

# RAJIV GANDHI CENTRE FOR BIOTECHNOLOGY

Thiruvananthapuram, Kerala State, INDIA

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An Autonomous Institute of the Government of India  
Ministry for Science & Technology  
Department of Biotechnology



## **Office Manual**

### **Volume II**

### **Recruitment & Promotion Rules**



# RAJIV GANDHI CENTRE FOR BIOTECHNOLOGY

## OFFICE MANUAL

### RECRUITMENT & PROMOTION RULES

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# **RULES FOR RECRUITMENT AND PROMOTION OF ADMINISTRATIVE STAFF**

## **1. SHORT TITLE**

These rules shall be called the Rules Relating to Recruitment and Assessment Promotion of Administrative Staff of Rajiv Gandhi Centre for Biotechnology (RGCB).

## **2. DEFINITIONS**

Unless the context otherwise requires,

1. Administrative Staff means those who are engaged in administration and those who support them and includes categories of posts indicated in Rule 3 below.
2. Controller means Controller of Administration or designated equivalent officer of RGCB.

## **3. ADMINISTRATIVE STAFF**

Administrative Staff of the Centre shall consist of the following categories of staff and any subsequent promotion posts as well as other posts included in this category by the Director, RGCB.

1. Controller of Administration
2. Assistant Registrar
3. Finance Officer
4. Manager (Accounts & Audit)/Internal Auditor
5. Security Officer/Manager
6. Stores Officer, Purchase Officer, Section Officer
7. Stenographer/PA to Director
8. Management Assistant/Office Manager/Accountant
9. Junior Management Assistant
10. Receptionist

11. Office Assistant/ UDC
12. Junior Office Assistant/LDC / Typist / Confidential Assistant
13. Driver
14. Attendant

#### **4. APPOINTING AUTHORITY**

The Director shall be the appointing authority, for all posts included in the Administrative Category.

#### **5. METHOD OF APPOINTMENT**

Method of Appointment shall be by direct recruitment, by promotion, by deputation or by contract.

##### **5.1 Direct recruitment**

- 5.1.1 Direct recruitment to all posts shall be made by inviting applications. The notification inviting applications should be published in at least two National Dailies as well as on the Institute website. Reasonable time may be allowed to the prospective candidates to apply for the post. Government of India Reservation Rules when applicable will be followed for recruitment.

The Appointing Authority reserves the right to appoint selected candidates on any lower grade against the notification. However, placing of candidates in higher grades requires specific approval by the Governing Council.

##### **5.1.2 Probation**

All permanent employees appointed in the Administrative cadre shall be on probation for a period of two years.

##### **5.1.3 Age limit:- for direct recruitment**

Details of classification, scale of pay and age limits for all Administrative posts are given in Annexure II (A).

The additional qualifications and experience required for each positions will be decided by the Director from time to time.

#### 5.1.4 Age relaxation

Following concessions in upper age limit will be allowed subject to the condition that the maximum age limit shall in no case exceed 50 years for direct recruitment.

- 5.1.4.1 Upper age limit shall be raised by five years in the case of candidates belonging to any of the Scheduled Castes or Scheduled Tribes and by three years in the case of candidates belonging to any of the Other Backward Classes.
- 5.1.4.2 Upper age limit will be relaxed in the case of ex-service men to the extent of the period of service put in by them in defence forces and the period of unemployment on discharge up to a maximum of five years.
- 5.1.4.3 Upper age limit will be raised up to 10 years in the case of physically handicapped persons. They should produce medical certificate from a medical officer in the State or Central Government service not below the rank of Civil surgeon Grade II, to prove that they are physically handicapped.
- 5.1.4.4 Upper age limit can be raised in the case of experienced persons working in the Institute in lower posts, those who are taken on deputation from Central or State Governments, retired persons appointed on re-employment basis etc. by 5 years. In respect of persons appointed on contract basis/project mode, upper age limit can be raised up to 5 years.

#### 5.1.5 Selection Committee

There shall be a Selection Committee for selection of candidates. Composition of the Selection Committee shall be as follows.

- 5.1.5.1 For the Selection of Controller of Administration:

Director of RGCB	-	Chairman
Two External experts as nominated by the Director	-	Members
Senior Officer of RGCB	-	Member Secretary

## 5.1.5.2 For other posts:

The Director of RGCB	-	Chairman
The Controller of Administration	-	Member Secretary
Two External Experts as nominated by the Director	-	Members
Two Senior Officers of RGCB as nominated by the Director	-	Members

## 5.1.6 Weightage marks in selection

Educational qualification	-	20
Subject knowledge	-	30
Aptitude traits	-	15
General knowledge	-	10
Experience	-	25

## 5.1.6.1 Validity of all selection lists shall be one year.

5.2 **By deputation basis**

Notwithstanding anything contained in these rules, Director may appoint employees on deputation basis from State or Central Governments, statutory bodies, quasi-governmental organizations, aided colleges or Universities subject to the condition that :

5.2.1 Terms and conditions of such appointment shall be fixed by the Appointing Authority in consultation with the parent organization of the employee,

5.2.2 Such employees should possess the qualifications and experience prescribed in these rules,

5.2.3 Appropriately qualified employees are not available at RGCB; and

5.2.4 There should be a vacant post to accommodate the person so appointed or there is some additional specified job or responsibility which cannot be done with the available staff.

### 5.3 By Contract Appointment

Notwithstanding anything contained in these rules Director may appoint employees on contract basis subject to the condition that :

The Director has the administrative power to sanction the creation of contract/temporary posts on either scale of pay/consolidated, the maximum emoluments of which may be fixed as to commendate the level & status of employees. The remuneration will be decided with mutual negotiation. The emoluments for the contract staff may include HRA, medical benefits and other benefits as per relevant rules. The institute will also have the option of making all appointments to Administrative positions on one to five year contracts at relevant pay scales or a consolidated equivalent and then confirming them at next appropriate level subject to satisfactory evaluation of their performance by a duly designated committee constituted by the Director.

5.3.1 Terms and conditions of such appointment shall be fixed by the appointing authority in consultation with the person so appointed,

5.3.2 Such employees should possess the qualifications and experience prescribed in these rules,

5.3.3 Contract appointments are made when appropriately qualified employees are not available at RGCB.

5.3.4 Such appointment will be subject to administrative convenience and where local reappropriations of available establishment is not feasible.

### 5.4 Re-employment Basis

Director may appoint experienced persons who have retired from Central and State Governments or other organisations voluntarily or otherwise on re-employment, basis subject to their suitability, on the terms and conditions laid down by the institute. Age will not be a restriction on such re-employment cases. However maximum age limit will be sixtyfive years. In exceptional cases, Director can appoint/Continue the services of such officers beyond this age on contract basis

### 5.5 Assessment Promotion

5.5.1 There shall be a system of assessment promotion from one grade to a suitable higher grade irrespective of the occurrence of vacancies in the higher grade and the sanctioned strength under each category of posts shall remain fixed.

5.5.2 Such promotions envisage only career improvement without involving major change of duties or status, though it does lead to an expectation of higher level of performance and output. Change of designation and fresh



delegation of duties may be given depending up on the administrative need.

- 5.5.3 The higher grade/scale of pay awarded to an employee on assessment promotion shall normally be to the next higher grade.
- 5.5.4 When a vacancy arises in a category, the recruitment to that post shall normally be to the lowest grade. However, the Selection Committee may recommend the award of higher grades to exceptionally meritorious appointees.
- 5.5.5 Assessment promotion shall be purely on merit and no employee can claim a higher grade as a matter of right merely on the basis of length of service.
- 5.5.6 The recommendation of the duly-constituted Assessment Committee is final.
- 5.5.7 An employee shall be eligible for consideration for assessment promotion after the residency period of 5 years/ 6 years / 5 years / 6 years / 5 years in each post. First assessment after 5 years, 2nd assessment after 6 years, 3rd assessment after 5 years 4th assessment after 6 years and 5th assessment after 5 years of residency period in the new post. They will be given five Assessment promotions in their career subject to suitability.
- 5.5.8 For computation of service (i) service that counts for increment under the Service Rules of the Centre, (ii) service rendered in the pre-revised scale of pay of a grade and (iii) all periods of leave including leave without allowances to the extent they count for increment, shall be counted as service. In addition, the period of deputation in a post shall also be counted as qualifying service in that post if followed by absorption in the same post. But for reckoning the residency period in each post for the purpose of assessment promotion only the effective service in the post will be taken into account. However, periods of deputation in government or government controlled organisations, and other approved courses of study treated as duty also will be counted for the residency period. In meritorious cases assessment promotions can be considered before completion of residency period, however, subject to maximum of five promotions / upgradations in the entire service period.
- 5.5.9 The assessment shall be done twice a year for all those who have completed residency or extended residency on or before 31st December and 30th June.

- 5.5.10 An employee who is under suspension or against whom disciplinary proceedings are being contemplated or pending shall not be eligible for assessment until the disposal of the disciplinary proceedings.
- 5.5.11 An employee who was not considered for assessment due to disciplinary proceedings and was exonerated of the charges subsequently shall be assessed at the first opportunity. Assessment promotion in such cases shall be given with prospective or retrospective effect as the duly constituted committee decides.
- 5.5.12 An employee who has been punished as a consequence of disciplinary proceedings will be considered for assessment only after the effect of the period of punishment is over.
- 5.5.13 Assessment promotion awarded to an employee will take effect from the due date in which he/she completes the prescribed residency period for each post or with effect from the date as decided by the assessment committee or by the Director. However in respect of those who fail to qualify for promotion on first assessment, and qualified only on subsequent assessments their promotion will take effect only from the date on which he or she has completed the prescribed period required for the subsequent assessments.
- 5.5.14 Where an employee is promoted to a higher grade, his/her pay will be fixed as per the extant rule.
- 5.5.15 An employee who is unsuccessful in a particular year shall be considered for assessment again in the subsequent year.

## **6. ASSESSMENT COMMITTEE**

- 6.1 There shall be an Assessment Promotion Committee with the following composition for all posts with band pay of PB-2 and above except for the post of Controller.
- i. The Director or his nominee - Chairman
  - ii. Controller of Administration - Member Secretary  
or designated equivalent
  - iii. Two Senior Officers of RGCB as nominated by the Director - Member
  - iv. Two External Experts nominated

- by the Director - Members
- 6.2 The quorum for the Committee shall be three with at least one External Expert present.
- 6.3 In respect of all other posts in the Administrative Cadre, the following members will constitute the Assessment Promotion Committee.
- i. The Director or his nominee - Chairman
  - ii. Two Senior Officers of RGCB - Members
  - iii. Controller of Administration or designated equivalent - Member Secretary
  - iv. Two external experts nominated by the Director - Members
- 6.4 The Assessment Committees when considering assessees of reserved categories shall, wherever possible, include an expert of the SC/ST category. If such an expert is not available in the approved Panel, an external member from SC/ST category may be associated as full-fledged member over and above the normal composition of the Committee.
- 6.5 In events where the number of candidates to be considered to promotion exceeds in the assessment committee should invariably include SC/ST/Minority experts as full fledged member in the committee. Wherever female candidates are assessed, a lady expert member should also be included in the committee.

## 7. CRITERIA FOR ASSESSMENT

- 7.1 For merit assessment marks will be apportioned as follows for the Annual Performance Assessment Reports and the interview.
- 7.2 The total marks will be 100 of which 50 will be for the assessment interview and the remaining 50 will be for annual performance assessment reports. The marks for the Annual Performance Assessment Reports will be as follows :-

### Grading in the Annual Performance Assessment Report

- Outstanding - 10 marks for each year
- Very good - 8 marks for each year
- Good - 5 marks for each year

Average - 3 marks for each year

Poor (below average) - 0 marks for each year

(only grading for the latest 5 years will be taken into account for this)

- 7.3 The minimum percentage of marks for APAR and interview together required for assessment promotion for the first time in each grade on completion of the residency period will be 75% of the total 100 marks. In case an employee fails to get the percentage fixed he will be considered for assessment promotion in the next year, in which case the percentage required will be reduced to 60% followed by 50% and 40% in the subsequent years.
- 7.3 APAR proforma consists of five parts as follows :
- Part - I - Personal data to be filled by the administration
  - Part - II - Self Appraisal to be filled up by the Assessee
  - Part - III - Assessment by the Reporting Officer
  - Part - IV - Grading to be given by the Reporting Officer
  - Part - V - Remarks of the Reviewing Officer
- Adverse comments has to be communicated to the employee.  
(For the lower grade employees, APAR will have only three parts).
- 7.4 Reporting Officers shall be atleast one rank higher than that of the assessee and the Reviewing Officers should, wherever possible, be one rank higher than the Reporting Officer.
- 7.5 During the Interview, the Assessment Committee will judge the performance of an employee with reference to assigned tasks, accomplished work and relevant output. Contribution of a candidate to the disciplined day-to-day functioning of RGC B shall also be given due weightage.
- 7.6 The interview shall provide the assessee with an opportunity to project his/her duties, performance and accomplishments during the period under assessment. The assessee will be free to add to or augment his/her record of work and may also bring to the attention of the Committee any bottle-necks that may have been a constraint/deterrent to his/her functioning and performance.

## **8. PROCEDURE FOR ASSESSMENT**

- 8.1 List of employees to be considered for assessment promotion shall be placed before the Assessment Committee in alphabetical order.
- 8.2 The Annual Performance Assessment Report of each assessee, along with the assessment by the Reporting and Reviewing Officers, shall be placed before the Committee.
- 8.3 Weightage for APARs of the assessees, tabulated by the RGCB Administration shall be presented to the Committee.
- 8.4 The Assessment Committee shall then finalize the results (APARs plus Interview) and prepare the promotion lists (Proceedings) separately for each category in the order of ranking (total marks obtained).
- 8.5 The proceedings (recommendations) of the Assessment Committee meetings shall be submitted to the Director for approval and implementation.
- 8.6 The assessees, whether promoted or not, shall be informed of the outcome of the assessment.
- 8.7 Since the interview of the employee by the Assessment Committee is integral to the assessment, no person can be considered in absentia.
9. These rules, along with the GPF and Contributory Pension Scheme of RGCB shall continue to be effective to the employees of RGCB who were in applicable service prior to 01.01.2004, along with the CHSS. In view of taking over of the Institute by the Government of India, these shall be legally binding on the Government of India, in respect of all applicable and entitled employees.

# **RULES FOR RECRUITMENT AND PROMOTION OF TECHNICAL STAFF**

## **1. SHORT TITLE**

These rules shall be called the Rules for Recruitment and Assessment Promotion of Technical Staff of Rajiv Gandhi Centre for Biotechnology.

## **2. DEFINITIONS**

Unless the context otherwise requires,

These rules shall apply to the following categories of staff, and any other subsequent promotion posts as well as posts included in this category by the Director, RGCB.

1. Public Relations Officer/ Assistant General Manager (Traditional Knowledge Management, Industrial & Public Relations)
2. Manager (Legal & Estate Affairs)/ Assistant Public Relation Officer
3. Manager/ Instrumentation Engineer
4. Engineer (Air conditioning/Mechanical, Civil)
5. Veterinarian/ Animal House in-charge
6. Assistant Librarian/ Technical Officer
7. Technical Officer/Assistant Engineer/ Technical Assistant Group III/ STA
8. Technical Assistant Group II/ Photographer/Photographic Assistant/ Technicians
9. Library Assistant / Technical Assistant Group I
10. Helper/Lab Helper

## **3. APPOINTING AUTHORITY**

The Director shall be the appointing authority for all posts in the Technical Category.

## 4. METHOD OF APPOINTMENT

Direct recruitment to all posts shall be made by inviting applications. The notification inviting applications should be published in at least two national dailies as well as on the Institute's website. Reasonable time may be allowed to the prospective candidates to apply for the post. Government of India Reservation rules when applicable will be followed for recruitment.

The Appointing Authority reserves the right to appoint selected candidates on any lower grade against the notification. However, placing of candidates in higher grades requires specific approval by the Governing Council.

Qualifications, scale of pay and age limit for appointment of technical staff are given in Annexure - II (B). The additional qualifications and experience required for each positions will be decided by the Director from time to time.

### 4.1 Probation

All permanent employees appointed in the Technical Cadre shall be on probation for a period of two years.

### 4.2 Age Relaxation

Notwithstanding anything contained in these rules above, following concessions in upper age limit will be allowed subject to the condition that the maximum age limit shall in no case exceed 50 years.

- 4.2.1 Upper age limit shall be raised by five years in case of candidates belonging to any of the Scheduled Castes or Scheduled Tribes and by three years in the case of candidates belonging to any of the Other Backward Classes.
- 4.2.2 Upper age limit will be relaxed in the case of ex-service men to the extend of the period of service put in by them in defence forces and the period of unemployment on discharge up to a maximum of five years.
- 4.2.3 Upper age limit will be raised up to 10 years in the case of physically handicapped persons. They should produce medical certificate from a medical officer in the State or Central Government service not below the rank of Civil Surgeon Grade - II, to prove that they are physically handicapped.
- 4.2.4 Upper age limit can be raised in the case of experienced persons working in the Institute in lower posts, those who are taken on deputation from Central or State Governments, retired persons appointed on re-employment basis etc. by 5 years. In respect of persons appointed on contract basis/project mode, upper age limit can be raised up to 5 years.

## 5. SELECTION COMMITTEE FOR TECHNICAL STAFF

- 5.1 There shall be a Selection Committee for the selection of candidates and the composition of the Selection Committee shall be as follows.

The Director of RGCB or his nominee - Chairman  
Two external experts as nominated by the Director.  
Two Senior Officers of RGCB as nominated by the Director.  
Controller of Administration or designated equivalent - Member Secretary

- 5.2 Weightage marks in selection (Total marks 100)

Educational qualification	-	20
Subject knowledge	-	30
Aptitude traits	-	15
General knowledge	-	10
Experience	-	25

- 5.3 Validity of all selection lists shall be one year.
- 5.4 Director may appoint persons who are qualified and experienced on contract basis or on deputation basis or re-employment basis if there are vacant posts to accommodate such persons or some specified job which cannot be done with available staff.

## 6. ASSESSMENT PROMOTION

- 6.1 The assessment promotion of Technical Staff will be after the completion of 5 years residency period in each post. They will be given five Assessment promotions in the entire career subject to suitability.
- 6.2 For assessment promotion marks will be apportioned as follows. Of the total 100 marks, 50% will be for APAR and 50% will be for interview by the Assessment Committee. The marks for APAR will be as follows based on grading.

Outstanding	-	10 marks every year
Very good	-	8 marks every year
Good	-	5 marks every year
Average	-	3 marks every year
Poor (Below average)	-	0 marks every year



- 6.3 The grading for the last 5 years will be taken in to account for the assessment.
- 6.4 The minimum percentage of marks for APAR and interview together required for assessment promotion on completion of the residency period of 5 years in one post will be 75% of the total of 100 marks in the first assessment in each post.
- 6.5 In case an employee fails to get the percentage fixed he/she will be considered for assessment promotion in the next year, in which case the percentage required will be reduced to 60% followed by 50% and 40% in the subsequent years.
- 6.6 The system of Assessment Promotion from one Grade to the next higher Grade will be irrespective of the occurrence of vacancies in the higher Grade. This system envisages only career improvement and the sanctioned strength under each category (Group) of posts shall remain fixed.
- 6.7 The higher grade and scale of pay awarded to an employee shall be personal and it will revert itself to the sanctioned lower scale as soon as the incumbent ceases to hold the post.
- 6.8 Assessment promotion to the higher grade does not imply higher perks such as office space, telephone, furniture, stenographic assistance, etc. which will continue to depend upon the functional needs subject to relevant instructions issued from time to time.
- 6.9 Assessment promotion shall not necessarily result in change of work pattern or higher supervisory status or power or change of designation though it does lead to an expectation of higher level of performance and output. Change of designation and fresh delegation of duties will be based on Institute needs.
- 6.10 Assessment promotion shall be purely on merit and no employee can claim a higher Grade as a matter of right merely on the basis of length of service.
- 6.11 The recommendation of the duly-constituted Assessment Committee is final.
- 6.12 For computation of service (i) service that counts for increment under the service rules of the Centre, (ii) service rendered in pre-revised scale of pay of grade, and (iii) periods of leave including leave without allowances to the extent they count towards increment, shall count as service. In addition, the period of deputation in a post shall also be counted as service in that post if followed by absorption in the same post. But for reckoning the residency period in each post for the purpose of assessment promotion only the effective service in the post will be taken into account. However, periods of deputation in government or government controlled organisations, approved post doctoral programmes and other approved

courses of study treated as duty also will be counted for the residency period. In meritorious cases, assesment promotions can be considered before completion of residency period, however, subject to maximum of five promotions/upgradations in the entire service period.

- 6.13 The assessment shall be done twice a year for all those who have completed residency or extended residency on or before 31st December and 30th June.
- 6.14 An employee who is under suspension and/or against whom disciplinary proceedings are being contemplated or pending shall not be eligible for assessment until the disposal of such proceedings.
- 6.15 An employee who was not considered for assessment due to suspension or other disciplinary proceedings and was exonerated of the charges subsequently, shall be assessed at the first opportunity. Assessment promotion in such cases shall be given with prospective/retrospective effect as the Committee decides.
- 6.16 An employee who was punished as a consequence of disciplinary proceedings will be considered for assessment only after the effect of the period of punishment is over.
- 6.17 Assessment promotion awarded to an employee shall take effect from the due date in which he/she completes the prescribed period of qualifying service. However, in respect of those who fails to qualify for promotion on first assessment, and qualified for promotion only in subsequent assessments, their promotions will take effect only from the date on which he has completed the prescribed period required for the subsequent assessments.
- 6.18 Where an employee is promoted to a higher time scale, his/her pay will be fixed under the extant Rules.
- 6.19 There shall be two Assessment Committees for the promotion of the Technical Staff depending up on the grades of the Staff.
- 6.20 Assessment Committee (For posts with a starting Pay Band of PB-2 and above)
- |   |                    |
|---|--------------------|
| The Director of RGC B or his nominee                      | - Chairman         |
| Two External Experts nominated by the Director            |                    |
| Two Senior Officers nominated by the Director             |                    |
| The Controller of Administration or designated equivalent | - Member Secretary |
- 6.21 Assessment Committee (For other posts)
- |                                      |            |
|--------------------------------------|------------|
| The Director of RGC B or his nominee | - Chairman |
|--------------------------------------|------------|

Two Senior Officers of RGCB as nominated by the Director  
Two External Experts nominated by the Director  
The Controller of Administration or designated equivalent - Member Secretary

The quorum for all Assessment Committees shall be three with at least one External Expert present.

- 6.22 Chairman of the Assessment Committee shall be selected by the Director.
- 6.23 The Assessment Committees when considering assessees of reserved categories shall wherever possible include an Expert of SC/ST category. If such an Expert is not available in the approved Panel of Experts, an external member of SC/ST category shall be associated as full-fledged member over and above the normal composition of the Committee.
- 6.24 All members of the Assessment Committees shall be at least one rank higher than the Grade for which assessment is being done.
- 6.25 Annual Performance Assessment Report (APAR) is applicable to all employees.
- 6.26 APAR proforma consists of five parts of which Part II has to be filled up by the employee himself and remaining parts are to be filled up by the Administration, Reporting Officer and Reviewing Officer (for Technical Assistants and other last grade employees this consists of only three parts).
- 6.27 Reporting Officers shall be at least one rank higher than the assessee and the Reviewing Officers should be senior, and wherever possible be at a rank higher than that of the Reporting Officer.

## **7. PROCEDURE FOR ASSESSMENT**

- 7.1 List of those being considered for Merit Assessment Promotion will be prepared separately and placed in alphabetical order before the Assessment Committee.
- 7.2 The APARs of eligible staff shall be placed before the Assessment Committee.
- 7.3 At the interview, the Assessment Committee shall judge the performance of an employee with reference to the assigned tasks, accomplished work and scientific/technical outputs. Contribution of an employee to the RGCB's programmes and projects, day-to-day effective and disciplined functioning of the Institute shall also be given due weightage by the Committee.
- 7.4 Marks will be awarded by the Committee for each assessee after the interview. The

APARs will then be seen and their marks added by the Committee.

- 7.5 Proceedings of the assessment meetings shall be submitted to the Director for approval and implementation.
- 7.6 The assesseees, whether promoted or not, shall be informed of the outcome of the assessment.
- 7.7 In the case of candidates who were unsuccessful in previous assessment(s), they shall be assessed again provided they are otherwise eligible to be considered as per the rules.
- 7.8 Since the interview by the Assessment Committee is integral to the assessment, no person shall be considered for assessment in absentia.
- 7.9 In events where the number of candidates to be considered to promotion exceeds in the assessment committee should invariably include SC/ST/Minority experts as full fledged member in the committee. Wherever female candidates are assessed a lady expert member should also be included in the committee.
8. These rules, along with the GPF and Contributory Pension Scheme of RGCB shall continue to be effective to the employees of RGCB who were in applicable service prior to 01.01.2004, along with the CHSS. In view of taking over of the Institute by the Government of India, these shall be legally binding on the Government of India, in respect of all applicable and entitled employees.

# **RULES FOR RECRUITMENT PROMOTION OF SCIENTISTS**

## **1. SHORT TITLE**

These rules shall be called The Rules for Recruitment and Assessment Promotion of Scientists in Rajiv Gandhi Centre for Biotechnology.

These rules shall apply to all positions included in the Scientist category.

## **2. APPOINTING AUTHORITY**

The Director shall be the appointing authority for all positions in the Scientists Category. However powers to create any permanent positions vests with the Governing Council in accordance with existing rules of Govt of India.

### **2.1 Age relaxation**

Notwithstanding anything contained in these rules above, following concessions in upper age limit will be allowed subject to the condition that the maximum age limit shall in no case exceed 50 years.

- 2.1.1 Upper age limit shall be raised by five years in case of candidates belonging to any of the Scheduled Castes or Scheduled Tribes and by three years in the case of candidates belonging to any of the Other Backward Classes.
- 2.1.2 Upper age limit will be relaxed in the case of ex-service men to the extend of the period of service put in by them in defence forces and the period of unemployment on discharge up to a maximum of five years.
- 2.1.3 Upper age limit will be raised up to 10 years in the case of physically handicapped persons. They should produce medical certificate from a medical officer in the State Government service not below the rank of Civil Surgeon Grade - II, to prove that they are physically handicapped.
- 2.1.4 Relaxation in age may be permitted by the Chairman of Governing Council at any stage of selection, if the Director of the Centre based on the recommendation of Screening Committee is of the opinion that sufficient number of candidates possessing the requisite qualification and/or experience are not likely to be available to fill up the posts.

- 2.1.5 The date for determining the age limit/experience/qualifications shall be the closing date prescribed for receipt of applications.
- 2.1.6 The period of experience in the requisite discipline area of work shall be counted with effect from the date of acquiring the prescribed minimum educational qualifications required for the grade.

### **3. APPOINTMENT OF SCIENTISTS**

- 3.1 Direct recruitment to all posts shall be made by inviting applications. The notification inviting applications shall be published in at least two national dailies, and also on the Institute's website. Reasonable time may be allowed to the prospective candidates to apply for the post.
- 3.2 The minimum qualification, experience and upper age limit for direct recruitment of scientists at all levels are given in Annexure II (C). Recruitment will be made into positions recommended by the Governing Council.
- 3.3 The Governing Council of RGCB has also allowed the institute to exercise the option if necessary, of receiving all new scientific faculty at appropriate levels on a five year contract or into the institute equivalent of Department of Biotechnology Ramalingaswami Fellowship with additional perks and benefits as suitably decided. Such Faculty Fellows will have all privileges of regular Faculty. They will have an assessment at the end of four years and need a minimum grade of "Very Good" to be considered for a further career at RGCB. On successful completion of this five year contract the scientist may then be placed in the appropriate pay band at the next higher level. These details are available in the institute orders issued in this regard. In addition, the Governing Council has also approved the creation of fast track contract paths for scientists on relatively higher pay with all appropriate allowance. These details are also available in the appropriate institute orders.
- 3.4 The Appointing Authority reserves the right to appoint selected candidates on any lower grade against the notification. However, placing of candidates in higher grades requires specific approval by the Governing Council.

### **4. SELECTION COMMITTEE FOR SCIENTISTS**

- 4.1 There shall be a Selection Committee consisting of at least 5 members for selection of candidates for scientific categories up to G. The Director of the Centre will be the Chairman of the Selection Committee. The Director may also nominate an external expert as Chairman. One senior Scientist of the Centre and at least three external experts nominated by the Director may constitute the Committee. The Controller of Administration or designated equivalent will be non-voting Secretary.

4.2 The quorum shall be five including the Chairperson.

4.3 Scientist Selection Committee:

4.3.1 Constitution of Selection Committee for making direct recruitment of Scientist - H and above shall be as follows.

The Chairman of the Governing Council	- Chairperson of the Selection Committee
At least Three External Experts (to be nominated by the Governing Council)	- Members
Director of the Institute	- Member Convenor

The Controller of Administration or designated equivalent will be non-voting Secretary.

The quorum for the meeting shall be five members including the chairperson and three of the experts.

4.3.2 Where the posts are reserved for SC/ST candidates or where SC/ST candidates are under consideration along with general category candidates for the post, a member of SC/ST community shall invariably be included in the Selection Committee.

4.3.3 For recruitment of Scientist-B and above up to Scientist - G, the Director of the Centre shall constitute the Screening Committee. The Chairman of the Governing Council shall constitute the Screening Committee for the selection of Scientist G and above. The Committee shall screen the applications for shortlisting the candidates to be called for discussion and further selection procedures. The set of applications and recommendations of the Screening Committee shall be sent to the Selection Committee. Approval for relaxation of age if any needed may be obtained from the Chairman of the Governing Council and sent to the Selection Committee if required.

4.3.4 The Screening Committee for screening the applications for making direct recruitment of scientists up to the level of Scientist - G shall be as follows.

- i. One or more Scientists from another national institute at the appropriate level nominated by the Director
- ii. One Scientist from the Institute at the appropriate level nominated by the Director.
- iii. The Director or his nominee

4.3.5 The Screening Committee for screening the applications for making direct recruitment of Scientist - H and above shall be as follows.

- i. Chairman of the Governing Council or his nominee
- ii. Director of another National Institution
- iii. The Director of the Centre

4.3.6 The date and time for holding the Selection Committee meetings shall be fixed by the Centre in consultation with the Chairperson of the Selection Committee. The letter of intimation to the shortlisted candidates for the interview shall be issued by the Centre.

4.3.7 The meeting of the Selection Committee shall be held at the Institute.

## **5. PROBATION**

Notwithstanding anything contained in these rules persons appointed as Scientist shall be on probation for a period of two years.

## **6. PAY**

- 6.1 The pay of a candidate selected for the post shall normally be fixed at the minimum of pay scale attached to the post. However advance increments if any could be recommended by the Selection Committee keeping in view the over all merit of the candidate. While doing so details of the achievements/exceptionally outstanding performance/work of the candidate should be specifically mentioned in the proceedings of the Selection Committee to establish the rationale and reasoning for the increments recommended.
- 6.2 Up to three advance increments as recommended by the Selection Committee may be granted by the Appointing Authority. Beyond three and up to a maximum five advance increments recommended by the Selection Committee may be granted by the Governing Council.
- 6.3 All Scientists in the Centre shall be liable to serve anywhere in India or abroad if necessary and applicable. The Director of the Centre is empowered to transfer any Scientist from the headquarters of a Centre to an extension/Field Centre and vice-versa.



## 7. MERIT ASSESSMENT PROMOTION FOR SCIENTISTS

- 7.1 Promotion of all scientists by these rules from one grade to the next higher grade shall be made on the basis of Flexible Complementing Scheme (FCS) On promotion of a Scientist from one grade to the next higher grade, the post held by him/her shall be upgraded automatically.
- 7.2 On assessment promotion, the promoted person carries the post with him and as and when he vacates the post, the vacancy shall be treated to have occurred at the lowest grade in the group and fresh recruitment shall be at that grade.
- 7.3 Promotion of all scientists governed by these rules shall be made on the basis of (i) the Annual Performance Assessment Reports (APAR) recorded for the years covered under the residency period and (ii) interview by the Assessment Committee.
- 7.4 The period spent on any deputation to a non-scientific post and the period of leave including leave on medical grounds, leave without salary, etc., availed on personal grounds shall not count towards the minimum residency period.
- 7.5 In case of permanent absorption of a Scientist on deputation in the same grade in the Centre's service from other Scientific Departments where Flexible Complementing Scheme is applicable, the entire service of that Scientist in the same grade including scientist who come on deputation to a higher grade in to the Centre's service and later permanently absorbed in the same grade in service, the period spent on deputation shall be counted for residency period for consideration for promotion to the next higher grade.
- 7.6 The system of Assessment Promotion from one Grade to the next higher Grade will be irrespective of the occurrence of vacancies in the higher Grade. This system envisages only career improvement and the sanctioned strength under each category (Group) of posts shall remain fixed.
- 7.7 The higher grade and scale of pay awarded to an employee shall be personal and it will revert itself to the sanctioned lower scale as soon as the incumbent ceases to hold the post.
- 7.8 Assessment promotion to the higher grade does not imply higher perks such as office space, telephone, furniture, stenographic assistance, etc. which will continue to depend upon functional and institutional needs subject to relevant instructions issued from time to time.

- 7.9 Assessment promotion shall not necessarily result in change of work pattern or higher supervisory status or power, though it does lead to an expectation of higher level of performance and output.
- 7.10 Assessment promotion shall be purely on merit and no employee can claim a higher Grade as a matter of right merely on the basis of length of service.
- 7.11 No appeal shall lie against the recommendation of the duly-constituted Assessment Committee.
- 7.12 For computation of service (i) service that counts for increment under the service rules of the Centre (ii) service rendered in pre-revised scale of pay of grade, and (iii) periods of leave including leave without allowances to the extent they count towards increment, shall count as service. In addition, the period of deputation in a post shall also be counted as service in that post if followed by absorption in the same post. But for reckoning the residency period in each post for the purpose of assessment promotion only the effective service in the post will be taken into account. However, periods of deputation in Government or Government controlled organisations, approved post doctoral programmes and other approved courses of study treated as duty also will be counted for the residency period.
- 7.13 The assessment shall be done twice a year for all those who have completed residency or extended residency on or before 31st December and 30th June.
- 7.14 An employee who is under suspension and/or against whom disciplinary proceedings are being contemplated or pending shall not be eligible for assessment until the disposal of such proceedings.
- 7.15 An employee who was not considered for assessment due to suspension or other disciplinary proceedings and was exonerated of the charges subsequently, shall be assessed at the first opportunity. Assessment promotion in such cases shall be given with prospective/retrospective effect as the Committee decides.
- 7.16 An employee who was punished as a consequence of disciplinary proceedings will be considered for assessment only after the effect of the period of punishment is over.
- 7.17 Assessment promotion awarded to an employee shall take effect from the due date in which he/she completes the prescribed period of qualifying service. However in respect of those who fails to qualify for promotion on first assessment, and qualified only on subsequent assessment their promotion will take effect only from the date on which he has completed the prescribed period required for the subsequent assessment.

- 7.18 Where an employee is promoted to a higher time scale, his/her pay will be fixed under the relevant rules of the Centre.
- 7.19 The Assessment Committee shall be competent to recommend additional increments in the higher scale in the case of exceptionally meritorious employees.
- 7.20 Scientists whose performance is rated as Excellent in Assessment Promotion Committee shall be eligible to draw incentives including upto two additional increments as specifically recommended by the Committee.
8. The Assessment Committees which are considering assessment of reserved categories shall where ever possible include and Expert of SC/ST category. If such an Expert is not available in the approved Panel of Experts, an outside member of SC/ST shall be associated as full-fledged member over and above the normal composition of the Committee.
9. All members of the Assessment Committee shall be a least one rank higher than experts for peer review, if feasible.
10. As far as possible, the Assessment Committee shall be constituted with experts other than experts who have done the peer review.
11. Since the interview by the Assessment Committee is integral to the assessment, no person shall be considered for assessment in absentia.

## **MODIFIED FLEXIBLE COMPLEMENTING SCHEME (FCS) FOR SCIENTIST PROMOTIONS 2014**

Approved by the RGCB Governing Council on September 12, 2013  
and RGCB Society General Body on November 18, 2013

- I. All promotion of scientists up to Grade Pay `10,000 shall be under the Flexible Complementing Scheme (vide DOPT Office Memorandum No. AB-14017/37/2008-Est (RR) dated September 10, 2010 and Office Memorandum No 14017/36/2011-Estt (RR) dated September 21, 2012).
- II. All the positions covered under FCS shall carry uniform pay bands/grade pay, designation and the minimum residency period linked to performance (Table 1).
- III. The academic promotion and tenure process (latter for Category 2 Scientists) also depends upon the faculty member's ability to document appropriate achievements in the classical three areas of academic career (Research & Scholarship, Teaching and Service); specifically to document that they have met or exceeded the guidelines for the relevant promotion. The responsibility to prove that academic promotion and/or tenure have been earned rests with the applicant. This documentation must be clear and unequivocal to relevant committees that scrutinize the application.
- IV. All Scientists will submit yearly Annual Performance Assessment Reports (APAR) in the format provided. On becoming due for promotion after the required residency period, the scientist will also submit a consolidated work report for the entire period in the format provided (Appendix 2). Both these sets of documents will be sent for external peer review (Appendix 3). The Scientist will have the right to view both the completed APAR and the Peer Review Reports. However, names of External Experts who did the peer review will not be disclosed.
- V. There shall be two levels for FCS assessment. The first one would involve examination by a Promotion Screening Committee of the APAR, consolidated work report, reviews given by the external experts and any other relevant documents.

Applications recommended by the Promotion Screening Committee only will be forwarded to the Promotion Assessment Committee, which will make the final decision on promotion (Appendix 4).

- VI. The Promotion Screening Committee will consist of the Director (or his nominee), a minimum of two Senior Scientists (who may be internal or external) and the Controller of Administration (or designated equivalent) as non-voting member secretary.
- VII. To be eligible for being considered for promotion by the Promotion Screening Committee in the minimum residency period, all Scientists B, C and E1 have to obtain in the APAR and Peer Review, the minimum benchmark of "GOOD" (Grade B). For Scientists E2 and above, a minimum of "VERY GOOD" (Grade A) is required for being recommended to the Promotion Assessment Committee. Recommendation of the Promotion Screening Committee will also be communicated to the concerned scientist.
- VIII. The Promotion Assessment Committee will have a majority of external experts (up to 7) and will also include the Director (or his nominee) as Chairman and Controller of Administration or a senior officer designated by the Director as a non-voting member-secretary.
- IX. A maximum of 100 marks will be allotted for the APAR (Table 2).
- X. The Promotion Assessment Committee after assessing submitted documents for Research Scholarship, Research Independence, Teaching and Service will hear a detailed presentation by the concerned scientist. The Promotion Assessment Committee will give a maximum of 200 marks. These details are explained in Table 3.
- XI. The minimum marks needed for promotion in the minimum residency period and subsequent years are shown in Table 4.

## GUIDELINES FOR PERFORMANCE EVALUATION

RGCB currently has four defined categories of scientists. These include

1. **Category 1:** Regular Core Faculty Scientists, Core Faculty Medical Scientists and Core Faculty Engineer Scientists. Scientists appointed under the Contract Career Path for Research Excellence also come in this category.

2. **Category 2:** Scientists on Tenure Track equivalent selected by duly appointed faculty selection committees (including Ramalingaswami Faculty Fellows, Ramanujam Faculty Fellows, INSPIRE Faculty Fellows and Welcome Trust Fellows)
3. **Category 3:** Scientists for research support services (core instrumentation facilities, core proteomics & genomics facilities, core diagnostic facilities, core pathology & microbiology services, etc)
4. **Category 4:** Post doctoral fellows, Visiting Scientists, Program Scientists and Research Scientists (including those with Young Scientist Grants and other similar grants from national funding agencies, intra mural and extra mural program support grants, etc)

Promotion procedures to be followed for the first three categories of scientists are defined below. Category 4 scientists will be assessed as per separate orders issued in this regard

## DEFINITIONS AND EXPECTATIONS FOR FCS BASED PROMOTION

The increasing diversity of faculty as well as the size and complexity of RGCB require that each of the three academic domains (Research & Scholarship, Teaching and Service) be more extensively described. Within each domain, promotion applicants must provide both qualitative and quantitative evidence that requirements for the requested promotion have been met or exceeded. Wherever possible, objective evidence of outcomes should be provided rather than mere lists of how time is allocated and subjective impressions of achievements.

### Research & Scholarship

Research & Scholarship is an integral and indispensable part of RGCB's mission to provide discovery and innovation. It is also the primary mandate of the institute. In keeping with broad definitions of this, RGCB expects faculty members to exhibit total commitment to expanding the understanding of disease biology and related sciences as well as by their teaching activities. As shown below, "research & scholarship" incorporates activities that expand, integrate, and disseminate knowledge, as well as the "discovery" scholarship of classical research.

RGCB faculty members undertake research and scholarship in an increasingly diverse spectrum of activities. Moreover simultaneously, increasing specialization can complicate articulating the value of specific research or scholarly work. All promotion applicants

should clarify the significance of their research and scholarly achievements such that colleagues from different academic backgrounds can also understand them.

Examples of activities in Research and Scholarship include but are not limited to:

- Conducting original research.
- Developing patents, devices, or procedures.
- Developing or testing clinical guidelines or similar techniques to improve clinical Services.
- Developing public policy, quality assurance standards for biotechnology or biomedical or plant science disciplines or conducting related studies/reviews.
- Publishing in top rated peer reviewed journals.
- Editing and writing for scientific books, journals, and other communications Media.
- Synthesizing knowledge in book chapters, monographs, and review articles.
- Describing cases, outcomes, or other events that contribute to the recognition and/or understanding of biotechnology and/or health problems.

Measures of the quality of research and scholarship include but are not limited to:

- Publication of original basic or applied science research in top rated professional journals and equivalent formats. The status of the journal and ranking of the applicant in multi-authored works will be taken into consideration. The significance of the work, for example by impact factor, citations or published commentary generated, should also be indicated.
- Publication of reviews, essays, book chapters, case reports and other publications on scientific topics in appropriate journals and other media.
- Award of grants or contracts as principal investigator from central government agencies, foundations, or other sources. Status of the award, stringency of peer-review, and other factors will be taken into consideration.

- Significant contributions as a co-investigator on major research projects leading to publications in appropriate journals. The collaborative efforts need to represent novel expertise as part of inter-disciplinary or trans-disciplinary research/scholarship programs. The specific expertise must be clearly delineated and a rationale for why the contribution is novel or particularly valuable must be documented.
- Presentation of research and other scholarly work at professional conferences, seminars or other gatherings (or equivalent electronic formats). The status of the venue, in particular the degree of peer-review for acceptance must be explained.
- Development of policy documents for a discipline and similar work that enhances the scientific basis on which public or private bodies make decisions related to biotechnology, health sciences, education, or other pertinent areas.
- Success as choice of research mentor leading to scholarly activities by PhD students, fellows/post doctoral trainees, and faculty members.

## TEACHING

Examples of teaching activities include but are not limited to:

- Instructing PhD students, medical and veterinary residents (if applicable) research fellows, undergraduate students, graduate students, and postgraduate trainees in classroom, laboratory, diagnostics (if applicable) or other environments.
- Advising, counseling, evaluating, and recruiting students, fellows and postdoctoral trainees.
- Presenting or leading continuing professional education programs.
- Presenting or leading faculty development activities.
- Developing curricula, organizing new teaching programs, substantially improving established courses or integrating teaching activities within or between departments.



- Developing or facilitating improvements in teaching techniques and methods of evaluation.
- Developing or substantially improving teaching resources such as syllabi, manuals, testing procedures, electronic resources, etc.

The self-assessment form requests quantitative information (such as specific courses taught, numbers and types of learners, length and format of instruction). Applicants should ensure that all relevant teaching activities are documented. If necessary, the significance of specific teaching activities should be clarified, as reviewers may not be familiar with the specific discipline or teaching program.

Measures of the quality of teaching must be provided. The Dean's office is expected to maintain systematic, anonymous, and standardized systems of teaching evaluation incorporating input from learners. Although these systems may be primarily designed to provide feedback and identify areas for faculty development, they also provide data that may be highly appropriate to document the quality of teaching. Measures of the quality of teaching include but are not limited to:

- Evidence of the effectiveness of teaching (e.g. objective evidence of learner gains in knowledge, skills and/or other outcome measures).
- Evaluation by learners.
- Teaching awards or other formal recognition of teaching excellence.
- Performance of learners on standardized internal exams.
- Learner and/or peer evaluation of educational materials, course management or other educational activities.
- Adoption of teaching methods or materials by other courses or institutions.
- Selection by other faculty members as a mentor for educational activities.

## SERVICE

RGCB recognizes two types of services, professional service and administrative service.

### **Professional Service:**

The diverse area of professional service includes contribution to institute development. Measures of both quantity and quality of activities are required and if necessary, applicants should provide brief descriptions to assist reviewers.

The significance of professional service in the forms of inclusion in task forces, committees and similar groups should be explained and the specific role of the applicant clarified.

Professional consulting services must have academic credibility and clear service intent and not be performed primarily for personal profit.

### **Examples of Professional Service include but are not limited to:**

- Services related to the development, management, evaluation, and improvement of biotechnology, agricultural science or clinical laboratory services.
- Service on committees related to biotechnology, agricultural science or clinical services.
- Other clinical, veterinary, agriculture and public health services.
- Service on committees related to the conduct of research.
- Professionally-related public or government service.
- External consulting or services (as defined in RGCB Consultancy Policy).

### **Academic Service:**

In academic service, the contribution to the academic community should be clearly documented. Names and dates of committees, task forces, or working groups should be provided. A concise description of the significance of the group and details on role of the applicant should be provided.

Examples of Academic Service include but are not limited to:

- Responsibility for scientific programs.
- Scientific consulting on a national or international basis.
- Review of manuscripts for professional journals and books.
- Member of an editorial board of a major scientific publication.
- Service on a national committee, study section or advisory group that substantially impacts biotechnology /health/scientific issues.
- Participation/leadership of professional organizations.
- Activities related to faculty & academic governance.
- Service on task forces, committees, and other groups of institute/state/country.
- Administrative responsibilities for various institute departments, units, etc.
- Organizational responsibility for student academic organizations (such as journal clubs, science clubs, etc.)
- Mentoring of junior colleagues.

## **CATEGORIES I AND 2: REGULAR CORE FACULTY SCIENTISTS AND TENURE TRACK SCIENTISTS**

### **1A. PROMOTION OF SCIENTIST B**

- i. Candidates must have made substantial contributions to a research program headed by a senior RGCB scientist as explained in Table 5.

- ii. Candidates must have an APAR and Peer Review grading of either A+ (excellent) or A (very good) or B (good) to be considered for promotion in the minimum residency period (3 years). Two years beyond the minimum residency period (i.e. after 5 years), a grading of C (average) will also be considered for short listing by the Promotion Screening Committee and further evaluation by the Promotion Assessment Committee. The definitions of these APAR grades are given in Table 2.

## **1B. PROMOTION OF SCIENTIST C AND E1**

- i. Candidates must have made substantial contributions to research programs evidenced by publishing high impact peer reviewed papers, obtaining extra-mural grants, obtaining patents, guiding PhD students, etc. as explained in Table 5.
- ii. Candidates must have an APAR and Peer Review grading of either A+ (excellent) or A (very good) or B (good) to be considered for promotion in the minimum residency period (4 years). Three years beyond the minimum residency period (i.e. after 7 years), a grading of C (average) will also be considered for short listing by the Promotion Screening Committee and further evaluation Promotion Assessment Committee. The definitions of these APAR grades are given in Table 2.

## **1C. PROMOTION OF SCIENTIST E2**

- ii. Candidates must have made substantial contributions to research programs evidenced by publishing high impact peer reviewed papers, obtaining extra-mural grants, obtaining patents, guiding PhD students, etc. as explained in Table 5.
- iii. Candidates must have an APAR and Peer Review grading of either A+ (excellent) or A (very good) to be promoted in the minimum residency period (5 years). For promotion of candidates beyond 2 years of the minimum residency period (i.e. after 7 years) a grading of B (good) will also be considered for short listing by the Promotion Screening Committee and further evaluation by Promotion Assessment Committee. The definitions of these APAR grades are given in Table 2.

## 1D. PROMOTION OF SCIENTIST F AND ABOVE

- i. Candidates must have made substantial contributions to research programs evidenced by publishing high impact peer reviewed papers, obtaining extra-mural grants, obtaining patents, guiding PhD students, etc. as explained in Table 5.
- ii. All Scientists F and above must have APAR and Peer Review grades A+ (excellent) or A (Very Good) to be considered for short listing by the Promotion Screening Committee and further evaluation by the Promotion Assessment Committee. The definitions of these grades are given in Table 2.

### **CATEGORY 3: SCIENTISTS FOR RESEARCH SUPPORT SERVICES (CORE INSTRUMENTATION FACILITIES, CORE PROTEOMICS & GENOMICS FACILITIES, CORE DIAGNOSTIC FACILITIES, CORE PATHOLOGY & MICROBIOLOGY SERVICES, etc.)**

To conduct high-quality state-of-the-art research, the institute need access to specialized core facilities and appropriately trained personnel. Hence organized and efficient core facilities are essential for researchers who seek to investigate complex translational research questions as well as for the institute to provide essential services, diagnostic and other support services for the public. These cores contain both sophisticated instruments critical for their function and more importantly must also have staff with expertise in operating the instruments, interpreting the data, and providing consultation on how best to use the resources to address distinct research questions. Presence of core facilities will also allow fostering a collaborative research environment at the institute center, which is crucial to interdisciplinary translational science.

To sustain and nourish the core facility it is critical that new career paths must be paved for those who manage or work in core facilities. Hence there shall be a distinct assessment process for scientists who run core and service facilities. Scientists in regular R&D work can opt to continue working as a core facility or service scientist should they choose so and demonstrate the working skills and qualities so needed

The duties and responsibilities of Core Facility or Service Scientist include:

1. Reports results, which are substantiated by the proper use of appropriate quality control systems.

2. Uses professional judgment and has an in-depth knowledge of laboratory techniques, scientific principles, quality control, and instrument maintenance.
3. Must recognize problems, identify causes and determine alternative methods and solutions.
4. Actively contributes to quality assurance activities and participates in proficiency testing.
5. Has section responsibility for quality control, instrument maintenance, procedure documentation as well as training and orientation for the section to which they are assigned.
6. Be able to also design and execute appropriate R&D programs.

The strengths of the Core Facility or Service Scientist that will be subject to assessment include:

1. Theoretical knowledge and technical skills in the core laboratory according to established laboratory standards.
2. Error recognition, and the ability to integrate and interpret analytical data and establish a course of action to solve problems.
3. Professionalism and ethical behavior.
4. Administrative skills consistent with philosophies of quality assurance and sustaining continuous quality.
5. Improvement in laboratory education, fiscal resource management, and appropriate composure under stressful conditions.
6. Safe laboratory practice to include maintenance of working environment.
7. Adherence to all safety rules and regulations, and appropriate test sample acquisition and handling.
8. Communication skills to ensure correct, effective, courteous and appropriate information transfer.

9. Business development skills and performance, as well as contribution to scientific knowledge by way of patents and peer reviewed publications.

## Assessment Procedure

1. All Service Scientists will submit a yearly APAR in the format shown in Appendix 5 and will at the end of the residency period submit a consolidated report for the residency period as per the headings given in Appendix 2.
2. Table 4 explains the marks needed for promotion in the various residency periods and Table 3 shows distribution of marks for assessment promotion. A duly constituted Assessment Committee will carry out the assessment as per the parameters explained above.
3. The Promotion Assessment Committee can also recommend upto two additional increments and other financial incentives for Scientists being promoted with an excellent performance.

**TABLE 1: PAY SCALES AND MINIMUM RESIDENCY PERIODS**

SL. No.	PAY & GRADE PAY	DESIGNATION	MINIMUM RESIDENCY PERIOD LINKED TO PERFORMANCE
1	PB-3 ( ` 15,600-39100) GRADE PAY: ` 5400/-	SCIENTIST B	THREE YEARS
2	PB-3 ( ` 15600 -39100) GRADE PAY: ` 6600/-	SCIENTIST C	FOUR YEARS
3	PB-3 ( ` 15600 – 39100) GRADE PAY: ` 7600/-	SCIENTIST E-I	FOUR YEARS
4	PB-4 ( ` 37400 – 67000) GRADE PAY: ` 8700/-	SCIENTIST E-II	FIVE YEARS
5	PB-4 ( ` 37400 – 67000) GRADE PAY: ` 8900/-	SCIENTIST F	FIVE YEARS
6	PB-4 ( ` 37400 – 67000) GRADE PAY: ` 10,000/-	SCIENTIST G	FIVE YEARS
<b>Note:</b> promotion from scientist G to scientist H will be as per vacancy and other norms prescribed by the department of biotechnology.			

**TABLE 2: PROMOTION MARKS BASED ON GRADES OBTAINED FOR APAR**

GRADE	GRADE DEFINITION	MARKS
A+	EXCELLENT	100
A	VERY GOOD	80
B	GOOD	60
C	AVERAGE	40
D	BELOW AVERAGE	20

**TABLE 3: DISTRIBUTION OF MARKS FOR PROMOTION ASSESSMENT**

SECTION	MAXIMUM MARK
APAR	100
PEER REVIEW BY EXTERNAL EXPERTS	100
EVALUATION BY PROMOTION ASSESSMENT COMMITTEE	200
<b>TOTAL</b>	<b>400</b>



**TABLE 4: PERCENTAGE OF MARKS NEEDED FOR ASSESSMENT PROMOTION AT THE MINIMUM RESIDENCY PERIOD AND THEREAFTER**

	Number of years in the grade					
	3	4	5	6	7	8 and more
Scientist B to Scientist C	75	65	55	50	40	40
Scientist C to Scientist EI		75	65	55	50	40
Scientist EI to Scientist EII		75	65	60	50	40
Scientist EII to Scientist F			75	70	60	50
Scientist F to Scientist G			75	70	65	60
Scientist G to Scientist H	As per DBT Rules and Regulations and subject to sanctioned positions					

**TABLE – 5**  
**RESEARCH FACULTY RANK SPECIFIC CRITERIA FOR FCS PROMOTION**

**SCIENTIST B AND C**

Key Characteristic	Requirement Guidelines
Research Scholarship	<p>Scholarly development evidenced by having made contributions to ongoing research programs at RGCB along with a record of peer-reviewed publications in which they are a primary/corresponding author and co-author. Publication record (quality &amp; quantity) must correlate with levels of extra mural and intramural funding available to the scientist, number of PhD students and other research personnel available in the research team as well infrastructural facilities in the institute.</p> <p>Participation in relevant academic or professional meetings.</p> <p>Good reviews of consolidated work report by external experts</p>
Research Independence	<p>Documented evidence of extramural funding and strong potential for development into an independent scientist and group leader.</p>
Teaching	<p>Evidence of substantial didactic teaching of PhD trainees and other students at any level within the context of one or more research fields.</p> <p>Good mentoring of PhD students and ensuring that such students' complete course in reasonable time with adequate peer reviewed publications.</p>
Service	<p>Institutional service expected</p>

**SCIENTIST EI**

Key Characteristic	Requirement Guidelines
Scholarship	<p>Strong local and national reputation on the basis of research productivity and contributions over years of service along with substantial record of very good peer-reviewed publications.</p> <p>Contributions as primary or corresponding author and as co-authors will be assessed separately.</p> <p>Special attention will be given to co-author publications from multi centre and multi disciplinary studies.</p> <p>Publication record (quality &amp; quantity) must correlate with levels of extra mural and intramural funding available to the scientist, number of PhD students and other research personnel available in the research team as well infrastructural facilities in the institute.</p> <p>Significant and sustained participation in relevant academic or professional meetings.</p> <p>Good reviews of consolidated work report by external experts</p>
Independence	Documented evidence of extramural funding and creation of strong productive research programs
Teaching	<p>A record of substantial didactic teaching of PhD trainees or students at any level within the context of one or more research fields</p> <p>Mentoring of postdoctoral fellows, junior research colleagues,</p> <p>Good mentoring of PhD students and ensuring that such students' complete course in reasonable time with adequate peer reviewed publications.</p>
Service	Institutional service expected.

**SCIENTISTS EII AND ABOVE**

Key Characteristic	Requirements
Scholarship	<p>Exemplary and sustained national &amp; international reputation &amp; achievements.</p> <p>Excellent high value peer reviewed publications and/or documented high value innovations/discoveries.</p> <p>Contributions as primary or corresponding author and as co-authors will be assessed separately.</p> <p>Special attention will be given to co-author publications from multi centre and multi disciplinary studies.</p> <p>Publication record (quality &amp; quantity) must correlate with levels of extra mural and intramural funding available to the scientist, number of PhD students and other research personnel available in the research team as well infrastructural facilities in the institute.</p> <p>Excellent or Very Good reviews of consolidated work report by external experts</p>
Independence	<p>Independent scholarship and independent sustained funding.</p>
Teaching	<p>A record of substantial didactic teaching of PhD trainees or students at any level within the context of one or more research fields Mentoring of postdoctoral fellows, junior research colleagues, Very good mentoring of PhD students and ensuring that such students' complete course in reasonable time with adequate peer reviewed publications.</p>
Service	<p>Institutional service expected.</p>

## ANNEXURE I A

### APPENDIX 1



**RAJIV GANDHI CENTRE FOR BIOTECHNOLOGY**

Poojappura, Thycaud PO, Thiruvananthapuram-695014

### **Annual Performance Assessment Report (APAR) For Scientists**

#### **INSTRUCTIONS**

1. This APAR format has 6 parts (Part I to Part VI)
2. Part I will be filled in by the Administration. The applicant has to complete Parts II, III and IV. Parts V and VI will be filled by the Reporting Officer.
3. The completed application will be sent to three external referees for peer review. Applicants can give a panel of three potential referees in the space provided from whom one will be selected. The other two will be from the institute's approved referees in the particular specialty/area of research of the applicant.
4. This format covering the period from 1st April to 31st March has to be submitted every year before 30th April by the Applicant.
5. Applicants are encouraged to get a soft copy of the format with data filled in Part I from the administration so that details can be typed in. Please use TIMES NEW ROMAN FONT 10 or 11. A print out (hard copy) and a soft copy on a CD of the completed application are to be submitted to the Office of the Director.



**RAJIV GANDHI CENTRE FOR BIOTECHNOLOGY**  
Poojappura, Thycaud PO, Thiruvananthapuram-695014

**Annual Performance Assessment Report (APAR)  
For Scientists**

**PART I**

(to be filled in by RGCB administration)

**REPORT FOR THE PERIOD: APRIL 1,..... TO MARCH 31, .....**

1. Name :
2. Age and Date of Birth :
3. Laboratory and Department :
4. Date of entry into RGCB service :
5. Present position (grade) and  
date of entry into grade :
6. Present pay scale and basic pay :
7. Total leave during reporting period  
(other than casual leave) :
8. Punishment (if any) imposed  
during this period :
9. Training if any undertaken :
10. Reporting Officer :
11. Reviewing Officer :

**PART II.**  
**Academic Qualifications and Employment Record**  
 (to be filled in by the Assessee)

**Academic Qualifications**

Degree in reverse order (highest degree first)	Class/Grade	University/Institution	Year	Scholarship/Award/ Rank/ Distinction

**Employment Record**

Name of position	Date of joining	Date of leaving/ promotion	Pay	Job description


Note: Use additional sheets if necessary

**Details of specialized training if any during the period being reported (excluding post doctoral fellowships and visiting professorship/visiting scientist positions)**

Names of training programs, duration, venue, benefits achieved, etc



**Names of three referees who can assess the scientific merit of the work (should not be collaborators or co-investigators or relatives and should be active in the general area of work). The assessment form will be sent to three independent referees, of whom one will be from the panel given below**

No	Name and Designation	Full official address	Email	Phone numbers
1				
2				
3				

### **PART III**

#### **Self-Assessment of Performance**

##### **PART III-A: DETAILS ON PUBLICATIONS AS FIRST OR CORRESPONDING AUTHOR**

SL. No	TITLE OF PUBLICATION	AUTHORS	NAME OF JOURNAL	VOLUME, YEAR & PAGE NUMBERS	IMPACT FACTOR

**PART III-B: DETAILS ON PUBLICATIONS AS CO-AUTHOR**

SL. No	TITLE OF PUBLICATION	AUTHORS	NAME OF JOURNAL	VOLUME, YEAR & PAGE NUMBERS	IMPACT FACTOR

**PART III-C: DESCRIPTION OF TEACHING DUTIES, ACADEMIC PROGRAMS AND OTHER INSTITUTIONAL SERVICES RENDERED****Faculty's Teaching Accomplishments**

1.	List teaching and development of courses for PhD students and any other students including individual or group supervision.
2.	List teaching activities (include information on time spent) related to PhD students and any other students in individual group supervision, including preceptorship.

3.	List any other teaching activities during the year, including continuing biotechnology or medical presentations; outreach or community education, honors/awards.
4.	Current mentoring or advising activities, including students (PhD and Post Doctoral Fellows) advising, students or fellows who conducted research under your direction, post doctoral fellows, staff and faculty.

#### Institutional Services rendered


#### PART III-D: OTHER INDICES OF PROGRESS

No	DESCRIPTION
1	New peer reviewed projects/grants sanctioned in the assessment year as Principal Investigator (name of grant, funding agency, duration, total amount)
2	New peer reviewed projects sanctioned as Co-investigator (name of grant, name of PI, funding agency, duration, total amount)

3	Business development (industry funded grants, consultancy, etc) (name of grant, name of PI, funding agency, duration, total amount)
4	Indian patents filed (name of patent, list of inventors, other stake holders, filing agency, file number)
5	International patents filed (name of patent, list of inventors, other stake holders, filing agency, file number)
6	National patents granted (name of patent, list of inventors, other stake holders, granting agency, patent number)
7	International patents granted (name of patent, list of inventors, other stake holders, granting agency, patent number)
8	Technology transfer/commercialization (complete details including description of technology, transferred to which agency, terms of transfer, royalty, etc)
9	Presentations at National Conferences (details on title of talk, name of meeting, organizers, place and dates)
10	Invited Presentations at National Conferences (details on title of talk, name of meeting, organizers, place and dates)
11	Chairing Session at National Conferences (details on name of meeting, session chaired, organizers, place and dates)
12	Presentations at International Conferences (details on title of talk, name of meeting, organizers, place and dates)

13	Invited presentations at International Conferences (details on title of talk, name of meeting, organizers, place and dates)
14	Chairing session at International Conferences (details on name of meeting, session chaired, organizers, place and dates)
15	Chapters in listed Text Books (National) as first or corresponding author (name of chapter, list of authors, page numbers, name of text book, publishers)
16	Chapters in listed Text Books (National) as co-author (name of chapter, list of authors, page numbers, name of text book, publishers)
17	Chapters in listed Text Books (International) as first or corresponding author (name of chapter, list of authors, page numbers, name of text book, publishers)
18	Chapters in listed Text Books (International) as co-author (name of chapter, list of authors, page numbers, name of text book, publishers)
19	National Academy Fellowships (FNA, FASc, FNASc, FNAMS)
20	National Awards (Category 1 inclusive of SS Bhatnagar, BC Roy, Ranbaxy, Distinguished Biotechnologist)
21	National Awards (Category 2 inclusive of DBT awards, Bioscience, Innovation, Women Biotechnologist, ICMR awards)
22	Other peer reviewed awards for research by recognized bodies/societies

23	Editorial Board of National indexed Journals
24	Editorial Board of International indexed Journals
25	Peer reviewed Post doctoral fellowships/ visiting professorship
26	Best Presentation award by scientist (national meetings) (details on title of presentation, name of meeting, organizers, place and dates)
27	Best Presentation award by Student (National meeting) (details on title of presentation, name of meeting, organizers, place and dates)
28	Best Presentation award by Scientist (International meeting) (details on title of presentation, name of meeting, organizers, place and dates)
29	Best Presentation award by Student (International meeting) (details on title of presentation, name of meeting, organizers, place and dates)
30	Human Resource Development (PhD awards for students) (Name of student, date of award, title of thesis, University)
31	National Task Force/National Evaluation Committee/University Boards. Research Councils of National or State Institutions
32	Any other information

## PART IV

### Work Report for the Current Period

(To be filled up by the Assessee)

(Use separate sheet for multiple projects)

1. Title of Study/ Project :
2. Project Leader/ PI :
3. Co-Investigators/ Collaborator :
4. Funding Agency, Duration and Amount :
5. Date of starting work :
6. Envisaged date of completion :
7. Objectives :
8. Methodology used to address objectives :
9. Milestones achieved :
10. Summary of work (in 200 words) :



**PART V****Assessment by the Reporting Officer**

(Director for all Scientists in Categories 1, 2 and 3)

(Entries graded as outstanding\* or below average\* should be justified on an additional sheet)

1. **Relevance of the Scientist's research programs and its contribution to the development of the institute in opinion of the reporting officer (Director)**

☐

Outstanding\*

☐

Very good

☐

Good

☐

Average

☐

Below Average\*

2. **Quality of output in the opinion of the reporting officer (Director):** The quality of performance output as reflected in number and quality of publications in regard to type of research work, program objectives, constraints, funding available and infrastructure access.

☐

Outstanding\*

☐

Very good

☐

Good

☐

Average

☐

Below Average\*

3. **Ability to generate extramural funding inclusive of industry sponsored grants/consultancies.**

☐

Outstanding\*

☐

Very good

☐

Good

☐

Average

☐

Below Average\*

4. **Contribution to teaching, commitment and involvement in PhD course work and other RGC B academic programs**

<input type="checkbox"/> Outstanding*	<input type="checkbox"/> Very good	
<input type="checkbox"/> Good	<input type="checkbox"/> Average	<input type="checkbox"/> Below Average*

5. **Commitment to begin new academic programs, training programs and intensity of participation in such development programs for the institute.**

<input type="checkbox"/> Outstanding*	<input type="checkbox"/> Very good	
<input type="checkbox"/> Good	<input type="checkbox"/> Average	<input type="checkbox"/> Below Average*

6. **Knowledge of functions, rules and regulations, related instructions and their applications.**

<input type="checkbox"/> Outstanding*	<input type="checkbox"/> Very good	
<input type="checkbox"/> Good	<input type="checkbox"/> Average	<input type="checkbox"/> Below Average*

7. **Analytical Ability** (the Officer's ability relating to analysis of pros and cons, formulation of alternatives and their evaluation for solving problems, ability to indicate decision areas)

<input type="checkbox"/> Outstanding*	<input type="checkbox"/> Very good	
<input type="checkbox"/> Good	<input type="checkbox"/> Average	<input type="checkbox"/> Below Average*

8. **Communication Skill** (the Officer's ability to communicate with brevity, clarity and accuracy, both orally and in writing)

<input type="checkbox"/> Outstanding*	<input type="checkbox"/> Very good	
<input type="checkbox"/> Good	<input type="checkbox"/> Average	<input type="checkbox"/> Below Average*

9. **Initiative** (Capacity and resourcefulness of the Officer in handling normal as well as unforeseen situations, willingness to take additional responsibilities and new areas of work)

<input type="checkbox"/> Outstanding*	<input type="checkbox"/> Very good	
<input type="checkbox"/> Good	<input type="checkbox"/> Average	<input type="checkbox"/> Below Average*

10. **Attitude to work** (How far the Officer can be relied upon his/her sense of responsibility, the extent to which he/she is dedicated and motivated, his/her willingness to learn)

<input type="checkbox"/> Outstanding*	<input type="checkbox"/> Very good	
<input type="checkbox"/> Good	<input type="checkbox"/> Average	<input type="checkbox"/> Below Average*

11. **Ability to inspire and motivate** (Capacity of the Officer to motivate, to obtain willing support by own conduct and capacity to inspire confidence)

<input type="checkbox"/> Outstanding*	<input type="checkbox"/> Very good	
<input type="checkbox"/> Good	<input type="checkbox"/> Average	<input type="checkbox"/> Below Average*

12. **Supervisory Ability** (The officer's ability relating to guidance and motivation in the performance and achievement of tasks given to juniors, students, etc.)

<input type="checkbox"/> Outstanding*	<input type="checkbox"/> Very good	
<input type="checkbox"/> Good	<input type="checkbox"/> Average	<input type="checkbox"/> Below Average*

13. **Maintaining discipline**

<input type="checkbox"/> Outstanding*	<input type="checkbox"/> Very good	
<input type="checkbox"/> Good	<input type="checkbox"/> Average	<input type="checkbox"/> Below Average*

14. **Inter-personal relations and team work** (capacity to work as a member of a team and to promote team spirit and optimize output of the team)

<input type="checkbox"/> Outstanding*	<input type="checkbox"/> Very good	
<input type="checkbox"/> Good	<input type="checkbox"/> Average	<input type="checkbox"/> Below Average*

15. **Quality of relationships**(with superiors, colleagues and subordinates; the ability to appreciate other's point of view and take advice in the proper spirit.)

<input type="checkbox"/> Outstanding*	<input type="checkbox"/> Very good	
<input type="checkbox"/> Good	<input type="checkbox"/> Average	<input type="checkbox"/> Below Average*

**16. Attitude towards SCs/STs/Weaker Sections of Society**

<input type="checkbox"/> Outstanding*	<input type="checkbox"/> Very good	
<input type="checkbox"/> Good	<input type="checkbox"/> Average	<input type="checkbox"/> Below Average*

**17. Aptitude to the profession and potential for career development**

<input type="checkbox"/> Outstanding*	<input type="checkbox"/> Very good	
<input type="checkbox"/> Good	<input type="checkbox"/> Average	<input type="checkbox"/> Below Average*

**18. Decision making abilities** (the quality of decision making and on ability to weigh pros and cons of alternatives)

<input type="checkbox"/> Outstanding*	<input type="checkbox"/> Very good	
<input type="checkbox"/> Good	<input type="checkbox"/> Average	<input type="checkbox"/> Below Average*

**19. Ability to redress grievances** (both internal and external)

<input type="checkbox"/> Outstanding*	<input type="checkbox"/> Very good	
<input type="checkbox"/> Good	<input type="checkbox"/> Average	<input type="checkbox"/> Below Average*

20. **Planning and Coordinating ability** (whether the officer can anticipate problems, work needs, and plan accordingly and is able to provide for contingencies)

☐

Outstanding\*

☐

Very good

☐

Good

☐

Average

☐

Below Average\*

Any other remarks or comments to be noted in the APAR for communication to the Promotion Assessment Committee and retained in personal file (use additional space behind, if needed)

-----  
Signature of Reporting Officer

**PART VI****General**

(To be filled up by the Reporting Officer)

**1. State of health**☐

Satisfactory

☐

Not Satisfactory (provide necessary explanation)

**2. Integrity**☐

Certified

☐

Cannot be certified (provide necessary explanation)

-----  
Signature of Reporting Officer

**3. General assessment**

Final overall grading may be given based on the separate grading given to 20 items in the APAR applying the points as given below:-

Grading	Points	No. of Separate Gradings	Total Points
Outstanding	5		
Very good	4		
Good	3		
Average	2		
Below Average	1		
Total			

90 - 100 points	-	Outstanding
70 - 89 points	-	Very good
50 - 69 points	-	Good
30 - 49 points	-	Average
Below 30 points	-	Below average

4. Grading (Outstanding\*/Very Good/Good/Average/ Below Average\*)

***(An officer should not be graded Outstanding\* unless exceptional qualities and performance have been noticed. Similarly, a grading of Below Average\* must be justified adequately. Grounds for giving either of these gradings, should be clearly brought out on an additional sheet)***

.....

.....

.....

.....

.....

Place : Signature of Reporting Officer

Date :

Name in Block Letters .....

Designation during the  
Period of report (with Seal) .....



**APPENDIX 2**  
**CONSOLIDATED WORK REPORT FOR THE RESIDENCY PERIOD**  
..... TO .....

**TO BE SUBMITTED ONLY WHEN DUE FOR**  
**ASSESSMENT PROMOTION**

1. Name of Scientist:
2. Present Grade (B, C, EI, EII, F or G):
3. Year of entry into present grade:
4. Extra mural funding received during residency period

No.	Name of Grant	Funding Agency	PI or Co-PI	Year	Actual Amount of Grant available for Research

5. Intra mural funding received during residency period

Year	Money for Consumables	Money for Equipment	Any other support money	Total for the Year

6. Titles of specific projects/work being reported:

7. Publications as first or corresponding author in the residency period

SL. NO.	TITLE OF PUBLICATION	AUTHORS	NAME OF JOURNAL	VOLUME, YEAR & PAGE NUMBERS	IMPACT FACTOR

8. Publications as Co-Author in the residency period

SL. NO.	TITLE OF PUBLICATION	AUTHORS	NAME OF JOURNAL	VOLUME, YEAR & PAGE NUMBERS	IMPACT FACTOR

9. Patents awarded if any in the residency period (give details including financial support and its source for patent procedures, file number, type of patent, etc.)

10. Strength of laboratory

Number of Post Docs	Number of PhD Students	No. of Research Fellows	No of Support Staff

11. Number of PhDs produced in the report period:
12. DESCRIPTION OF TEACHING DUTIES, ACADEMIC PROGRAMS AND OTHER INSTITUTIONAL SERVICES RENDERED

Faculty's Teaching Accomplishments

List teaching and development of courses for PhD students and any other students including individual or group supervision.

List teaching activities (include information on time spent) related to PhD students and any other students in individual group supervision, including preceptorship.

List any other teaching activities during the year, including continuing biotechnology or medical presentations; outreach or community education, honors/awards.

Current mentoring or advising activities, including students (PhD and Post Doctoral Fellows) advising, students or fellows who conducted research under your direction, post doctoral fellows, staff and faculty.

Institutional Services rendered


13. Details of work done in the residency period (on the projects stated in No.6)  
(Maximum 1000 words per project/title)

Project/Work title:

Collaborators/Co-Investigator (if any):

Specific role of Collaborator/Co-Investigator:

Description of Work:

(Working hypothesis, objectives, methodology, results and significance) (1000 words maximum)

14. Any other relevant information

Signature with date

### APPENDIX 3

#### PEER REVIEW OF CONSOLIDATED WORK REPORT SUBMITTED BY EXTERNAL REVIEWER

Please provide a score on a scale 1 (lowest) to 5 (highest)

No	ACTIVITY	POINTS (MAXIMUM - 25)
1	Overall scientific quantity and quality of research work described in work report	
2	Working hypothesis, methodology used for the work and to attain proposed objectives	
3	Anticipated or expected results obtained, quality of data interpretation and drawing conclusions	
4	Quality and Quantity of publications produced from the work described taking into consideration the funds available, number of PhD students and other research personnel	
<b>TOTAL (MAXIMUM – 100)</b>		

Key for total points
20 or below = Below Average*
21-39 = Average
40- - 59 = Good
60-79 = Very Good
80 or above = Excellent*

\*: Needs justification (on reverse side)

Any specific suggestions or comments you may have regarding this work report or the nature of the research described (use reverse side of this page or attach separate sheet if needed)

Name of the reviewer will be kept strictly confidential

Signature of Reviewer : -----

Name of Reviewer : -----

Designation and Address : -----

-----

-----

Specific suggestions or comments (please sign at end of report)

**APPENDIX 4****RAJIV GANDHI CENTRE FOR BIOTECHNOLOGY**

Poojappura, Thycaud PO, Thiruvananthapuram-695 014

**SCIENTIST PROMOTIONS****REPORT OF THE PROMOTIONS ASSESSMENT COMMITTEE**

Sl. No.	PARAMETER	MAXIMUM MARKS	ACTUAL MARKED SCORED
1	APAR Score	100	
2	Peer Review of Work	100	
3	<p>Overall evaluation of the Promotion Assessment Committee on:</p> <p>The applicants research work, its design, overall scientific quantity and quality of research work.</p> <p>Generation of extra mural grants.</p> <p>Contribution to teaching PhD course work.</p> <p>Quality and quantity of publications (taking into consideration area of work, resources available, grant funding, number of PhD students, post docs and other research personnel).</p> <p>Communication skills, attitude, analytical ability.</p> <p>Contribution to institute development.</p>	200	
		400	

## APPENDIX 5



**RAJIV GANDHI CENTRE FOR BIOTECHNOLOGY**

Poojappura, Thycaud PO, Thiruvananthapuram-695 014

### **ANNUAL PERFORMANCE ASSESSMENT REPORT (APAR) FOR SERVICE/CORE FACILITY SCIENTISTS**

#### **INSTRUCTIONS**

1. This APAR format has 5 parts (Part I to Part V)
2. Part I will be filled in by the Administration. The applicant has to complete Parts II and III. Parts IV and V will be filled by the Reporting Officer.
3. The completed application will be sent to three external referees for peer review. Applicants can give a panel of three potential referees in the space provided from whom one will be selected. The other two will be from the institute's approved referees in the particular specialty/area of research of the applicant.
4. This format covering the period from 1st April to 31st March has to be submitted every year before 30th April by the Applicant.
5. Applicants are encouraged to get a soft copy of the format with data filled in Part I from the administration so that details can be typed in. Please use TIMES NEW ROMAN FONT 10 or 11. A print out (hard copy) and a soft copy on a CD of the completed application are to be submitted to the Office of the Director.





## RAJIV GANDHI CENTRE FOR BIOTECHNOLOGY

Poojappura, Thycaud PO, Thiruvananthapuram-695 014

### ANNUAL PERFORMANCE

#### ASSESSMENT REPORT FOR SERVICE/CORE FACILITY SCIENTISTS

##### PART I

(to be filled in by RGCB administration)

REPORT FOR THE PERIOD: APRIL 1, ..... TO MARCH 31, .....

1. Name :
2. Age and Date of Birth :
3. Laboratory and Department :
4. Date of entry into RGCB service :
5. Present position (grade)  
and date of entry into grade :
6. Present pay scale and basic pay :
7. Total leave during reporting period :  
(other than casual leave)
8. Punishment (if any)  
imposed during this period :
9. Training if any undertaken :

10. Reporting Officer :

11. Reviewing Officer :

## PART II

### ACADEMIC QUALIFICATIONS AND EMPLOYMENT RECORD

(to be filled in by the Assesse)

#### Academic Qualifications

Degree in reverse order (highest degree first)	Class/ Grade	University/ Institution	Year	Scholarship/ Award/ Rank/ Distinction

#### Employment Record

Name of position	Date of joining	Date of leaving/ promotion	Pay	Job description

Note: Use additional sheets if necessary

Details of specialized training if any during the period being reported (excluding post doctoral fellowships and visiting professorship/visiting scientist positions)

Names of training programs, duration, venue, benefits achieved, etc.

Names of three referees who can assess the scientific merit of the work (should not be collaborators or co-investigators or relatives and should be active in the general area of work). The assessment form will be sent to three independent referees, of whom one will be from the panel given below

No	Name and Designation	Full official address	Email	Phone numbers
1				
2				
3				

## PART III SELF-ASSESSMENT OF PERFORMANCE

### PART III-A : INDICATORS OF PERFORMANCE/PROGRESS

(Please complete details below)

1	Assessing, designing, evaluating and implementing new laboratory test methods.
2	Evaluating the appropriateness of existing and new laboratory methods for research/clinical utility, cost-effectiveness and cost-benefit analysis.
3	Developing, implementing, and reporting results of research based on laboratory services research. (i.e. within the context of cost, quality, and access) as well as designing and implementing cost-effective delivery models for clinical/service laboratories, including their services and personnel.
4	Business Development, if any
5	<p>Developing and implementing a comprehensive Quality Management System to including:</p> <p>A. Quality control and assurance of clinical laboratory testing services;</p> <p>B. Competency assessment of personnel,</p> <p>C. Integration with other aspects of the institutes research program for ensuring appropriate utilization of clinical laboratory testing services.</p> <p>D. Continuous process improvement activities to maximize human resources.</p>
6	Details of any academic activity including teaching and training programs, mentoring, academic courses, research reports and publications, etc.
7	Any other indicators of progress

**PART III-B : OTHER INDICES OF PERFORMANCE/PROGRESS**

No	DESCRIPTION
1	New peer reviewed projects/grants sanctioned in the assessment year as Principal Investigator (name of grant, funding agency, duration, total amount)
2	New peer reviewed projects sanctioned as Co-investigator (name of grant, name of PI, funding agency, duration, total amount)
3	Business development (industry funded grants, consultancy, etc.) (name of grant, name of PI, funding agency, duration, total amount)
4	Indian patents filed (name of patent, list of inventors, other stake holders, filing agency, file number)
5	International patents filed (name of patent, list of inventors, other stake holders, filing agency, file number)
6	National patents granted (name of patent, list of inventors, other stake holders, granting agency, patent number)
7	International patents granted (name of patent, list of inventors, other stake holders, granting agency, patent number)
8	Technology transfer/commercialization (complete details including description of technology, transferred to which agency, terms of transfer, royalty, etc.)
9	Presentations at National Conferences (details on title of talk, name of meeting, organizers, place and dates)

10	Invited Presentations at National Conferences (details on title of talk, name of meeting, organizers, place and dates)
11	Chairing Session at National Conferences (details on name of meeting, session chaired, organizers, place and dates)
12	Presentations at International Conferences (details on title of talk, name of meeting, organizers, place and dates)
13	Invited presentations at International Conferences (details on title of talk, name of meeting, organizers, place and dates)
14	Chairing session at International Conferences (details on name of meeting, session chaired, organizers, place and dates)
15	Chapters in listed Text Books (National) as first or corresponding author (name of chapter, list of authors, page numbers, name of text book, publishers)
16	Chapters in listed Text Books (National) as co-author (name of chapter, list of authors, page numbers, name of text book, publishers)
17	Chapters in listed Text Books (International) as first or corresponding author (name of chapter, list of authors, page numbers, name of text book, publishers)
18	Chapters in listed Text Books (International) as co-author (name of chapter, list of authors, page numbers, name of text book, publishers)
19	Awards for research by recognized bodies/societies
20	Any other information

**PART III-C : DESCRIPTION OF TEACHING DUTIES, ACADEMIC PROGRAMS  
AND OTHER INSTITUTIONAL SERVICES RENDERED**

## Faculty's Teaching Accomplishments

1. List teaching and development of courses for PhD students and any other students including individual or group supervision.

2. List teaching activities (include information on time spent) related to PhD students and any other students in individual group supervision, including preceptorship.

3. List any other teaching activities during the year, including continuing biotechnology or medical presentations; outreach or community education, honors/awards.

4. Current mentoring or advising activities, including students (PhD and Post Doctoral Fellows) advising, students or fellows who conducted research under your direction, post doctoral fellows, staff and faculty.

Institutional Services rendered

**PART- IV****ASSESSMENT BY THE REPORTING OFFICER**

(Director for all Scientists in categories 1, 2 and 3)

(Entries graded as outstanding\* or below average\* should be justified on an additional sheet)

1. **Relevance of the Scientist's research programs and its contribution to the development of the institute in opinion of the reporting officer (Director)**

<input type="checkbox"/> Outstanding*	<input type="checkbox"/> Very good	
<input type="checkbox"/> Good	<input type="checkbox"/> Average	<input type="checkbox"/> Below Average*

2. **Quality of output in the opinion of the reporting officer (Director):** The quality of performance output as reflected in the services provided, newer developments, IPR produced, business development, publications and reports, etc.

<input type="checkbox"/> Outstanding*	<input type="checkbox"/> Very good	
<input type="checkbox"/> Good	<input type="checkbox"/> Average	<input type="checkbox"/> Below Average*

3. **Ability to generate extramural funding inclusive of industry sponsored grants/consultancies.**

<input type="checkbox"/> Outstanding*	<input type="checkbox"/> Very good	
<input type="checkbox"/> Good	<input type="checkbox"/> Average	<input type="checkbox"/> Below Average*



4. **Contribution to teaching, commitment and involvement in PhD course work and other RGC B academic programs**

<input type="checkbox"/> Outstanding*	<input type="checkbox"/> Very good	
<input type="checkbox"/> Good	<input type="checkbox"/> Average	<input type="checkbox"/> Below Average*

5. **Commitment to begin new academic programs, training programs and intensity of participation in such development programs for the institute.**

<input type="checkbox"/> Outstanding*	<input type="checkbox"/> Very good	
<input type="checkbox"/> Good	<input type="checkbox"/> Average	<input type="checkbox"/> Below Average*

6. **Knowledge of functions, rules and regulations, related instructions and their applications.**

<input type="checkbox"/> Outstanding*	<input type="checkbox"/> Very good	
<input type="checkbox"/> Good	<input type="checkbox"/> Average	<input type="checkbox"/> Below Average*

7. **Analytical Ability** (the Officer's ability relating to analysis of pros and cons, formulation of alternatives and their evaluation for solving problems, ability to indicate decision areas)

<input type="checkbox"/> Outstanding*	<input type="checkbox"/> Very good	
<input type="checkbox"/> Good	<input type="checkbox"/> Average	<input type="checkbox"/> Below Average*

8. **Communication Skill** (the Officer's ability to communicate with brevity, clarity and accuracy, both orally and in writing)

<input type="checkbox"/> Outstanding*	<input type="checkbox"/> Very good	
<input type="checkbox"/> Good	<input type="checkbox"/> Average	<input type="checkbox"/> Below Average*

9. **Initiative** (Capacity and resourcefulness of the Officer in handling normal as well as unforeseen situations, willingness to take additional responsibilities and new areas of work)

<input type="checkbox"/> Outstanding*	<input type="checkbox"/> Very good	
<input type="checkbox"/> Good	<input type="checkbox"/> Average	<input type="checkbox"/> Below Average*

10. **Attitude to work** (How far the Officer can be relied upon his/her sense of responsibility, the extent to which he/she is dedicated and motivated, his/her willingness to learn)

<input type="checkbox"/> Outstanding*	<input type="checkbox"/> Very good	
<input type="checkbox"/> Good	<input type="checkbox"/> Average	<input type="checkbox"/> Below Average*

11. **Ability to inspire and motivate** (Capacity of the Officer to motivate, to obtain willing support by own conduct and capacity to inspire confidence)

<input type="checkbox"/> Outstanding*	<input type="checkbox"/> Very good	
<input type="checkbox"/> Good	<input type="checkbox"/> Average	<input type="checkbox"/> Below Average*

12. **Supervisory Ability** (The officer's ability relating to guidance and motivation in the performance and achievement of tasks given to juniors, students, etc.)

<input type="checkbox"/> Outstanding*	<input type="checkbox"/> Very good	
<input type="checkbox"/> Good	<input type="checkbox"/> Average	<input type="checkbox"/> Below Average*

13. **Maintaining discipline**

<input type="checkbox"/> Outstanding*	<input type="checkbox"/> Very good	
<input type="checkbox"/> Good	<input type="checkbox"/> Average	<input type="checkbox"/> Below Average*

14. **Inter-personal relations and team work** (capacity to work as a member of a team and to promote team spirit and optimize output of the team)

<input type="checkbox"/> Outstanding*	<input type="checkbox"/> Very good	
<input type="checkbox"/> Good	<input type="checkbox"/> Average	<input type="checkbox"/> Below Average*

15. **Quality of relationships** (with superiors, colleagues and subordinates; the ability to appreciate other's point of view and take advice in the proper spirit.)

<input type="checkbox"/> Outstanding*	<input type="checkbox"/> Very good	
<input type="checkbox"/> Good	<input type="checkbox"/> Average	<input type="checkbox"/> Below Average*

**16. Attitude towards SCs/STs/Weaker Sections of Society**

- |                                       |                                    |   |
|---------------------------------------|------------------------------------|---|
| <input type="checkbox"/> Outstanding* | <input type="checkbox"/> Very good |   |
| <input type="checkbox"/> Good         | <input type="checkbox"/> Average   | <input type="checkbox"/> Below Average* |

**17. Aptitude to the profession and potential for career development**

- |                                       |                                    |   |
|---------------------------------------|------------------------------------|---|
| <input type="checkbox"/> Outstanding* | <input type="checkbox"/> Very good |   |
| <input type="checkbox"/> Good         | <input type="checkbox"/> Average   | <input type="checkbox"/> Below Average* |

**18. Decision making abilities** (the quality of decision making and on ability to weigh pros and cons of alternatives)

- |                                       |                                    |   |
|---------------------------------------|------------------------------------|---|
| <input type="checkbox"/> Outstanding* | <input type="checkbox"/> Very good |   |
| <input type="checkbox"/> Good         | <input type="checkbox"/> Average   | <input type="checkbox"/> Below Average* |

**19. Ability to redress grievances** (both internal and external)

- |                                       |                                    |   |
|---------------------------------------|------------------------------------|---|
| <input type="checkbox"/> Outstanding* | <input type="checkbox"/> Very good |   |
| <input type="checkbox"/> Good         | <input type="checkbox"/> Average   | <input type="checkbox"/> Below Average* |

20. **Planning and Coordinating ability** (whether the officer can anticipate problems, work needs, and plan accordingly and is able to provide for contingencies)

☐

Outstanding\*

☐

Very good

☐

Good

☐

Average

☐

Below Average\*

Any other remarks or comments to be noted in the APAR for communication to the Promotion Assessment Committee and retained in personal file (use additional space behind, if needed)

-----  
Signature of Reporting Officer

## PART-V GENERAL

( To be filled up by the Reporting Officer)

1. **State of Health**

☐

Satisfactory

☐

Not Satisfactory (provide necessary explanation)

2. **Integrity**

☐

Certified

☐

Cannot be certified (provide necessary explanation)

3. **General assessment**

Final overall grading may be given based on the separate grading given to 20 items in the APAR Part V applying the points as given below:-

Grading	Points	No. of Separate Gradings	Total Points
Outstanding	5		
Very good	4		
Good	3		
Average	2		
Below Average	1		
<b>Total</b>			

90 - 100 points	-	Outstanding
70 - 89 points	-	Very good
50 - 69 points	-	Good
30 - 49 points	-	Average
Below 30 points	-	Below average

4. Grading (Outstanding\*/Very Good/Good/Average/ Below Average\*)

***(An officer should not be graded Outstanding\* unless exceptional qualities and performance have been noticed. Similarly, a grading of Below Average\* must be justified adequately. Grounds for giving either of these gradings, should be clearly brought out on an additional sheet)***

.....

.....

.....

.....

.....

Place : Signature of Reporting Officer

Date :

Name in Block Letters .....

Designation during the  
Period of report (with Seal) .....

**APPENDIX 2****Consolidated Work Report for the Residency  
Period for Service Scientists**

..... TO .....

(To be submitted only when due for Assessment Promotion)

1. Name of Scientist:
2. Present Grade (B, C, EI, EII, F or G):
3. Year of entry into present grade:
4. Extra mural funding received during residency period

No.	Name of Grant	Funding Agency	PI or Co-PI	Year	Actual Amount of Grant available for Research

5. Intra mural funding received during residency period

Year	Money for Consumables	Money for Equipment	Any other support money	Total for the Year

6. Details of income generated from facility by way of direct services by the laboratory.



7. Details of income generated from the facility by way of consultancy and related works.
8. Details of teaching programs, training programs and other academic activities of the laboratory.

#### INDICATORS OF PERFORMANCE/PROGRESS IN THE RESIDENCY PERIOD

1	Assessing, designing, evaluating and implementing new laboratory test methods.
2	Evaluating the appropriateness of existing and new laboratory methods for research/clinical utility, cost-effectiveness and cost-benefit analysis.
3	Developing, implementing, and reporting results of research based on laboratory services research. (i.e. within the context of cost, quality, and access) as well as designing and implementing cost-effective delivery models for clinical/service laboratories, including their services and personnel.
4	Business Development, if any
5	Developing and implementing a comprehensive Quality Management System to including: A. Quality control and assurance of clinical laboratory testing services; B. Competency assessment of personnel, C. Integration with other aspects of the institutes research program for ensuring appropriate utilization of clinical laboratory testing services. D. Continuous process improvement activities to maximize human resources.
6	Details of any academic activity including teaching and training programs, mentoring, academic courses, research reports and publications, etc.
7	Any other indicators of progress
9.	Publications as first or corresponding author in the residency period

SL. NO.	TITLE OF PUBLICATION	AUTHORS	NAME OF JOURNAL	VOLUME, YEAR & PAGE NUMBERS	IMPACT FACTOR

10. Publications as Co-Author in the residency period

SL. NO.	TITLE OF PUBLICATION	AUTHORS	NAME OF JOURNAL	VOLUME, YEAR & PAGE NUMBERS	IMPACT FACTOR

11. Patents awarded if any in the residency period (give details including financial support and its source for patent procedures, file number, type of patent, etc.)

12. Strength of laboratory

Number of Post Docs	Number of PhD Students	No. of Research Fellows	No of Support Staff

### APPENDIX 3

#### PEER REVIEW OF CONSOLIDATED WORK REPORT SUBMITTED BY EXTERNAL REVIEWER

Please provide a score on a scale 1 (lowest) to 5 (highest)

No	ACTIVITY	POINTS (MAXIMUM - 25)
1	Overall quantity and quality of work described in work report	
2	Performance of the scientists in providing services and generation of new ideas, processes (including diagnostic kits, biomarker development, etc.)business development and revenue for the institute	
3	Performance of the scientist in relation to getting consultancy and extramural projects and other recognitions for the institute	
4	Performance of the scientist in implementing academic programs, teaching, training and research output including publications, reports and books.	
TOTAL (MAXIMUM – 100)		

Key for total points
20 or below = Below Average*
21-39 = Average
40- - 59 = Good
60-79 = Very Good
80 or above = Excellent*

\*: Needs justification (on reverse side)

Any specific suggestions or comments you may have regarding this work report or the nature of the research described (use reverse side of this page or attach separate sheet if needed)

Name of the reviewer will be kept strictly confidential

Signature of Reviewer : -----

Name of Reviewer : -----

Designation and Address : -----

-----

-----

Specific suggestions or comments (please sign at end of report)

**APPENDIX 4****RAJIV GANDHI CENTRE FOR BIOTECHNOLOGY**

Poojappura, Thycaud PO, Thiruvananthapuram-695 014

**SERVICE SCIENTIST PROMOTIONS**

Report of the Promotions Assessment Committee\*

Sl. No.	PARAMETER	MAXIMUM MARKS	ACTUAL MARKED SCORED
1	APAR Score	100	
2	Peer Review of Work	100	
3	<p>Overall evaluation of the Promotion Assessment Committee on:</p> <ul style="list-style-type: none"> <li>• Overall quantity and quality of work including developing and implementing a comprehensive Quality Management System</li> <li>• Performance of the scientists in providing services and generation of new ideas, processes (including diagnostic kits, biomarker development, etc.), business development and revenue for the institute</li> <li>• Performance of the scientist in relation to getting consultancy and extramural projects and other recognitions for the institute</li> <li>• Performance of the scientist in implementing academic programs, teaching, training and research output including publications, reports and books.</li> <li>• Communication skills, attitude, analytical ability.</li> <li>• Contribution to institute development.</li> </ul>	200	
		400	

\*The Promotion Assessment Committee may at its discretion have a site visit to the concerned facility and examine all log books, registers, data banks and other records to independently make an assessment of the candidate after the personal discussion/ interview.

**ANNEXURE - I (B)****Annual Performance Assessment Report**

(For Technical & Administrative Staff other than Drivers, Helpers, Attenders,  
Technical Assistants and other last grade employees)

**REPORT FOR THE PERIOD FROM ..... TO.....**

**PART-1**  
**PERSONAL DATA**

(to be filled by the Administration)

1. Name of Officer .....
2. Designation .....
3. Date of Birth .....
4. Date of joining in RGCB and the post .....
5. Present post and date of appointment thereto .....
6. Present Basic Pay and scale of pay of the Post .....
7. Whether the Officer belongs to SC/ST .....
8. Period of absence from duty (on leave, training etc.) during the year. If he/she has undergone training, specify .....
9. Punishments of any, imposed during the period under report .....
10. Reporting Officer .....
11. Reviewing Officer .....

(Signature of Authorised Officer of Admn.)

Name In capital letters .....

Designation/ Stamp .....

Date: .....

## Part-II

### Self Appraisal

( to be filled up by the Assessee)

1. Brief description of duties .....

.....

.....

.....

.....

.....

2. Please specify targets/objectives/goals (for quantitative or other terms) of work you set for yourself or that were set for you, eight to ten items of work in the order of priority, and your achievements against each target.

Targets/Objective/Goals	Achievements
.....	.....
.....	.....
.....	.....
.....	.....
.....	.....
.....	.....
.....	.....

3. A. Please state, briefly, the shortfalls with reference to the targets/ objectives/

goals referred to in item - 2. Please specify constraints, if any, in achieving the targets.

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3.B. Please also indicate items in which there have been significantly higher achievements and your contribution thereto.

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4. Any significant additional achievements: apart from those mentioned in column 3B.

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.....

.....

5. Training programmes attended:

.....

.....

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.....

.....

.....

6. Please state the date on which the Annual return on immovable property for the preceding calendar year was filed.

Signature of individual concerned with date

Name in capital letters .....

### Part - III - Assessment by the Reporting Officer

(Please read carefully the instructions given for writing the APAR before filling the entries. If outstanding\* or below average\* grade is given it should be substantiated in an additional sheet)

#### A 1. Nature and quality of work described in

- |                                       |                                    |   |
|---------------------------------------|------------------------------------|---|
| <input type="checkbox"/> Outstanding* | <input type="checkbox"/> Very good |   |
| <input type="checkbox"/> Good         | <input type="checkbox"/> Average   | <input type="checkbox"/> Below Average* |

#### 2. **Quality of output** : Please grade on the Officer's quality of performance with regard to standard of work, programme objectives and constraints.

- |                                       |                                    |   |
|---------------------------------------|------------------------------------|---|
| <input type="checkbox"/> Outstanding* | <input type="checkbox"/> Very good |   |
| <input type="checkbox"/> Good         | <input type="checkbox"/> Average   | <input type="checkbox"/> Below Average* |

#### 3. Please grade on knowledge of functions, rules and regulations, related instructions and their applications.

- |                                       |                                    |   |
|---------------------------------------|------------------------------------|---|
| <input type="checkbox"/> Outstanding* | <input type="checkbox"/> Very good |   |
| <input type="checkbox"/> Good         | <input type="checkbox"/> Average   | <input type="checkbox"/> Below Average* |

**B. ATTRIBUTES:****4. Analytical Ability**

Please grade on the officer's ability relating to analysis of pros and cons, formulation of alternatives and their evaluation for solving problems, ability to indicate decision areas.

☐

Outstanding\*

☐

Very good

☐

Good

☐

Average

☐

Below Average\*

**5. Communication Skill**

Please grade on the officer's ability to communicate with brevity, clarity and accuracy, both orally and in writing.

☐

Outstanding\*

☐

Very good

☐

Good

☐

Average

☐

Below Average\*

**6. Initiative**

Please grade on the capacity and resourcefulness of the officer in handling normal as well as unforeseen situations , willingness to take additional responsibilities and new area of work.

☐

Outstanding\*

☐

Very good

☐

Good

☐

Average

☐

Below Average\*

**7. Attitude to work**

Please grade how far the officer can be relied upon his /her sense of responsibility the extent to which he/she is dedicated and motivated, his/her willingness to learn and systematize his/her work.

☐

Outstanding\*

☐

Very good

☐

Good

☐

Average

☐

Below Average\*

**8. Ability to inspire and motivate**

Please grade on the capacity of the officer to motivate, to obtain willing support by own conduct and capacity to inspire confidence.

☐

Outstanding\*

☐

Very good

☐

Good

☐

Average

☐

Below Average\*

**9. Supervisory Ability**

Please comment on the officer's ability relating to Guidance in the performance of task

☐

Outstanding\*

☐

Very good

☐

Good

☐

Average

☐

Below Average\*

**10. Review of performance (monitoring of key areas)**☐

Outstanding\*

☐

Very good

☐

Good

☐

Average

☐

Below Average\*

**11. Capacity to take decision at his/her level on matters within delegated areas**

☐ Outstanding\*

☐ Very good

☐ Good

☐ Average

☐ Below Average\*

**12. Maintaining discipline**

☐ Outstanding\*

☐ Very good

☐ Good

☐ Average

☐ Below Average\*

**13. Inter-personal relations and team work**

☐ Outstanding\*

☐ Very good

☐ Good

☐ Average

☐ Below Average\*

**14. Please grade on the quality of relationship with superiors, colleagues and subordinates, and on the ability to appreciate other's point of view and take advice in the proper spirit. Please also comment on his/her capacity to work as a member of a team and to promote team spirit and optimize the output of the team.**

☐ Outstanding\*

☐ Very good

☐ Good

☐ Average

☐ Below Average\*

15. Attitude towards SCs/STs/Weaker Sections of Society (applicable in case of officers dealing with the development and protection of SCs and/or STs and Weaker Sections of Society).

☐

Outstanding\*

☐

Very good

☐

Good

☐

Average

☐

Below Average\*

16. **Aptitude and Potential**

Please indicate possible lines of growth and development of the officer.

☐

Outstanding\*

☐

Very good

☐

Good

☐

Average

☐

Below Average\*

17. **Decision making abilities**

Please grade on the quality of decision making and on ability to weigh pros and cons of alternatives.

☐

Outstanding\*

☐

Very good

☐

Good

☐

Average

☐

Below Average\*

18. **Ability to redress grievances both internal and external**

☐

Outstanding\*

☐

Very good

☐

Good

☐

Average

☐

Below Average\*

**19. Planning ability**

Please grade on whether the officer can anticipate problems, work needs, and plan accordingly and is able to provide for contingencies.

☐

Outstanding\*

☐

Very good

☐

Good

☐

Average

☐

Below Average\*

**20. Coordination ability**

Please grade on relations with other agencies both internal and external and ability to elicit co-operation from them

☐

Outstanding\*

☐

Very good

☐

Good

☐

Average

☐

Below Average\*

**21. Please give recommendations for training if any needed with a view to improve further the effectiveness and capabilities of the officer.**

.....

.....

.....

.....

**Part - IV - General**

( To be filled up by the Reporting Officer)

**1. State of health**☐

Satisfactory

☐

Not Satisfactory

**2. Integrity**☐

Certified

☐

Not Certified

**3. General assessment**

Final overall grading may be given based on the separate grading given to 20 items in the APAR applying the points as given below:-

Grading	Points	No. of Separate Gradings	Total Points
Outstanding	5		
Very good	4		
Good	3		
Average	2		
Below Average	1		
Total		20	



90 - 100 points	-	Outstanding
70 - 89 points	-	Very good
50 - 69 points	-	Good
30 - 49 points	-	Average
Below 30 points	-	Below average

4. Grading (Outstanding\*/Very Good/Good/Average/ Below Average\*)

***(An officer should not be graded Outstanding\* unless exceptional qualities and performance have been noticed. Similarly, a grading of Below Average\* must be justified adequately. Grounds for giving both such grading, should be clearly brought out on an additional sheet).***

.....

.....

.....

.....

.....

Place : Signature of Reporting Officer

Date :

Name in Block Letters .....

Designation during the  
Period of report (with Seal) .....

**Part - V**

(Remarks of the Reviewing Officer)

1. Length of service under Reviewing Officer

.....

.....

.....

2. Is the Reviewing Officer satisfied that the Reporting Officer has made his/her report with due care and attention and after taking into account all the relevant material?

☐ Yes

☐ No

3. Do you agree with the assessment of the officer given by the Reporting Officer? (In case of disagreement, Please specify the reasons).

Is there anything you wish to modify or add ?

☐ Yes

☐ No

4. General remarks with specific comments about the general remarks given by the Reporting Officer and remarks about the meritorious work of the officer including the grading.

.....

.....

.....

5. Has the officer any special characteristics, and or any abilities, which would justify his/her selection for special assignment or out-of-turn promotion ?

.....

.....

.....

Place : Signature of Reviewing Officer .....

Date : Name in Block Letters .....

Destination .....

**ANNEXURE - I (C)****Annual Performance Assessment Report**

(For Drivers/ Helpers/Attenders/Technical Assistants and all Last Grade Employees)

**Part - 1**

(To be filled in by the Administration)]

**REPORT FOR THE PERIOD FROM ..... TO .....**

Name :  
Designation :  
Date of birth :  
Date of appointment in the Centre :  
Date of posting to the present Division/Section/Post :  
Present scale of pay Rs. :  
Date of appointment in the Present scale of pay :  
Present Basic Pay Rs. :  
Whether belongs to SC/ST :  
Period of absence from duty  
(on Leave, Training etc.) :  
Punishments if any awarded :  
Reporting Officer :  
Reviewing Officer :

Signature and Name of the authorised  
officer in the Administration wing

## Part - 2

### ASSESSMENT OF THE REPORTING AUTHORITY

(Appropriate remarks may be given against each item)

1. Observation
  - i. Intelligence :
  - ii. Amenability to Discipline :
  - iii. Honesty and Integrity :
  - iv. Regularity and punctuality :
  - v. Devotion to Duty :
  - vi. Relationship with fellow employees :
2. Is he fit for promotion to the higher grade: (Yes / No)
3. General Grading: (Outstanding\*/Very Good/Good/Average/Below Average\*)  
***\*An employee should not be graded Outstanding\* or Below Average\* unless grounds for giving such a grading is clearly justified.***
4. Any other remarks, if any:

Signature: .....

Place: Name in Block letters: .....

Date: Designation: .....

**Part - 3****REMARKS OF THE REVIEWING AUTHORITY**

I agree with the above remarks

I do not agree with the above remarks (Give reasons)

.....

.....

.....

.....

.....

.....

Place :

Signature: .....

Date:

Name in Block letters: .....

Designation: .....

**ANNEXURE - II (A)****Method of Appointment, Qualifications and Experience prescribed for Administrative Staff**

<b>Sl. No.</b>	<b>Designation and Scale</b>	<b>Method of Appointment</b>	<b>Minimum Qualifications and Experience Prescribed</b>	<b>Max. Age Limit</b>
<b>I</b>	<b>II</b>	<b>III</b>	<b>IV</b>	<b>V</b>
1	Attendant with grade pay/MTS Rs.1800/-	Direct Recruitment	Pass in Std. VIII, Ability to ride bicycle and / or two wheeler driving license (in the case of male only), Working experience in Research Institutions	30
2	Driver - PB1 with grade pay/MTS Rs.1900/-	Direct Recruitment or by Promotion from qualified internal staff	Study upto Std.VIII, Valid Heavy Vehicles Driving Licence, Two years driving experience. Experience in driving heavy vehicles will be desirable	30
3	Typist/Junior Office Assistant / LDC / CA - PB1 with grade pay Rs.1900/-	Direct Recruitment or by Selection from qualified internal lower grade staff	SSLC, Knowledge of word processing and relevant work experience	30
4	Office Assistant/UDC - PB1 with grade pay Rs.2800/-	Direct Recruitment or by Selection from qualified internal Junior Office Assistant/ LDC	Graduate, Knowledge of word processing, Computer operations and relevant work experience	30

5	Receptionist - PB1 with grade pay Rs.2800/-	Direct Recruitment	Graduate of a recognized University, Pass in English Language Test of the Centre, Good Communication skills, Knowledge of word-processing and computer applications, ability to read, write and speak Hindi, Malayalam, English	30
6	Junior Management Assistant - PB1 with grade pay Rs.2800/-	Direct Recruitment	Graduate with minimum of 2 years experience in Administration/Accounts/ Purchase/Stores and with Diploma in Personnel Management/ Financial Management/Materials Management. For Accounts cadre the incumbent shall be commerce graduate.	30
7	Management Assistant - PB2 with grade pay Rs.4200/-	Direct Recruitment	Graduate with minimum of 2 years experience in Administration/Accounts/ Purchase/Stores and with Diploma in Personnel Management/Financial Management/Materials Management. For Accounts cadre the incumbent shall be commerce graduate.	30



8	Office Manager/ Accountant - PB2 with grade pay Rs.4200/-	Direct Recruitment or by selection from qualified internal immediate lower grade administrative staff	Graduate with minimum of 2 years service. For Administration, Candidates with Diploma in Personal Management will be preferred. For Accounts, Commerce Graduate/Diploma in Finance Management/CA(Inter)/ ICWA will be preferred. For Purchase & Stores, Graduates having Diploma in Materials Management will be preferred.	30
9	Stenographer/ PA to Director - PB2 with grade pay Rs.4600/-	Direct Recruitment or by selection from qualified internal LDC, Office Assistant	Graduate, Typewriting (English)-Higher, Shorthand (English)-Higher, 2 years relevant experience, Pass in the English Language & Stenography tests of the Centre, experience in word- processing and computer operations	30
10	Security Officer- PB2 with grade pay Rs.4600/-	Direct Recruitment	A retired Army Commissioned Officer/Short Service Commissioned Officer	50
11	Purchase Officer/ Stores Officer/ Section Officer PB-2 with grade pay Rs.4600/-	Direct Recruitment	A Degree, with Diploma in Material Management and a minimum of 2 years of relevant working experience in the Purchase/Stores Department in a reputed Research Centre, or Central or State Government Departments or Autonomous Bodies	30

12	Internal Auditor/ Manager (Accounts & Audit) PB-3 with grade pay Rs.5400/-	Direct Recruitment /Deputation/ Absorption from organized Accounts Departments	Commerce Graduate with SAS. On Direct Recruitment /Deputation/ Absorption from organized Accounts Departments with minimum of 5 years experience in Central/ State Govt.	40
13	Finance Officer/ (i) PB-3 with grade pay Rs.6600-7600 (ii) PB-4 with grade pay Rs.8700/-	Direct Recruitment or on contract appointment or Deputation from the organized Central Accounts Service	For Direct Recruitment, a Chartered Accountant as defined in Chartered Accountant Act 1949 or a qualified ICWA 10 years experience in Accounts/ Audits in State/Central/Quasi Govt. Institutions	45
14	Assistant Registrar PB-3 with grade pay Rs.6600/-	Direct Recruitment or Selection from qualified employees of lower grade	Post Graduate with minimum 10 years experience at senior level in Academics, Research Institutions, Universities or Central or State Governments.	45
15	Controller of Administration- PB-4 with grade pay Rs.8900/-	Direct Recruitment or on contract appointment or Deputation from Central/ State Govt/ Autono- mous Bodies	For Direct Recruitment, Post Graduate with minimum of 25 years experience in Adminis- tration/ Financial Management in Central/State Govt. Autono- mous Bodies or Public Sector Units	50*

\*Maximum Age limit for Finance Officer and Controller of Administration will not be applicable in the case of retired Central/State Govt. Officers engaged on re-employment basis or persons appointed on contract basis.

**ANNEXURE - II (B)****Method of Appointment, Qualifications and Experience  
prescribed for Technical Staff**

<b>Sl. No.</b>	<b>Designation and Scale</b>	<b>Method of Appointment</b>	<b>Minimum Qualifications and Experience Prescribed</b>	<b>Max. Age Limit</b>
1	Helper/Lab Helper - PB-1 with grade pay Rs.1800/-	Direct Recruitment	Pass in Std. VIII, Ability to ride bicycle and / or two wheeler driving license (in the case of male only), Working experience in Research institutions	30
2	Technical Assistant Group I - PB-1 with grade pay Rs1900/-	Direct Recruitment	SSLC/10 <sup>th</sup> Std. and ITI Certificate, experience in any Industrial Laboratory or Scientific Organisation	30
3	Library Assistant - PB-1 with grade pay Rs.1900/-	Direct Recruitment	Plus 2 with experience in scientific organisation	30
4	Technical Assistant Group II/JTA Photographic Assistant - PB-1 with grade pay Rs.2800/-	Direct Recruitment	Graduate in Science with experience in any industrial laboratory or scientific organisations/Documented experience in Photographic skills	30
5	Technician - PB-1 with grade pay Rs.2800/-	Direct Recruitment	Graduate in Science or equivalent with experience in scientific organisations	30
6	Technical Assistant Group III/ Senior Technical Assistant - PB-2 with grade pay Rs.4200/-	Direct Recruitment	Graduate in Science with at least 2 years working experience in scientific organisations	30
7	Assistant Engineer/ - PB-2 with grade pay Rs.4200/-	Direct Recruitment	Degree in Engineering / Diploma in engineering with at least 2 years working experience	30

8	Technical Officer - PB-2 with grade pay Rs.4600/-	Direct Recruitment	M.Sc/LLB/BE/B.Tech with working experience in relevant field	30
9	Assistant Librarian - PB-2 with grade pay Rs.4600/-	Direct Recruitment	Graduate in Library Science and experience in the relevant field	30
10	Manager/ Instrumentation Engineer PB-3 with grade pay Rs.5400/-	Direct Recruitment or Selection from qualified internal employees of lower grade	BE/B.Tech. with sufficient knowledge in relevant field. Good academic track record will be mandatory.	35
11	Engineer (Air Conditioning/ Mechanical/ Civil) - PB-3 with grade pay Rs.5400/-	Direct Recruitment or Selection from qualified internal employees of lower grade	BE/B.Tech. with sufficient knowledge in relevant field. Good academic track record will be mandatory.	35
12	Veterinarian/ Animal House-in- charge - PB-3 with grade pay Rs.5400/-	Direct Recruitment or Selection from Internal qualified employees of lower grade	BVSc. with 2 years working experience in Research Institutions.	35
13	Assistant Public Relations Officer/ Manager (Legal & EstateAffairs) - PB-3 with grade pay Rs.5400/-	Direct Recruitment or Selection from qualified internal employees of lower grade	Post Graduate (MBA/ MSc) Academic qualifications to include Traditional/Digital Marketing with relevant experience of five years	40

14	Public Relations Officer/Assistant General Manager (Traditional Knowledge Management, Industrial & Public Relations) - PB-3 with grade pay Rs.6600/-	Direct Recruitment or Selection from qualified internal employees of lower grade	Post Graduate with minimum 10 years experience in Management, Public Relations at senior level in Central/State Government Autonomous Bodies, etc.	40
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**Annexure - II (C)****Method of Appointment, Qualifications and Experience prescribed for Scientific Staff**

<b>Sl. No.</b>	<b>Name of Post</b>	<b>Pay Band and Grade Pay</b>	<b>Minimum Qualifications for direct appointment</b>	<b>Maximum age Limits for direct Recruitment</b>
1.	Scientist-B	PB-3 with grade pay Rs.5400/-	MBBS/M.V.Sc./MPhil/PhD with not less than 60% marks.	35
2.	Scientist-C	PB-3 with grade pay Rs.6600/-	M.D or Ph.D. in Science or Engineering. 5 yrs.post doctoral experience	40
3.	Scientist-E-I	PB-3 with grade pay Rs.7600/-	as above but with 7 yrs. post doctoral experience	45
4.	Scientist-E-II	PB-4 with grade pay Rs.8700/-	as above but with 10 yrs. post doctoral experience	50
5.	Scientist-F	PB-4 with grade pay Rs.8900/-	as above but with 15 yrs. post doctoral experience	50
6.	Scientist-G	PB-4 with grade pay Rs.10,000/-	as above but with 15 yrs. post doctoral experience	50
7.	Scientist-H	PB-4 with grade pay Rs.12,000/-	as above but with 15 yrs. post doctoral experience	50
8	Director (Direct Recruitment)	HAG	As per DOPT/DBT Orders	50

Method of appointment - By direct recruitment or by selection from lower grades or by promotion.

## Annexure - II (D)

### Sanctioned Positions and their Category-wise details

#### Sanctioned Positions

Sl. No.	Category of Posts	Total No. of Sanctioned Posts
1	Scientific Staff	43
2	Technical Staff	73
3	Administrative Staff	27
	Total	143

#### Designation of Posts for Assessment Promotion

Scientific Category	Grade Pay	Pre-Revised Scale of Pay
Scientist B	Grade Pay Rs. 5400	8000-275-13500
Scientist C	Grade Pay Rs. 6600	10000-325-15200
Scientist E I	Grade Pay Rs. 7600	12000-375-16500
Scientist E II	Grade Pay Rs. 8700	14300-400-18300
Scientist F	Grade Pay Rs. 8900	16400-450-20000
Scientist G	Grade Pay Rs. 10000	18400-500-22400
Scientist H	Grade Pay Rs. 12000	22400-525-24500
Director	HAG	

Technical Category		Grade Pay	Pre-Revised Scale of Pay
1	Helper/ Lab Helper	Grade Pay Rs. 1800	2750-70-3800-75-4400
	Helper/ Lab Helper Grade I	Grade Pay Rs. 2400	
	Helper/ Lab Helper Grade II	Grade Pay Rs. 2800	
	Helper/ Lab Helper Grade III	Grade Pay Rs. 4200	
	Senior Helper/ Senior Lab Helper	Grade Pay Rs. 4600	
	Senior Helper/ Senior Lab Helper Grade I	Grade Pay Rs. 5400	
2	Technical Assistant Group I/ Library Assistant	Grade Pay Rs. 1900	3050-75-3950-80-4590
	Technical Assistant Group I Grade I/ Library Assistant Grade I	Grade Pay Rs. 2800	
	Technical Officer Grade I/Library Assistant Grade II	Grade Pay Rs. 4200	
	Technical Officer Grade II / Assistant Librarian	Grade Pay Rs. 4600	
	Manager (Technical Services) / Deputy Librarian	Grade Pay Rs. 5400	
	Senior Manager (Technical Services) / Librarian	Grade Pay Rs. 6600	
3	Technical Assistant Group II/ Technician	Grade Pay Rs. 2800	4500-125-7000
	Technical Officer	Grade Pay Rs. 4200	
	Assistant Manager(Technical Services)	Grade Pay Rs. 4600	
	Manager (Technical Services)	Grade Pay Rs. 5400	
	Senior Manager (Technical Services)	Grade Pay Rs. 6600	
	Chief Manager (Technical Services)	Grade Pay Rs. 7600	



4	Assistant Engineer / Technical Assistant Group III / Technical Officer	Grade Pay Rs. 4200	5000-150-8000/ 5500-175-9000
	Deputy Engineer/ Technical Officer Grade I	Grade Pay Rs. 4600	
	Manager (Technical Services)	Grade Pay Rs. 5400	
	Senior Manager (Technical Services)	Grade Pay Rs. 6600	
	Chief Manager (Technical Services)	Grade Pay Rs. 7600	
	Senior Chief Manager (Technical Services)	Grade Pay Rs. 8700	
5	Assistant Librarian / Technical Officer / Assistant Manager	Grade Pay Rs. 4600	6500-200-10500
	Deputy Librarian / Manager (Technical Services)	Grade Pay Rs. 5400	
	Librarian / Senior Manager (Technical Services)	Grade Pay Rs. 6600	
	Librarian Grade I / Chief Manager (Technical Services)	Grade Pay Rs. 7600	
	Senior Librarian / Chief Manager Grade I (Technical Services)	Grade Pay Rs. 8700	
	Chief Librarian / Chief Manager Grade II (Technical Services)	Grade Pay Rs. 8900	
6	Manager / Asst. Public Public Relations Officer / Instrumentation Engineer	Grade Pay Rs. 5400	8000-275-13500
	Assistant General Manager	Grade Pay Rs. 6600	
	Deputy General Manager	Grade Pay Rs. 7600	
	General Manager	Grade Pay Rs. 8700	
	Senior General Manager	Grade Pay Rs. 8900	
	Chief General Manager	Grade Pay Rs. 10000	

7	Assistant General Manager / Public Relations Officer	Grade Pay Rs. 6600	10000-325-15200
	Deputy General Manager	Grade Pay Rs. 7600	
	General Manager	Grade Pay Rs. 8700	
	Senior General Manager	Grade Pay Rs. 8900	
	Chief General Manager	Grade Pay Rs. 10000	

Administrative Category		Grade Pay	Pre-Revised Scale of Pay
1	Attendant	Grade Pay Rs. 1800	2750-70-3800-75-4400
	Attendant Grade I	Grade Pay Rs. 2400	
	Attendant Grade II	Grade Pay Rs. 2800	
	Attendant Grade III	Grade Pay Rs. 4200	
	Senior Attendant	Grade Pay Rs. 4600	
	Senior Attendant Grade I	Grade Pay Rs. 5400	
2	Driver Grade I	Grade Pay Rs. 1900	3050-75-3950-80-4590
	Driver Grade II	Grade Pay Rs. 2400	
	Driver Grade III	Grade Pay Rs. 2800	
	Driver Grade IV	Grade Pay Rs. 4200	
	Senior Driver Grade I	Grade Pay Rs. 4600	
	Senior Driver Grade II	Grade Pay Rs. 4800	
3	Junior Office Assistant/ Typist/LDC	Grade Pay Rs. 1900	3050-75-3950-80-4590
	Office Assistant/UDC	Grade Pay Rs. 2800	
	Administrative Assistant	Grade Pay Rs. 4200	
	Section Officer	Grade Pay Rs. 4600	
	Assistant Administrative Officer	Grade Pay Rs. 5400	
	Deputy Administrative Officer	Grade Pay Rs. 6600	

4	Junior Management Assistant/UDC/ Receptionist	Grade Pay Rs. 2800	4500-125-7000
	Management Assistant/ Receptionist Grade I	Grade Pay Rs. 4200	
	Assistant Manager	Grade Pay Rs. 4600	
	Manager	Grade Pay Rs. 5400	
	Senior Manager	Grade Pay Rs. 6600	
	Chief Manager	Grade Pay Rs. 7600	
5	Management Assistant (Admn./ Accounts)/ Office Manager/ Accountant	Grade Pay Rs. 4200	5500-150-8000
	Section Officer (Admn./ Accounts)	Grade Pay Rs. 4600	
	Assistant Administrative Officer/ Assistant Accounts Officer	Grade Pay Rs. 5400	
	Deputy Administrative Officer/Deputy Accounts Officer	Grade Pay Rs. 6600	
	Administrative Officer/Accounts Officer	Grade Pay Rs. 7600	
	Sr. Administrative Officer/Sr. Accounts Officer	Grade Pay Rs. 8700	
6	Stenographer/PS to Director	Grade Pay Rs. 4600	6500-200-10500
	Senior Private Secretary to Director/ Manager	Grade Pay Rs. 5400	
	Principal Private Secretary to Director/Senior Manager	Grade Pay Rs. 6600	
	Senior Principal Private Secretary to Director/Administrative Officer	Grade Pay Rs. 7600	
	Staff Officer to Director/Sr. Administrative Officer	Grade Pay Rs. 8700	
	Principal Staff Officer to Director/ Chief Administrative Officer	Grade Pay Rs. 8900	

7	Section Officer/Purchase Officer/ Stores Officer/Security Officer	Grade Pay Rs.4600	6500-200-10500
	Manager	Grade Pay Rs.5400	
	Senior Manager	Grade Pay Rs.6600	
	Chief Manager	Grade Pay Rs.7600	
	Senior Chief Manager	Grade Pay Rs.8700	
	Principal Chief Manager	Grade Pay Rs.8900	
8	Internal Auditor/Manager (Accounts & Audit)	Grade Pay Rs. 5400	8000-275-13500
	Senior Manager (Accounts & Audit)	Grade Pay Rs. 6600	
	Deputy Controller of Finance	Grade Pay Rs. 7600	
	Joint Controller of Finance	Grade Pay Rs. 8700	
	Controller of Finance	Grade Pay Rs. 8900	
	Chief Controller of Finance	Grade Pay Rs. 10000	
9	Assistant Registrar	Grade Pay Rs. 6600	10000-325-15200
	Deputy Registrar	Grade Pay Rs. 7600	
	Registrar	Grade Pay Rs. 8700	
	Registrar Grade I	Grade Pay Rs. 8900	
	Registrar Grade II	Grade Pay Rs. 10000	

**Posts filled up on deputation/contract appointment/absorption  
(Finance Officer/Controller of Administration)**

Finance Officer	PB-3 with Grade pay Rs.6600 (Direct Recruitment)
Chief Finance Officer	PB-3 with Grade pay Rs.7600 PB-4 with Grade pay Rs.8700 (On Deputation from State/Central Govt.Services) PB-4 with grade pay Rs. 8900 (Promotion Post)
Controller of Administration Chief Controller	PB-4 with Grade pay Rs.8900 PB-4 with Grade pay Rs.10000

The posts of Finance Officer and Controller of Administration / Chief Controller may also be filled up on Direct Recruitment basis with respective pay scales according to the professional experience of the candidate.

On Assessment Promotion, the next higher scale in the Central Government scales will be given and designation in each category and group may be changed as above. In respect of cases not covered above, Director may make suitable designations in order to suite the position. However, on vacating the post by the employees on retirement or otherwise, vacancy will arise only in the lowest grade post in that group.

## Annexure - III

### Instructions for Writing the Annual Performance Assessment Report (APAR)

1. The APAR is an important document. It provides the basic and vital inputs for assessing the performance of an officer and for his/her further advancement in his/her career. The Officer reported upon, the Reporting Officer, the Reviewing Officer and the Accepting Authority should, therefore, undertake the duty of filling out the form with a high sense of responsibility.
2. Performance appraisal through APAR should be used as a tool for human resource development. Reporting Officer should realize that the objective is to develop an officer so that he/she realizes his/her true potential. It is not meant to be a fault finding process but a developmental one. The Reporting Officer and other Reviewing Officer should not shy away from reporting shortcomings in performance, attitudes or overall personality of the officer reported upon.
3. The Columns should be filled with the due care and attention and after devoting adequate time. Any attempt to fill the report in casual or superficial manner will be easily discernible to the higher authorities.
4. If the Reviewing Officer is satisfied that the Reporting Officer had made the report without due care and attention he/she shall record a remark to that effect in the Report. The remarks shall be entered in the APAR of the Reporting Officer.
5. Answers shall be given in a narrative form where it is required. The space provided indicates the desired length of the answer. Words and phrases should be chosen carefully and should accurately reflect the intention of the officer recording the answer. Please use unambiguous and simple language. Please do not use omnibus expressions like 'Outstanding', 'Very good', 'Good', 'Average', 'Below Average' while giving your comments against any of the attributes.
6. The Reporting Officer shall, in the beginning of the year, assign targets to each of the officers with respect to whom he is required to report upon. In the case of an officer taking up a new post in the course of the reporting year, such targets/goals shall be set at the time of assumption of the new charge.
7. The targets should be clearly known and understood by both the Officers concerned. While fixing the targets, priority should be assigned item-wise, taking into consideration the nature and the area of the work and any special features that

may be specific to the nature or the area of the work of the officer to be reported upon.

8. Although performance appraisal is a year-end exercise, in order that it may be a tool for human resource development, the Reporting Officer should at regular intervals, review the performance and take necessary corrective steps by way of advice etc.
9. It should be the endeavour of each appraiser to present the truest possible picture of the appraised in regard to his/her performance, conduct, behaviour and potential.
10. Assessment should be confined to the appraisee's performance during the period of report only.
11. Some posts of the same rank may be more demanding than others. The degree of stress and strain in any post may also vary from time to time. These facts should be borne in mind during appraisal and should be commented upon appropriately.
12. Aspects on which an appraisee is to be evaluated on different attributes are delineated below each column. The appraiser should deal with these and other relevant to the attributes.
13. There may be occasions when a superior officer may find it necessary to criticise adversely the work of an officer working under him or he may call for an explanation for some act of omission or commission and taking all circumstances into consideration, it may be felt that while the matter is not serious enough to justify the imposition of the formal punishment of censure, it calls for some formal action such as the communication of a written warning/displeasure/reprimand. Where such a warning/ displeasure/reprimand is issued, it should be placed in the personal file of the officer concerned. At the end of the year, the reporting authority, while writing the confidential report of the officer, may decide not to make a reference in the confidential report to the warning/displeasure/reprimand, if in the opinion of that authority, the performance of the officer reported on after the issue of the warning or displeasure or reprimand, as the case may be, has improved and has been found satisfactory. If, however, the reporting authority come to the conclusion that despite such warning/displeasure/reprimand, the officer has not improved, it may make appropriate mention of such warning/ displeasure/reprimand as the case may be, in the relevant column of the form of APAR relating to assessment by the reporting officer, and in that case, a copy of the warning/displeasure/reprimand referred to in the APAR should be placed as an annexure to the APAR for the relevant period. The adverse remark should

also be conveyed to the officer and his representation, if any, against the same disposed of, in accordance with the procedure laid down in the instructions issued in this regard.

14. In the APAR there is a column regarding integrity to enable the Reporting Officer to make his remarks on the integrity of the employee reported upon. The following guidelines should be followed in the matter of making entries in the column relating to integrity:
  - a. Supervisory Officer should maintain a confidential diary in which instances which create suspicion about the integrity of a subordinate should be noted from time to time and action to verify the truth of such suspicion should be taken expeditiously by making confidential enquiries. At the time of recording the APAR this diary should be consulted and the material in it utilised for filling in the column relating to integrity. If the column is not filled on account of the unconfirmed nature of the suspicions, further action should be taken in accordance with the following paragraphs.
  - b. The column pertaining to integrity in the APAR should be left blank and a separate secret note about the doubts regarding the employee's integrity should be recorded simultaneously and followed up.
  - c. A copy of the secret note should be sent together with the APAR to the next superior officer who should ensure that the follow-up action is taken expeditiously.
  - d. If, as a result of the follow-up action, the employee is exonerated, his integrity should be certified and an entry made in the Character Roll.
  - e. If, suspicions regarding his integrity are confirmed, this fact should also be recorded and duly communicated to the employee concerned.
  - f. There may be cases in which after a secret report/note has been recorded expressing suspicion about an employee's integrity, the inquiries that follow do not disclose sufficient material to remove the suspicion or to confirm it. In such a case the employee's conduct should be watched for a further period, and, in the meantime, he should, as far as practicable, be kept away from positions in which there are opportunities for indulging in corrupt practices and thereafter action taken as indicated at (d) and (e) above.
  - g. There are occasions when a Reporting Officer cannot in fairness to himself and to the employee reported upon, either certify integrity or make an adverse entry or even be in possession of any information which would



enable him to make a secret report to the Head of the Department. In all such cases, the Reporting Officer should make an entry in the integrity column to the effect that he has not watched the Employee's work for sufficient time to be able to make any definite remark or that he has heard nothing against the employee's integrity, as the case may be. This would be a factual statement to which there can be no objection. But it is necessary that a superior officer should make every effort to form a definite judgment about the integrity of those working under him, as early as possible, so that he may be able to make a positive statement.

## **ANNEXURE - IV**

### **Standing Committee for Grievance Redressal - Working Procedures**

#### **I. Introduction**

The purpose of this working procedure is to outline basic information on conduct of grievance hearings that will be efficient, effective and fair to all parties. The body that will hear all institute grievances and take appropriate decisions is the Standing Committee for Grievance Redressal (hereafter called the Grievance Committee). This document covers specific procedures that govern Rajiv Gandhi Centre of Biotechnology's (RGCB's) grievance policy and procedure. Included are the roles of the respective participants in the grievance (including the roles of Grievance Committee members, Grievance Committee Chair, grievant, respondent and observers), the purpose of the pre-hearing conference, the conduct of the grievance hearing, Committee deliberations and reaching a decision.

#### **II. The Grievance Structure**

A typical grievance involves a grievant (the person who files the complaint and initiates the administrative grievance process), a respondent (the individual responsible for the action that has resulted in the grievance), a hearing Committee who hears the grievance and makes a recommendation, and the administrative officer responsible for the ultimate determination of the grievance. The grievant and respondent ('the parties') are normally in an adversarial posture and while the grievance procedure calls for certain exchanges of information between these parties, the grievant and respondent interact primarily with the grievance hearing Committee and Chair. While the grievant and respondent may each have a third party observer during the process, such individuals have no active role in the grievance process. The grievance committee is a five member standing committee that hears and decides the grievance. The Chairperson makes all procedural decisions, directs correspondence between the Committee and the parties, deals with hearing logistics, and compiles and transmits the record of the hearing along with the Committee's decision to the Director for decision. The grievance hearing consists of the following phases:

Initial meeting of the grievance Committee

The hearing of the grievance

Deliberations by the Committee

Pronouncing the decision

The initial meeting provides an opportunity for the Chairperson to acquaint Committee members with the grievance process and answer any questions about the process before the pre-hearing conference with the parties. At this initial meeting the Committee reviews the grievance petition and any request to dismiss the grievance as well as to determine whether the grievance Committee has jurisdiction over the grievance. If the grievance is not dismissed for lack of jurisdiction, the initial meeting is followed by the grievance hearing, deliberations and taking of the Committee decision. Committee decisions are forwarded to the Director in the form of a recommendation.

The Director's decision if taken against the recommendations of the Grievance Committee may be appealed to the institute's Governing Council. In addition, an aggrieved individual also has the option to seek judicial review of the final institutional decision.

### **III. Roles of the Participants**

#### **A. The Grievant**

The grievance process can be initiated only by a permanent RGCB employee (hereinafter 'grievant') who must file a timely written grievance petition to the committee addressed to the Chairperson and handed over or sent by registered post to the convener. A format for preparation of the grievance petition can be downloaded at the RGCB website. The petition must explain the exact nature of the grievance, the identity of all parties against whom the grievance is filed, the redress sought, and permission for the grievance Committee to examine all needed documents of the grievant. The grievant must also follow certain preliminary steps as a jurisdictional prerequisite to submitting the petition to the grievance Committee. No grievance may be entertained unless the grievance is filed within sixty calendar days of the decision forming the basis for the grievance and the grievant has attempted without success to resolve the grievance with his or reporting officer, Controller of Administration or Dean. The matter must also be within the scope of the grievance procedure. The grievant will bear burden of establishing the jurisdictional grounds for the grievance and the burden of proving by a preponderance of evidence grounds for the grievance. A preponderance of evidence is defined as that evidence which when fairly considered produces the stronger impression and is more convincing as to the truth when weighed against other opposing evidence. Preponderance of evidence is not determined by the number of witnesses or the quantity of documentation but rather by the greater

weight of all the evidence when considering the opportunity for knowledge, the information possessed and the manner of testifying. If the grievant has not followed these prescribed pre-requisites in the grievance procedure or otherwise fails to meet the requisite burden of proof, the Committee may dismiss the grievance.

### **B. The Respondent**

A grievance may be brought only against a scientific, technical or office administrator (the “respondent”) who has rendered a decision adversely affecting an individual’s professional or academic capacity. Adverse effect means a decision that has harmed the career or career prospects of the grievant. Once the petition is received before the Grievance Committee the respondent is provided the opportunity to respond in writing to the grievance. This response joins the issue and together with the grievance statement outlines the respective issues in dispute between the two parties.

### **C. Observers**

The grievance procedure permits each party to have a third party observer who may attend the hearing. An observer has no active role in the process but may advise a party so long as the grievance process is not interrupted. An observer may be a member of the institute community, a friend or relative or a lawyer. Under the RGCB grievance procedure, lawyers for the parties have no active role in the process. If a party is accompanied by a lawyer he or she may attend the hearing but may do so only in the capacity of an observer. An observer/lawyer may provide advice to a party, prepare correspondence and other documents for a party, and may be present during the proceedings so long as their presence does not disrupt the hearing process.

### **D. Lawyer for Grievance Committee**

The Committee may have a lawyer if specifically needed to advise the Committee on procedural matters related to the grievance. The lawyer will be assigned by the Director. The lawyer for the Committee may be present at all stages of the process, including Committee deliberations but will be subject to the same procedures as the lawyer accompanying the grievant.

### **E. The Grievance Committee Chair**

The Grievance Committee Chairperson presides over all meetings of the Committee and at the grievance hearing. The Chairperson makes all procedural rulings regarding the grievance process and exercises complete control over all stages of the grievance hearing. The Chairperson provides information to

the Committee and participants about the grievance and grievance process, schedules all hearing dates and meetings, makes all procedural rulings regarding the grievance process (including the number of witnesses who may be called by a party, the length of each party's presentation, the admissibility of evidence, witnesses, etc.) and otherwise exercises complete control over all stages of the hearing process. The Chairperson is responsible for ensuring that the Committee's work is completed in a timely manner. The Chairperson also is responsible for preparing a written report of the Committee's findings and recommendations and compiling the official record to the Director.

## **F. The Grievance Committee**

The Grievance Committee is appointed by the Director for a period of three years. The committee may be reconstituted after three years with or without inclusion of previous members. The Chairperson is nominated by the Director in consultation with the Governing Board and/or its Chairman. The Chairperson and one member may if needed nominated be from competent persons outside the institute. The Grievance Committee is a hearing body composed of four members in addition to the Chairperson with delegated authority to hear grievances. The Committee's role is to determine whether the grievance presents a matter that is within the jurisdiction of the grievance Committee and if so, to hear the grievance. The Committee is responsible for making written findings of fact and recommendations with regard to the grievance. A Grievance Committee has no power to reverse an administrator's decision. Its authority is only to recommend a reassessment of the decision if it finds that the decision was reached improperly or unfairly. As a result of their delegated authority, members of the Committee must at all times maintain a neutral status vis-à-vis the parties to the grievance. Indeed, as a matter of due process, Committee members must be fair and impartial decision makers. To be a fair and impartial decision maker, a Committee member should keep an open mind and not presume that either party to the grievance is right or wrong.

The Grievance Committee's role is to make a decision based on the evidence presented by each party. To maintain appropriate neutrality and accord due process to both grievant and respondent, ex parte communications on matters of substance related to the grievance must not take place between the Committee and a grievant and/or respondent. (Ex parte communications are those that involve only one party without the presence or knowledge of the other party.) Neither the Committee Chairperson nor Committee members may solicit or hear evidence outside of presence of the parties. All communications to a party by the Chair or Committee members must take place in meetings at which both parties have been provided the opportunity to be present or through written correspondence sent to each party.

## IV. Steps in the Grievance Process

The grievance process consists of the following phases:

1. **Initial meeting of the Grievance Committee.**
2. **The hearing of the grievance**
3. **Deliberations by the Committee**
4. **Pronouncing the decision**

### 1. INITIAL MEETING OF THE COMMITTEE

The work of the Committee begins with an initial meeting of Committee members convened by the Chairperson, after the convener receives a grievance petition. The Chairperson will conduct a brief orientation to ensure that the members of the Committee have received the grievance, that they are familiar with the grievance procedures and that no member has any conflicts of interest that would prevent the member from serving on the Grievance Committee for that particular petition. After this orientation, the Grievance Committee's task is to review the grievance to determine whether the grievance is to go forward or be dismissed.

#### i. Review of Process and Role of Committee Members and Chairperson.

At this initial meeting, the Chairperson of the Committee should briefly review the grievance process and the roles of the Committee and the Committee Chairperson. The following matters should be addressed:

##### a. **Discussion of the Grievance Process.**

The Chairperson will inquire as to whether the Committee has received/ reviewed a copy of the grievance procedures, the grievance petition, and a request for dismissal from the respondent. The Chairperson will point out the steps in the grievance process and responsibilities of the Committee, including the Committee's responsibility at this first meeting to determine whether the Committee has jurisdiction over the grievance. Questions about the process may be solicited and responses provided.

##### b. **Role of Committee Members.**

The Chairperson will remind Committee members of their responsibility to render a fair and impartial decision based solely on the evidence before

them. To ensure a fair and impartial decision no member of the Committee should have a conflict of interest, no ex parte communications should occur, and decisions must be based solely upon evidence introduced at the hearing. If any member of the Committee has a potential conflict of interest, it should be disclosed at this meeting. The matter may be resolved by recusal of the concerned member or reserved for discussion with the parties at the pre-hearing conference.

**c. Conflicts of Interest.**

A conflict of interest is a relationship to a party or particular knowledge of the grievance that would prevent a person from deciding the case solely on the basis of the evidence presented at the hearing uninfluenced by matters of personal interest or other factors. Committee members and the Chairperson must be able to make decisions uninfluenced by personal interest or familiarity with the parties, witnesses, facts or situation related to the grievance.

A personal interest in the grievance, i.e., one in which a member stands to gain or lose personally by the Committee's decision, constitutes an automatic disqualification from service and the member should immediately withdraw from further service on the Committee hearing. On the other hand, prior knowledge of some general facts or a personal collegial relationship to a party or potential witness does not automatically constitute a conflict of interest. If the knowledge relating to key testimony in the grievance or the relationship is more than collegial, it is more likely that a decision may be affected and the person should withdraw. The key question to be answered is whether the member is able to render a decision unaffected by whatever knowledge they possess or relationship they have with the party or parties. The Chairperson also has the prerogative to request a member not to continue in proceedings if he/she is convinced of an apparent conflict of interest.

**d. No ex parte communications.**

The Committee's responsibility is to make findings of fact and resolve the grievance based solely upon the evidence presented to them at the hearing. Committee members may not gather their own evidence or speak to a party or other persons regarding the grievance outside of the grievance hearings. All communication related to the grievance should be done at meetings at which both parties have been provided the opportunity to be present or through correspondence with all parties receiving copies. All

correspondence between the Committee and any party is normally done by the Chairperson with copies to all parties. If the Committee believes that there is a witness who can provide information pertinent to the grievance, the Chairperson may suggest to the parties that one or both call the witness to testify at the hearing in the presence of both parties or the Chairperson may make those arrangements.

## **ii. REVIEW OF GRIEVANCE PETITION TO DETERMINE JURISDICTION TO HEAR THE MATTER.**

Once the procedures have been discussed and potential conflicts of interest resolved, the Committee must review the grievance and make a jurisdictional determination as to whether the grievant has stated a grievable matter and fulfilled the requirements necessary for the matter to proceed to a hearing. The Committee should address the following jurisdictional issues:

- a.** A grievance must be filed against a proper party and it must present a grievable matter within the jurisdiction of the Committee.
- b.** Does the grievance meet the following criteria? Is the grievance filed against an administrator? Does the grievance statement challenge a decision made by the administrator that is adverse to the grievant? Does the grievance statement allege that the decision violated institute policy, regulation, rule or practices or was otherwise unlawful or without a rational basis?

### **Comments:**

Grievances may be filed only against an administrator who has made a decision that adversely affects the grievant. Most grievances will be filed against the grievant's unit head/reporting officer, Dean, or Director. For grievance petitions that directly name the Director as the primary respondent, the Director may be represented at the Grievance committee by a suitably nominated officer or the Director may choose to represent himself or herself. A grievance normally may not be filed against another staff member or group of staff members unrelated to the grievance petition administratively unless the grievant has clear evidence for the actual involvement of such individuals. A grievant must have standing to raise the grievance and the matter must be one that is capable of being remedied. In other words, the decision that is being grieved must be one that adversely affects the grievant and can be remedied.



Petitions sent to/forwarded to the Director or the institute quoting or describing anomalies and grievances in the institute from staff or other sources can be referred to the Grievance Committee by the RGCB management for appropriate action. For cases where the grievable subject matter is not specifically limited, the grievance must allege that a decision was made improperly or unfairly. Improperly means one that violates a specific institute rule, regulation, policy or practice. Unfairly means one that is arbitrary or capricious (no rational basis for the decision) or unlawfully discriminatory (violates state or central civil rights laws). If the grievant has not provided sufficient information to show that the matter is clearly grievable, the Committee may dismiss the grievance or give the grievant the opportunity to amend the grievance if it appears likely that such information might be provided.

- c. Was the grievance timely filed? The grievance petition must be filed within sixty calendar days of the decision being grieved or within an extension of time granted by the Chair of the faculty. Grievances must be filed within sixty calendar days of the decision being grieved. Time deadlines are imposed to avoid delays that can result in loss of memory, unavailable witnesses and unavailable documentation. Timely filing notifies the respondent to the grievance while memories are fresh and documentation can be preserved and available witnesses can be notified. If the grievance was not filed within the requisite sixty days, the Chairperson of the Grievance Committee may waive the requisite sixty day filing date under significant extenuating circumstances. Significant extenuating circumstances are generally those circumstances that are beyond the control of the grievant and thus have affected the grievant's ability to timely file. Examples would include inability to file because the grievant was in the hospital or is otherwise unaware of the decision because of events beyond the staff member's control.
- d. In certain cases, the Committee may decide that it needs additional information to decide these issues. In such event, the Chairperson may request in writing additional information from the parties and/or hear from the parties directly at the pre-hearing conference before deciding the matter. The written request and any responses must be shared with all parties. After reviewing the jurisdictional matters the Committee will make a decision on jurisdiction and notify the parties. While the grievance procedure requires a written report in the case of dismissing a grievance, since either party may appeal an adverse decision to the Director or the Governing Council (through the Director), a written decision should be prepared in either event setting forth reasons for the Committee's decision and provided to

the parties. In cases where the grievant has not stated a grievable matter but the grievant has provided information that indicates that the grievant can do so with an amended grievance petition, the Grievance Committee may permit the amendment.

## **2. THE GRIEVANCE HEARING**

The purpose of the grievance hearing is to provide the grievant and respondent the opportunity to present their respective cases to a Committee that will make findings of fact and recommendations regarding the grievance. The hearing is composed of four discrete segments:

- 1. Opening statements of each party**
- 2. Presentation of the grievant's case**
- 3. Presentation of the respondent's case**
- 4. Closing arguments of each party**

Each segment is briefly described below.

### **1. Opening Statements**

Opening Statements from grievant and respondent are invited after the Chairperson's introductory remarks. Each party makes a brief summary of what their respective positions are regarding the grievance. The opening statements provide a framework or context for the evidence that each party will present. Opening statements are not substitutes for testimony or argument. Rather they are brief outlines of what each party expects to present through testimony and documentary evidence. The Chairperson will place a time limit on opening statements and then proceed to the evidentiary phase of the hearing, i.e., presentation of the grievant's case and presentation of the respondent's case.

### **2. Grievant's Case**

The grievant presents his or her case first through the testimony of witnesses and the introduction of documentary evidence. After each witness, the respondent has the opportunity for cross-examination of the grievant's witness. Committee members may also ask the witness questions. At the conclusion of the grievant's case, the Committee must decide if the grievant has presented sufficient credible evidence to sustain the grievance. If the grievant has not done so, the Committee

must dismiss the grievance after the grievant's case. If the evidence presented does sustain the grievance, then the Committee must go forward with respondent's case.

### **3. Respondent's Case**

The respondent's presentation proceeds in similar fashion with the grievant cross-examining respondent's witnesses. The Committee may also ask questions of respondent's witnesses. At the conclusion of the Respondent's case, closing statements from each party are then invited by the Chairperson.

### **4. Closing Statements**

Closing statements provide each party with the opportunity to summarize the evidence and to argue their respective positions based upon the evidence presented. Since the grievant and respondent have already testified and presented their documentary evidence, closing statements may not be used to introduce new evidence. After the closing statements, the hearing concludes and the Committee recesses to deliberate.

## **3. DELIBERATIONS**

The Grievance Committee deliberations take place in closed session after the hearing has been recessed. The deliberative phase allows the Committee to discuss all the issues that have been raised during the hearing and the evidence presented by each party in support of their case or in rebuttal to the case presented by the other party. Conflicting evidence is evaluated and the Committee determines which facts have been proven. The facts are then applied to the issues and the Committee determines what recommendations it should make regarding the grievance.

After the hearing has concluded, the Committee may not talk to any of the parties or other persons, including previous witnesses who have testified. If additional material testimony is needed, the Chair may reconvene the hearing for such purposes. If the matter is straight forward and can be responded to in writing, the Chair may solicit such a response provided that all parties have the opportunity to comment on the respective responses and all responses are shared with each Committee member.

## **4. PRONOUNCING THE DECISION**

The written report of the Committee's decision must set forth the Committee's findings

and recommendations. Specifically, the report should state a separate finding for each particular issue of the grievance, should make findings that resolve the material issues of fact that have been disputed, address any minority views and provide a recommendation for disposition of the grievance.' The Committee's report should contain sufficient information to permit the Director to understand the issues in the grievance, the facts as determined by the Committee based upon the credible evidence submitted by the parties during the grievance hearing, and the rationale for the Committee's decision and recommendation(s). The report should address the following matters:

1. The composition of the grievance Committee.
2. The process followed by the Committee. A description of the process should set forth the dates the Committee met and the length of time spent in hearing the case and in deliberating to reach a decision.
3. The identity of all parties to the grievance.
4. A description of the grievance (including what policies, regulations, rules or practices were alleged to be violated).
5. The findings of fact that is relevant to each issue in the grievance. The findings of fact basically set forth what happened. There may be conflicting evidence on various factual issues that the Committee will resolve in its deliberations and these factual conflicts should be discussed with the Committee's ultimate judgment of why the Committee accepted or rejected specific evidence. The parties, the Chancellor and any subsequent reviewer needs to know that the Committee considered the relevant and material evidence and made factual findings that are supported by the evidence in the record. A recitation of conflicting evidence in the record does not suffice. The Committee must actually decide which evidence it finds as true.

## **Recommendation(s).**

Recommendation(s) addressing what action the Committee has decided should be taken. The recommendation must be supported by the facts and provide a justification. While the Director or the Governing Council have the authority to draw different conclusions, a carefully reasoned decision is more likely to be persuasive and upheld. 'The Committee should be careful not to simply substitute its judgment for that of the respondent(s) (e.g., the Committee should not recommend that the grievant get promotion or a pay rise simply because the grievant's professional record could have justified this. Rather, the Committee should decide if the decision being grieved was reached for improper or

unfair reasons (e.g., was it based on irrelevant factors such as age or race or personal or political views, or were procedures violated to the prejudice of the grievant).

Minority or dissenting report(s) if any. The report shall include minority or dissenting views of Committee members, if any, and shall note the intent of any Committee member to file a separate report if any member wishes to do so. Minority reports, if any, shall be appended to the Committee's report.

If the Director rejects any of the findings or recommendations, the Committee is provided with the Director's decision and an opportunity for the Committee to respond in writing to the decision. If the Committee's decision is unclear or additional proceedings are deemed necessary by the Director, the matter will be remanded with instructions to the Committee for further action. For example, the Committee may be asked to hear additional evidence and re-evaluate the decision, or to clarify portions of the Committee's decision.

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