

## Annexure-II

### CRITERIA FOR IDENTIFYING S&T AGENCIES/ORGANSIATIONS FOR IMPLEMENTATION OF REVISED FLEXIBLE COMPLEMENTING SCHEME IN GOVERNMENT OF INDIA

Type of S&T Output Product	S&T Output indicators	10X Outputs/ Scientist
Knowledge Product Link	Publication on SCI Journals Publication in referred journals Publications in proceedings Books and Monographs Patents/Copyrights/Designs Invited Scientific Lectures Scientific Study Reports	
Technology Product Link	Process Know-how Product know-how Design know-how Technology status reports Technology intelligence reports Technology foresight reports Technology assessment reports	
Economic Product Link	Contract Research Income Consultancy Service Income Royalty Income Competitive research grants gained Technology licensing fees earned R&D Service income realized Scientific Publications Sold	

S&T Management Product Link	<p>Extra &amp; Intra mural R&amp;D projects</p> <p>managed S&amp;T management reports for external use</p> <p>IPR Documentation</p> <p>Monitoring and closure reports</p> <p>S&amp;T Output-Input correlations</p> <p>S&amp;T data base reports</p> <p>Strategy planning Documents</p> <p>S&amp;T mission implementation</p> <p>Cabinet Note, EFC/SFC Notes prepared for S&amp;T schemes</p>	
S&T Services Product Link	<p>Testing services</p> <p>Laboratory Accreditation</p> <p>Good Laboratory Practice Inspection</p> <p>S&amp;T Survey</p> <p>R&amp;D Service: Energy/Environmental Audit</p> <p>R&amp;D Service: Environmental impact appraisals</p> <p>Natural wealth and Hazard Assessment.</p> <p>S&amp;T information services- Analysis</p> <p>Bibliometric and Scientometric Analysis</p> <p>Preparation of Technical Manuals</p> <p>Derivation of Scientific/ Technical Codes</p> <p>S&amp;T outputs from Workshops/Seminars</p>	
S&T Human Resource Product Link	<p>Master's level education</p> <p>Doctoral level training</p> <p>Post doctoral training</p> <p>S&amp;T management courses</p> <p>Specialized man power for R&amp;D sector</p> <p>Science education/knowledge dissemination</p>	

	Training on advanced technical and Analytical methodologies	
Societal Outreach of S&T Outputs	<p>Technology field demonstrations</p> <p>Design of outreach materials</p> <p>Dissemination of R&amp;D outputs</p> <p>Artisanal training/Skill Development initiatives</p> <p>Grass root S&amp;T related actions</p> <p>Technology adaptation for local needs</p> <p>Convergent technology solutions delivered</p>	
S&T Policy Product Links	<p>Drafting of Technical standards</p> <p>R&amp;D investment policy framework</p> <p>National policy frame work for innovation systems</p> <p>Design of policies for stimulation of R&amp;D</p> <p>National policy frame work for technology systems</p> <p>Design and development of regulatory frame works</p> <p>Evidence gathering for policy building</p> <p>Global bench marks for technology systems</p>	
S&T Cooperation Products	<p>PPP Products for S&amp;T sector</p> <p>National competitiveness assessment for bilateral cooperation</p> <p>Technology Assessment for diplomacy</p> <p>Technology Assessment for international synergies</p> <p>Technology Assessment for acquisition</p> <p>Academy-research partnership built</p> <p>Technical Work Programmes drafted for S&amp;T Cooperation</p>	

Criteria Recommended:

- i) Agencies/ Organizations seeking qualification as S&T Organisation/agency for implementing Revised FCS must:
  - a. Generate at least 3 out of 9 knowledge products
  - b. Select about 20 S&T output indicators from the list provided
- ii) In case any other S&T output indicators need to be included as a criterion, a Standing Advisory Committee involving Secretary, DST may be constituted.
- iii) It is recommended that S&T Institutions/Organizations seeking implementation of Revised FCS are able to quantify collective outputs from the selected list of S&T output indicators for a group of 10 S&T professional/Officer for their own internal assessment.

**ANNEXURE-III**

**ANNUAL WORK REPORT**

**Self Assessment by the officer reported upon**

**1. Name :**

**2. Designation :**

**3. Area of S&T function :**

**Part A**

**4. One page summary of the scientific and technical elements in the work done during the financial year:**

**4.a. New Initiative taken:**

**4.b. S&T content of the work done:**

**4.c. Innovation content of the work done :**

**5. Brief Description of evaluation parameters related to the officer's work function as given in the Appendix:**

**Assessment of work output**

*(Out of the five broad parameters given at Appendix, the Officer may choose at least twenty sub parameters of 5 marks each for 100 marks in total relevant to the work function of the officer).*

<b>SL No.</b>	<b>Brief Description of the parameter on which the Officer has to be evaluated</b>	<b>Achievement made there to by the Officer concerned (maximum 50 words each for each sub parameters)</b>
<b>1</b>	<b>Parameter:</b> _____  <b>Sub Parameter</b> a. b. c. . .	
<b>2</b>	<b>Parameter:</b> _____  <b>Sub Parameter</b> a. b. . .	
<b>3</b>	<b>Parameter:</b> _____  <b>Sub Parameter</b> a. b. . .	

4	<b>Parameter:</b> _____  <b>Sub Parameter</b> <b>a.</b> <b>b.</b> . .	
5	<b>Parameter:</b> _____  <b>Sub Parameter</b> <b>a.</b> <b>b.</b> . .	

(signature of the officer reported upon)

Name:

Designation:

**Part – B**  
**ASSESSMENT BY THE REPORTING AUTHORITY**

1. Do you agree with the evaluation parameters suggested by the Officer?
  
  
  
  
  
  
  
  
  
  
2. Short summary of the innovative content of the work done
  
  
  
  
  
  
  
  
  
  
3. Please also indicate the exceptional contribution of the Officer for which he can be considered under exceptionally meritorious category.
  
  
  
  
  
  
  
  
  
  
4. Overall assessment of the scientific work

SL No.	Parameters	Marks given By the reporting authority
1		
2		
3		
4		
5		
	<b>Total Marks Obtained</b>	

Signature of the Reporting Officer  
Name:

Designation:



**Part 'C'**

**Internal Screening Committee Report**

**(This Report has to be prepared by the Level-I Screening Committee after the completion of the residency period for reporting the same to the Assessment Committee)**

- 1. Innovative component of the work done during the residency period vis-à-vis work function of the officer:**
  
- 2. Major achievements (100 words) by the officer during the residency period:**
  
- 3. Extra ordinary achievements made to be considered under exceptionally meritorious category:**
  
- 4. New initiative taken in order to achieve the goal / target of the schemes / programs handled:**
  
- 5. Over all grading of the officer (1 to 10 scale):**
  
- 6. Relative Assessment with Peers:**

**(Top 10%)    (10-33%)    (33% and below)**

**Signatures of the Committee Members**

## Appendix

**Parameters\* for Evaluation (Officer reported can choose at least twenty sub parameters given below) in consultation with the Reporting Officer**

<b>1. S&amp;T Management/S&amp;T Policy Product/Scientific and Technological Aspects</b>
<ul style="list-style-type: none"> <li>• Extra and Intra mural R&amp;D projects handled/executed/monitored</li> <li>• Scientific Notes/Reports/database created/managed/handled</li> <li>• S&amp;T scheme or projects handled/launched/implemented/facilitated/managed</li> <li>• S&amp;T manuals/brochures/technology status report prepared</li> <li>• S&amp;T cooperation with other countries facilitated</li> <li>• Signing of domestic/international MOU facilitated</li> <li>• SFC/EFC/Cabinet Notes/Projects/Schemes prepared</li> <li>• Technology Intelligence/foresight/assessment reports prepared</li> <li>• Drafting/review of National/International standards for products/process</li> <li>• Preparation of field report/observational data etc.</li> <li>• Output/Outcomes of Research Projects generated</li> <li>• Management of Scientific Resources</li> </ul>
<b>2. Knowledge Product</b>
<ul style="list-style-type: none"> <li>• Publications and invited lectures</li> <li>• Patent/IPR documentation/copyrights/designs</li> <li>• Output/Outcome Analysis for strategic S&amp;T planning</li> <li>• Development/Improvement of new/existing laboratory analytical method</li> <li>• Development/Improvement of new/existing mathematical/statistical/dynamical models</li> <li>• Preparation of data/meta data standards</li> <li>• Development of Algorithms for IT solutions</li> <li>• Development of convergent technology solutions</li> <li>• Design and documentation of application software</li> <li>• Preparation of technology status report</li> </ul>
<b>3. S&amp;T Economic Product</b>
<ul style="list-style-type: none"> <li>• Technology Developed/Facilitated</li> <li>• Technology transferred/licenced/commercialised</li> <li>• Consultancy projects carried out/income generated/EMR Grants receipt</li> <li>• Licensing Fee/Income catalysed/facilitated</li> <li>• Start-ups created</li> <li>• Incubation Facilities created</li> <li>• Technical services/Calibration implemented/facilitated</li> <li>• Maintenance and upgradation of observational and Computational networks</li> <li>• Capacity building</li> <li>• Delivery of statutory/promotional services to industry</li> <li>• Cost cutting Measures Implemented</li> </ul>
<b>4. Capacity building and Promotion of S&amp;T</b>
<ul style="list-style-type: none"> <li>• HRD schemes managed/handled</li> <li>• Skill Development/Rural Development Programme implemented</li> <li>• Technology field demonstration/entrepreneurship training carried out</li> <li>• Science education/knowledge dissemination</li> </ul>

<ul style="list-style-type: none"> <li>• Training course designed and developed including capacity building</li> <li>• PhD/MTech/MSc Students guided/trained</li> </ul>
<b>5. S&amp;T Services and Outreach activities</b>
<ul style="list-style-type: none"> <li>• Outreach materials of R&amp;D outputs disseminated</li> <li>• Artisanal training/Skill Development Initiatives taken</li> <li>• Grass root S&amp;T related actions Technology adapted for local needs</li> <li>• Participation in Field survey, data collection, scientific exploration</li> <li>• Laboratory Accreditation, Good Laboratory Practice</li> <li>• Inspection Survey, R&amp;D Service</li> <li>• Weather, Climate, Ocean, Seismological and Cryospheric services</li> <li>• Environmental impact appraisals, Natural wealth and Hazard Assessment</li> <li>• Testing and calibration service carried out</li> <li>• Energy/environment audit carried out</li> <li>• Design/development of regulatory framework</li> <li>• Software/hardware/electronic products deployed/developed</li> <li>• Good Manufacturing Practices</li> <li>• Projects planning/monitoring/evaluation</li> <li>• Maintenance and enhancement of e-Governance Projects</li> <li>• Design, development and hosting of portals, web applications and websites for information/dissemination</li> <li>• Management and prevention of security threats/vulnerabilities in Cyber Space</li> <li>• Monitoring systems for implementation of Government Schemes and dissemination to public using ICT Tools</li> </ul>

\*Any other parameter not included above but included in the as S&T Output/Indicator in Annexure-II titled as “Criteria for identifying S&T Agencies/Organisations for implementation of Revised Flexible Complementing Scheme”

Year \_\_\_\_\_

**GOVERNMENT OF INDIA  
DEPARTMENT OF \_\_\_\_\_  
REVISED ANNUAL PERFORMANCE AND APPRAISAL REPORT  
FORMAT FOR SCIENTISTS WORKING IN INSTITUTES AS WELL AS THE  
MINISTRIES/DEPARTMENTS**

**PART-1**

*(The information should be furnished by the Administration/Custodian)*

**(Identification Information)**

1. Name of the Employee:
2. Designation:
3. Employee ID:
4. Date of Birth:
5. Section or Group
6. Area of specialization:
7. Date of joining to the post:
8. E-mail ID:
9. Mobile No.:
10. Year of the Report:

**11. Educational Attainments**

<i>Qualification</i>	<i>year</i>	<i>Univ/Instt</i>	<i>remarks</i>


**12. Employment Details (PDF positions held may be included here)**

<i>Grade/post</i>	<i>Lab/Institute</i>	<i>Duration</i> <i>From - To</i>	<i>Remarks</i>

**13. Any qualification acquired during the year of Report:**

<i>Qualification</i>	<i>year</i>	<i>Univ/Instt</i>	<i>remarks</i>

**14. Any training undergone during the year of Report:**

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**15. Any leave availed during the year of Report:**

<b>Sl. No.</b>	<b>Nature of Leave</b>	<b>Period</b>	<b>No. of Days</b>
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1.	Maternity leave		
2.	EL		
3.	Study leave		
4.	CCL		

**Part - 2**  
**To be filled in by the Scientist reported upon**

(Please read carefully the instructions before filling the entries)

**1. Brief description of duties**

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**2. Please specify the programs/ projects assigned to you and your achievement there to in 100 words.**

Brief description about the program/ projects/Field study	Your Achievement thereto in 100 words
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**3.Please state briefly about major publications/reports/Technology transferred/patents filed/projects managed/social outreach activities/manpower trained not exceeding in 100 words.**

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**4. Specific contribution made to different mission of the Government like Atma Nirbhar Bharat, Make in India, Swachh Bharat etc., in bullets (50 words)**

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**5. Please brief about the work done/utilization of GeM portal for procurement of goods and services.**

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**6. Please state whether annual return on immovable property for the preceding calendar year was filed within the prescribed date i.e. 31<sup>st</sup> January of the year following the calendar year. If not, the date of filing the return should be given.**

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Date.

Signature of Scientist Reporting Upon



### Part - 3

**Numerical grading is to be awarded by reporting and reviewing authority which should be on a scale of 1-10 where 1 refers to the lowest grade and 10 to the highest.**

(Please read carefully the guidelines before filling entries)

#### **(A) Assessment of work output (weight age to this Section would be 40%)**

	Reporting Authority	Reviewing Authority (Refer Para 2 of Part 5)	Initial of Reviewing Authority
(i) Accomplishment of planned work/work allotted as per subject allotted			
(ii) Scientific & Technical Achievements			
(iii) Quality of output			
(iv) Analytical ability			
(v) Accomplishment of exceptional work/unforeseen tasks performed			
Overall Grading on "Work Output"			

#### **B. Assessment of personal attributes (weight age to this Section would be 30%)**

	Reporting Authority	Reviewing Authority (Refer Para 2 of Part 5)	Initial of Reviewing Authority
(i) Attitude to work			
(ii) Sense of Responsibility			
(iii) Maintenance of Discipline			

(iv) Communication skills			
(v) Leadership Qualities			
(vi) Capacity to work in team spirit			
(vii) Capacity to adhere to time-schedule			
(viii) Inter-personal relations			
(ix) Overall bearing and personality			
Overall Grading on 'Personal Attributes'			

**(C) Assessment of functional competency (weight age to this Section would be 30%)**

	Reporting Authority	Reviewing Authority (Refer para 2 of para 5)	Initial of Reviewing Authority
(i) Scientific Capability			
(ii) S&T Foresight and vision			
(iii) Decision making ability			
(iv) Organizing ability			
(v) Ability to motivate and groom sub-ordinates			
(vi) New Initiative			
Overall Grading on 'Functional Competency'			

**GENERAL**

**PART - 4**

**1. Relation with the public (wherever applicable)**

(Please comment on the Scientist's accessibility to the public and responsiveness to their needs)

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**2. Training**

(Please give recommendations for training with a view to further improving the effectiveness and capabilities of the Scientist

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**3. State of Health**

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**4. Integrity**

(Please comment on the integrity of the Scientist)

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**5. Pen Picture by Reporting Officer (in about 100 words) on the overall qualities of the Scientist including area of strengths and lesser strength extraordinary achievements, scientific & technical achievements (refer 3 of Part 2) and attitude towards weaker section.**

**6. Overall numerical grading on the basis of weight age given in Section A, B and C in Part-3 the Report.**

Place

Date

Signature of Reporting Officer

Name of Block Letter \_\_\_\_\_

Designation \_\_\_\_\_

During the period of report \_\_\_\_\_

## PART -5

### 1. Remarks of the Reviewing officer

Length of Service under the Reviewing officer

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2. Do you agree with the assessment made by the reporting officer with respect to the work output and the various attributes in part-3 & Part-4? Do you agree with the assessment of reporting officer? In case you do not agree with any of the numerical assessments of attributes please record your assessment on the column provided for you in that section and initial your entries)

Yes	No
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3. In case of disagreement please specify the reason is there anything you with the modify or add

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4. Pen Picture by Reviewing Officer, please comment (in about 100 words) on the overall qualities of the Scientist including area of strengths and lesser strength scientific and technical achievements and his attitude towards weaker section

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**5. Overall numerical grading on the basis of weightage given in Section-A, Section-B and Section-C in Part-3 of the Report**

Place

Date

Signature of the Reviewing Officer

Name in Block Letters \_\_\_\_\_

Designation \_\_\_\_\_

The period of Report \_\_\_\_\_

### **Guidelines regarding filling up of APAR with numerical grading**

- (i) The columns in the APAR should be filled in with due care and attention and after devoting adequate time.
- (ii) It is expected that any grading of 1 or 2 (against work output or attributes or overall grade) would be adequately justified in the pen-picture by way of specific failures and similarly, and grade of 9 or 10 would be justified with respect to specific accomplishments. Grades of 1-2 or 9-10 are expected to be rare occurrences and hence the need to justify them. In awarding a numerical grade the reporting and reviewing authorities should rate the Scientist against a larger population of his/her peers that may be currently working under them.
- (iii) APARs graded between 8 & 10 will be rated as "Outstanding" and will be given a score of 9 for the purpose of calculating average scores for promotion/upgradation under the Scheme.
- (iv) APARs graded between 6 and short of 8 will be rated as "Very good" and will be given a score of 7
- (v) APARs graded between 4 and short of 6 will be rated as "Good" and will be given a score of 5
- (vi) APARs graded below 4 will be given a score of "Zero"

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