

Institute of Nano Science and Technology, Mohali

RTI MANUAL (Updated on 06.09.2023)

Sr. No	Details of disclosure	Reference	Remarks
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 : https://inst.ac.in	Institute of Nano Science and Technology, Knowledge City, Sector-81, SAS Nagar, Mohali-140306, Punjab
1.1.2	Head of the organization	Fully Met : https://inst.ac.in/director	Prof. Amitava Patra, Director, INST, Mohali
1.1.3	Vision, Mission and Key objectives	Fully Met : https://inst.ac.in/vision-mission	Annexure-I
1.1.4	Function and duties	Fully Met : Page No. 30-31 of Compendium of Rules https://inst.ac.in/rti	Link available at https://inst.ac.in/rti
1.1.5	Organization Chart	Fully Met : as per Page No. 52 of Compendium of Rules https://inst.ac.in/rti	Annexure-II
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 : https://inst.ac.in	Annexure-III
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 : Powers of Chairperson, BoG; Director, INST as contained in INST Bye Laws, Rules & Regulations. https://inst.ac.in/rti Financial powers as contained in DST OM No.AI/5/2/2021 dated 23.03.2021 https://inst.ac.in/rti	Link available at https://inst.ac.in/rti
1.2.2	Power and duties of other employees	Fully Met : Page No. 30-31 of Compendium of Rules https://inst.ac.in/rti	As per staff rules of INST, scientific and administrative staff placed in separate categories
1.2.3	Rules/ orders under which powers and duty are derived and	Fully Met : Page No. 30-31 of Compendium of Rules https://inst.ac.in/rti	Link available at https://inst.ac.in/rti
1.2.4	Exercised	Fully Met : Page No. 30-31 of Compendium of Rules https://inst.ac.in/rti	Link available at https://inst.ac.in/rti
1.2.5	Work allocation	Fully Met : Page No. 30-31 of Compendium of Rules https://inst.ac.in/rti	As per staff rules of INST, scientific and administrative staff placed in separate categories

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	Fully Met : Contained in Bye-Laws, Rules & Regulations, Staff Rules of INST https://inst.ac.in/rti	The Board of Governors is the highest executive body of INST and carries out the objectives of INST as set forth in its Memorandum of Association. Director acts as Head of the Department
1.3.2	Final decision making authority	Fully Met : Contained in Bye-Laws, Rules & Regulations, Staff Rules of INST https://inst.ac.in/rti	The Board of Governors is the highest executive body of INST and carries out the objectives of INST as set forth in its Memorandum of Association. Director acts as Head of the Department
1.3.3	Related provisions, acts, rules etc.	Fully Met : Contained in Bye-Laws, Rules & Regulations, Staff Rules of INST https://inst.ac.in/rti	Link available at https://inst.ac.in/rti
1.3.4	Time limit for taking a decisions, if any	Met	Routine matters decision is made in time bound manner
1.3.5	Channel of supervision and accountability	Fully Met : Contained in Bye-Laws, Rules & Regulations, Staff Rules of INST https://inst.ac.in/rti	As per staff rules of INST, scientific and administrative staff placed in separate categories. Every employee is accountable for duties being performed.
1.4	Norms for discharge of functions[Section 4(1)(b)(iv)]		
1.4.1	Nature of functions/ services offered	Fully Met : https://inst.ac.in/central-instrument-facility - Internship programmes offered has been provided at https://inst.ac.in/internship-programme	Link available at https://inst.ac.in
1.4.2	Norms/ standards for functions/ service delivery	Fully Met : https://inst.ac.in/central-instrument-facility	Link available at https://inst.ac.in
1.4.3	Process by which these services can be accessed	Fully Met : https://inst.ac.in/central-instrument-facility and https://inst.ac.in/internship-programme	Link available at https://inst.ac.in
1.4.4	Time-limit for achieving the targets	Met	As per MoU signed with DST, Gol
1.4.5	Process of redress of grievances	Fully Met : https://inst.ac.in/internal-forms-downloads	Link available at https://inst.ac.in
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 : Contained in Bye-Laws, Rules & Regulations, Staff Rules of INST https://inst.ac.in/rti	Link of RTI Manual available at https://inst.ac.in/rti
1.5.2	List of Rules, regulations, instructions manuals and records.	Fully Met : Contained in Bye-Laws, Rules & Regulations, Staff Rules of INST https://inst.ac.in/rti	Link available at https://inst.ac.in/rti

1.5.3	Acts/ Rules manuals etc.	Fully Met : Contained in Bye-Laws, Rules & Regulations, Staff Rules of INST https://inst.ac.in/rti	Link available at https://inst.ac.in/rti
1.5.4	Transfer policy and transfer orders	Not Applicable	INST being a standalone research based institute and does not have any transfer policy. There was no transfer in the last year.
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 : Compendium of Rules https://inst.ac.in/rti	RTI Manual, Rules & Regulations, Bye-law and other documents available at https://inst.ac.in/rti
1.6.2	Custodian of documents/categories	Fully Met : Page No. 30-31 of Compendium of Rules https://inst.ac.in/rti	Each section incharge is the custodian of documents of its section.
1.7	Boards, Councils, Committees and other Bodies constituted as part of the Public Authority [Section 4(1)(b)(viii)]		
1.7.1	Name of Boards, Council, Committee etc.	Fully Met : Page No. 12 of Compendium of Rules https://inst.ac.in/rti	Link available at https://inst.ac.in/rti
1.7.2	Composition	Fully Met : Page No. 13, 19 of Compendium of Rules https://inst.ac.in/rti	Link available at https://inst.ac.in/rti
1.7.3	Dates from which constituted	Fully Met : https://inst.ac.in/bog ; https://inst.ac.in/raac	Link available at https://inst.ac.in/bog ; https://inst.ac.in/raac
1.7.4	Term/ Tenure	Fully Met : Page No. 13, 20 of Compendium of Rules https://inst.ac.in/rti	Link available at https://inst.ac.in/rti
1.7.5	Powers and functions	Fully Met : Contained in Bye-Page 14, 19 of Bye-Laws of INST https://inst.ac.in/rti	Link available at https://inst.ac.in/rti
1.7.6	Whether their meetings are open to the public?	Fully Met : Not open to public	Not open to public
1.7.7	Whether the minutes of the meetings are open to the public?	Fully Met : Not open to public	Not open to public
1.7.8	Place where the minutes if open to the public are available?	Not Applicable	Not Applicable
1.8	Directory of officers and employees[Section 4(1) (b) (ix)]		
1.8.1	Name and designation	Fully Met : Available in RTI Manual of INST at https://inst.ac.in/rti	Annexure-IV
1.8.2	Telephone , fax and email ID	Fully Met : Available in RTI Manual of INST at https://inst.ac.in/rti	Annexure-IV
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 : https://inst.ac.in/rti	Link available at https://inst.ac.in/rti
1.9.2	System of compensation as provided in its regulations	Fully Met : Page 52 of Compendium of Rules https://inst.ac.in/rti	As per staff 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 officer (PIO), Assistant Public Information officer (APIO) & Appellate Authority	Fully Met : https://inst.ac.in/rti	Link available at https://inst.ac.in/rti

1.10.2	Address, telephone numbers and email ID of each designated official.	Fully Met : https://inst.ac.in/rti	Link available at https://inst.ac.in/rti
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	Fully Met : Nil	There is no pending disciplinary proceedings against any employee of the Institute
1.11.2	(ii) Finalised for Minor penalty or major penalty proceedings	Not Applicable	There is no pending disciplinary proceedings against any employee of the Institute
1.12	Programmes to advance understanding of RTI(Section 26)		
1.12.1	Educational programmes	Not Met	Being prepared
1.12.2	Efforts to encourage public authority to participate in these programmes	Not Met	Being prepared
1.12.3	Training of CPIO/APIO	Met	CPIO attended annual meeting of CPIOs held by CIC at New Delhi
1.12.4	Update & publish guidelines on RTI by the Public Authorities concerned	Fully Met : https://inst.ac.in/rti	Link available at https://inst.ac.in/rti
1.13	Transfer policy and transfer orders[F No. 1/6/2011- IR dt. 15.4.2013]		
1.13.1	Transfer Policy And Transfer Orders[F No. 1/6/2011- IR Dt. 15.4.2013]	Not Applicable	INST being a standalone research based institute and does not have any transfer policy. There was no transfer in the last year.
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 : As contained in Annual Accounts contained in Annual Reports https://inst.ac.in/annual-reports	Total Budget 2023-24 <u>As proposed by INST</u> - Capital : Rs. 13.00 crores - Salary : Rs. 13.47 crores - General: Rs. 18.95 crores Total : Rs. 45.42 crores <u>As sanctioned by DST</u> - Capital : Rs. 6.98 crores - Salary : Rs. 14.53 crores - General: Rs. 11.36 crores Total : Rs. 32.87 crores
2.1.2	Budget for each agency and plan & programmes	Met	
2.1.3	Proposed expenditures	Met	
2.1.4	Revised budget for each agency, if any	Met	
2.1.5	Report on disbursements made and place where the related reports are available	Met	
2.2	Foreign and domestic tours(F.No. 1/8/2012- IR dt. 11.9.2012)		
2.2.1	Budget	Met	No specific budget allocated for foreign tours exists for INST. Matters considered on case to case basis as per DST instructions.
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	Being prepared
2.2.3	Information related to procurements-(a) Notice/tender enquires, and corrigenda if any thereon, (b) Details of the bids awarded comprising the	Fully Met : https://inst.ac.in/tenders	Link available at https://inst.ac.in/tenders

	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.		
2.3	Manner of execution of subsidy programme [Section 4(i)(b)(xii)]		
2.3.1	Name of the programme of activity	Not Applicable	
2.3.2	Objective of the programme	Not Applicable	
2.3.3	Procedure to avail benefits	Not Applicable	
2.3.4	Duration of the programme/ scheme	Not Applicable	
2.3.5	Physical and financial targets of the programme	Not Applicable	
2.3.6	Nature/ scale of subsidy /amount allotted	Not Applicable	
2.3.7	Eligibility criteria for grant of subsidy	Not Applicable	
2.3.8	Details of beneficiaries of subsidy programme (number, profile etc)	Not Applicable	
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	Not Applicable	
2.4.2	Annual accounts of all legal entities who are provided grants by public authorities	Not Applicable	
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	
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	
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.	Fully Met	Annexure-V
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	
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	Not Applicable	

	(IFC) to provide publications frequently sought by RTI applicants		
3.1.3	Public- private partnerships (PPP)- Details of Special Purpose Vehicle (SPV), if any	Not Applicable	
3.1.4	Public- private partnerships (PPP)- Detailed project reports (DPRs)	Not Applicable	
3.1.5	Public- private partnerships (PPP)- Concession agreements.	Not Applicable	
3.1.6	Public- private partnerships (PPP)- Operation and maintenance manuals	Not Applicable	
3.1.7	Public- private partnerships (PPP) - Other documents generated as part of the implementation of the PPP	Not Applicable	
3.1.8	Public- private partnerships (PPP) - Information relating to fees, tolls, or the other kinds of revenues that may be collected under authorisation from the government	Not Applicable	
3.1.9	Public- private partnerships (PPP) - Information relating to outputs and outcomes	Not Applicable	
3.1.10	Public- private partnerships (PPP) - The process of the selection of the private sector party (concessionaire etc.)	Not Applicable	
3.1.11	Public- private partnerships (PPP) - All payment made under the PPP project	Not Applicable	
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	Met	Yes, details about rules & regulations, bye-laws, staff rules etc. of INST are available on link at https://inst.ac.in/rti
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	Met	Yes, details about rules & regulations, bye-laws, staff rules etc. of INST are available on link at https://inst.ac.in/rti
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	Met	Yes, details about rules & regulations, bye-laws, staff rules etc. of INST are available on link at https://inst.ac.in/rti
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 : https://inst.ac.in	https://inst.ac.in
3.4	Form of accessibility of information manual/ handbook[Section 4(1)(b)]		
3.4.1	Information manual/handbook available in Electronic format	Fully Met : Compendium of Rules https://inst.ac.in/rti	Yes, details about rules & regulations, bye-laws, staff rules etc. of INST are available on link at https://inst.ac.in/rti
3.4.2	Information manual/handbook available in Printed format	Fully Met : Compendium of Rules https://inst.ac.in/rti	Yes, it is available with CPIO (RTI), at INST, Mohali
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	Met	INST Rules & Regulations, Bye-laws, Staff Rules etc is available on link at https://inst.ac.in/rti
3.5.2	List of materials available At a reasonable cost of the medium	Met	Certified copies of material available on link at https://inst.ac.in/rti can be obtained from CPIO after paying reasonable rates as per RTI Act
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 : Compendium of Rules https://inst.ac.in/rti	Link available at https://inst.ac.in/rti
4.1.2	Vernacular/ Local Language	Not Met	RTI Manual in Hindi language is in process
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	Met	Last updation of RTI Manual available on link at https://inst.ac.in/rti is made on 06.09.2023
4.3	Information available in electronic form[Section 4(1)(b)(xiv)]		
4.3.1	Details of information available in electronic form	Fully Met : https://inst.ac.in/rti	Link available at https://inst.ac.in/rti
4.3.2	Name/ title of the document/record/ other information	Fully Met : available at https://inst.ac.in/rti	RTI Act, RTI Manual, FAQs, Rules & Regulations, Bye-law, Staff Rules etc. available on link at https://inst.ac.in/rti
4.3.3	Location where available	Fully Met : available at https://inst.ac.in/rti	Link available at https://inst.ac.in/rti
4.4	Particulars of facilities available to citizen for obtaining information[Section 4(1)(b)(xv)]		
4.4.1	Name & location of the facility	Not Applicable	Information relating to RTI available on website at https://inst.ac.in/rti and same can be accessed through writing to CPIO, INST, Mohali
4.4.2	Details of information made available	Not Applicable	As per RTI Act
4.4.3	Working hours of the facility	Not Applicable	09:00 A.M. to 05:30 P.M. on working days
4.4.4	Contact person & contact details (Phone, fax email)	Not Applicable	CPIO, INST, Mohali (Email: cfao@inst.ac.in , Ph: 0172-2297000)
4.5	Such other information as may be prescribed under Section 4(i) (b)(xvii)		
4.5.1	Grievance redressal mechanism	Fully Met : https://inst.ac.in/internal-form	Link available at https://inst.ac.in/internal-form
4.5.2	Details of applications received under RTI and information provided	Not Met	In process
4.5.3	List of completed schemes/ projects/ Programmes	Fully Met : Available at Page 101 of Annual Report 2021-22 https://inst.ac.in/annual-reports	Link available at https://inst.ac.in/annual-reports
4.5.4	List of schemes/ projects/ programme underway	Fully Met : https://inst.ac.in/annual-reports	Link available at https://inst.ac.in/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	In process
4.5.6	Annual Report	Fully Met : https://inst.ac.in/annual-reports	Link available at https://inst.ac.in/annual-reports
4.5.7	Frequently Asked Question (FAQs)	Met	Annexure-VI

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	In process
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	Met	Annexure-VII
4.6.2	Details of appeals received and orders issued	Met	Annexure-VII
4.7	Replies to questions asked in the parliament[Section 4(1)(d)(2)]		
4.7.1	Details of questions asked and replies given	Not Met	In process
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 : https://inst.ac.in/rti	Annexure-VIII
5.1.2	Details of third party audit of voluntary disclosure -(a) Dates of audit carried out , (b) Report of the audit carried out	Not Met	Being carried out for 2022-23
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	Not Met	In process
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	Not Met	In process
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	In process
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	Fully Met : https://inst.ac.in/rti	Details available on link at https://inst.ac.in/rti
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		
6.2.1	Whether STQC certification obtained and its validity	Not Met	
6.2.2	Does the website show the certificate on the Website?	Not Met	

Vision:

To emerge as a globally competitive India's foremost research institution in Nano Science and Technology and to contribute to the society through applications of nanoscience and nanotechnology in the field of agriculture, medicine, energy and environment.

Mission:

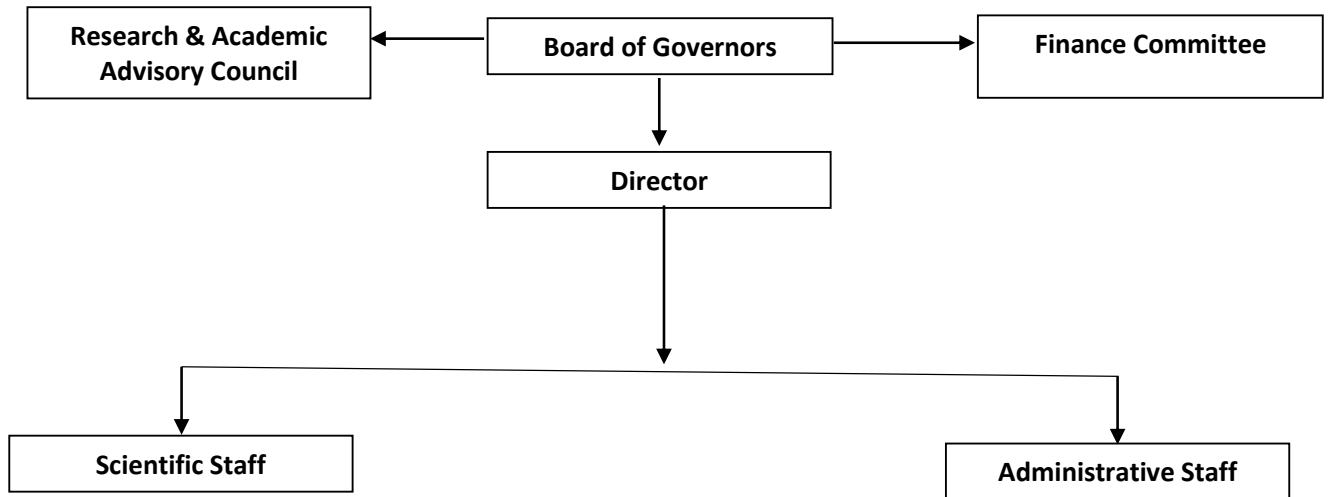
To be a world class research institution by carrying out cutting-edge research through outstanding scientists from different branches of science and engineering, encouraging them to carry out their individual scientific research to be published in the best journals along with their mandate to jointly work on interdisciplinary projects to develop devices/technologies based on nano science and technology. To encourage all aspects of nanoscience and nanotechnology with major thrust on the following areas: agricultural nano technology, sensors, medical nanotechnology, nanotechnology based solutions for energy and environment. The ultimate goal is to make a difference to society through nanoscience and technology

Objectives:

- To advance knowledge and educate young minds in nano science and technology that will best serve the nation.
- Encouraging innovative and challenging technology/product based scientific projects. CORE OBJECTIVES
- Boosting translational research (from laboratory to industry) and foster interactions with industry
- Sensitizing public and media about the advantages and safeguards in Nano Science and Technology
- Impart advanced training courses and laboratory techniques of nanotechnology at the highest level.

ORGANIZATIONAL CHART OF INST, MOHALI

(As per Rules & Regulations/Bye-laws/Staff Rules of INST, Mohali)



Details of Directors

Name of Director	Dates		
	From	To	
Prof. Ashok Kumar Ganguli	03.01.2013	02.01.2018	
Prof. Hirendra Nath Ghosh	02.01.2018	11.03.2020	Officiating Director additional charge
Prof. Amitava Patra	11.03.2020	Present	

Programs and Activities:

To achieve its stated objectives, the institute undertakes the following spectrum of activities:

- Research and Development

DIRECTORY (as on 06.09.2023)

S.#	Name	Designation	Email ID ([at]inst[dot]ac[dot]in)	Phone No.
1	Prof. Amitava Patra	Director	director	0172-2297001
2	Dr. Akash Deep	Scientist – G	akashdeep	0172-2297054
3	Dr. Deepa Ghosh	Scientist – F	deepa.ghosh	0172-2297032
4	Dr. Abir De Sarkar	Scientist – F	abir	0172-2297049
5	Dr. Surajit Karmakar	Scientist – F	surajit	0172-2297041
6	Dr. Kamalakannan Kailasam	Scientist – F	kamal	0172-2297046
7	Dr. Prakash Pandisala Neelakandan	Scientist – F	ppn	0172-2297051
8	Dr. Asish Pal	Scientist – F	apal	0172-2297026
9	Dr. Md. Ehesan Ali	Scientist – F	ehesan.ali	0172-2297050
10	Dr. Indranil Sarkar	Scientist – F	indranil.sarkar	0172-2297038
11	Dr. Debabrata Patra	Scientist – F	patra	0172-2297053
12	Dr. Suvankar Chakraverty	Scientist – F	suvankar.chakraverty	0172-2297040
13	Dr. Sharmistha Sinha	Scientist – F	sinhas	0172-2297029
14	Dr. Dipankar Mandal	Scientist – E	dmandal	0172-2297035
15	Dr. Kaushik Ghosh	Scientist – E	kaushik	0172-2297042
16	Dr. Jayamurugan Govindasamy	Scientist – E	jayamurugan	0172-2297048
17	Dr. Rahul Kumar Verma	Scientist – E	rahulverma	0172-2297031
18	Dr. Sangita Roy	Scientist – E	sangita	0172-2297044
19	Dr. Kiran Shankar Hazra	Scientist – E	kiran	0172-2297024
20	Dr. P.S. Vijayakumar	Scientist – E	psvijayakumar	0172-2297033
21	Dr. Tapasi Sen	Scientist – E	tapasi	0172-2297043
22	Dr. Sonalika Vaidya	Scientist – E	svaidya	0172-2297047
23	Dr. Jiban Jyoti Panda	Scientist – E	jyoti	0172-2297023
24	Dr. Chandan Bera	Scientist - D	chandan	0172-2297052
25	Dr. Vivek Bagchi	Scientist - D	bagchiv	0172-2297045
26	Dr. Menaka Jha	Scientist - D	menaka	0172-2297018
27	Shri Mukesh Raja	Scientist - D	mukeshraja	0172-2297025
28	Dr. Bhanu Prakash	Scientist - D	bhanup	0172-2297021
29	Dr. Manish Singh	Scientist - D	manish	0172-2297020
30	Dr. Asifkhan Shanavas	Scientist - D	asifkhan	0172-2297019
31	Dr. Monika Singh	Scientist - D	monika	0172-2297036
32	Dr. Subhasree Roy Choudhury	Scientist - D	subhasreerc	0172-2297027
33	Dr. Deepika Sharma	Scientist - D	deepika	0172-2297039
34	Dr. Sanyasinaidu Boddu	Scientist - D	sanyasinaidu	0172-2297037
35	Dr. Rehan Khan	Scientist - D	rehankhan	0172-2297030
36	Dr. Ramendra Sundar Dey	Scientist - D	rsdey	0172-2297034
37	Dr. Shyam Lal M	Scientist - D	shyamlal	0172-2297028
38	Dr. Aviru Kumar Basu	Scientist - C	aviru.basu	0172-2297067
39	Dr. Amit Kumar Mondal	Scientist - B	amit	0172-2297064
40	Shri Nimesh Kaushik	Chief Fin. & Admn. Officer	cfao	0172-2297003
41	Smt. Vibha Mehta	Finance Officer	fo	0172-2297005
42	Smt. Sweta Belwal	Stenographer	shweta	0172-2297002
43	Shri Rajpreet Singh	Stenographer	rajpreet	0172-2297007

Inspection Report on the accounts of Institute of Nano Science and Technology, S A S Nagar, Mohali for the period 2015-16 to 2020-21

Part-1

(a) Introduction

General

Name of the Head of the Department	Prof. Ashutosh Sharma
Name of Head of the unit/Institute	Dr. A. K. Ganguli (up to 02.01.2018) Dr. H. N. Ghosh (03.01.2018 to 10.03.2020) Dr. Amitava Patra (11.03.2020)
Name of Head of Finance and Administration	Sh. U C Prasad (13.07.2015 to 19.07.2019) Sh. Nimesh Kaushik (from 15.01.2021)
Name of Finance Officer	Ms Vibha Mehta (from 01.08.2016)
Name of the Group officer	Ms Stefi Sofi
Name of Sr. Audit Officer (Local Audit Party)	Sh. S. S. Rathee
Name of Asstt. Audit Officer	Sh. Md Majid Ali Ansari (05 working days) 02/12/2021 & 03/12/2021 and 13/12/2021 to 15/12/2021).
Name of Asstt. Audit Officer	Shri Himanshu Rajora (Probationer)
Period covered by audit	2015-16 to 2020-21
Dates of Audit	02.12.2021 to 15.12.2021 (10 working days)
Scope of Audit	Section 14 of DPC Act

1. Brief profile of the unit

Institute of Nano Science and Technology (INST), Mohali, Punjab

Institute of Nano Science and Technology (INST), Mohali (Punjab), an autonomous institution of the Department of Science and Technology (DST), Government of India, has been established under the umbrella of NANO MISSION, initiated by DST to boost research and development in the field of Nanoscience and Nanotechnology in India. INST started its activities on 3rd January 2013 from its transit campus at Mohali, Punjab. In the December of 2020, the institute shifted to its state-of-the-art new campus sprawling over 35 acres of land, at Knowledge City, Sector-81 (Mohali, Punjab). Research activities at INST encompass physics, chemistry, biology, and interdisciplinary sciences addressing problems in the field of energy, environment, quantum materials, nano-devices, and chemical biology. Institute has set a unique mission to work at the forefront of fundamental science together with the development of technologies to address problems of national and global priorities.

INST brings together biologists, chemists, physicists, materials scientists and engineers having interest in nanoscience and technology. INST scientists, having strengths in basic science together with more application oriented mind from different backgrounds, work together by joining hands as a cohesive unit, under a congenial work environment, on a common platform apart from carrying out their individual research. The aim is to generate processes, technologies and devices directed towards national priorities especially in sectors like Agriculture, defence, healthcare, energy, environment and water.

(a) Brief of activities

The data/information in respect of the projects i.e. ongoing sanctioned, completed, discontinued, kept abeyance and carried forward to the next year is as under:

Year	Opening balance	Undertaken	Total	Completed	Abandoned	Closing balance
2015-16	08	12	20	-	01	19
2016-17	19	18	37	02	-	35
2017-18	35	20	55	03	-	52
2018-19	52	08	60	08	02	50
2019-20	50	14	64	16	04	44
2020-21	44	04	50	11	-	39

(b) Year-wise number of project wherein time over-run and cost over-run was there

Information not furnished.

(c) Year-wise technologies developed, commercialized

No Technology has been developed, transferred and commercialized by INST during 2015-21.

(d) Year-wise details of royalty/premia due and received - **NIL**

(e) Year-wise details of research paper published-

Year	Number of scientific staff in position	Number of SRPs published in		Total	IF of journals in which SRPs published			
		Indian journals	Foreign journals		IJs		FJs	
					Min. IF	Max. IF	Min. IF	Max. IF
2015-16	34	3	30	33	0.87	4.569	1.458	36.50
2016-17	37	2	34	36	--	0.97	1.491	13.9
2017-18	37	1	76	77	--	0.52	0.968	11.33
2018-19	36	-	87	87	--	--	1.151	13.246
2019-20	37	-	104	104	--	--	1.46	38.53
2020-21	39	-	180	180	--	--	0.4	16.6

(f) Year-wise details of patents filed and granted

Year	No. of patent filed	No. of patent granted
2015-16	INST has processed 31 number of patent application through Patent Facilitation Centre of DST (TIFAC) i.e., Punjab State Council of Science and Technology (PSCST), Govt. of Punjab.	During 2015-21, one (01) patent has been granted on 8 th March 2021
2016-17		
2017-18		
2018-19		
2019-20		
2020-21		

(g) Year-wise details of major procurements costing Rs.50.00 lakh and more- **39**

(i) Budget allocation and Expenditure during 2015-21 was as under:

(Rs. In Lakh)

Year	Budget		Expenditure	
	Capital	Revenue	Capital	Revenue
2015-16	1100	1250	363.82	870.46
2016-17	8150	1610	277.18	1138.60
2017-18	11550	1972	2411.31	1639.86
2018-19	14350	2106	6216.84	1703.95
2019-20	13576	2365	11582.23	1967.57
2020-21	6888.90	2330.50	2877.87	2308.34

(ii) Manpower :

The position of Sanctioned Strength (SS) and Men-in-position (MIP) of Scientific, Technical and Administrative Staff of INST as on 31st March, 2021 is as follows:

As on	31.03.2016		31.03.2017		31.03.2018		31.03.2019		31.03.2020		31.03.2021	
Category	SS	MIP	SS	MIP	SS	MIP	SS	MIP	SS	MIP	SS	MIP
Scientific	41	34	41	37	41	37	41	36	41	37	41	39
Technical	-	-	-	-	-	-	-	-	-	-	-	-
Administrative	04	03	04	04	04	04	04	04	04	03	04	04
Supporting	-	-	-	-	-	-	-	-	-	-	-	-
Total	45	37	45	41	45	41	45	40	45	40	45	43

Outstanding/meritorious achievements of the Institute of Nano Science and Technology

NIL

The position of old outstanding AIR/Paras and of unsettled AIR is as below:

S. No.	Reference of AIRs & Date of Issue	No. of paras outstanding	Whether 1 st reply received	No. of paras not to be pursued from old AIRs			AIR/No. of paras remaining outstanding	
				No. of paras settled at Head-quarters	No. of paras verified & recommended for settlement in local audit	Para No. incorporated in		
						Current AIR	Current TAN	
1	Upto March 2015 (1 st IR)	14	Yes	12	2	Para No 2 has been attempted afresh on construction of Campus	NIL	

Table 2

Brief of Audit paras outstanding

Sr. No.	Year of IR	Para No.	Brief particular of paras	Observations/Reasons
NIL				

Table 3**Brief of Audit paras settled**

Sr. No.	Reference of IR with date of issue	Para No.	Brief particular of Paras	Mode of settlement
01	Upto 2015 (1st IR)	01 (Part II A)	Un-authorized retention of govt. grant	The grant was utilised by the INST at the end of 31 st March 2015 and only an amount of Rs. 2.48 crore was unspent as of 31.03.2015.
02	-do-	02 (Part II B)	Delay in development of campus of INST	Fresh para on construction of Campus of INST has been attempted and incorporated in the current DIR.

Part-I (C)**Acknowledgement**

The position of maintenance of records in Institute of Nano Science and Technology is satisfactory.

PART I (d)**Persistent Irregularities:**

-NIL-

Current Audit

Part-II (A)

Para No: 01 Construction of Campus of Institute of Nano Science & Technology – awarding of work in contravention of GFRs which had resulted into inordinate delay in development of campus with undue litigation/ arbitration besides, execution of sub-standard work and cost over- run of Rs. 30.20 crore- Audit Memo No: 42

General Financial Rule 126 (4) of 2005 stipulates that all original works estimated to cost above Rupees ten Lakhs and repair works estimated to cost above Rupees thirty Lakhs may be got executed through a Public Works Organisations as defined in Rule 126(2) after consultation with the Ministry of Urban Development. Further, General Financial Rule 133 (3) of 2017 also provides that as an alternative to 133(2), a Ministry or Department may award repair works estimated to cost above Rupees thirty Lakhs and original works of any value to: (i) any Public Sector Undertaking set up by the Central or State Government to carry out civil or electrical works or (ii) to any other Central/ State Government organisation /PSU which may be notified by the Ministry of Urban Development (MoUD) for such purpose after evaluating their financial strength and technical competence. For the award of work under this sub-rule, the Ministry/ Department shall ensure competition among such PSUs/ Organisations. INST in contravention of GFRs awarded the construction work of its campus to a private firm M/s SAM (India) Builtwell Pvt. Ltd, New Delhi.

Delay in finalization of Master Plan/DPR, undue litigation and extra quantities

INST initiated the process for construction of its campus in June 2013. M/s Sikka associates Architectural firm New Delhi was appointed (August 2014) for preparation of Master Plan of campus including landscape and architecture, structural design, MEP and interior design etc. The firm prepared and submitted the detailed project report/master plan of INST, Mohali campus in January 2015 with a total outlay of Rs. 188.57 crore including fee of architect, PMC, other cess and fees of statutory bodies. DST in March 2016 accorded the approval for development of campus including construction of building of INST at a total cost of Rs. 216.76 crore (Rs 198.08 crore excluding consultancy and cess/ contingencies).

INST in March 2017 invited open tenders for construction and development of INST campus including Administration & Research block, auditorium, residential blocks, guest house, Director residence, hostels and animal house at Mohali, five number of firms participated in the tender, out of five, four firms technically qualified and their financial bids were opened by INST on 01st May 2017 except M/s. Deepak Builders, Ludhiana and the work was awarded to M/s. Sam (India) Builtwell Pvt. Ltd. (Rs.150.78 crore) being the first lowest agency on 09th May 2017. Meanwhile, M/s. Deepak Builders who was found technically ineligible, filed a Civil Writ Petition in Hon'ble Punjab & Haryana High Court, Chandigarh. As per the decision of the Hon'ble court, the work was awarded (20.08.2017) to M/s Deepak Builders (Rs. 146.65 crore) against which M/s. Sam (India) Builtwell Pvt. Ltd. filed Special Leave Petition (SLP) before Hon'ble Supreme Court of India (24 August 2017) on the basis of judgement dated 14th December 2017 in favour of M/s Sam (India) Builtwell Pvt. Ltd. and work was awarded to M/s Sam (I) Builtwell Pvt. Ltd. (18.12.2017) at 9.6% below the estimated cost put to tender i.e. Rs. 146.65 crore with fresh acceptance of tender (18.12.2017) and date of commencement of work as 02nd January 2018 and stipulated date of completion as 02nd November 2019. On initial award of work to M/s. Sam (I) Builtwell Pvt. Ltd. in May 2017, the agency deployed some technical staff which was not removed by the agency when the contract was not in existence (20.08.2017 to 18.12.2017). INST being the employer agency was also a respondent and paid Rs. 2.58 lakh as counsel fee.

The contractor commenced the work from January 2018, during execution of work, some deviations in quantities (steel, cement and wood work etc) took place which were not assessed and included in Detailed Estimates of works by the Architect Firm during preparation of the estimates, which are detailed below:

S. No.	Item Description	Amount (INR cr)	Remarks
1	Reinforcement Steel	10.00	Qty variation
2	Concrete	2.50	Qty variation
3	Shuttering	0.55	Qty variation
4	Misc. Civil & Finishing Items	1.30	Qty variation & Extra Items
5	Wood work (Frames)	1.36	Qty variation
6	Fire Fighting Pumps	0.33	NBC Changes
7	Water Curtain Pumps	0.10	NBC Changes
8	Water Curtain Headers & Nozzles	0.04	NBC Changes
9	Fire Fighting MS Pipes	0.33	Qty variation
10	Transformer	0.28	Specifications changes Level 1 to Level 2
11	Duct	0.20	NBC Changes
12	DWC Pipe	0.09	Qty variation
	Total	17.08	

It is pertinent to mention that the quantity of wood work estimated by Architect was 1 cubic meter and the bills have been paid for 50 cubic meters during execution of work (the revision of cost from initial Rs.0.85 lakh to Rs. 87.00 lakh). Thus, due to deviations which were not anticipated and non- inclusion of items in the estimates INST paid extra amount of Rs. 30.20 crore on market rate. Had these been included in the estimates the cost escalation on account of extra payment could have been saved.

INST has allotted the construction of campus work i.e Civil & Mechanical Electrical and Plumbing (MEP) at a total cost of Rs.146.65 crore and up to November 2021 INST has paid Rs. 176.85 crore against these works, therefore the excess expenditure of 30.20 crore has been made by INST and final bill of the firm has not been settled so far. Further, the work which was initially planned to be completed by November 2019 has been completed in phased manner from July 2020 to April 2021 as below:

A) Buildings		
(i)	ESS Block, Gate complex, Residential Building (officers):	June – July 2020
	Hostels	
(ii)	Director Residence, Laboratory Block	: October 2020
(iii)	Hub Block- Utility	: January 2021
(iv)	Guest House, Married Scholar Hostel, Staff Housing	: February 2021
	and Animal House	
(v)	Administrative Block	: March 2021
B) Services		
(i)	Firefighting, Lifts	: June-July 2020

(ii)	Main LT Panel, DG Set	:	Sept-Oct 2020
(iii)	Transformer, HT Panel	:	December 2020
(iv)	Lift in Laboratory Block, External – Sewer,	:	February 2021
	Storm, Garden Hydrant, Water Supply		
(v)	HVAC System, chiller, pumps, AHU, Fans	:	April 2021

As the defect liability period of some of the buildings / services has not been completed and all the defects have not been rectified by the contractor (November 2021).

The Architect appointed by INST has not incorporated the variations in quantity/extra items / deviations in the Detailed Estimates due to which the extra undue expenditure of Rs. 30.20 crore on extra items / deviations on market rates has been borne by INST, also, the PMC failed to scrutinize the Detailed Estimates prepared and submitted by Architect, besides, delay in completion of construction work more than one year from the stipulated date of completion. INST has paid an amount of Rs. 176.85 crore to the contractor upto November 2021.

Therefore, INST had paid extra excess amount of Rs.30.20 crore to the contractor w.r.t award value.

Arbitration- Extra avoidable claim of Rs. 5.52 crore

Further, during execution of work certain disputes have been arisen out of the said contract and INST constituted a Dispute Redressal Committee (DRC) in March 2019 for Redressal of disputes, the committee decided (September 2019) the issues in favour of INST. However, the contractor did not agree and took the matter for appointment of Arbitrator. The Arbitrator (Sh. Sushil Kumar Mittal) was appointed in December 2019, who could not publish the award and succumbed to corona in April 2021. Further, on request of the contractor, a new Arbitrator (Er. Rakesh Misra) was appointed (June 2021) who has published the award on 31st July 2021 in favour of the contractor amounting to Rs. 5.52 crore with 18 % interest which is extra and avoidable. This apart, INST has paid an amount of Rs. 8.27 lakh as arbitration fee.

INST in July 2021 has issued very good quality work and technical proficiency performance certificate to the contractor without getting the defects rectified and ongoing arbitration case.

Thus, due to awarding of work in contravention of GFRs (not to CPWD or other central PSUs on competitive basis) which had resulted into inordinate delay in development of campus and undue litigation/ arbitration, extra avoidable payment on account of Architect & PMC firms besides, execution of sub- standard work and cost over- run of Rs. 30.61 crore.

Absence of plan of repair

INST got constructed 31,333 Sqm area under academic & administrative block, hostel, residential, amenities block and utilities and shifted to the new campus in December 2020. Some of the buildings i.e., Residential Quarters, Animal House and Laboratories are lying un-occupied.

No system/criterion were prescribed for selection of building for repair and there was no annual/respective plan in-place to cover all buildings over a period of time. In absence of such conditions, some buildings may be come in-habitable for occupation

Part-II (B)

**Para No: 02 Appointment of Architect firm- Extra avoidable payment of Rs. 3.21 crore-
Audit Memo No: 40**

INST initiated the process for construction of its campus for which expression of interest – architect for preparation of Master Plan of campus including landscape and architecture, structural design, MEP and interior design etc. for INST was issued in June 2013. Five firms responded and submitted their models/designs. The models of two agencies namely M/s SIKKA Associates, New Delhi and M/S Suresh Goel and Associates were selected on the basis of highest scoring for opening of their financial bid on the basis of their submission presentation and requirement of INST. As per the financial bid, the offer of M/s Suresh Goel and Associates was @1.40 percent whereas M/s Sikka Associates submitted its bid @2.7 percent of the total work executed, however, the committee found M/s Sikka Associates Architectural firm having the highest ranking on the basis of Quality cum Cost Based Selection (QCBS). DST approved (June 2014) the M/s Sikka associated New Delhi with some observation on the building plan. Accordingly, the work was awarded to M/s Sikka Associates by INST in August 2014 for preparation of campus master plan, architectural and structural design, landscaping, Mechanical Electrical and Plumbing (MEP) services, interior design etc. @2.2 percent of the approved awarded cost or the actual cost of the project whichever would be the lowest which works out to Rs. 4.99 crore. The agreement was entered into in August 2014.

The scope of work comprised as per provisions contained in the Request For Proposal (RFP) document. As per RFP the scope of work broadly includes Preparation of Concepts/preliminary design and drawing, Structural designs, Mechanical, electrical HVAC, communication, networking design, Preliminary budget and /or estimates, Safety, Health and Environmental issues, Working drawings and tender document, Appointment of Contractors, Periodic supervision of constructions, Obtaining requisite approval from the concerned authorities with further detailed requirement therefore, as specified in the RFP. The time for whole job was 36 months from the date of award of work out of which 12 months were earmarked for planning and designing and 24 months for construction. The consultancy fee was to be paid in instalments.

Scrutiny of records revealed that M/s Sikka Associates prepared and submitted the master plan of INST, Mohali campus in January 2015. The draft detailed project report with outlay of Rs.188.57 crore was forwarded to DST. Also, INST submitted revised DPR in June 2015 to DST with clarification on preliminary cost estimate and by highlighting the special feature of building the cost was enhanced to Rs. 216.76 crore. DST in March 2016 accorded the approval for development of campus including construction of building of INST at a total cost of Rs. 216.76 crore.

Scrutiny of records revealed that INST has paid eleven (11) bills amounting to Rs. 3.21 crore to the architect firm during February 2015 to September 2019. The concepts/preliminary design and drawing/structural design and DPR were revised number of times. Further, all the requisite approval from the concerned authorities were included in the scope of work of the architect. However, the completion/occupation certificate of the building, the certificates like CTO etc. from Punjab Pollution Control Board (PPCB), the certificate from fire department, connecting of storm water in the main lines, besides revision in quantities with reference to approved schedule of quantities and executed quantities of the items which indicates faulty preparation of design and drawings viz. the steel reinforcement for RCC work upto plinth level

(serial no. 19) schedule of quantities as per contract was 1661.66 MT of TMT bars whereas the quantity executed indicates 1477.45 MT of TMT bars apart from deviation in wood work from 01 cubic meter to 53 cubic meter. The architect has not attended and monitored the execution of the work at INST site from November 2020 although it was covered in his scope of work.

Therefore, the architect appointed by INST has not prepared design and drawings properly as per the scope of work defined in RFP. Due to change in quantities which were not covered by the architect in its detailed project report and Institute suffered a huge cost escalation and the objective of appointment of an architect firm remain unfruitful. INST has paid Rs 3.21 crore against the provision of Rs. 4.99 crore. Had INST awarded the work to CPWD, the said expenditure would have been avoided.

Para No: 03 Project Management Consultant (PMC) -Extra avoidable payment of Rs. 2.93 crore- Audit Memo No: 41

INST (May 2016) processed for appointment of Project Management Consultancy firm and invited the bids from consultancy firms. 13 Number of firms submitted their bids. After receipt of the technical bids in June 2016 the financial bids of top five firms were opened in July 2016, wherein M/s Tata Consulting Engineers Limited (TCE) quoted @ 1.83 percent and INST entered into an agreement on 2nd September 2016 with M/s TCE as PMC. The PMC was awarded with the scope (i) Coordination monitoring and quality control of execution of activity leading to the construction of buildings and campus development on Inst site which include all the activity form commencement of work till the completion of building including services, landscaping etc., commissioning thereof and their handing over to INST was to be taken care of by PMC, (2) Review, study and analyse the brief, design, concepts, preliminary & detailed designs, estimates, BOQ for bid documents etc. Submitted by the Architect/ Consultants before recommending them for approval of INST, (3) Prepare a project schedule, Monitor on a day to day basis and submit a monthly progress report to Institute, (4) Prepare a site logistic plan and submit a manpower deployment schedule, (5) a) PMC to render necessary support to Institute in finalizing the documents for pre-qualification of the bidders, issue of NIB, Process & award the work with INST and get them executed as per specifications & requirements approved by INST, b) Preparation of all documents for award of the work to the contractor by INST and get them executed as per specifications & requirements approved by INST, c) To administer the works Contract and ensuring the implementation of contract clauses, with respect to quality or quantities of work, and execution thereof in accordance with its provisions.

Scrutiny of records revealed that INST has paid Rs. 2.93 crore to PMC M/s TCE Ltd. upto November 2020 and some of the packages of work has not yet been completed. As per the contract the PMC was to coordinate, monitor and verify quality control of execution of activity leading to the construction of buildings and campus development on INST site which include all the activity form commencement of work till the completion of building including services, landscaping etc., commissioning thereof and their handing over to INST. Besides, review, study and analyse the brief, design, concepts, preliminary & detailed designs, estimates, BOQ for bid documents etc. submitted by the Architect/ Consultants before recommending them for approval of INST. Also, the PMC was to prepare a project schedule, monitor on a day to day basis and submit a monthly progress report to Institute. However, no day to day monitoring of the quality and quantity with reference to specification and requirements apart from preparing site logistic plan was attended as per scope defined in agreement by PMC. Further, INST has occupied the new campus in December 2020 with pending approvals and defects which have not been monitored by the PMC M/s TCE and rectified by contractor M/s. Sam (India) Builtwell Pvt Ltd. viz:

1. Grooves of toilets were not filled.
2. Water leakage in Admin Basement and Pump House.
3. Water leakage through expansion joint in Laboratory Block.
4. Water leakage through expansion joint in Seminar Basement.
5. VRVs have not been set properly.
6. Water balancing valves.
7. Level difference of out-going pipes from pump room basement and existing roads.
8. Leakage of water in Seminar Library areas through shafts.

9. Non-cooling of Seminar Hall.
10. Seepage of water in Animal House.

Therefore, the PMC which was assigned with all functions other than those assigned to the architect consultant as per scope of work required for developing the total infrastructure till handing over of the completed buildings and other infrastructure of the campus has not discharged/addressed the functions assigned as per agreement. Moreover, had INST awarded the work to CPWD and paid Rs. 2.93 crore against the provision of Rs. 5.67 crore would have been avoided.

Para No: 04 Blockade of funds of Rs. 2.20 crore due to non-availability/readiness of site besides non levy of Liquidity Damage- Audit Memo No: 57

INST initiated (Sept, 2017) the process of purchase of “Plasma Enhanced Chemical Vapor Deposition (PECVD) with accessories” with an estimated cost of Rs. 1.75 crore. INST invited the open tender through CPPP portal in October, 2017. Tenders for the purchase of equipment were invited in January, 2018 and only one bid till 05th February, 2017 was received meanwhile, INST extended the date of submission of tender as 27th February, 2017. Based on technical specifications the financial bid of M/s Simco Global Technology & System Ltd. were opened (May, 2018) and price negotiation meetings were held, PAC of INST recommended for purchase of the equipment with accessories from M/s Simco Global Technology & System Ltd at the cost of Rs. 2.20 crore including Rs. 44.72 lakh from INST funds. Purchase order for the supply of the equipment was issued on 12th December, 2018 which was revised on 24th January, 2019 and the Letter of Credit was opened on 12th April, 2019. As per Purchase order terms, firm was to deliver the material within 12 weeks from the date of opening of Letter of Credit (LC).

LC date	12.04.2019
Delivery period	12 weeks from opening of LC
Due date of delivery	05.07.2019
Actual date of delivery	01.03.2021
Delayed delivery (in days)	605
Delayed delivery (in weeks)	86

As per the terms and conditions of the purchase order, the delivery date/schedule was to be adhered strictly otherwise the institute reserve the right not to accept the delivery in part or full and the liquidated damages (LD) @ 0.5% per week or part thereof subject to a maximum of 10 percent of the value (Rs. 22.00 lakh) of the order was to be imposed. The equipment was supplied (March, 2021) after a delay of 605 days or 86 weeks. INST did not levy the liquidated damages for delay in supply. Scrutiny of records further revealed that the indenter (Prof. H.N. Ghosh) on 25th June, 2019 deliberated with (Dr. Kaushik Ghosh) to apprise the tasks held with Mr. Rajeev Kumar Sharma for change of date of delivery as the supplier was ready to ship the equipment within schedule delivery period to avoid the LD as the site/campus was not ready to take delivery and for installation and commissioning of the equipment. It is pertinent to mention here that after placing the purchase order, the firm was ready to supply the equipment within the stipulated date of delivery rather INST was not ready with site facility and INST being at fault waved off the LD charges against the vendor.

Thus, INST placed the order for an equipment for which site facility was not ready and unnecessary blocked Rs. 2.20 crore for 2 years on account of opening of LC.

Para No: 05 Unfruitful expenditure on the project (RP-29) - Audit Memo No: 38

INST submitted (September 2015) a project proposal "*Design, growth and investigation of new multiferroic materials*" to Science and Engineering Research Board (SERB), Department of Science and Technology, New Delhi. SERB sanctioned the project in June 2016 at a total cost of Rs. 25.55 lakhs (Rs. 23.23 lakhs for recurring items like manpower, consumables, travel and contingency and Rs. 2.32 lakhs as overhead charges) for a duration of three years. The main objective of the project was to design and investigate new multiferroic in bulk and epitaxial thin film form, as well as to tailor the physical properties of the existing multiferroics through epitaxial lattice strain, external as well as internal chemical pressure.

Scrutiny of the project records revealed that annual progress report of the project was to be submitted to SERB every year, however, no annual progress report of the project has been prepared and submitted by the PI of the project to SERB, only the Utilization Certificate of the amount utilized during the year have been submitted. Total Rs. 21.16 lakh have been received by INST against which an expenditure of Rs. 14.74 lakh has been incurred by INST (upto 7th January, 2019). The engagement of project staff reveal that most of the JRFs, SRFs and RAs were engaged in the project for short term contractual basis i.e. for 1 month to 3 months. The JRFs and SRFs have been engaged in the project without open advertisement (except once), in all the cases while processing for recruitment of project staff it has been noted that "PI has desired to engage (name of staff) as JRF as he/she has already worked with PI where he / she successfully contributed to the research and capable of conducting research in the project as well". Most of the project staff appointed were pursuing Post graduation or Doctoral degrees and getting their fellowships from the Institutions where they were registered even than INST had recruited such type of staff on short term basis and paid honorarium. It is pertinent to mention here that PI of the project nominated a scientist of the INST in his place to attend the conference on chemical frontiers 2017 held at Goa in August, 2017 to deliver the talk and to attend the conference, who was neither Co-PI nor was involved in the project. Meanwhile, the PI has been transferred to IIT Delhi and the remaining funds of project Rs. 6.42 lakh has been transferred to IIT Delhi by INST on 08.01.2019.

Thus, the implementation of the project by INST was not in accordance with the SERB guidelines, further, in absence of annual progress report, it could not be ascertained whether the work towards achievement of the objectives has been carried out or not. Therefore, the expenditure of Rs. 14.74 lakhs incurred on the project remained unfruitful.

Para No: 13 Purchase of Hostel furniture - non receipt and not invoking of liquidity damage clause- Audit Memo No: 39

On scrutiny of Purchase file of Hostel furniture of INST, it has been revealed that an Indent was issued on 26th November, 2020 for the purchase of furniture for Girls and boys hostels in INST campus. On 13th January, 2021, tender was called for the same and finally M/s FEBRITRAK INC. was selected against its quotation price of Rs. 49.24 lakh on dt. 30th March, 2021. The purchase order was issued on dt. 31st March, 2021 for which delivery of hostel furniture was to be completed by that dt 30th April, 2021.

The scrutiny further revealed that the company was not able to made the delivery on due date and extension was given upto 31st May, 2021. The company again could not made the delivery within the stipulated time and delivery date was extended to dt. 28th June, 2021. Even after extending the delivery period two times the supplier had not delivered the furniture till 31st August, 2021. Meanwhile, company wrote an email stating that all the production process of material has been completed and some Almira were short in quantity and will be delivered shortly and seek the extension of delivery period upto 20th September, 2021, afterwards no communication was recorded in file, in absence of which it could not be ascertained whether the items are delivered by the company or not. The liquidity damage clause has not been invoked by INST wherein the penalty @0.5 percent per week and not exceeding the 10 percent of contract value were to be levied on the firm. Already several time of extensions (5 months) were granted to the company and still no delivery was made.

The proposal entitled “ Dual-Drug loaded Customized Nano-carrier for Synergistic Synthetic Lethal Killing of Colorectal Cancer” was presented by Dr. Rehan Khan before Nano Science Advisory Group (NSAG-II)-6th meeting, 14th February, 2017 at INSA, New Delhi and the same was approved by the committee for 3 years duration dt. 06th March, 2017. DST sanctioned the above project in July 2017 at a total cost of Rs. 19.44 lakh for a duration of 3 years.

The scrutiny of records revealed that total of Rs. 10.88 lakh was received out of which Rs. 9.35 lakh was spent on project till September, 2019. Further, the progress of the project was reviewed by the Expert Group with reference to the proposed objectives in September, 2019 after 26 months of start. The project based on the output parameters, publications made and general management of the project, the committee has rated the progress as “Below Par”(C).The progress made was not as per the requirements and expert committee has directed to close the project immediately. DST released an amount of Rs. 19.44 lakh under the project to INST and an expenditure of Rs. 9.35 Lakh have been incurred under the project. The project has been terminated in Sept 2019 on th basis of adverse comment of the Expert Group of DST. Therefore, the expenditure of Rs. 9.35 lakh incurred on the project remained largely unfruitful.

The proposal entitled “Enzyme activated targeted nano-formulations of autophagy/apoptosis- including boatinives as potential therapy for drug resistant lung cancer” was presented by Dr. Rahul Kumar Verma before Nano Science Advisory Group (NSAG-II)-5th meeting, 19th October- 20th October, 2016 at JNCASR, Bengaluru.

DST sanctioned the above project in December, 2016 for a period of 3 years to INST. The outlay of the project was 57.57 lakh including Rs. 24.17 lakh for equipment. The anticipated outcome of the project was:

- To identification of a range of lead autophagy/ apoptosis inducing anti- cancer peptides/ proteins/ peptidomimetics effective against normal and multidrug-resistant cancers.
- A promising optimized inhaler having Dry Powder Inhalation (DPI) comprising anti-microbial peptides. Bacterial proteins/ peptidomimetics intended to be used as ‘Adjunct Therapy’ in regimen for targeted lung delivery and treatment of normal and multi- drug resistant non-small cell lung cancer (NSCLC), small cell lung cancer (NSCLC) and mesothelioma.

The study was to explore innovative and untested concepts to provide scientific rationale for future clinical trials in lung cancer.

Scrutiny of the project record revealed that one JRF was sanctioned and appointed in the project December 2017. No annual progress report of the project was found on record in absence of which it could not be ascertained whether the annual progress report was prepared and submitted by PI to DST. As per the sanction of the project, the equipment was to be procured in the first year of the project DST released the amount for purchase of equipment in the first year of the start of project. However, INST purchased the sanctioned equipment namely ‘Next Generation Cascade Impactor’ (NGI) in March, 2019 which was delivered to the institute in April, 2019 (after more than 2 years) at a total cost of Rs. 25.64 lakh.

Further, the progress of the project was reviewed by the Expert Group with reference to the proposed objectives in September, 2019 after 34 months of start when only two months were left in completion. The project based on the output parameters, publications made and general management of the project, the committee has rated the progress as “Below Par”(C). The progress made was not as per the requirements and expert committee has directed to close the project immediately. DST released an amount of Rs. 45.26 lakh under the project to INST and an expenditure of Rs. 46.31 Lakh have been incurred under the project. It is also pointed out that INST incurred an excess expenditure of Rs. 1.05 lakh w.r.t. amount sanctioned by DST. The project has been terminated in January 2020 on the basis of adverse comment of the Expert Group of DST.

As the project has been terminated on the basis of output parameter and the rating the progress as below Par which is evident that the anticipated outcome of the project has not been achieved even after incurring the expenditure of Rs. 46.31 lakh. Further, the purchase file of the equipment along with log book may be furnished to audit.

Thus, the expenditure of Rs. 46.31 lakh incurred on the project turned out to be wasteful.

Para No: 10 Non achievement of objectives besides limitation of scope in appointment of Project staff- Audit Memo No: 45

INST submitted a project proposal to DST for sanctioning a project entitled “Exploring the shell proteins of BPCPs as potential substrates for fabrication of organic-inorganic hybrid nano materials” the proposed outlay was Rs. 97.10 lakh with a duration of three years.

The objectives of the project was “to use shell proteins (or their genetic variants) of the bacterial microcompartments one by one for assembling them into 2D/3D macromolecular arrays for patterning gold nanoplasticles”. These patterned gold nanoplasticle arrays was to be used for potential applications in optics and plasmonics.

Scrutiny of the project revealed that DST in September 2017 sanctioned the project at total of Rs. 49.15 lakh for a duration of three years and released an amount of Rs. 37.70 lakh including Rs. 18.20 lakh for purchase of equipments. Further, the project file revealed that no annual progress report of the project was prepared and submitted by the Project Investigator (PI) and no project completion report has been prepared only an abstract on understanding the driving mechanism behind the formation of the metal-protein based organic-inorganic nanohybrids in solution phase has been submitted by the JRF to the PI of the project. Also, the details of total funds received, the equipments whether purchased or not, were found on records. In absence of which it could not be ascertained whether the equipment approved by DST was procured timely i.e., in the first year of the project or not.

Appointment of project staff- limitation of scope

The details of project staff appointed in the project revealed that every time the advertisement was published in the newspaper “Hindustan Times” in Chandigarh + Jalandhar only. Instead of giving wide publicity through other national dailies also which attracted limitations of scope.

Not serving prior notice of one month before giving resignation

One JRF, Ms Tata Pranathi joined in the project on 1st November 2018 and resigned from the project without serving the prior one month notice period. He was relieved on 31st July 2019. Thereafter, the engagement of JRF was again published in “Hindustan Times” in Chandigarh + Jalandhar edition only and another JRF, Ms Dimple Goel joined INST on 1st October 2019 in the project subsequently she was selected for pursuing PhD at INST in August 2020. Accordingly, she submitted his resignation from the JRF position w.e.f., 23rd August 2020 without serving one month notice period.

Subsequent to this, the offer letter for JRF position was issued to another fellow in December 2020 who was PhD student in INST under the PI of the project and was getting fellowship.

Therefore, the project staff appointed in the project was not in-consonance with the defined procedures of DST/Gol.

Para No: 08 Non- utilisation of Animal House constructed at a cost of Rs. 1.96 crore. Audit Memo No: 48

INST signed a Memorandum of Understanding with Indian Institute of Science Education and Research (IISER), Mohali on 31st October 2018 for utilisation of animal house facility of IISER. As per the agreement IISER has to make available the space in its animal house to INST. Initially one room for mice having an area of 160 Sq. ft. has been allotted to INST on rent at a rate of Rs. 1.00 lakh per month including taxes and maintenance charges electricity cleaning and manpower.

INST got constructed animal house in its new campus with a covered area of 4000 sq. ft. at a cost of Rs.1,96,16,673.00 which has been occupied / work has been completed and taken over by INST on 28th February 2021. However, the animal house of INST was not being utilised and the building has been lying vacant since its construction, whereas INST was paying Rs 1.00 lakh per month as a rent to IISER. Therefore, INST had paid the extra excess rent of Rs. 9.00 lakh (From March 2021 to November 2021) to IISER besides, non- utilisation of its own animal house facility constructed at a cost of Rs. 1.96 crore.

1. INST initiated tender in December, 2016 for the supply and installation of equipment viz. DSC and ISC with Accessories. Tender was opened on date 27th January, 2017 and only one bid was found. Again tender was recalled two times quoted their rates and finally M/s Toshniwal Brothers (SR) Pvt. Ltd. was selected in the financial bid opening on dt 31st March, 2017. The purchase order for the same was issued on 21st April 2017 at a price of USD. 157500.00/ Rs. 1.02 crore and supply for the same has to be made within 16 weeks from the generation of LC and as per the LC, shipment date was 15th September 2017.

Further, scrutiny revealed that the supply was made on 6th December, 2017 which got delayed by 11 weeks from the scheduled delivery date. As per the Liquidity Damage clause of Purchase order- Liquidity damage @0.5% per week to the extent of Rs. 7.2 lakh subject to a maximum of 10% of the value of the order was to be imposed to the extent of number of week delayed but no liquidity damage charges were levied by the institution as the stipulated date of supply was 15th September 2017 and the equipment was delivered on 6th December, 2017.

2. INST initiated tender for the purchase of Digital Source Meter and Battery Simulator on date 25th December, 2016. After the process of evaluation of technical and financial bids received from vendors, finally the tender was allotted to M/s Silicom Electronics Pvt. Ltd at a total cost of Rs. 12.07 lakh and purchase order was placed to M/s Silicom Electronincs Pvt.Ltd. on dt. 11th March, 2020. The supply for the same was to be made within 08 weeks from the date of Purchase Order.

Further, scrutiny revealed that the supply was to be made on 22nd July, 2020 i.e after a delay of 10 weeks from schedule delivery date. As per the Liquidity Damage clause of Purchase order- Liquidity damage @0.5% per week to the extent of Rs. 48,000.00 subject to a maximum of 10% of the value of the order was to be imposed to the extent of number of week delayed but no liquidity damage charges were levied by the institution as the stipulated date of the supply was 22nd May, 2020 and the equipment was delivered on 22nd July, 2020.

Scrutiny of records of installation/commissioning of equipment in INST revealed that the following equipment were not in working condition since the dates shown their against:

Name of unit:**1. Chemical Biology Unit**

Sl. No.	Name of the equipment	Date of Procurement	Cost (In lacs)	Functional Status	Date since Out of Order	Name of funding agency
1.	Differential Scanning Calorimetry	17.11.2017	60	Gone for repair to the USA.	Feb 2020	INST
2.	Peptide synthesizer	May, 2014	--	Some parts are non functional	--	INST
3.	RTCA	Jan, 2021	24	Need a dedicated cell culture incubator	--	INST
4.	DS-nB Nanoscale Biomagnetics Nanomagnetic heating system	July, 2017	53	Was non-functional for a long time	<ul style="list-style-type: none"> Out of order from March, 2019 to November, 2020. Out of order from June, 2021 to Sept 2021 	INST
5.	MSI automation in-vivo nanomagnetic heating system	August, 2019	20	Non Functional	-	Research Project- 57
6.	Critical Point Dryer	May, 2020	12.20	Non Functional	Sept 2021	RP 69, DST-SERB

2. Quantum Material and Devices Unit (QMDU)

Sl. No.	Name of the equipment	Date of Procurement	Cost (In lacs)	Functional Status	Date since Out of Order	Name of funding agency
1.	Raman Spectrometer	December, 2013	84.8 lakh	Partially working	Some parts are not working <ul style="list-style-type: none"> CCD- July 2021 532 laser- Sept 2021 	INST
2.	PECVD	January, 2019	230	--	Installation work is not finished	DST Nanomission project
3.	PPMS	July, 2016	361	Problem in Sample Chamber	November 2021	DST Nano Mission RP-17

As the above equipment are important for carrying out the day to day analysis. These may be got rectified for better utilization of the facilities under the intimation to audit

**Para No: 17 Non-Delivery of Lab Furniture and Delay in Delivery of Faculty Apartment Furniture
and non-levy of LD charges- Audit Memo No: 61**

1. INST initiated tender for the purchase of Lab furniture for INST new campus on date 10th August, 2020. After the process of evaluation of technical and financial bids received from vendors, finally the tender was allotted to M/s Citizen Industries Pvt. Ltd at a total cost of Rs. 3.91 crore and purchase order was placed to M/s Citizen Industries Pvt.Ltd. on dt. 28th October, 2020. The purchase order was further revised and the final date of purchase order was taken as 09th November, 2020 and supply for the same was to be made within 14 weeks from the date of Purchase Order.

Scrutiny revealed that as per the records available, an indent was received from one scientist and order for the same was placed in March, 2021 for purchase value of Rs. 7.54 lakh and Rs. 23.62 lakh. However, all the indents were to be issued before the issue of tender notification. Further, as per the Purchase order clause, m, delivery of all the items were to be made till February, 2021. But as per the records available, no delivery has been made till date i.e. after more than 1 year of issuing the purchase order.

2. INST initiated tender for the purchase of Faculty Apartment Furniture (cupboard) at INST new campus, Sector 81, Mohali on date 8th July, 2020. After the process of evaluation of technical and financial bids received from vendors, finally the tender was allotted to M/s Metalex office System Pvt. Ltd. at a total cost of Rs. 19.20 lakh and purchase order was placed to M/s Metalex office System Pvt.Ltd. on dt. 1st September, 2020 and supply for the same was to be made within 08 weeks from the date of Purchase Order.

Scrutiny revealed that the supply was made in parts, material of value Rs. 1.00 lakh delivered on dt. 2nd November 2020 and Material of value Rs. 18.18 lakh on dt. 1st December, 2020, 9th December, 2020 and 14th December, 2020. As per the Liquidated Damage clause of Purchase order- Liquidity damage @0.5% per week to the extent of Rs 54,540.00 subject to a maximum of 10% of the value of the order was to be imposed to the extent of number of week delayed but no liquidated damage (LD) charges were levied by the institution as the stipulated date of supply was 30th October, 2017 and the final delivery of furniture was made on 14th December, 2017.

Rule 213 of GFR 2017 stipulates as under:

- (1) The inventory for fixed assets shall ordinarily be maintained at site. Fixed assets should be verified at least once in a year and the outcome of the verification recorded in the corresponding register. Discrepancies, if any, shall be promptly investigated and brought to account. Rule 213
- (2) Verification of Consumables: A physical verification of all the consumable goods and materials should be undertaken at least once in a year and discrepancies, if any, should be recorded in the stock register for appropriate action by the competent authority. Rule 213
- (3) Procedure for verification :
 - (i) Verification shall always be made in the presence of the officer, responsible for the custody of the inventory being verified.
 - (ii) A certificate of verification along with the findings shall be recorded in the stock register
 - (iii) Discrepancies, including shortages, damages and unserviceable goods, if any, identified during verification, shall immediately be brought to the notice of the competent authority for taking appropriate action in accordance with provision given in Rule 33 to 38.

Physical verification of stores (consumable and non-consumable) has been conducted by INST upto 2017-18 (copy not provided). The physical verification of stores for the year 2018-21 has not been conducted by the INST so far. However, in absence of the physical verification report, the discrepancies i.e., shortage etc. could not be commented upon in audit. It is pertinent to mention here that INST has shifted from rented campus to its own new campus (December 2020), therefore it becomes more important to conduct physical verification to ascertain the value, location, discrepancy/defect and any loss occurred can be reported. Therefore, the value of fixed asset in gross block of annual accounts of INST shown as Rs. 2,82,69,67,867.00 at the year end could not be vouchsafed in audit.

The early efforts may be made to conduct the physical verification of consumable as well as no-consumable items i.e., fixed assets may be conducted under intimation to audit.

Rule 215 of GFR 2017 stipulates as under:

- (i) Complete physical verification of books should be done every year in case of libraries having not more than twenty thousand volumes. For libraries having more than twenty thousand volumes and up to fifty thousand volumes, such verification should be done at least once in three years. Sample physical verification at intervals of not more than three years should be done in case of libraries having more than fifty thousand volumes. In case such verification reveals unusual or unreasonable shortages, complete verification shall be done.
- (ii) Loss of five volumes per one thousand volumes of books issued/consulted in a year may be taken as reasonable provided such losses are not attributable to dishonesty or negligence. However, loss of a book of a value exceeding Rs. 1,000/- (Rupees One thousand only) and rare books irrespective of value shall invariably be investigated and appropriate action taken.

Scrutiny of library records revealed the following:

Total number of Books available as per Accession Register (soft copy record) as on 31st March 2021 were 545. Out of which 33 books costing to Rs. 2,98,431.00 are not returned by the beneficiaries since last more than 6 months which were issued during the year 2015-2021. Further, there are two such books whose cost are not mentioned in the details provided to audit. The investigation may be made and appropriate action may be taken to trace out or get back these books under intimation to audit.

As per the Rule 215 of GFR, Complete physical verification of books should be done every year in case of libraries having not more than twenty thousand volumes. As in the INST campus, number of books are 545, so physical verification of the books has to be done every year. But in scrutiny, it was revealed that the physical verification of books available in the INST Library was carried out during only in November, 2021. Prior to that no physical verification was done for the previous year's 2015-16, 2016-17, 2017-18, 2018-19, 2019-20 and 2020-21.

Improper maintenance of accession register.

Scrutiny of records revealed that there is no accession register maintained by the institution, record of books is maintained in computer only (digital record) and that is not a proper format of maintaining the accession register. In absence of proper maintenance of record, it could not be ascertained from the data produced to audit whether the record provides the true details or not. Thus, accession register may be maintained in the prescribed format i.e. in hardcopy and the same may be intimated to audit.

Part-II (C)
Test Audit Note

Para No: 21 A- Residential quarters- Loss of license fee- Audit Memo No: 51

Scrutiny of records relating to staff quarters in INST revealed the following:

1. There are 41 numbers of staff/ residential quarters of different types/categories (Type-1 to V).

Sl. No.	Type of Quarters and numbers	Vacant since	Rate of monthly licence fee	Total amount
1.	V-B, 15	December, 2020	1490	268200
2.	IV, 08	December, 2020	750	72000

The non-allotment of quarters has resulted in loss of license fee amounting to Rs. 3,40,200.00.

The quarters may be allotted to the officials of the entitled class to avoid the loss of license fee and if there are no eligible staff, the possibility to allot these quarters to other scientific department of DST or other institutions of Govt of India may be explored so that the loss of license fee could be avoided and to fetch the revenue under intimation to audit.

Para No: 21 B- Maintenance of Service Book- Audit Memo No: 47

As per the supplementary rules the following provisions for service books are prescribed.

1. SR 199, GIO (7):

Sufficient number of form No. 13 will be pasted in Service Book and entries for recoveries etc made. Every year, in the month of January H.O.D will record a certificate in column 7 as per SR 199, GIO (8).

2. SR 202, GIO (1): Verification of Services will be completed annually and certificates to of verification will be recorded in the Service Book after ensuring correctness of entries.

A test check of service books of the following officials of this institute was conducted and the following shortcomings/omissions against the rule(s) were noticed.

Sr. No.	Name of the officials Shri/Smt	Designation	Discrepancies
01	Vivek Bagchi	Scientist- D	Revised nomination form not attached with SB, Service Verification from 04/2019, details of LTC for block year 2021 as filled with pencil.
02	Chandan Bera	Scientist- D	Revised nomination form not attached with SB, Service Verification from 04/2019,

			details of LTC for block year 2021 as filled with pencil.
03	Md Ehesan Ali	Scientist- E	Revised nomination form not attached with SB, Service Verification from 04/2019.
04	Shyam Lal M	Scientist- C	Revised nomination form not attached with SB, Service Verification from 04/2019.
05	Indranil Sarkar	Scientist- E	Revised nomination form not attached with SB, Service Verification from 04/2019, PRAN No. not mentioned.

- 3.** Corrective actions need to be taken immediately in all the above cases and other cases may be reviewed on similar lines under intimation to audit.

Para No: 12 Research Projects- Improper maintenance of project files- Audit Memo No: 52

Scrutiny of the records related to the projects handled by INST during the years 2015-21 revealed the following shortcomings:

During audit of INST the details of number of projects (In house, sponsored, consultancy, contract and externally aided) implemented and handled by each Scientist of INST was called for by audit alongwith complete files containing Project Proposal, Annual Progress Reports, Final Completion Reports, and Report of the Evaluation Committee / Task Force/PMC etc. No details of the projects containing all these information have been furnished by INST. However, a list of projects furnished revealed that 78 number of projects (sponsored / collaborative research project) have been implemented by INST (completed and ongoing) wherein the periodicity of the projects have not been mentioned.

Scrutiny of the research project files revealed that the files did not contain complete research project proposal, annual progress report and project completion report alongwith comments of the expert committee of the sponsoring agency and acceptance of project completion report by the sponsoring agency. No detail of numbers and names of in-house i.e. basic research projects undertaken by each scientist was made available, in absence of which it could not be ascertained whether all the scientists were given/handling the research projects or not.

Consultancy projects

The scrutiny of consultancy projects implemented by INST revealed that eight (08) consultancy projects have been implemented in INST out of which four (04) projects have been taken up by Dr. Menka Jha as PI.

Scrutiny of project "Extraction of nanostructured materials from gaseous effluents of power plant was undertaken by INST in September 2017 at a total cost of Rs. 50.90 lakh and completed in May 2021. The details of statement of expenditure revealed that an excess expenditure under the heads Salary, laboratory chemicals and TA/DA has been incurred in the project. The details of the consultancy fees distributed revealed that consultancy fee of Rs.33,683.00 has been paid to Prof. A. K. Ganguli who had left the institute 2nd January 2018.

Further, INST undertook another consultancy project namely "Design of process for enamelling of the gold surface jewellery using colored gold nano-particles" with Titan at a cost of Rs. 12.93 lakh in August 2018 against which funds of Rs. 11.84 lakh have been issued in August 2018. The periodicity of the project has not been mentioned. However, project file

revealed that the fees for scientific and technical advice of Rs. 5.25 lakh has been distributed on 60:40 ratio among consultant and INST in March 2021. However, the completion certificate and acceptance of technical input/advice from the company has not been obtained.

In this connection, the following may be furnished:

- 1.** How the consultancy projects are distributed among the scientists of INST as four (04) projects out of total eight (08) have been handled by only one scientist.
- 2.** Is there any criterion for number of projects i.e., in-house, sponsored, consultancy/contract research or collaborative to be assigned to each scientists at a given period.
- 3.** The records revealed that no in-house/basic research project has been undertaken by INST in absence of which how the basic research is being carried out by INST.

INST, Mohali has a bank account with Canara Bank. The Bank Reconciliation Statement of INST for the month end 31st March 2022 revealed the following:

Item	Amount in Rs.
Closing balance as per Cash Book on 31.03.2021	(-) 19,51,401.92
Add cheques issued but not presented for payment	(+) 19,56,402.00
Less amount deposited but not credited	(+) 5,000.08
Add amount credited by bank	0.00
Less amount debited by bank	0.00
Balance as per Bank Statement as on 31.03.2021	(+) 5,000.08
Difference	0.00

Para No: 23 Outstanding Advances- Audit Memo No: 54

INST has been making advance payments to private parties and departmental officers towards purchase of stores and TA/LTC etc. The detailed break-up of the outstanding amounts as of 31.03.2021 was as under:(Rs. In lakh)

Year	TA	LTC	Contingent	Others (HBA/Imprest etc./Secured Advance for building)	Total
2015-16	---	---	0.05	1.71	1.76
2016-17	1.00	---	2.02	0.46	3.48
2017-18	1.68	1.79	3.12	287.53	294.12
2018-19	2.52	3.52	---	200.01	206.01
2019-20	2.02	0.27	4.02	69.46	75.77
2020-21	---	4.47	4.18	51.46	60.11

It is evident from the table above that contingent advance of Rs. 4.18 lakh and other advances of Rs. 51.46 lakh were lying outstanding at the end of March 2021. The advances may be adjusted where the supplies were received. Otherwise refund of advances may be obtained for non-supply of intended purpose/items by the suppliers, under intimation to audit.

Disclaimer statement

Draft Inspection report has been prepared on the basis of information furnished and made available by Institute of Nano Science and Technology (INST). The office of the Director General of Audit, Environment and Scientific Departments disclaims any responsibility for any misinformation and/or non-information on the part of audited entity.

Sr. Audit Officer

1. List of Court cases filed/ pending/ finalized and status thereof as of 31st March 2021:

Year	Subject and brief summary of the case	Date of Start	If the case is finalized, date and decretal amount, if any	Latest status of the Case, if pending as on date.
1.	2.	3.	4.	5.
1	Case filed by M/s Deepak Builders (construction agency) with regard to Construction & Development of INST Campus (in Hon'ble Punjab & Haryana High Court)	10.05.17	17.05.17	Finalized
2	Case filed by M/s Deepak Builders (construction agency) with regard to Construction & Development of INST Campus (in the Division Bench of Hon'ble Punjab & Haryana High Court)	01.06.17	04.08.17	Finalized
3	Case filed by M/s Sam (India) Builtwell Pvt. Ltd. (construction agency) Construction & Development of INST Campus (in Hon'ble Supreme Court of India)	24.08.17	14.12.17	Finalized

2. List of Arbitration cases filed/ pending/ finalized and status thereof as of 31st March 2021:

Year	S. No.	Subject and brief summary of the case	Date of Filing/ Start of case	If the case is finalized, date and brief summary of judgement	Details of Payment made towards Court fees, legal charges, advocate fee etc.	Latest status of the Case, if pending as on date.
1.	2.	3.	4.	5.	6.	7.
2019	1	Arbitration case between M/s Sam (India) Builtwell Pvt. (construction agency for construction & development of INST campus) Ltd. and INST	11.10.19	Status pending as on 31.03.2021	7,86,836/-	Arbitral awarded on 31.07.2021, further INST challenged the award in Hon'ble District Courts of Mohali. Next hearing in January 2022

The outcome of the above arbitration case may be intimated to audit.

Para No: 07 Construction and Development of INST campus at Mohali-Providing and Fixing of False Ceiling- Audit Memo No: 58

The construction and development of campus of INST, Mohali has been completed (). The work of providing and fixing of false ceiling was not included in the package of construction of building. INST published NIT at an estimated cost of Rs. 3,29,73,074.00 for the work, against which five tenders were received by the Institute. Of the bidders, M/s Kalsi Brothers, Mohali was awarded the work @ 21.21percent below the tendered value.

Scrutiny of the records revealed the following observations:

1. The award value of the work was Rs. 2,59,79,485.00 but an amount of Rs. 3,11,48,471.00 due to deviations during execution of work has been incurred which has resulted into additional expenditure of Rs. 51,68,986.00 due to the faulty preparation of estimate, which could have been avoided.
2. The stipulated date of completion of the work was 09.11.2020. However, the work has been completed on 11.02.2021 resulting in delay of 03 months.

As per the agreement with INST, Mohali and M/s Kalsi Brothers, Mohali there was a provision for compensation for delay in completion of the work @ 1% per month to be computed on per day basis. But the INST did not levy any such compensation for the delay.

Para No: 09 Construction of 100 KLD Sewage Treatment Plant (STP) and 20 KLD Effluent Treatment Plant (ETP) at INST Mohali- Audit Memo No: 59

The construction and development of campus of INST, Mohali has been completed. The work of providing and fixing of false ceiling was not included in the package of construction of building. INST published NIT at an estimated cost of Rs. 1,94,98,974.00 for the work, against which five tenders were received by the Institute. Of the bidders, M/s Sand Grouse Water was awarded the work @ 10 percent below the tendered value.

Scrutiny of the records revealed the following observations:

1. The award value of the work was Rs. 1,75,49,077.00 but an amount of Rs. 1,76,51,996.72 due to deviations during execution of work has been incurred which has resulted into additional expenditure of Rs. 1,02,919.72 due to the faulty preparation of estimate, which could have been avoided.
2. The stipulated date of completion of the work was 27.09.2019. However, the work has been completed on 09.12.2020 resulting in delay of more than 15 months.

As per the agreement with INST, Mohali and M/s Sand Grouse Water there was a provision for compensation for delay in completion of the work @ 1% per month to be computed on per day basis. But the INST did not levy any such compensation for the delay.

Besides above, it has also been observed that an extra work of ETP of the capacity of 20 KLD has also been awarded to M/s Sand Grouse Water on 01.04.2021 at a cost of Rs. 14.98 lakh excluding the cost of civil work without calling for the tender.

Scrutiny of Annual accounts of INST for the year 2020-21 revealed the following shortcomings:

1. Schedule-12 of income and expenditure i.e., establishment expenses revealed that INST depicted NIL amount under the head pension contribution in Schedule 12 during the year 2020-21 whereas, employer contribution towards NPS has been remitted by INST. Therefore the expenditure has been understated to the same extent.
2. Understatement of current liabilities- Schedule-04 "current liabilities and provisions" revealed that INST depicted NIL amount against the provisions whereas as per the common format of account the provisions i.e., leave encashment, gratuity etc. should be worked out on actuarial basis and should be depicted under the provisions. Therefore, the current liabilities have been understated to the extent amount of provisions.

Part-II C

Test Audit Note

NIL

Disclaimer statement

Draft Inspection report has been prepared on the basis of information furnished and made available by Institute of Nano Science and Technology (INST). The office of the Director General of Audit, Environment and Scientific Departments disclaims any responsibility for any misinformation and/or non-information on the part of audited entity.

Sr. Audit Officer

FREQUENTLY ASKED QUESTIONS (FAQs) ON RTI
(AS ON JANURARY 2012)

Q.1. What is Information?

Information is any material in any form. It includes records, documents, memos, e-mails, opinions, advices, press releases, circulars, orders, logbooks, contracts, reports, papers, samples, models, data material held in any electronic form. It also includes information relating to any private body which can be accessed by the public authority under any law for the time being in force.

Q.2 What is a Public Authority?

A "public authority" is any authority or body or institution of self government established or constituted by or under the Constitution; or by any other law made by the Parliament or a State Legislature; or by notification issued or order made by the Central Government or a State Government. The bodies owned, controlled or substantially financed by the Central Government or a State Government and non-Government organisations substantially financed by the Central Government or a State Government also fall within the definition of public authority. The financing of the body or the NGO by the Government may be direct or indirect.

Q.3 What is a Public Information Officer?

Public authorities have designated some of its officers as Public Information Officer. They are responsible to give information to a person who seeks information under the RTI Act.

Q.4 What is an Assistant Public Information Officer?

These are the officers at sub-divisional level to whom a person can give his RTI application or appeal. These officers send the application or appeal to the Public Information Officer of the public authority or the concerned appellate authority. An Assistant Public Information Officer is not responsible to supply the information.

The Assistant Public Information Officers appointed by the Department of Posts in various post offices are working as Assistant Public

Information Officers for all the public authorities under the Government of India.

Q.5. What is the Fee for Seeking Information from Central Government Public Authorities?

A person who desires to seek some information from a Central Government Public Authority is required to send, along with the application, a demand draft or a banker's cheque or an Indian Postal Order of Rs.10/- (Rupees ten), payable to the Accounts Officer of the public authority as fee prescribed for seeking information. The payment of fee can also be made by way of cash to the Accounts Officer of the public authority or to the Assistant Public Information Officer against proper receipt. However, the RTI Fee and the mode of payment may vary as under Section 27 and Section 28, of the RTI Act, 2005 the appropriate Government and the competent authority, respectively, by notification in the Official Gazette, make rules to carry out the provisions of this Act.

Q.6. What is the Fee for the BPL applicant for Seeking Information?

If the applicant belongs to below poverty line (BPL) category, he is not required to pay any fee. However, he should submit a proof in support of his claim to belong to the below poverty line.

Q.7. Is there any specific Format of Application?

There is no prescribed format of application for seeking information. The application can be made on plain paper. The application should, however, have the name and complete postal address of the applicant.

Q.8. Is it required to give any reason for seeking information?

The information seeker is not required to give reasons for seeking information.

Q.9. Is there any provision for exemption from Disclosure of Information?

Sub-section (1) of section 8 and section 9 of the Act enumerate the types of information which is exempt from disclosure. Sub-section (2) of section 8, however, provides that information exempted under sub-section

(1) or exempted under the Official Secrets Act, 1923 can be disclosed if public interest in disclosure outweighs the harm to the protected interest.

Q.10. Is there any assistance available to the Applicant for filing RTI application?

If a person is unable to make a request in writing, he may seek the help of the Public Information Officer to write his application and the Public Information Officer should render him reasonable assistance. Where a decision is taken to give access to a sensorily disabled person to any document, the Public Information Officer, shall provide such assistance to the person as may be appropriate for inspection.

Q.11. What is the Time Period for Supply of Information?

In normal course, information to an applicant shall be supplied within 30 days from the receipt of application by the public authority. If information sought concerns the life or liberty of a person, it shall be supplied within 48 hours. In case the application is sent through the Assistant Public Information Officer or it is sent to a wrong public authority, five days shall be added to the period of thirty days or 48 hours, as the case may be.

Q.12. Is there any provision of Appeal under the RTI Act?

If an applicant is not supplied information within the prescribed time of thirty days or 48 hours, as the case may be, or is not satisfied with the information furnished to him, he may prefer an appeal to the first appellate authority who is an officer senior in rank to the Public Information Officer. Such an appeal, should be filed within a period of thirty days from the date on which the limit of 30 days of supply of information is expired or from the date on which the information or decision of the Public Information Officer is received. The appellate authority of the public authority shall dispose of the appeal within a period of thirty days or in exceptional cases within 45 days of the receipt of the appeal.

Q.13. Is there any scope for second appeal under the RTI Act?

If the first appellate authority fails to pass an order on the appeal within the prescribed period or if the appellant is not satisfied with the order of the first appellate authority, he may prefer a second appeal with the Central Information Commission within ninety days from the date on which the decision should have been made by the first appellate authority or was actually received by the appellant.

Q.14. Whether Complaints can be made under this Act? If yes, under what conditions?

If any person is unable to submit a request to a Public Information Officer either by reason that such an officer has not been appointed by the concerned public authority; or the Assistant Public Information Officer has refused to accept his or her application or appeal for forwarding the same to the Public Information Officer or the appellate authority, as the case may be; or he has been refused access to any information requested by him under the RTI Act; or he has not been given a response to a request for information within the time limit specified in the Act; or he has been required to pay an amount of fee which he considers unreasonable; or he believes that he has been given incomplete, misleading or false information, he can make a complaint to the Information Commission.

Q.15. What is Third Party Information?

Third party in relation to the Act means a person other than the citizen who has made request for information. The definition of third party includes a public authority other than the public authority to whom the request has been made.

Q.16. What is the Method of Seeking Information?

A citizen who desires to obtain any information under the Act, should make an application to the Public Information Officer of the concerned public authority in writing in English or Hindi or in the official language of the area in which the application is made. The application should be precise and specific. He should make payment of application fee at the time of submitting the application as prescribed in the Fee Rules.

Q.17. Is there any organization(s) exempt from providing information under RTI Act?

Yes, certain intelligence and security organisations specified in the Second Schedule, are exempted from providing information excepting the information pertaining to the allegations of corruption and human rights violations.

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RTI Annual Return Information System

Quarterly Return Form

Public Authority : Institute of Nano Science and Technology

Quarter : Ist Quarter (April-June)2022-2023

* Block I (Details about the requests and appeals)

			Progress during Quarter			
	Opening Balance as on beginning of	No. of application received as transfer from other PAs u/s 6(3)	Received during the Quarter(including cases transferred to other PAs)	No. of Cases transferred to other PAs u/s 6(3)	Decisions Where requests/appeals rejected	Decisions Where requests/appeals replied
Requests	0	0	2	0	0	2
First Appeals	0	N/A	0	N/A	0	0
		Total no. Of CAPIOs designated 0		Total no. Of CPIOs designated 1		Total no. Of AAs designated 1

* Block II (Details about fees Collected,penalty imposed and disciplinary action taken)

Registration Fee Collected(in Rs.) u/s 7(1)	Addl. Fee Collected(in Rs.) u/s 7(3)	Penalty Amount Recovered(in Rs.) as directed by CIC u/s 20(1)	No. Of Cases where disciplinary action taken against any Officer u/s 20(2)
20	0	0	0

* Block III (Details Of various provisions of section 8 while rejecting the requested information)

No. Of times various provisions were invoked while rejecting requests

Relevant Sections Of RTI Act 2005

Section 8(i)										Section			
a	b	c	d	e	f	g	h	i	j	9	11	24	other
0	0	0	0	0	0	0	0	0	0	0	0	0	0

* Block IV (Details Regarding Mandatory Disclosures)

A. Is the Mandatory Disclosures under Sec. 4(1)(b) posted on the Website of Public Authority ?	Provide the detail/URL of webpage,where the disclosure is posted (max 150 chars)
Yes	www.inst.ac.in

B. Last Date of updating of Mandatory disclosure under Section 4(1)b	2022-06-30
C. Has the Mandatory Disclosure been audited by third party as per DOPT vide OM No. 1/6/2011-IR dated 15-04-2013?	Provide the detail/URL of webpage,where the Audit report is posted (max 150 chars)
No	
D. Date of audit of Mandatory disclosures under Sec. 4(1)(b) (Format dd/mm/yyyy)	

RTI Annual Return Information System

Quarterly Return Form

Public Authority : Institute of Nano Science and Technology

Quarter : 2nd Quarter (July-Sept)2022-2023

* Block I (Details about the requests and appeals)

			Progress during Quarter			
	Opening Balance as on beginning of	No. of application received as transfer from other PAs u/s 6(3)	Received during the Quarter(including cases transferred to other PAs)	No. of Cases transferred to other PAs u/s 6(3)	Decisions Where requests/appeals rejected	Decisions Where requests/appeals replied
Requests	0	0	0	0	0	0
First Appeals	0	N/A	0	N/A	0	0
		Total no. Of CAPIOs designated 0		Total no. Of CPIOs designated 1		Total no. Of AAs designated 1

* Block II (Details about fees Collected,penalty imposed and disciplinary action taken)

Registration Fee Collected(in Rs.) u/s 7(1)	Addl. Fee Collected(in Rs.) u/s 7(3)	Penalty Amount Recovered(in Rs.) as directed by CIC u/s 20(1)	No. Of Cases where disciplinary action taken against any Officer u/s 20(2)
0	0	0	0

* Block III (Details Of various provisions of section 8 while rejecting the requested information)

No. Of times various provisions were invoked while rejecting requests

Relevant Sections Of RTI Act 2005

Section 8(i)										Section			
a	b	c	d	e	f	g	h	i	j	9	11	24	other
0	0	0	0	0	0	0	0	0	0	0	0	0	0

* Block IV (Details Regarding Mandatory Disclosures)

A. Is the Mandatory Disclosures under Sec. 4(1)(b) posted on the Website of Public Authority ?	Provide the detail/URL of webpage,where the disclosure is posted (max 150 chars)
Yes	www.inst.ac.in

B. Last Date of updating of Mandatory disclosure under Section 4(1)b	2030-09-20
C. Has the Mandatory Disclosure been audited by third party as per DOPT vide OM No. 1/6/2011-IR dated 15-04-2013?	Provide the detail/URL of webpage,where the Audit report is posted (max 150 chars)
No	
D. Date of audit of Mandatory disclosures under Sec. 4(1)(b) (Format dd/mm/yyyy)	

RTI Annual Return Information System

Quarterly Return Form

Public Authority : Institute of Nano Science and Technology

Quarter : 3rd Quarter (Oct-Dec)2022-2023

* Block I (Details about the requests and appeals)

			Progress during Quarter			
	Opening Balance as on beginning of	No. of application received as transfer from other PAs u/s 6(3)	Received during the Quarter(including cases transferred to other PAs)	No. of Cases transferred to other PAs u/s 6(3)	Decisions Where requests/appeals rejected	Decisions Where requests/appeals replied
Requests	0	0	0	0	0	0
First Appeals	0	N/A	0	N/A	0	0
		Total no. Of CAPIOs designated 0		Total no. Of CPIOs designated 1		Total no. Of AAs designated 1

* Block II (Details about fees Collected,penalty imposed and disciplinary action taken)

Registration Fee Collected(in Rs.) u/s 7(1)	Addl. Fee Collected(in Rs.) u/s 7(3)	Penalty Amount Recovered(in Rs.) as directed by CIC u/s 20(1)	No. Of Cases where disciplinary action taken against any Officer u/s 20(2)
0	0	0	0

* Block III (Details Of various provisions of section 8 while rejecting the requested information)

No. Of times various provisions were invoked while rejecting requests

Relevant Sections Of RTI Act 2005

Section 8(i)										Section			
a	b	c	d	e	f	g	h	i	j	9	11	24	other
0	0	0	0	0	0	0	0	0	0	0	0	0	0

* Block IV (Details Regarding Mandatory Disclosures)

A. Is the Mandatory Disclosures under Sec. 4(1)(b) posted on the Website of Public Authority ?	Provide the detail/URL of webpage,where the disclosure is posted (max 150 chars)
Yes	www.inst.ac.in

B. Last Date of updating of Mandatory disclosure under Section 4(1)b	2023-01-02
C. Has the Mandatory Disclosure been audited by third party as per DOPT vide OM No. 1/6/2011-IR dated 15-04-2013?	Provide the detail/URL of webpage,where the Audit report is posted (max 150 chars)
No	
D. Date of audit of Mandatory disclosures under Sec. 4(1)(b) (Format dd/mm/yyyy)	

RTI Annual Return Information System

Quarterly Return Form

Public Authority : Institute of Nano Science and Technology

Quarter : 4th Quarter (Jan-Mar)2022-2023

* Block I (Details about the requests and appeals)

			Progress during Quarter			
	Opening Balance as on beginning of	No. of application received as transfer from other PAs u/s 6(3)	Received during the Quarter(including cases transferred to other PAs)	No. of Cases transferred to other PAs u/s 6(3)	Decisions Where requests/appeals rejected	Decisions Where requests/appeals replied
Requests	0	0	0	0	0	0
First Appeals	0	N/A	0	N/A	0	0
		Total no. Of CAPIOs designated 0		Total no. Of CPIOs designated 1		Total no. Of AAs designated 1

* Block II (Details about fees Collected,penalty imposed and disciplinary action taken)

Registration Fee Collected(in Rs.) u/s 7(1)	Addl. Fee Collected(in Rs.) u/s 7(3)	Penalty Amount Recovered(in Rs.) as directed by CIC u/s 20(1)	No. Of Cases where disciplinary action taken against any Officer u/s 20(2)
0	0	0	0

* Block III (Details Of various provisions of section 8 while rejecting the requested information)

No. Of times various provisions were invoked while rejecting requests

Relevant Sections Of RTI Act 2005

Section 8(i)										Section			
a	b	c	d	e	f	g	h	i	j	9	11	24	other
0	0	0	0	0	0	0	0	0	0	0	0	0	0

* Block IV (Details Regarding Mandatory Disclosures)

A. Is the Mandatory Disclosures under Sec. 4(1)(b) posted on the Website of Public Authority ?	Provide the detail/URL of webpage,where the disclosure is posted (max 150 chars)
Yes	www.inst.ac.in

B. Last Date of updating of Mandatory disclosure under Section 4(1)b	2030-03-20
C. Has the Mandatory Disclosure been audited by third party as per DOPT vide OM No. 1/6/2011-IR dated 15-04-2013?	Provide the detail/URL of webpage,where the Audit report is posted (max 150 chars)
No	
D. Date of audit of Mandatory disclosures under Sec. 4(1)(b) (Format dd/mm/yyyy)	2023-04-10

Annexure-VIII

List of CPIO (RTI) of INST Mohali w.e.f. 01.01.2015

Sh. P.K. Datta, Consultant	16.07.2015 - 18.06.2018
Sh. UC Prasad, CFAO	19.06.2018 - 18.07.2019
Dr. Asish Pal	19.07.2019 - 11.01.2022
Sh. Nimesh Kaushik, CFAO	12.01.2022 - Present