it is responsible for providing to the public or to whosoever is the client of the public authority.

- b) In respect of (a) above, the decision-making chain should be identified in the form of a flow chart explaining the rank/grade of the public functionaries involved in the decision-making process and the specific stages in the decision-making hierarchy.
- c) The powers of each officer including powers of supervision over subordinates involved in the chain of decision-making must also be spelt out next to the flow chart or in a simple bullet-pointed format in a text-box.
- d) This design of presentation should then be extended to cover all statutory and discretionary operations that are part of the public authority's mandate under the AOB read with the TOB.
- e) In the event of a public authority altering an existing decision-making process or adopting an entirely new process, such changes must be explained in simple language in order to enable people to easily understand the changes made.

B Guidelines for Section 4(1)(b)(iv) - “the norms set by it for the discharge of its functions”

- The intention of this clause is that every public authority should proactively disclose the standards by which its performance should be judged. Norms may be qualitative or quantitative in nature, or temporal or statutory norms. In order to ensure compliance with this clause, public authorities would need to disclose norms for major functions that are being performed.
- Citizen Charters, which are mandatory, for each central Ministry/ Department/ Authority, lay down norms of performance for major functions and for monitoring achievements against those standards.
- Wherever norms have been specified for the discharge of its functions by any statute or government orders, they should be proactively disclosed, particularly linking them with the decision-making processes as detailed earlier. All Public Authorities should proactively disclose the following:
 - a. Defining the services and goods that the particular public authority/office provides directly (or indirectly through any other agency/contractor).
 - b. Detailing and describing the processes by which the public can access and/or receive the goods and services that they are entitled to, from the

public authority/office along with the forms, if any prescribed, for use by both the applicant and the service providing agency. Links to such forms (online), wherever available, should be given.

- c. Describing the conditions, criteria and priorities under which a person becomes eligible for the goods and services, and consequently the categories of people who are entitled to receive the goods and services.
- d. Defining the quantitative and tangible parameters, (weight, size, frequency etc.) and timelines that are applicable to the goods and services that are accessible to the public.
- e. Defining the qualitative and quantitative outcomes that each public authority/office plans to achieve through the goods and services that it was obligated to provide.
- f. Laying down individual responsibility for providing the goods and services (who is responsible for delivery/implementation and who is responsible for supervision).

C. Guidelines for Section 4(1)(b)(xi)- “the budget allocated to each of its agency, indicating the particulars of all plans, proposed expenditures and reports on disbursements made”

The public authorities while disclosing their budgets shall undertake the following:

- (a) Keeping in view of the technical nature of the government budgets, it is essential that Ministries/Departments prepare simplified versions of their budgets which can be understood easily by general public and place them in public domain. Budgets and their periodic monitoring reports may also be presented in a more user-friendly manner through graphs and tables, etc.
- (b) Outcome budget being prepared by Ministries/Departments of Government of India should be prominently displayed and be used as a basis to identify physical targets planned during the budgetary period and the actual achievement vis-à-vis those targets. A monthly programme implementation calendar method of reporting being followed in Karnataka is a useful model.
- (c) Funds released to various autonomous organizations/ statutory organizations/ attached offices/ Public Sector Enterprises/ Societies/ NGOs/ Corporations etc. should be put on the website on a quarterly basis and budgets of such authorities

may be made accessible through links from the website of the Ministry/Department. If a subsidiary does not have a website then the budgets and expenditure reports of such subsidiary authority may be uploaded on the website of the principal Public Authority.

- (d) Wherever required by law or executive instruction, sector specific allocations and achievements of every department or public authority (where feasible) must be highlighted. For example, budget allocation and target focusing on gender, children, Scheduled Castes and Scheduled Tribes and religious minorities should be specially highlighted. The sector-wise breakup of these targets and actual outcomes must be given in simplified form to enable the vulnerable segments of society to better understand the budgets of public authorities.

D. Guidelines for Section 4(1)(b)(xiv) – details in respect of information, available to or held by it, reduced in an electronic form

- Keeping in view the varied levels of computerization of records and documents in public authorities, data about records that have been digitized may be proactively disclosed on the respective websites, excluding those records /files /information that are exempted under Section 8.
- 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.

4 Compliance with Provisions of *suo motu* (proactive) disclosure under the RTI Act

- Each Ministry/Public Authority shall ensure that these guidelines are fully operationalized within a period of 6 months from the date of their issue.
- Each Ministry/ Public Authority should get its proactive disclosure package audited by third party every year. Such audit should be done annually and should be communicated to the Central Information Commission annually through

publication on their websites. All Public Authorities should proactively disclose the names of the third party auditors on their website.

- The Central Information Commission should examine the third-party audit reports for each Ministry/Public Authority and offer advice/recommendations to the concerned Ministries/ Public Authorities.
- Central Information Commission should carry out sample audit of few of the Ministries/ Public Authorities each year with regard to adequacy of items included as well as compliance of the Ministry/Public Authority with these guidelines.
- Compliance with the proactive disclosure guidelines, its audit by third party and its communication to the Central Information Commission should be included as RFD target.

5 Nodal Officer

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.

6 Annual Reports to Parliament/Legislatures

Government has issued directions to all Ministries/Departments to include a chapter on RTI Act in their Annual Reports submitted to the Parliament. Details about compliance with proactive disclosure guidelines should mandatorily be included in the relevant chapter in Annual Report of Ministry/Department

Objectives of the Study

The Objectives of the Study are to:

- study the information disclosed by the IISER, Mohali proactively under Section 4(1)(b) of the RTI Act;

- assess the quantity and quality of proactive disclosure made and compliance of mandated *suo motu* disclosures under Section 4 of the RTI Act therein;
- examine the level of compliance of the detailed guidelines regarding implementation of *suo motu* disclosure under Section 4 of the RTI Act by IISER Mohali;
- help identify information gaps in the proactive disclosure and areas of improvement; and
- suggest appropriate measures to foster better compliance with the provisions of the RTI Act relating to proactive disclosure and make the implementation of the guidelines more effective.

Methodology of the Study

According to RTI Act, the proactive disclosure is to be made by providing information to the public at regular intervals through various means of communications including internet. Further, the 2013 Guidelines for Proactive Disclosure by Department of Personnel & Training, Gol mandates that the disclosure gradually is to be made through internet. Therefore, the study involved a scrutiny of the proactive disclosure through Website of IISER, Mohali and to examine how far the requirements of the RTI Act and the Guidelines have been fulfilled. For that, the information and various documents disclosed through the website were examined to find out the level and state of *suo-motu* disclosure and the extent of compliance of 2013 guidelines. Discussions with various officials involved in the implementation of the RTI Act and guidelines were also taken up.

Chapter 2

Audit of Proactive Disclosure under the RTI Act, 2005 Indian Institute of Science Education and Research, Mohali

Name of Public Authority being Audited:

IISER, Mohali

Website:

<https://www.iisermohali.ac.in>

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 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 | 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 | https://www.iisermohali.ac.in/ |
| | | (ii) Head of the organization | Fully met | https://www.iisermohali.ac.in/board-of-governors/about-iiserm/board-of-governors |
| | | (iii) Vision, Mission and Key objectives | Fully Met | https://www.iisermohali.ac.in/mission-vision/about-iiserm/mission-and-vision |

| | | | | |
|-----|--|--|---------------|--|
| | | (iv) Function and duties | Fully met | https://www.iisermohali.ac.in/files/pdf/rti/RTIACTSection41b.pdf |
| | | (v) Organization Chart | Not 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 | Fully met | Genesis is given under the below link https://www.iisermohali.ac.in/genesis-of-iisers/about-iiserm/genesis-of-iisers |
| 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 | Powers and duties of Director and Registrar has been given https://www.iisermohali.ac.in/files/pdf/rti/RTIACTSection41b.pdf |
| | | (ii) Power and duties of other employees | Not Met | Need to provide powers and duties of other officers and Employees |
| | | (iii) Rules/ orders under which powers and duty are derived and | Partially met | https://www.iisermohali.ac.in/files/pdf/rti/RTIACTSection41b.pdf |
| | | (iv) Exercised | Not Met | The rules under which the powers are being exercised need to be specified. |
| | | (v) Work allocation | Not Met | The work allocation designation wise must be specified |
| 1.3 | Procedure followed in decision making process [Section 4(1)(b)(iii)] | (i) Process of decision making Identify key decision-making points | Partially Met | https://www.iisermohali.ac.in/files/pdf/rti/RTIACTSection41b.pdf Need to provide the procedure followed, time limit, related provisions, acts, rules etc, and channel of supervision and accountability. |
| | | (ii) Final decision-making authority | Fully met | https://www.iisermohali.ac.in/files/pdf/rti/RTIACTSection41b.pdf |
| | | (iii) Related provisions, acts, rules etc. | Fully met | https://www.iisermohali.ac.in/act-statutes/about-iiserm/actstatutes |

| | | | | |
|-----|--|---|-----------|---|
| | | (iv) Time limit for taking a decision, if any | Not met | <ul style="list-style-type: none"> ▫ The decision-making chain to be identified in the form of a flow chart explaining the rank/grade of the public functionaries involved in the decision-making process and the specific stages in the decision-making hierarchy. ▫ Time limits for making decisions and details regarding supervision and accountability need to be disclosed. |
| | | (v) Channel of supervision and accountability | Not met | |
| 1.4 | Norms for discharge of functions [Section 4(1)(b)(iv)] | (i) Nature of functions/ services offered | Fully met | https://www.iisermohali.ac.in/files/pdf/rti/RTIACTSection41b.pdf – Details of academic programs offered has been provided at https://www.iisermohali.ac.in/academics-programs/academics/academic-programs |
| | | (ii) Norms/ standards for functions/ service delivery | Not met | Need to specify the Norms / standards for service delivery <ul style="list-style-type: none"> ▫ It's also recommended that for better apprehension of their summary in easy form must be provided. |
| | | (iii) Process by which these services can be accessed | Fully met | – Admission process detailed under the link https://www.iisermohali.ac.in/admissions/academics/admissions |
| | | (iv) Time-limit for achieving the targets | Not met | Time limit for completion needs to be disclosed. |
| | | (v) Process of redress of grievances | Not met | <ul style="list-style-type: none"> ▫ The organisation needs to provide grievance redressal procedure. The same should be provided on the website which provides the grievance resolution for any citizen and anyone can lodge complaint. |

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|-----|---|--|----------------|--|
| 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 | https://www.iisermohali.ac.in/act-statutes/about-iiserm/act-statutes |
| | | (ii) List of Rules, regulations, instructions manuals and records. | Fully met | https://www.iisermohali.ac.in/act-statutes/about-iiserm/act-statutes |
| | | (iii) Acts/ Rules manuals etc. | Fully Met | https://www.iisermohali.ac.in/act-statutes/about-iiserm/act-statutes https://www.iisermohali.ac.in/rules/deanstudentsoffice/rules-and-regulations |
| | | (iv) Transfer policy and transfer orders | Not Applicable | |
| 1.6 | Categories of documents held by the authority under its control [Section 4(1)(b) (vi)] | (i) Categories of documents | Fully met | https://www.iisermohali.ac.in/files/pdf/rTI/RTIACTSection41b.pdf |
| | | (ii) Custodian of documents/categories | Fully Met | Provided under the powers and functions of registrar that he shall be the custodian of documents of the institution. However, the same needs to be specifically mentioned in the website and RTI Manual. |
| 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 | https://www.iisermohali.ac.in/files/pdf/rTI/RTIACTSection41b.pdf |
| | | (ii) Composition | Fully met | https://www.iisermohali.ac.in/files/pdf/rTI/RTIACTSection41b.pdf |
| | | (iii) Dates from which constituted | Partially met | provided for few internal committees https://www.iisermohali.ac.in/ |
| | | (iv) Term/ Tenure | Fully met | - Three years specified https://www.iisermohali.ac.in/files/pdf/rTI/RTIACTSection41b.pdf |
| | | (v) Powers and functions | Fully met | https://www.iisermohali.ac.in/files/pdf/rTI/RTIACTSection41b.pdf |

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|------|---|--|----------------|---|
| | | | | https://www.iisermohali.ac.in/ |
| | | (vi) Whether their meetings are open to the public? | Fully met | Specified-not open to public |
| | | (vii) Whether the minutes of the meetings are open to the public? | Fully met | Specified-not open to public |
| | | (viii) Place where the minutes if open to the public are available? | Not applicable | |
| 1.8 | Directory of officers and employees [Section 4(1) (b) (ix)] | (i) Name and designation | Fully met | https://www.iisermohali.ac.in/executive-positions/people/executive-positions https://www.iisermohali.ac.in/faculty/people/faculty https://www.iisermohali.ac.in/staff/people/staff |
| | | (ii) Telephone , fax and email ID | Fully met | https://www.iisermohali.ac.in/executive-positions/people/executive-positions https://www.iisermohali.ac.in/faculty/people/faculty https://www.iisermohali.ac.in/staff/people/staff |
| 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 | Not Met | Need to specify with list of employees, designation and pay scale and monthly remuneration. |
| | | (ii) System of compensation as provided in its regulations | Not Met | Mentioned as – As per government rules Upload system of compensation as provided in the rule and regulations |
| 1.10 | Name, designation and other particulars of public | (i) Name and designation of the public information officer (PIO), Assistant Public Information (s) & Appellate Authority | Fully Met | https://www.iisermohali.ac.in/home/uncategorised/rti https://www.iisermohali.ac.in/files/pdf/rti/RTIACTSection41b.pdf |

| | | | | |
|------|---|--|----------------|---|
| | information officers [Section 4(1)(b) (xvi)] | (ii) Address, telephone numbers and email ID of each designated official. | Fully met | Disclosed Address, telephone numbers and email ID of each designated official. |
| 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 | The number of employees against whom disciplinary action has been taken and the kind of penalty which has been imposed must be specified |
| | | (ii) Finalised for Minor penalty or major penalty proceedings | Not met | |
| 1.12 | Programmes to advance understanding of RTI (Section 26) | (i) Educational programmes | Not met | The information regarding the Educational programmes/ training in RTI attended by the employees, specifically such programmes organised for CPIOs & APIOs need to be specified. |
| | | (ii) Efforts to encourage public authority to participate in these programmes | Not met | Further the efforts made by the Public Authority to encourage participation in such programmes must be specified. |
| | | (iii) Training of CPIO/APIO | Not met | |
| | | (iv) Update & publish guidelines on RTI by the Public Authorities concerned | Not met | Publications on the RTI Act and guidelines by the authority is required |
| 1.13 | Transfer policy and transfer orders [F No. 1/6/2011- IR dt. 15.4.2013] | | Not Applicable | |

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 (ii) Budget for each agency and plan & programmes (iii) Proposed expenditures (iv) Revised budget for each agency, if any (v) Report on disbursements made and place where the related reports are available | Not met Not Met Not Met Not Met Not Met | The public Authority need to disclose the following in detail: <ul style="list-style-type: none"> ▫ Year wise demands for Grants/ Budget estimates to be uploaded ▫ Outcome budget year wise is uploaded ▫ Further Details of all plans, expenditures, and disbursement of grants to various stakeholders should be disclosed in non-technical manner. ▫ A simplified version of the same should be uploaded which can be easily understood by general public. ▫ Budget and periodic monitoring reports should be presented in more user-friendly manner through graphs & tables. ▫ Funds released to various organizations/ bodies, etc. should be put on the website on quarterly basis and budgets of such authorities may be made accessible through links from website of department. |
| 2.2 | Foreign and domestic tours (F. No. 1/8/2012- IR dt. 11.9.2012) | (i) Budget | Not met | Not Disclosed |

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|------------|---|---|----------------|--|
| | | (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 | Partially Met | <ul style="list-style-type: none"> Places visited, and time of visit is provided in the annual report. However, Expenditure has not been disclosed |
| | | (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 | http://14.139.227.202/tenders/tenderinvite/index.php Only tender invitation has been disclosed. |
| 2.3 | Manner of execution of subsidy programme [Section 4(i)(b)(xii)] | (i) Name of the programme of activity | Not Applicable | |
| | | (ii) Objective of the programme | | |
| | | (iii) Procedure to avail benefits | | |
| | | (iv) Duration of the programme/ | | |

| | | | | |
|------------|---|--|----------------|--|
| | | scheme | | |
| | | (v) Physical and financial targets of the programme | | |
| | | (vi) Nature/ scale of subsidy /amount allotted | | |
| | | (vii) Eligibility criteria for grant of subsidy | | |
| | | (viii) Details of beneficiaries of subsidy programme (number, profile etc) | | |
| 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 | Not applicable | |
| | | (ii) Annual accounts of all legal entities who are provided grants by public authorities | | |
| 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 | Not Applicable | |
| | | (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 | | |

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| | | concessions /permits of authorizations | | |
| 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. | Not Met | <ul style="list-style-type: none"> ▫ Not Disclosed ▫ CAG & PAC paras and action taken reports (ATRs) after those have been laid on the table of both Houses of Parliament must be put on the website. |

3. Publicity Band Public interface

| S. No | Item | Details of disclosure | Remarks | 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 Applicable | |
| | | (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 & | Not applicable | |

| | | | | |
|--|--|--|----------------|--|
| | | Facilitation Counter (IFC) to provide publications frequently sought by RTI applicants | | |
| | | Public- private partnerships (PPP) | Not applicable | |
| | | (i) Details of Special Purpose Vehicle (SPV), if any | | |
| | | (ii) Detailed project reports (DPRs) | | |
| | | (iii) Concession agreements. | | |
| | | (iv) Operation and maintenance manuals | | |
| | | (v) Other documents generated as part of the implementation of the PPP | | |
| | | (vi) Information relating to fees, tolls, or the other kinds of revenues that may be collected under authorisation from the government | | |
| | | (vii) Information relating to outputs and outcomes | | |
| | | (viii) The process of the selection of the private sector party (concessionaire etc.) | | |
| | | (ix) All payment made under the PPP project | | |

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|-----|---|---|----------------|--|
| 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; | Not applicable | |
| | | (i) Policy decisions/ legislations taken in the previous one year | | |
| | | (ii) Outline the Public consultation process | | |
| | | (iii) Outline the arrangement for consultation before formulation of policy | | |
| 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 | https://www.iisermohali.ac.in/ <ul style="list-style-type: none"> • Information disclosure through internet/ website is there • However ,not all information which are required has been uploaded • In certain parameters disclosure incomplete • More information needs to be uploaded and updated for implementation of RTI Act and guidelines. • The information to be put in citizen friendly manner |
| 3.4 | Form of accessibility of information manual/ handbook [Section 4(1)(b)] | Information manual/ handbook available in (i) Electronic format | Fully met | https://www.iisermohali.ac.in/files/pdf/rti/RTIACTSection41b.pdf |
| | | (ii) Printed format | Not met | |

| | | | | |
|-----|--|---|---------|--|
| 3.5 | Whether information manual/ handbook available free of cost or not [Section 4(1)(b)] | List of materials available | Not Met | |
| | | (i) Free of cost | | |
| | | (ii) At a reasonable cost of the medium | Not Met | |

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 | Fully met | https://www.iisermohali.ac.in/files/pdf/rTI/RTIACTSection4_1b.pdf |
| | | (ii) Vernacular/ Language | Local Not met | The information must also be provided in Hindi |
| 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 | Not Met | <ul style="list-style-type: none"> ▫ Put a list of documents in electronic form to provide a holistic picture of computerization and information to the user about the information, which can be accessed through the website. ▫ The data about digitized record shall provide <ul style="list-style-type: none"> ▫ name of the record, ▫ categorization or indexing used; |
| | | (ii) Name/ title of the document/record/ other information | Not met | |
| | | (iii) Location where available | Not met | |

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|-----|--|--|---------------|--|
| | | | | <ul style="list-style-type: none"> ▫ the subject matter, 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. ▫ It should also be specified the document which are not in computerized form, how and where the same can be accessed. Specify the contact to access the same. ▫ The information be uploaded as soon as possible before the next audit |
| 4.4 | Particulars of facilities available to citizen for obtaining information [Section 4(1)(b)(xv)] | (i) Name & location of the faculty | Not met | Presently IISER Mohali does not have any such facility/ Library Facility for general public |
| | | (ii) Details of information made available | Not met | |
| | | (iii) Working hours of the facility | Not met | |
| | | (iv) Contact person & contact details (Phone, fax email) | Not met | |
| 4.5 | Such other information as may be prescribed under section 4(i)(b)(xvii) | (i) Grievance redressal mechanism | Not met | Not Disclosed |
| | | (ii) Details of applications received under RTI and information provided | Partially met | http://14.139.227.202/tenders/tenderinvite/index.php/rti-applications/ Link provides only details of 2016 Needs to be updated <ul style="list-style-type: none"> ▫ RTI Applications, replies to these and appeals and their responses on website need to updated. ▫ Further as per requirement of the guidelines keyword |

| | | | | |
|-----|--------------------|---|-----------|---|
| | | | | search criteria is required to be generated on the website, to make the search easier. |
| | | (iii) List of completed schemes/ projects/ Programmes | Fully Met | Provided in annual report at page 128 https://www.iisermohali.ac.in/files/pdf/Directorate/AnnualR eports/arenglish2018-19.pdf |
| | | (iv) List of schemes/ projects/ programme underway | Fully Met | Provided in annual report at page 128 https://www.iisermohali.ac.in/files/pdf/Directorate/AnnualR eports/arenglish2018-19.pdf |
| | | (v) Details of all contracts entered into including name of the contractor, amount of contract and period of completion of contract | Not met | Not Disclosed |
| | | (vi) Annual Report | Fully met | https://www.iisermohali.ac.in/files/pdf/Directorate/AnnualR eports/arenglish2018-19.pdf |
| | | (vii) Frequently Asked Question (FAQs) | Not Met | Not Disclosed |
| | | (viii) Any other information such as | Not Met | Not Disclosed |
| | | a) Citizen's Charter | | |
| | | b) Result Framework Document (RFD) | Not Met | Not Disclosed |
| | | c) Six monthly reports on the same | Not Met | Not Disclosed |
| | | d) Performance against the benchmarks set in the Citizen's Charter | Not Met | Not Disclosed Citizen's Charter, Result Framework Document (RFD) and six monthly report against the benchmarks set in citizen's charter need to be disclosed |
| 4.6 | Receipt & Disposal | (i) Details of applications | Not Met | Not Disclosed |

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|-----|---|--|---------|---------------|
| | of RTI applications & appeals [F.No 1/6/2011-IR dt. 15.04.2013] | received and disposed | | |
| | | (ii) Details of appeals received and orders issued | Not Met | Not Disclosed |
| 4.7 | Replies to questions asked in the parliament [Section 4(1)(d)(2)] | Details of questions asked and replies given | Not Met | |

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] | (i) Name & details of (a) Current CPIOs & FAAs (b) Earlier CPIO & FAAs from 1.1.2015 | Partially met | https://www.iisermohali.ac.in/home/uncategorised/rTI https://www.iisermohali.ac.in/files/pdf/rTI/RTIACTSection41b.pdf The requirement is to disclose the details of CPIOs &FAAs since 2015. The details of latest CPIOs/ FAAs has been uploaded but the earlier details are not available |
| | | (ii) Details of third-party audit of voluntary disclosure (a) Dates of audit carried out (b) Report of the audit carried out | Not Met | Not Disclosed |
| | | (iii) Appointment of Nodal Officers not below the rank of Joint Secretary/ Additional HoD (a) Date of appointment | Not Met | Not disclosed |

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|--|------|--|---------|---------------|
| | | (b) Name & Designation of the officers | | |
| | (iv) | Consultancy committee of key stake holders for advice on suo-motu disclosure (a) Dates from which constituted (b) Name & Designation of the officers | Not Met | Not disclosed |
| | (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 | Not Met | Not disclosed |

6. 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 | | Partially met https://www.iisermohali.ac.in/files/pdf/rTI/RTIACTSection41b.pdf |

| | | | | |
|-----|--|--|--|----------------|
| 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) | <p>(i) Whether STQC certification obtained and its validity.</p> <p>(ii) Does the website show the certificate on the Website?</p> | | Not met |
|-----|--|--|--|----------------|

Chapter 3

Conclusions and Recommendations

Major Findings

1. The information disclosure required under seventeen categories of Section 4(1)(b) of the RTI Act and guidelines by the organization is less. Total score for the organization is 220 out of 691 (31.84percent). Thus the score is very low and there is scope for great improvement in all the categories.
2. More information needs to be uploaded. Disclosure needs to be improved in both quantity and quality of information Disclosure in certain aspects is completely lacking whereas in some criteria it is incomplete and partial and needs to be updated.
3. Certain aspects of information in categories like power and duties, work allocation, rules under which the power is exercised, procedure in decision making- channels of supervision & accountability, time limits for achieving targets, process of grievance redressal, monthly remuneration of employees, number of employees against whom disciplinary action is taken, categorization of documents held by the authority, system of compensation need to be added. These aspects relate to day to day functioning of organization which need attention and complete disclosure.
4. Information in certain categories of *suo-motu* disclosure guidelines is completely lacking. The requirements under the categories: programmes to advance understanding of RTI , budget related information, expenditure on foreign and domestic tours, Citizen's Charter, Reports related to Citizen Charter, action taken report on CAG & PAC paras, accessibility of RTI Manual and information available in electronic form, facility for citizen to obtain information details of contracts, and Parliament questions & replies to same, have not been met.
5. The compliance of the new guidelines on *suo-motu* disclosure requires certain more aspects to be met and the information need to be presented in citizen friendly manner.
6. To meet the requirements of RTI Act, 2005 all the relevant information should be put on web in a citizen friendly manner. Information is presented in very technical manner which needs simplification from user's perspectives especially in relation to the norms, rules and regulations pertaining to the working of the organization.
7. The accessibility of information on the website of the institute is an issue which needs to be addressed to. The information must be arranged and presented in more citizen friendly manner.
8. According to RTI Act the information requires annual updation. The information regarding some of the items is old and requires updating. Besides this the list of

documents available in electronic form must be uploaded on the website to give clear picture of computerization and easy accessibility to citizens.

9. The information is available on the website in English. The website has Hindi version but information is not available on the same. The process of translation in Hindi may be expedited and completed before next audit.

Recommendations

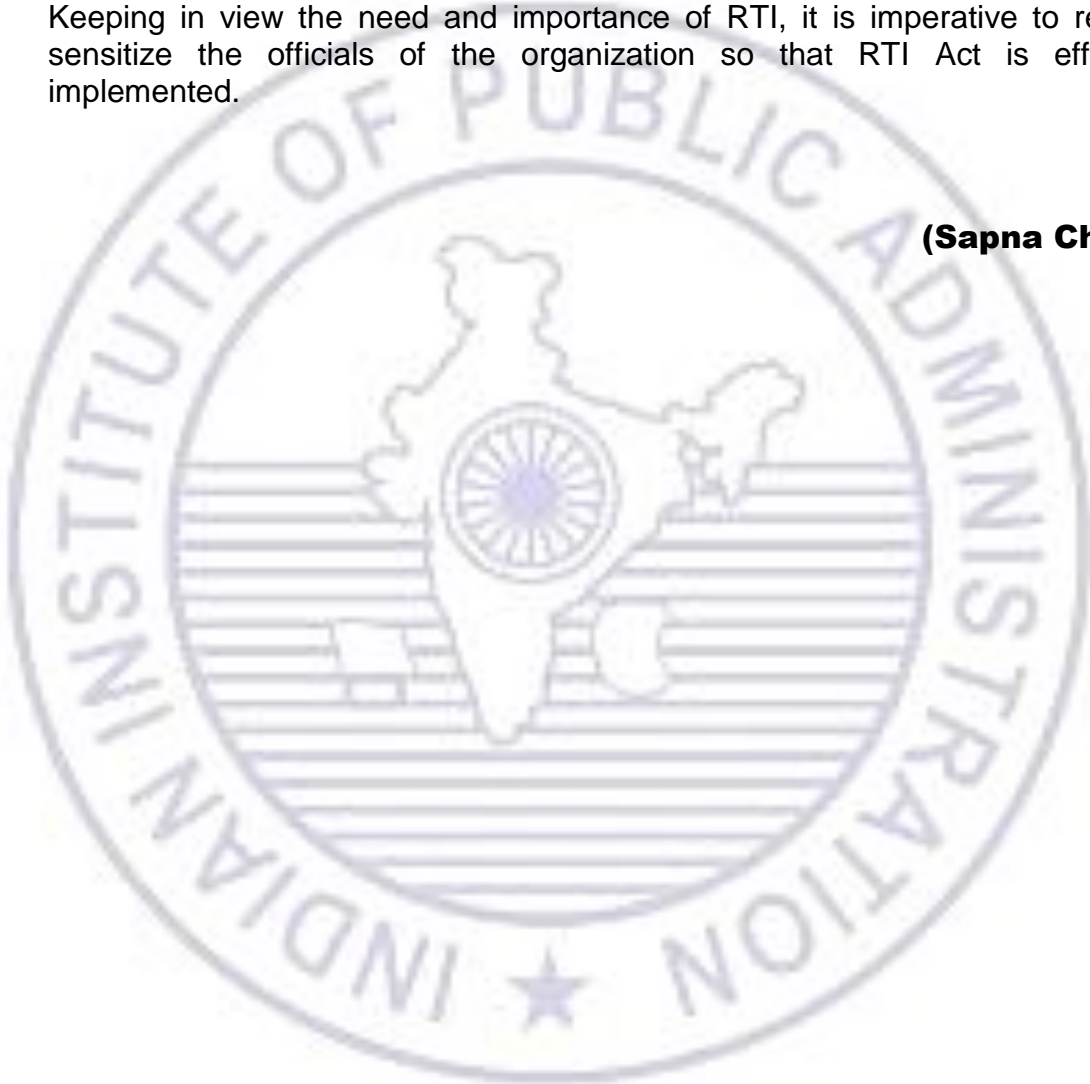
For better implementation of the *Suo-motu* disclosure of information following steps are required to be taken:

1. The information required to be proactively disclosed under the Act and guidelines should be disclosed completely and entirely in quality and quantity to enhance transparency and openness.
2. Endeavour should be made that all information should be readily available and in a easily understandable format.
3. Website disclosure should be complete and easily accessible. The orders of the Public Authority and other proactively disclosed information should be uploaded immediately after it has been issued and not later than a week.
4. The grouping and categorization of the information should be proper. The information which is available on website, needs to be collated in proper manner.
5. All the Acts, rules, regulations, orders, which specify the norms for discharge of functions have been disclosed, but they are to be categorized properly. Further these should be presented in simple and easy manner and linked to decision-making process.
6. The public authority should make efforts to collect the large quantum of information and digitalize which is still not there on the website. At present the information relating to power and duties, work allocation and exercise of powers, channel for supervision and accountability, budget, foreign & domestic tours, Citizen Charter, CAG/PAC paras, etc have not been uploaded on the website. The same should be uploaded at the earliest in simple format for easy understanding.
7. To maintain the reliability of information, timely updating of the information may be ensured. Therefore, it is required that a system is created for automatic updation of information, based on key word outputs. The date of last updation should be displayed on the website. Different media and forms should be used for proactive disclosure.
8. Besides uploading the original documents there is also need to present the information from the user's perspective in a simplified manner. Different media and forms like flow charts, tabular presentation should be used for proactive disclosure.
9. The elements of information required to be proactively disclosed under section 4(1)(b) are inter-related, the endeavor should be made to disclose them in an

integrated manner. The functions, powers, responsibilities, rules, regulations and decision-making process are interconnected and are difficult to understand in isolation; therefore endeavor should be made to present these in integrated manner.

10. The chapter on RTI Act in the annual report of the organisation should include the details about the compliance with the proactive disclosure guidelines.
11. Information must be made available both in English and vernacular language.
12. Keeping in view the need and importance of RTI, it is imperative to regularly sensitize the officials of the organization so that RTI Act is effectively implemented.

(Sapna Chadah)



Self appraisal report for Year (2019-20)

Auditor Agency: Indian Institute of Public Administration

Ministry Name: Ministry of Human Resource Development

Department Name: Department of Higher Education

Public Authority Name: Indian Institute of Science Education And Research (IISER) Mohali

| Sr. No | Details of disclosure | Category | Marks | Obtained Mark | Remarks | Auditor Category | Auditor Marks | Auditor Remarks/URL |
|------------|---|-----------|-------|---------------|---|------------------|---------------|---|
| 1 | Organisation and Function | | | | | | | |
| 1.1 | Particulars of its organisation, functions and duties [Section 4(1)(b)(i)] | | | | | | | |
| 1.1.1 | Name and address of the Organization | Fully Met | 1.28 | 1.28 | https://www.iiser-mohali.ac.in/ | Fully Met | 1.28 | https://www.iiser-mohali.ac.in/ |
| 1.1.2 | Head of the organization | Fully Met | 1.28 | 1.28 | https://www.iiser-mohali.ac.in/ | Fully Met | 1.28 | https://www.iiser-mohali.ac.in/board-of-governors/about-iiser-mohali/board-of-governors |
| 1.1.3 | Vision, Mission and Key objectives | Fully Met | 1.28 | 1.28 | https://www.iiser-mohali.ac.in/ | Fully Met | 1.28 | https://www.iiser-mohali.ac.in/mission-vision/about-iiser-mohali/mission-and-vision |
| 1.1.4 | Function and duties | Fully Met | 1.28 | 1.28 | https://www.iiser-mohali.ac.in/ | Fully Met | 1.28 | https://www.iiser-mohali.ac.in/files/pdf/rti/RTI Section4 1b.pdf |

| Sr. No | Details of disclosure | Category | Marks | Obtained Mark | Remarks | Auditor Category | Auditor Marks | Auditor Remarks/URL |
|------------|---|---------------|-------|---------------|---|------------------|---------------|---|
| 1.1.5 | Organization Chart | Not Met | 1.28 | 0 | empty | Not Met | 0 | Needs to be disclosed |
| 1.1.6 | 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 | Fully Met | 1.28 | 1.28 | https://www.iisermohali.ac.in/ | Fully Met | 1.28 | https://www.iisermohali.ac.in/genesis-of-iisers/about-iiserm/genesis-of-iisers |
| 1.2 | Power and duties of its officers and employees[Section 4(1) (b)(ii)] | | | | | | | |
| 1.2.1 | Powers and duties of officers (administrative, financial and judicial) | Fully Met | 1.54 | 1.54 | https://www.iisermohali.ac.in/act-statutes/about-iiserm/act-statutes | Fully Met | 1.54 | https://www.iisermohali.ac.in/files/pdf/rTI/RTI/ACTSection41b.pdf |
| 1.2.2 | Power and duties of other employees | Fully Met | 1.54 | 1.54 | https://www.iisermohali.ac.in/act-statutes/about-iiserm/act-statutes | Not Met | 0 | Need to provide powers and duties of other officers and Employees |
| 1.2.3 | Rules/ orders under which powers and duty are derived and | Partially Met | 1.54 | 0.77 | https://www.iisermohali.ac.in/act-statutes/about-iiserm/act-statutes | Partially Met | 0.77 | https://www.iisermohali.ac.in/files/pdf/rTI/RTI/ACTSection41b.pdf |
| 1.2.4 | Exercised | Partially Met | 1.54 | 0.77 | https://www.iisermohali.ac.in/act-statutes/about-iiserm/act-statutes | Not Met | 0 | Needs to be disclosed |
| 1.2.5 | Work allocation | Fully Met | 1.54 | 1.54 | https://www.iisermohali.ac.in/ | Not Met | 0 | Needs to be disclosed |

| Sr. No | Details of disclosure | Category | Marks | Obtained Mark | Remarks | Auditor Category | Auditor Marks | Auditor Remarks/URL |
|------------|---|----------------|-------|---------------|---|------------------|---------------|---|
| | | | | | /staff/people/staff | | | |
| 1.3 | Procedure followed in decision making process [Section 4(1)(b)(iii)] | | | | | | | |
| 1.3.1 | Process of decision making Identify key decision making points | Not Met | 1.54 | 0 | empty | Partially Met | 0.77 | https://www.iisermohali.ac.in/files/pdf/rti/RTIACTSection41b.pdf |
| 1.3.2 | Final decision making authority | Fully Met | 1.54 | 1.54 | https://www.iisermohali.ac.in/executive-positions/people/d-r-j-gowrishankar | Fully Met | 1.54 | https://www.iisermohali.ac.in/files/pdf/rti/RTIACTSection41b.pdf |
| 1.3.3 | Related provisions, acts, rules etc. | Fully Met | 1.54 | 1.54 | https://www.iisermohali.ac.in/act-statutes/about-iiserm/act-statutes | Fully Met | 1.54 | https://www.iisermohali.ac.in/act-statutes/about-iiserm/act-statutes |
| 1.3.4 | Time limit for taking a decisions, if any | Not Applicable | 0 | 0 | empty | Not Met | 0 | Needs to be disclosed |
| 1.3.5 | Channel of supervision and accountability | Fully Met | 1.54 | 1.54 | https://www.iisermohali.ac.in/act-statutes/about-iiserm/act-statutes | Not Met | 0 | Needs to be disclosed |
| 1.4 | Norms for discharge of functions[Section 4(1)(b)(iv)] | | | | | | | |
| 1.4.1 | Nature of functions/ services offered | Not Applicable | 0 | 0 | empty | Fully Met | 1.54 | https://www.iisermohali.ac.in/files/pdf/rti/RTIACTSection41b.pdf Details |

| Sr. No | Details of disclosure | Category | Marks | Obtained Mark | Remarks | Auditor Category | Auditor Marks | Auditor Remarks/URL |
|------------|--|----------------|-------|---------------|---|------------------|---------------|---|
| | | | | | | | | of academic programs offered has been provided at https://www.iisermohali.ac.in/academics-programs/academics/academic-programs |
| 1.4.2 | Norms/ standards for functions/ service delivery | Not Applicable | 0 | 0 | empty | Not Met | 0 | Needs to be disclosed |
| 1.4.3 | Process by which these services can be accessed | Not Applicable | 0 | 0 | empty | Fully Met | 1.54 | Admission process detailed under the link https://www.iisermohali.ac.in/admissions/academics/admissions |
| 1.4.4 | Time-limit for achieving the targets | Not Applicable | 0 | 0 | empty | Not Met | 0 | Needs to be disclosed |
| 1.4.5 | Process of redress of grievances | Not Applicable | 0 | 0 | empty | Not Met | 0 | Needs to be disclosed |
| 1.5 | Rules, regulations, instructions manual and records for discharging functions[Section 4(1)(b)(v)] | | | | | | | |
| 1.5.1 | Title and nature of the record/ manual /instruction. | Fully Met | 1.92 | 1.92 | https://www.iisermohali.ac.in/act-statutes/about-iiserm/act-statutes | Fully Met | 1.92 | https://www.iisermohali.ac.in/act-statutes/about-iiserm/act-statutes |
| 1.5.2 | List of Rules, regulations, instructions manuals and records. | Fully Met | 1.92 | 1.92 | https://www.iisermohali.ac.in | Fully Met | 1.92 | https://www.iisermohali.ac.in |

| Sr. No | Details of disclosure | Category | Marks | Obtained Mark | Remarks | Auditor Category | Auditor Marks | Auditor Remarks/URL |
|------------|--|----------------|-------|---------------|---|------------------|---------------|---|
| | | | | | /act-statutes/about-iiserm/act-statutes | | | /act-statutes/about-iiserm/act-statutes |
| 1.5.3 | Acts/ Rules manuals etc. | Fully Met | 1.92 | 1.92 | https://www.iisermohali.ac.in/act-statutes/about-iiserm/act-statutes | Fully Met | 1.92 | https://www.iisermohali.ac.in/act-statutes/about-iiserm/act-statutes https://www.iisermohali.ac.in/rules/deanstudentsoffice/rules-and-regulations |
| 1.5.4 | Transfer policy and transfer orders | Not Applicable | 0 | 0 | empty | Not Applicable | 0 | NA |
| 1.6 | Categories of documents held by the authority under its control[Section 4(1)(b) (vi)] | | | | | | | |
| 1.6.1 | Categories of documents | Fully Met | 3.85 | 3.85 | 2. Registrar Powers and Functions of the Registrar (i) The Registrar shall be In-charge of Administration of the Institute and Directly responsible to the Director of the Institute. (ii) The Registrar shall be the ex- | Fully Met | 3.85 | https://www.iisermohali.ac.in/files/pdf/rti/RTIACTSection41b.pdf |

| Sr. No | Details of disclosure | Category | Marks | Obtained Mark | Remarks | Auditor Category | Auditor Marks | Auditor Remarks/URL |
|--------|-----------------------|----------|-------|---------------|--|------------------|---------------|---------------------|
| | | | | | <p>officio Secretary of the Board of Governors, Finance Committee and the Senate but shall not be deemed to be a Member of any of these authorities.</p> <p>(iii) The Registrar shall be custodian of the records, funds of the Institute and such other property of the Institutes as the Board of Governors may assign to him. (iv) The Registrar shall perform such other duties as may be specified in the</p> | | | |

| Sr. No | Details of disclosure | Category | Marks | Obtained Mark | Remarks | Auditor Category | Auditor Marks | Auditor Remarks/URL |
|--------|-----------------------------------|-----------|-------|---------------|--|------------------|---------------|---|
| | | | | | Regulations and Bye-laws or as may be specified by the Director from time to time. | | | |
| 1.6.2 | Custodian of documents/categories | Fully Met | 3.85 | 3.85 | 2. Registrar Powers and Functions of the Registrar (i) The Registrar shall be In-charge of Administration of the Institute and Directly responsible to the Director of the Institute. (ii) The Registrar shall be the ex-officio Secretary of the Board of Governors, Finance Committee and the Senate but | Fully Met | 3.85 | Provided under the powers and functions of registrar that he shall be the custodian of documents of the institution. However, the same needs to be specifically mentioned in the website and RTI Manual |

| Sr. No | Details of disclosure | Category | Marks | Obtained Mark | Remarks | Auditor Category | Auditor Marks | Auditor Remarks/URL |
|--------|--|----------|-------|---------------|---|------------------|---------------|---------------------|
| | | | | | <p>shall not be deemed to be a Member of any of these authorities.</p> <p>(iii) The Registrar shall be custodian of the records, funds of the Institute and such other property of the Institutes as the Board of Governors may assign to him. (iv) The Registrar shall perform such other duties as may be specified in the Regulations and Bye-laws or as may be specified by the Director from time to time.</p> | | | |
| 1.7 | Boards, Councils, Committees and other Bodies constituted as part of the Public Authority [Section 4(1)(b)(viii)] | | | | | | | |

| Sr. No | Details of disclosure | Category | Marks | Obtained Mark | Remarks | Auditor Category | Auditor Marks | Auditor Remarks/URL |
|--------|---|-----------|-------|---------------|---|------------------|---------------|---|
| 1.7.1 | Name of Boards, Council, Committee etc. | Fully Met | 0.96 | 0.96 | https://www.iisermohali.ac.in/board-of-governors/about-iisermohali.ac.in/board-of-governors | Fully Met | 0.96 | https://www.iisermohali.ac.in/files/pdf/rti/RTIACTSection41b.pdf |
| 1.7.2 | Composition | Fully Met | 0.96 | 0.96 | https://www.iisermohali.ac.in/board-of-governors/about-iisermohali.ac.in/board-of-governors | Fully Met | 0.96 | https://www.iisermohali.ac.in/files/pdf/rti/RTIACTSection41b.pdf |
| 1.7.3 | Dates from which constituted | Fully Met | 0.96 | 0.96 | https://www.iisermohali.ac.in/board-of-governors/about-iisermohali.ac.in/board-of-governors | Partially Met | 0.48 | provided for few internal committees https://www.iisermohali.ac.in/ |
| 1.7.4 | Term/ Tenure | Fully Met | 0.96 | 0.96 | https://www.iisermohali.ac.in/files/pdf/rti/RTIACTSection41b.pdf | Fully Met | 0.96 | Three years specified https://www.iisermohali.ac.in/files/pdf/rti/RTIACTSection41b.pdf |
| 1.7.5 | Powers and functions | Fully Met | 0.96 | 0.96 | https://www.iisermohali.ac.in/files/pdf/rti/RTIACTSection41b.pdf | Fully Met | 0.96 | https://www.iisermohali.ac.in/files/pdf/rti/RTIACTSection41b.pdf https://www.iisermohali.ac.in/ |

| Sr. No | Details of disclosure | Category | Marks | Obtained Mark | Remarks | Auditor Category | Auditor Marks | Auditor Remarks/URL |
|------------|---|-----------|-------|---------------|---|------------------|---------------|---|
| 1.7.6 | Whether their meetings are open to the public? | Fully Met | 0.96 | 0.96 | https://www.iisermohali.ac.in/board-of-governors/about-iisermohali.ac.in/board-of-governors | Fully Met | 0.96 | Specified-not open to public |
| 1.7.7 | Whether the minutes of the meetings are open to the public? | Fully Met | 0.96 | 0.96 | https://www.iisermohali.ac.in/board-of-governors/about-iisermohali.ac.in/board-of-governors | Fully Met | 0.96 | Specified-not open to public |
| 1.7.8 | Place where the minutes if open to the public are available? | Fully Met | 0.96 | 0.96 | https://www.iisermohali.ac.in/board-of-governors/about-iisermohali.ac.in/board-of-governors | Not Applicable | 0 | NA |
| 1.8 | Directory of officers and employees[Section 4(1) (b) (ix)] | | | | | | | |
| 1.8.1 | Name and designation | Fully Met | 3.85 | 3.85 | https://www.iisermohali.ac.in/staff/people/staff | Fully Met | 3.85 | https://www.iisermohali.ac.in/executivepositions/people/executive-positions https://www.iisermohali.ac.in/faculty/people/faculty https://www.iisermohali.ac.in/staff/peo |

| Sr. No | Details of disclosure | Category | Marks | Obtained Mark | Remarks | Auditor Category | Auditor Marks | Auditor Remarks/URL ple/staff |
|-------------|---|-----------|-------|---------------|---|------------------|---------------|---|
| 1.8.2 | Telephone , fax and email ID | Fully Met | 3.85 | 3.85 | https://www.iisermohali.ac.in/staff/people/staff | Fully Met | 3.85 | https://www.iisermohali.ac.in/executivepositions/people/executive-positions https://www.iisermohali.ac.in/faculty/people/faculty https://www.iisermohali.ac.in/staff/people/staff |
| 1.9 | Monthly Remuneration received by officers & employees including system of compensation[Section 4(1) (b) (x)] | | | | | | | |
| 1.9.1 | List of employees with Gross monthly remuneration | Fully Met | 3.85 | 3.85 | https://www.iisermohali.ac.in/staff/people/staff | Not Met | 0 | Need to specify with list of employees, designation and pay scale and monthly remuneration. |
| 1.9.2 | System of compensation as provided in its regulations | Fully Met | 3.85 | 3.85 | https://www.iisermohali.ac.in/staff/people/staff | Not Met | 0 | Need to be disclosed clearly - Mentioned as per government rules |
| 1.10 | Name, designation and other particulars of public information officers[Section 4(1) (b) (xvi)] | | | | | | | |
| 1.10.1 | Name and designation of the public information | Fully Met | 3.85 | 3.85 | https://www.iisermohali.ac.in/staff/people/staff | Fully Met | 3.85 | https://www.iisermohali.ac.in/staff/people/staff |

| Sr. No | Details of disclosure | Category | Marks | Obtained Mark | Remarks | Auditor Category | Auditor Marks | Auditor Remarks/URL |
|-------------|---|----------------|-------|---------------|--|------------------|---------------|--|
| | officer (PIO), Assistant Public Information officer (APIO) & Appellate Authority | | | | ermohali.ac.in/staff/people/staff | | | ermohali.ac.in/home/uncategorised/rti https://www.iisermohali.ac.in/files/pdf/rti/RTIACTSection41b.pdf |
| 1.10.2 | Address, telephone numbers and email ID of each designated official. | Fully Met | 3.85 | 3.85 | https://www.iisermohali.ac.in/staff/people/staff | Fully Met | 3.85 | Disclosed Address, telephone numbers and email ID of each designated official. |
| 1.11 | No. Of employees against whom Disciplinary action has been proposed/ taken(Section 4(2)) | | | | | | | |
| 1.11.1 | No. of employees against whom disciplinary action has been (i) Pending for Minor penalty or major penalty proceedings | Not Applicable | 0 | 0 | empty | Not Met | 0 | Needs to be Disclosed |
| 1.11.2 | (ii) Finalised for Minor penalty or major penalty proceedings | Not Applicable | 0 | 0 | empty | Not Met | 0 | Needs to be Disclosed |
| 1.12 | Programmes to advance understanding of RTI(Section 26) | | | | | | | |
| 1.12.1 | Educational programmes | Not Met | 1.92 | 0 | empty | Not Met | 0 | Needs to be Disclosed |
| 1.12.2 | Efforts to encourage public authority to participate in these programmes | Not Met | 1.92 | 0 | empty | Not Met | 0 | Needs to be Disclosed |
| 1.12.3 | Training of CPIO/APIO | Not Met | 1.92 | 0 | empty | Not Met | 0 | Needs to be Disclosed |
| 1.12.4 | Update & publish guidelines on RTI by the Public Authorities concerned | Not Met | 1.92 | 0 | empty | Not Met | 0 | Needs to be Disclosed |
| 1.13 | Transfer policy and transfer orders[F No. 1/6/2011- IR dt. 15.4.2013] | | | | | | | |

| Sr. No | Details of disclosure | Category | Marks | Obtained Mark | Remarks | Auditor Category | Auditor Marks | Auditor Remarks/URL |
|--------------|--|----------------|-----------|---------------|---|------------------|---------------|-----------------------|
| 1.13.1 | Transfer Policy And Transfer Orders[F No. 1/6/2011- IR Dt. 15.4.2013] | Not Applicable | 0 | 0 | empty | Not Applicable | 0 | NA |
| Total | | | 73 | 61 | | | 51 | |
| 2 | Budget and Programme | | | | | | | |
| 2.1 | Budget allocated to each agency including all plans, proposed expenditure and reports on disbursements made etc.[Section 4(1)(b)(xi)] | | | | | | | |
| 2.1.1 | Total Budget for the public authority | Fully Met | 10 | 10.00 | https://www.iisermohali.ac.in/annual-reports/about-iiserm/annual-reports | Not Met | 0 | X |
| 2.1.2 | Budget for each agency and plan & programmes | Fully Met | 10 | 10.00 | https://www.iisermohali.ac.in/annual-reports/about-iiserm/annual-reports | Not Met | 0 | X |
| 2.1.3 | Proposed expenditures | Fully Met | 10 | 10.00 | https://www.iisermohali.ac.in/annual-reports/about-iiserm/annual-reports | Not Met | 0 | Needs to be disclosed |
| 2.1.4 | Revised budget for each agency, if any | Fully Met | 10 | 10.00 | https://www.iisermohali.ac.in/annual-reports/about-iiserm/annual-reports | Not Met | 0 | Needs to be disclosed |
| 2.1.5 | Report on disbursements made and place where the related reports are available | Fully Met | 10 | 10.00 | https://www.iisermohali.ac.in | Not Met | 0 | Needs to be disclosed |

| Sr. No | Details of disclosure | Category | Marks | Obtained Mark | Remarks | Auditor Category | Auditor Marks | Auditor Remarks/URL |
|------------|--|----------------|-------|---------------|---|------------------|---------------|--|
| | | | | | /annual-reports/about-iiserm/annual-reports | | | |
| 2.2 | Foreign and domestic tours(F.No. 1/8/2012- IR dt. 11.9.2012) | | | | | | | |
| 2.2.1 | Budget | Fully Met | 16.67 | 16.67 | https://www.iisermohali.ac.in/annual-reports/about-iiserm/annual-reports | Not Met | 0 | Needs to be disclosed |
| 2.2.2 | 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 | 16.67 | 0 | empty | Partially Met | 8.34 | Places visited and time of visit is provided in the annual report. However, Expenditure has not been disclosed |
| 2.2.3 | 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. | Fully Met | 16.67 | 16.67 | http://14.139.27.202/tenders/tenderinvite/ | Partially Met | 8.34 | http://14.139.27.202/tenders/tenderinvite/index.php Only tender invitation has been disclosed. |
| 2.3 | Manner of execution of subsidy programme [Section 4(i)(b)(xii)] | | | | | | | |
| 2.3.1 | Name of the programme of activity | Not Applicable | 0 | 0 | empty | Not Applicable | 0 | NA |

| Sr. No | Details of disclosure | Category | Marks | Obtained Mark | Remarks | Auditor Category | Auditor Marks | Auditor Remarks/URL |
|------------|---|----------------|-------|---------------|---|------------------|---------------|---------------------|
| 2.3.2 | Objective of the programme | Not Applicable | 0 | 0 | empty | Not Applicable | 0 | NA |
| 2.3.3 | Procedure to avail benefits | Not Applicable | 0 | 0 | empty | Not Applicable | 0 | NA |
| 2.3.4 | Duration of the programme/ scheme | Not Applicable | 0 | 0 | empty | Not Applicable | 0 | NA |
| 2.3.5 | Physical and financial targets of the programme | Not Applicable | 0 | 0 | empty | Not Applicable | 0 | NA |
| 2.3.6 | Nature/ scale of subsidy /amount allotted | Not Applicable | 0 | 0 | empty | Not Applicable | 0 | NA |
| 2.3.7 | Eligibility criteria for grant of subsidy | Not Applicable | 0 | 0 | empty | Not Applicable | 0 | NA |
| 2.3.8 | Details of beneficiaries of subsidy programme (number, profile etc) | Not Applicable | 0 | 0 | empty | Not Applicable | 0 | NA |
| 2.4 | Discretionary and non-discretionary grants [F. No. 1/6/2011-IR dt. 15.04.2013] | | | | | | | |
| 2.4.1 | Discretionary and non-discretionary grants/ allocations to State Govt./ NGOs/other institutions | Fully Met | 25 | 25.00 | As per instructions of Ministry of HRD. | Not Applicable | 0 | NA |
| 2.4.2 | Annual accounts of all legal entities who are provided grants by public authorities | Fully Met | 25 | 25.00 | YES annual account is audited by Office of the Principal Director of Audit (Central), Chandigarh. | Not Applicable | 0 | NA |
| 2.5 | Particulars of recipients of concessions, permits of authorizations granted by the public authority[Section 4(1) (b) (xiii)] | | | | | | | |
| 2.5.1 | Concessions, permits or authorizations granted by public authority | Not Applicable | 0 | 0 | empty | Not Applicable | 0 | NA |
| 2.5.2 | 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 authorizations, (d) Date of award of concessions/ permits of authorizations | Not Applicable | 0 | 0 | empty | Not Applicable | 0 | NA |

| Sr. No | Details of disclosure | Category | Marks | Obtained Mark | Remarks | Auditor Category | Auditor Marks | Auditor Remarks/URL |
|--------------|--|----------------|------------|---------------|---------|------------------|---------------|-----------------------|
| 2.6 | CAG & PAC paras [F No. 1/6/2011- IR dt. 15.4.2013] | | | | | | | |
| 2.6.1 | CAG and PAC paras and the action taken reports (ATRs) after these have been laid on the table of both houses of the parliament. | Not Applicable | 0 | 0 | empty | Not Met | 0 | Needs to be disclosed |
| Total | | | 150 | 133 | | | 17 | |
| 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 thereof [Section 4(1)(b)(vii)] [F No 1/6/2011-IR dt. 15.04.2013] | | | | | | | |
| 3.1.1 | Relevant Acts, Rules, Forms and other documents which are normally accessed by citizens | Not Applicable | 0 | 0 | empty | Not Applicable | 0 | NA |
| 3.1.2 | 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 Applicable | 0 | 0 | empty | Not Applicable | 0 | NA |
| 3.1.3 | Public- private partnerships (PPP)- Details of Special Purpose Vehicle (SPV), if any | Not Applicable | 0 | 0 | empty | Not Applicable | 0 | NA |
| 3.1.4 | Public- private partnerships (PPP)- Detailed project reports (DPRs) | Not Applicable | 0 | 0 | empty | Not Applicable | 0 | NA |
| 3.1.5 | Public- private partnerships (PPP)- Concession agreements. | Not Applicable | 0 | 0 | empty | Not Applicable | 0 | NA |
| 3.1.6 | Public- private partnerships (PPP)- Operation and maintenance manuals | Not Applicable | 0 | 0 | empty | Not Applicable | 0 | NA |
| 3.1.7 | Public- private partnerships (PPP) - Other documents generated as part of the implementation of the PPP | Not Applicable | 0 | 0 | empty | Not Applicable | 0 | NA |
| 3.1.8 | Public- private partnerships (PPP) - Information relating to fees, tolls, or the other kinds of revenues that may be collected under | Not Applicable | 0 | 0 | empty | Not Applicable | 0 | NA |

| Sr. No | Details of disclosure | Category | Marks | Obtained Mark | Remarks | Auditor Category | Auditor Marks | Auditor Remarks/URL |
|------------|---|----------------|-------|---------------|---|------------------|---------------|--|
| | authorisation from the government | | | | | | | |
| 3.1.9 | Public- private partnerships (PPP) -Information relating to outputs and outcomes | Not Applicable | 0 | 0 | empty | Not Applicable | 0 | NA |
| 3.1.10 | Public- private partnerships (PPP) - The process of the selection of the private sector party (concessionaire etc.) | Not Applicable | 0 | 0 | empty | Not Applicable | 0 | NA |
| 3.1.11 | Public- private partnerships (PPP) - All payment made under the PPP project | Not Applicable | 0 | 0 | empty | Not Applicable | 0 | NA |
| 3.2 | Are the details of policies / decisions, which affect public, informed to them[Section 4(1) (c)] | | | | | | | |
| 3.2.1 | Publish all relevant facts while formulating important policies or announcing decisions which affect public to make the process more interactive - Policy decisions/ legislations taken in the previous one year | Not Applicable | 0 | 0 | empty | Not Applicable | 0 | NA |
| 3.2.2 | Publish all relevant facts while formulating important policies or announcing decisions which affect public to make the process more interactive - Outline the Public consultation process | Not Applicable | 0 | 0 | empty | Not Applicable | 0 | NA |
| 3.2.3 | Publish all relevant facts while formulating important policies or announcing decisions which affect public to make the process more interactive- Outline the arrangement for consultation before formulation of policy | Not Applicable | 0 | 0 | empty | Not Applicable | 0 | NA |
| 3.3 | Dissemination of information widely and in such form and manner which is easily accessible to the public [Section 4(3)] | | | | | | | |
| 3.3.1 | Use of the most effective means of communication - Internet (website) | Fully Met | 50 | 50.00 | https://www.iisermohali.ac.in/recent-research-highlights/research/recent-research-highlights | Fully Met | 50.00 | Some of the information still needs to be uploaded |
| 3.4 | Form of accessibility of information manual/ handbook[Section 4(1)(b)] | | | | | | | |

| Sr. No | Details of disclosure | Category | Marks | Obtained Mark | Remarks | Auditor Category | Auditor Marks | Auditor Remarks/URL |
|--------------|--|-----------|------------|---------------|---|------------------|---------------|---|
| 3.4.1 | Information manual/handbook available in Electronic format | Fully Met | 25 | 25.00 | https://www.iisermohali.ac.in/course-structure | Fully Met | 25.00 | https://www.iisermohali.ac.in/files/pdf/rti/RTIACTSection41b.pdf |
| 3.4.2 | Information manual/handbook available in Printed format | Fully Met | 25 | 25.00 | https://www.iisermohali.ac.in/course-structure | Not Met | 0 | Not Disclosed |
| 3.5 | Whether information manual/ handbook available free of cost or not [Section 4(1)(b)] | | | | | | | |
| 3.5.1 | List of materials available Free of cost | Fully Met | 25 | 25.00 | https://www.iisermohali.ac.in/academic-guide/academic-guide-under-update | Not Met | 0 | Needs to be disclosed |
| 3.5.2 | List of materials available At a reasonable cost of the medium | Fully Met | 25 | 25.00 | https://www.iisermohali.ac.in/academic-guide/academic-guide-under-update | Not Met | 0 | Needs to be disclosed |
| Total | | | 150 | 150 | | | 75 | |
| 4 | E-Governance | | | | | | | |
| 4.1 | Language in which Information Manual/Handbook Available [F No. 1/6/2011-IR dt. 15.4.2013] | | | | | | | |
| 4.1.1 | English | Fully Met | 14.29 | 14.29 | https://www.iisermohali.ac.in/academic-guide/academic-guide | Fully Met | 14.29 | https://www.iisermohali.ac.in/files/pdf/rti/RTIACTSection41b.pdf |

| Sr. No | Details of disclosure | Category | Marks | Obtained Mark | Remarks | Auditor Category | Auditor Marks | Auditor Remarks/URL |
|------------|--|---------------|-------|---------------|--|------------------|---------------|---|
| | | | | | de-under-update | | | |
| 4.1.2 | Vernacular/ Local Language | Partially Met | 14.29 | 7.15 | https://www.iisermohali.ac.in/academic-guide/academics/academic-guide-under-update | Not Met | 0 | Information only in English |
| 4.2 | When was the information Manual/Handbook last updated?[F No. 1/6/2011-IR dt 15.4.2013] | | | | | | | |
| 4.2.1 | Last date of Annual updation | Partially Met | 28.57 | 14.29 | The data is being revised. https://www.iisermohali.ac.in/academic-guide/academics/academic-guide-under-update | Fully Met | 28.57 | It is regularly updated and the last date of update is also available at the website. https://www.iisermohali.ac.in/ |
| 4.3 | Information available in electronic form[Section 4(1)(b)(xiv)] | | | | | | | |
| 4.3.1 | Details of information available in electronic form | Fully Met | 9.52 | 9.52 | https://www.iisermohali.ac.in/ | Not Met | 0 | Not Disclosed |
| 4.3.2 | Name/ title of the document/record/ other information | Fully Met | 9.52 | 9.52 | https://www.iisermohali.ac.in/ | Not Met | 0 | Not Disclosed |
| 4.3.3 | Location where available | Fully Met | 9.52 | 9.52 | https://www.iisermohali.ac.in/ | Not Met | 0 | Not Disclosed |
| 4.4 | Particulars of facilities available to citizen for obtaining information[Section 4(1)(b)(xv)] | | | | | | | |
| 4.4.1 | Name & location of the faculty | Fully Met | 7.14 | 7.14 | https://www.iisermohali.ac.in | Not Met | 0 | Not Disclosed |

| Sr. No | Details of disclosure | Category | Marks | Obtained Mark | Remarks | Auditor Category | Auditor Marks | Auditor Remarks/URL |
|------------|---|-----------|-------|---------------|---|------------------|---------------|---|
| | | | | | / | | | |
| 4.4.2 | Details of information made available | Fully Met | 7.14 | 7.14 | https://www.iiser-mohali.ac.in | Not Met | 0 | Not Disclosed |
| 4.4.3 | Working hours of the facility | Fully Met | 7.14 | 7.14 | https://www.iiser-mohali.ac.in | Not Met | 0 | Not Disclosed |
| 4.4.4 | Contact person & contact details (Phone, fax email) | Fully Met | 7.14 | 7.14 | https://www.iiser-mohali.ac.in | Not Met | 0 | Not Disclosed |
| 4.5 | Such other information as may be prescribed under Section 4(i) (b)(xvii) | | | | | | | |
| 4.5.1 | Grievance redressal mechanism | Fully Met | 3.57 | 3.57 | https://www.iiser-mohali.ac.in/home/uncategorised/rti | Not Met | 0 | Not Disclosed |
| 4.5.2 | Details of applications received under RTI and information provided | Fully Met | 3.57 | 3.57 | https://www.iiser-mohali.ac.in/home/uncategorised/rti | Partially Met | 1.79 | http://14.139.227.202/tenders/tenderinvite/index.php/rti-applications/ Link provides only details of 2016 Needs to be updated |
| 4.5.3 | List of completed schemes/ projects/ Programmes | Fully Met | 3.57 | 3.57 | https://www.iiser-mohali.ac.in/annual-reports/about-iiserm/annual-reports | Fully Met | 3.57 | Provided at Annual Report at page 128 available at https://www.iiser-mohali.ac.in/annual-reports/about-iiserm/a |

| Sr. No | Details of disclosure | Category | Marks | Obtained Mark | Remarks | Auditor Category | Auditor Marks | Auditor Remarks/URL |
|------------|--|----------------|-------|---------------|---|------------------|---------------|---|
| 4.5.4 | List of schemes/ projects/ programme underway | Not Applicable | 0 | 0 | empty | Fully Met | 3.57 | nnual-reports Provided at Annual Report at page 128 available at https://www.iisermohali.ac.in/annual-reports/about-iiserm/annual-reports |
| 4.5.5 | Details of all contracts entered into including name of the contractor, amount of contract and period of completion of contract | Not Met | 3.57 | 0 | empty | Not Met | 0 | Needs to be disclosed |
| 4.5.6 | Annual Report | Fully Met | 3.57 | 3.57 | https://www.iisermohali.ac.in/annual-reports/about-iiserm/annual-reports | Fully Met | 3.57 | https://www.iisermohali.ac.in/annual-reports/about-iiserm/annual-reports |
| 4.5.7 | Frequently Asked Question (FAQs) | Not Met | 3.57 | 0 | empty | Not Met | 0 | Needs to be disclosed |
| 4.5.8 | Any other information such as - (a) Citizen's Charter, (b) Result Framework Document (RFD), (c) Six monthly reports on the , (d) Performance against the benchmarks set in the Citizen's Charter | Not Applicable | 0 | 0 | empty | Not Met | 0 | Not Disclosed |
| 4.6 | Receipt & Disposal of RTI applications & appeals [F.No 1/6/2011-IR dt. 15.04.2013] | | | | | | | |
| 4.6.1 | Details of applications received and disposed | Fully Met | 14.29 | 14.29 | The detailed information will be uploaded on the website of | Not Met | 0 | Not Disclosed |

| Sr. No | Details of disclosure | Category | Marks | Obtained Mark | Remarks | Auditor Category | Auditor Marks | Auditor Remarks/URL |
|--------------|---|---------------|------------|---------------|---|------------------|---------------|---|
| | | | | | IISER Mohali very soon. | | | |
| 4.6.2 | Details of appeals received and orders issued | Fully Met | 14.29 | 14.29 | The detailed information will be uploaded on the website of IISER Mohali very soon. | Not Met | 0 | Not Disclosed |
| 4.7 | Replies to questions asked in the parliament[Section 4(1)(d)(2)] | | | | | | | |
| 4.7.1 | Details of questions asked and replies given | Fully Met | 28.57 | 28.57 | The detailed information will be uploaded on the website of IISER Mohali very soon. | Not Met | 0 | Not Disclosed |
| Total | | | 193 | 164 | | | 55 | |
| 5 | Information as may be prescribed | | | | | | | |
| 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] | | | | | | | |
| 5.1.1 | Name & details of - (a) Current CPIOs & FAAs, (b) Earlier CPIO & FAAs from 1.1.2015 | Partially Met | 20 | 10.00 | https://www.iisermohali.ac.in/home/uncategorised/rti | Partially Met | 10.00 | https://www.iisermohali.ac.in/files/pdf/rti/RTIACTSection41b.pdf Earlier details not provided. |
| 5.1.2 | Details of third party audit of voluntary disclosure | Not Met | 20 | 0 | empty | Not Met | 0 | Not Disclosed |

| Sr. No | Details of disclosure | Category | Marks | Obtained Mark | Remarks | Auditor Category | Auditor Marks | Auditor Remarks/URL |
|--------------|--|---------------|------------|---------------|--|------------------|---------------|---|
| | -(a) Dates of audit carried out , (b) Report of the audit carried out | | | | | | | |
| 5.1.3 | 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 | 20 | 20.00 | www.iisermohali.ac.in | Not Met | 0 | Not Disclosed |
| 5.1.4 | Consultancy committee of key stake holders for advice on suo-motu disclosure - (a) Dates from which constituted, (b) Name & Designation of the officers | Fully Met | 20 | 20.00 | https://www.iisermohali.ac.in/technology-business-incubator/research/technology-business-incubator | Not Met | 0 | Not Disclosed |
| 5.1.5 | 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 | Not Met | 20 | 0 | empty | Not Met | 0 | Not Disclosed |
| Total | | | 100 | 50 | | | 10 | |
| 6 | Information Disclosed on own Initiative | | | | | | | |
| 6.1 | Item / information disclosed so that public have minimum resort to use of RTI Act to obtain information | | | | | | | |
| 6.1.1 | Item / information disclosed so that public have minimum resort to use of RTI Act to obtain information | Partially Met | 25 | 12.50 | www.iisermohali.ac.in | Partially Met | 12.50 | https://www.iisermohali.ac.in/files/pdf/rTI/RTI ACTSection41b.pdf Most of the information still needs to be uploaded. |
| 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 | | | | | | | |

| Sr. No | Details of disclosure | Category | Marks | Obtained Mark | Remarks | Auditor Category | Auditor Marks | Auditor Remarks/URL |
|--------------------|---|----------------|------------|---------------|---------|------------------|---------------|---------------------|
| | Personnel, Publ | | | | | | | |
| 6.2.1 | Whether STQC certification obtained and its validity | Not Applicable | 0 | 0 | empty | Not Met | 0 | Not disclosed |
| 6.2.2 | Does the website show the certificate on the Website? | Not Applicable | 0 | 0 | empty | Not Met | 0 | No |
| Total | | | 25 | 13 | | | 13 | |
| Grand Total | | | 691 | 572 | | | | 220 |