

**RULES AND REGULATIONS
OF
GOVIND BALLABH PANT HIMALAYA
PARYAVARAN EVAM VIKAS SANSTHAN**

**(GOVIND BALLABH PANT INSTITUTE OF HIMALAYAN
ENVIRONMENT AND DEVELOPMENT)**



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CHAPTER I

PRELIMINARY

1.1. **Short title, Commencement and application:**

- (1) The rules and regulations shall be called the amended rules and regulations of the Institute 2007, as amended in 2007 from original notified GBPIHED rules 1990.
- (2) These shall come into force with effect from the date of approval by the Chairman, Governing Body.
- (3) The Governing Body may issue directions from time to time to make such exceptions or modifications, not affecting the substances, in the directions of the memorandum of society, as the circumstances may require.

1.2 **The definitions:**

The definitions of terms applicable in these rules and regulations will be those as mentioned in the memorandum and rules and regulations of the Society.

1.3 **Objectives and functions of the Institute:**

- (1) to undertake in-depth research and development studies on environmental problems of the Himalayan region and the Shiwalik ranges;
- (2) to evolve and demonstrate suitable technology packages and delivery systems for integrated development of the Himalayan and the Shiwalik ranges;
- (3) to co-operate with educational and other institutional organization having objectives in conformity to those of the Institute, in order to achieve any of its objectives;
- (4) to undertake training programmes to equip personnel to deal with ecological problems and to implement environmentally appropriate development in the Himalayan ranges;
- (5) to provide consultancy services to deal with environmental and developmental projects;
- (6) to create a data bank on Himalayan ecosystems, their problems and solutions and a network for dissemination of information;
- (7) to establish, maintain and manage campus of the Institute, its buildings and the residential complex;
- (8) to set up experimental field stations, laboratories and units wherever necessary; and
- (9) to do all such things as may be necessary, incidental or conducive to the attainment of all or any of the objectives of the Institute.

CHAPTER II

EXECUTIVE OFFICERS OF THE INSTITUTE

2.1 Director

1. The Director shall be appointed by the Central Government.
2. Appointment to the post of Director shall be made by the Central Government normally from a panel to be drawn up by the Search-cum-Selection Committee constituted as per DoPT O.M. No. 28/13/2006-EO (SM.I) dated 3rd July, 2006 or any further instructions issued from time to time. The tenure of the Director shall normally be for a period of five years or till the date of superannuation, whichever is earlier. The tenure can be extended by the Central Government on recommendation of the Governing Body. However, the Central Government reserves the right for premature termination of the tenure of the Director of the Institute on the recommendation of the Governing Body.
 - 2(i) The classification and the scale of pay attached to the post shall be as per specifications in columns 3 to 4 of the Schedule Ia annexed to these rules.
 - 2(ii) Method of recruitment, age limit, qualification, pay, allowances, leave and other conditions of service, etc., of Director, G.B. Pant Institute of Himalayan Environment & Development (GBPIHED) are specified in column 5 to 14 of the Schedule Ia.
 - 2(iii) The scale of pay of Director shall be as specified in column 3 of Schedule Ia.
 - 2(iv) These rules and orders for the time being in force applicable to an officer holding posts of the corresponding scale of pay under the Central Government, shall regulate the conditions of service in respect of allowance, leave, joining time, pay, provident fund, gratuity, age of superannuation, retirement benefits, medical facilities and other conditions of service of the Director, GBPIHED.
 - 2(v) The search-cum-selection Committee will be constituted with the concurrence of Department of Personnel & Training as per DoPT O.M. No. 28/13/2006-EO(SM.I) dated 3rd July, 2006 or any further instructions issued from time to time, by Government of India regarding policy & procedure for appointments in autonomous institutions.
 - 2(vi) The composition of search-cum-selection Committee will be:

(i)	Secretary (Environment & Forests)	Chairman
(ii)	Secretary, Department of Science & Technology	Member
(iii), (iv) & (v)	Three Experts of eminence in the relevant field	Member
3. Subject to these rules, bye-laws and to any orders of the Governing Body, the Director shall be responsible for the administration and management of the Institute under the direction and guidance of the Governing Body.

4. The Director shall be the Principal Executive and Academic Officer of the Institute.
5. He shall have the right to suggest to the Society through the Governing Body to adopt, amend, vary or rescind any rules and regulation if and when considered necessary.
6. **Power to relax:** Where the Central Government is of the opinion that, it is necessary or expedient to do so, it may by order for reasons to be recorded in writing, relax any of the provisions of these rules.
7. **Saving:** Nothing in these rules, shall affect reservations, relaxation of age limit and other concessions required to be provided for candidates belonging to the Scheduled castes, the scheduled tribes, the other backward classes, Ex-servicemen and other special categories of persons in accordance with orders issued by the Central Government from time to time in this regard.

Annexure: Schedule-Ia, specifying Method of recruitment, age limit, qualification, pay, allowances, leave and other conditions of service, etc.

2.2 The Administrative Officer:

1. The Administrative Officer shall be appointed by the Governing Body.
2. The Administrative Officer shall be a whole time Officer of the Institute and shall not take any remunerative job other than that of the Institute. The Administrative Officer shall have the powers to authenticate records on behalf of the Director.
3. The Administrative Officer shall be responsible for the due custody of all records of the Institute and shall be bound to place before the Director all such information as may be necessary for the transaction of his business.
4. The Administrative Officer shall have the administrative control over all Group 'C' and 'D' employees barring those who are directly associated with the Director/ Any other Officer as decided by the Director of the Institute.
5. The Administrative officer will have the powers to take disciplinary actions against such employees who are under his direct control with the prior approval of the Director. The Administrative Officer shall also act as a Secretary of the Committees, Faculty meetings and such other bodies constitute within the Institute.
6. The Administrative Officer will be responsible to execute the orders issued by the Director in connection with the academic, administrative and financial matters of the Institute.
7. The Administrative Officer will be responsible to point out as and when required, the powers delegated to the Director in various matters.
8. The Administrative Officer shall be responsible to ensure that the property and

the investment of the Institute are duly preserved and managed.

9. All contracts except mentioned in the Chapter VI shall be entered into and signed by the Administrative Officer and Finance Officer jointly on behalf of the Institute.
10. The Administrative Officer shall also perform such other duties as may be assigned to him by the Director from time to time.

2.3 Finance Officer:

1. The Finance Officer shall be appointed by the Governing Body.
2. The Finance Officer shall be whole time executive of the Institute and shall not take any remunerative job other than that of the Institute.
3. The Finance Officer shall be responsible for preparing the budget (annual estimates) in consultation with the In-charge of the various cores/ units of the Institute and the statement of accounts of all the units of the Institute and shall also be the drawing and disbursing Officer of the funds of the Institute on behalf of the Director.
4. The Finance Officer shall be responsible:
 - a) to ensure that no expenditure, not authorised in the budget, is incurred by the Institute; and
 - b) to disallow any proposed expenditure which may contravene the provisions of the rules and regulations of the Institute;
 - c) to ensure that no financial irregularities are committed and to take steps to set right all irregularities pointed out during the audit.
5. The Finance Officer shall have access and may require the production of such records and documents of the Institute and furnishing such information pertaining to its affairs as in his opinion be necessary for the discharge of his duties.
6. Other powers and functions of the Finance Officer shall be such as may be assigned by the Director from time to time.

2.4 Accounts Officer:

1. Accounts Officer shall be appointed by the Director.
2. The Accounts Officer shall be responsible for maintaining the accounts of the Institute and its units and will be directly responsible to the Finance Officer.
3. The Accounts Officer shall be responsible for keeping the accounts of the Institute's employees provident funds/contributory funds/ LIC accounts *etc.*, upto date.
4. The Accounts Officer shall also discharge other duties assigned to him by the Director from time to time.

CHAPTER III

BANK ACCOUNTS, FINANCIAL YEAR OF THE INSTITUTE, REPORT OF WORKING

3.1 Bank Account:

- 3.1.1. Unless otherwise authorised by the Governing Body no new accounts of the Institute shall be opened.
- 3.1.2. The Bank account of the Institute shall be operated by the Finance Officer of the Institute or such other Officer as may be nominated by the Director from time to time.

3.2 Financial Year of the Institute:

The financial year of the Institute shall be from the first of April to the thirty first of March of the following year.

3.3 Audit of the Institute:

- 3.3.1. The annual accounts of the Institute shall be subject to audit by a Chartered Accountant or Accountants as defined in the Chartered Accounts Act 1949 (xxxvi of 1949) to be appointed by the Institute with the approval of the Governing Body from year to year.
- 3.3.2. The Director shall ensure the maintenance of proper accounts and other relevant records and preparation of annual statement of accounts including the balance sheet in such format as may be prescribed by the Central Government, in consultation with the Comptroller and Auditor General of India.
- 3.3.3. The accounts of the Institute shall be audited annually by the Comptroller and Auditor General and any expenditure incurred in connection with the audit of accounts of the Institute shall be payable by the Institute.
- 3.3.4. The Comptroller and Auditor General shall have the same rights, privilege and authority in connection with the audit of the accounts of the Institute as the Comptroller and Auditor General has in connection with the audit of Government accounts and, in particular shall have the right to demand the production of books, accounts, connected vouchers and other documents and papers and to inspect any of the offices of the Institute.
- 3.3.5. The accounts of the Institute as certified by the auditor recommended by Comptroller and Auditor General and approved by Governing Body, together with the audited report thereon, shall be forwarded to the Central Government and the Government shall cause the same to be laid before the Houses of Parliament, along with the annual report of the Institute.

CHAPTER IV

SERVICE & RECRUITMENT OF EMPLOYEES

4.1 Application of Regulations:

These Regulations shall apply to every employee of the Institute, provided that the Institute may, by order exclude any class or group of employees from the operation of all or any of these Regulations.

Provided further that the Regulations governing continuation to Employees Provident Fund of the Institute shall not apply to any employee between whom and the Institute an agreement subsists that these Regulations shall not apply to him.

Note : I. Where the agreement between such employees and the Institute provides for application to him or to her of the Regulations governing continuation to the Employees Provident Fund of the Institute will apply to him or her, subject to the terms of such agreement.

Note :II. Every employee of the Institute to whom the Regulations governing continuation of Employees Provident Fund apply shall be subscriber to the Employees Contributory Provident Fund to be specifically created for the Institute employees.

4.2. Power to relax:

The Governing Body may relax the provision of any of these regulations in any case in which, but for such relaxation, the Regulations would operate harshly, or the Governing Body is of the view that such relaxation is necessary in exceptional circumstances for reasons to be recorded in writing.

Provided that no relaxation as aforesaid shall be made by the Governing Body in respect of any officers appointed by the Central Government.

4.3. Interpretation:

If any doubt arises as to the meaning or application of these Regulations or any of them the matter shall be referred to the Chairman of the Governing Body whose decision shall be final.

4.4. Delegation of Powers:

The Governing Body may, by general or special order, direct that any power exercisable by it, under these Regulations except the power in Regulation (4.2) subject to such conditions, if any, as may be specified in the order, be exercisable also by such officer or authority as may be specified in the order.

4.5. Salaries and allowances of employees:

The employees of the Institute shall draw salaries in the scale of pay of the posts held by them as mentioned in Chapter IV and Schedule Ib (including Appendix Ia and Ib) annexed hereto or in the scale of pay of post that may be added to the Schedule Ib from time to time or in scale as may be revised from time to time. They will draw allowances as may be determined by the Central Government from time to time.

4.6. Grant of Leave:

In the matter of grant of leave the employees of the Institute shall be governed by the Central Civil Services (Leave Rules, 1972) as applicable to the employees of the Central Government and orders issued by the Central Government thereunder from time to time.

4.7. Seniority:

Seniority of the Employees of the Institute shall be governed by the orders issued on the subject by the Central Government from time to time.

4.8. Superannuation:

The age of Superannuation of all employees it shall be as per Government orders issued in this regard from time to time.

4.9. Conduct:

C.C.S. conduct rules, 1964 amended from time to time as applicable to the Central Government employees shall be applicable to the employees of the Institute also.

4.10. Classification, Control and Appeal:

C.C.S. (Classification, Control and Appeal) Rules, 1965 as amended from time to time applicable to Central Government Employees shall be applicable to the employees of the Institute also. However, the definitions regarding, "Appointing Authority", "Prescribed Authority", "Disciplinary Authority", *etc.*, when decided by the Institute will hold valid.

4.11. Constitution of the Fund:

A Fund shall be created in the Institute to be called "G.B. Pant Institute Employees Contributory Provident Fund". It shall consist of the following and no other sums:

- (a) The amount subscribed by the members;
- (b) The amount contributed by the Institute;
- (c) The interest (simple and compound) credited on the above sum;
- (d) Securities, if any purchased with the above sums;
- (e) Any capital gains arising out of sale, exchange or transfer of capital assets of the Fund, and
- (f) Provident Fund money transferred from any other organisation covered under the Employees Provident Fund Act, 1952. All other provisions and definitions

as contained in the contributory Provident Fund Rules (India), 1962 as amended from time to time shall be applicable to the employees of the Institute also.

4.12. Recruitment Rules

The particulars of Scientific, Technical & Supporting, Administrative and other Miscellaneous posts, methods of recruitment thereto, age limit, qualifications and other matters relating to the post be as specified in Schedule Ib (including Appendix Ia and Ib) and Schedule II annexed hereto. All appointments on the posts approved by the Governing Body will be made through open advertisement, interview and/or test to be conducted by the Selection Committee as specified in para 4.12.1.4 and 4.13.2 of these rules.

- (a) The meeting of the Selection Committee for appointment in the Institute shall be convened under the orders of the Director.
- (b) The Selection Committee shall not consider the name of a person for regular appointment unless he/she has applied for it based on the advertisement.

Provided that in case of appointment of Scientist-F and Scientist-E the Committee may with the approval of the Chairman, Governing Body consider the name of persons who have not applied.

- (c) A member of Selection Committee shall withdraw from a meeting of Committee or of the governing body as the case may be if the question of appointment of any of the relatives of such member is being or is likely to be considered at such meeting.
- (d) If the Selection Committee recommends more than one candidate for appointment it may be in its discretion to arrange the names in order of preference. Where the Committee decides to arrange the names in order of preference, it shall be deemed to have signified that in the event of the first being not available the second may be appointed, and in the event of second not being available the third may be appointed and so on.

In all cases the decisions of the Selection Committee shall be final.

Provided further that the upper age limit prescribed for direct recruits may be relaxed in the case of scheduled castes and scheduled tribes and other special categories of persons in accordance with the general orders of the Central Government issued from time to time.

Provided further that the Director of the Institute may, without following the normal method of recruitment, employ the son/ daughter/near relative of the employee who dies in harness and in exceptional circumstances, such as indigent condition of the family of the employees even of an employee retired on medical grounds of any group C or group D posts if:

- i) he/she possesses the essential educational qualifications required for the post.

- ii) there is no other earning member in the family, or even if there is an earning member, the circumstances of the case warrant such employment.
- iii) such employment is made within a period of two years from the date of death of the employee concerned; and
- iv) such appointments on compassionate grounds do not cover more than 5% of the vacancies in any calendar year after allowing reservations for scheduled castes/scheduled tribes and other special categories.

4.12.1. Group 'A' Scientific Posts:

In supersession of all the rules approved by the Governing Body in so far as they relate to the scientific staff in the GBPIHED in the pay scale of Rs. 8,000 – 13,500/- and above except as respect things done or omitted to be done before such supersession, the method of recruitment of Group 'A' scientific posts in the GBPIHED is described below:

4.12.1.1. Designation and grades of the scientific posts:

The designations and grades of the entire scientific Group 'A' posts in GBPIHED shall be as follows:

Scientist B	-	Rs. 8000-275-13500
Scientist C	-	Rs. 10000-325-15200
Scientist D	-	Rs. 12000-375-16500
Scientist E	-	Rs. 14300-400-18300
Scientist F	-	Rs. 16400-450- 20000
Scientist G	-	Rs. 18400-500-22400

4.12.1.2. Recruitment Norms:

- a. The basic educational qualifications and work/research experience for all the posts shall be as specified in Appendix Ia.
The experience specified in Appendix Ia for all the posts shall be the experience acquired after obtaining the basic educational qualifications.
- b. Direct recruitment shall normally be at the scale of Rs. 10,000-15,200/-. Recruitment at higher level can be made at the specific request of the Director. Recruitment shall be by direct recruitment, promotion, transfer on deputation including short term contract, transfer. The particular method of recruitment for each vacancy shall be decided by the Director, GBPIHED. Whenever the posts are to be filled up by direct recruitment the posts shall be advertised in the newspaper or by such appropriate methods as the Director, GBPIHED deems fit.

- c. Qualifications, Age limit and experience for direct recruitment: shall be as per details given in Appendix Ia.
- d. In the case of Government servants and scientists working in GBPIHED the age limit shall be relaxable in accordance with the relevant orders issued by the Central Government and approved by the Governing Body of GBPIHED. The crucial date for determining the age limit shall be the closing date for the receipt of application.

4.12.1.3. Induction:

Persons holding scientific posts on a regular basis in GBPIHED on the date of commencement of these rules shall be deemed to have been appointed to the post from the date of their initial appointment to the post they are holding on regular basis. All scientists so inducted shall continue to carry the scale of pay they are eligible on the date of commencement of these rules and shall be eligible for review to the next higher grades, as per rules, after completing five years of satisfactory qualifying service in their grades. Adhoc services regularised in the same scale shall be counted for all benefits except benefits under flexible complementary scheme of promotion.

4.12.1.4. Recruitment, review and promotion:

a. Recruitment and Assessment Board

The constitution of the selection committee for making direct recruitment to the posts covered under these Rules shall be as under:

- (i) There will be a single Institute's Committee for Selection and Assessment Promotion called ICSAP of GBPIHED for the recruitment and assessment promotion of all Group A scientific posts. The ICSAP will be constituted by the Chairman, GB. Tenure of ICSAP will be three years from date of notification and will have the following composition:

Chairperson (an eminent scientist with adequate experience)

Members (03 Nos. of relevant subjects)

One representative of the MOEF, GOI at the level of Jt. Director. For recruitment and assessment promotion at level of Scientist 'F' and above, the representative of the MoEF will be at the level of Director.

- (ii) In addition to the above, two Subject Matter Specialists (SMS) to be co-opted in the Committee. The SMS will not have any fixed tenure but will be invited on a case to case basis. The SMS will be nominated by the Chairman, ICSAP

Member-Secretary (Director GBPIHED)

The quorum for the meeting of the ICSAP shall be four members including the Chairperson and at least one subject matter specialist. The Chairperson, ICSAP may nominate any member of the Committee to act as Chairperson of the ICSAP in his/her place, if required.

A member of SC/ST community is included in the Board if candidate of this community is being recruited /assessed.

Vacancies for which the selections are required to be made by the ICSAP shall be decided by the Director, GBPIHED. The vacancies shall be advertised by the Institute, as per the prescribed procedures. A copy of the advertisement shall be sent to the ICSAP.

Note: Experts nominated shall be at least one level above the pay scale for which selection is to be made. *In case of Review Committee, Core Group Incharge and/or Unit Incharge shall be included as additional member(s) to be decided by Director in each case.

Screening Committee:

For recruitment of Scientists up to Scientist-F level, the Director GBPIHED shall constitute Screening Committee. For Scientist F and above, the Screening Committee shall be constituted by Chairman GB. Approval of relaxation, if any, in respect of age from Chairman GB shall be obtained by the Director GBPIHED and sent to the ICSAP.

The Screening Committee for screening the applications for Scientists up to the level of Scientist F, shall comprise of the following:

- i) Director GBPIHED
- ii) One Officer of the nearby peer Institute in one scale higher than the post screened
- (i) One Officer of the GBPIHED in one scale higher than the post screened

The Screening Committee for screening the applications for Scientist F&G shall comprise of the following:

- i) One Expert from GB as nominee of Chairman, GB
- ii) One Officer of the nearby peer Institute in one scale higher than the post screened
- iii) Director, GBPIHED as member secretary

The quorum of the Screening Committee shall be the Chairperson and Director.

b. Review and promotion through modified flexible complementing scheme:

- Promotion of all Scientists shall be made on the basis of modified Flexible Complementing Scheme. On promotion of a Scientist from one Grade to the next higher Grade, the post held by him/her shall stand upgraded automatically as personal to the Scientist concerned. On vacation of the post by the Scientist, it shall be filled at the level of Scientist-C (Rs. 10,000–325-15200). A scientist will be eligible for promotion up to and including the level of Scientist G through the process of periodical reviews.
- The benefit of assessment promotion under modified FCS to existing scientists having qualification in areas other than those prescribed under this scheme shall continue. However,

no fresh direct recruitment of scientists would be made in such subject areas. Scientists in the disciplines other than those prescribed under the modified FCS may be taken for a fixed tenure against available Direct Recruitment vacancies.

- Promotion up to the level of Scientist – G, i.e. of Scientist- C, D, E and F, G shall be made on the basis of:
 - Preliminary screening by a Screening Committee, which takes into account the Annual Performance Appraisal Reports (APAR) recorded for the years covered under the residency period, and Interview by the ICSAP.
- The Screening Committee shall be constituted with the approval of the Chairman GB and comprise of the following:
 - i) Director GBPIHED or his nominee in at least one scale higher than the post screened
 - ii) One Officer of the nearby peer Institute in at least one scale higher than the post screened
 - iii) One Officer of GBPIHED in at least one scale higher than the post screened

The quorum of the Screening Committee shall be the Chairperson and one member.

Residency Period and Performance Threshold for Promotion of Scientists under Modified FCS

- i) The minimum residency period to be completed in a grade for consideration for assessment shall be as under:

Scales of pay	Designation	Minimum residency period linked to performance.
Rs.8000-13500	Scientist – B	3 years
Rs.10000-15200	Scientist – C	4 years
Rs.12000-16500	Scientist – D	4 years
Rs.14300-18300	Scientist – E	5 years
Rs.16400-20000	Scientist – F	5 years

- ii a) The period spent on deputation/Foreign Service to a non-scientific post and extra ordinary leave availed on personal grounds, shall not count towards the minimum residency period.
- ii b) In case of permanent absorption of a scientist on deputation in the same grade in GBPIHED-Scientific service from other Scientific Departments, where Flexible

Complementing Scheme is applicable, the entire service of that Scientist in the same grade including in the parent department shall be counted towards residency period. If an officer comes on deputation on a higher grade into the service and later permanently absorbed in the same grade in the service, the period spent on deputation shall be counted for residency period for consideration for promotion to the next higher grade.

- iii) All Scientists will be first screened for eligibility on the basis of marks obtained as per criteria in the Annual Performance Appraisal Reports (APARs) placed at Appendix IIa. Only those Scientists, who satisfy the minimum residency period linked to their performance threshold as indicated in the Table below shall be considered for further assessment.

	Number of years in the grade					
	3	4	5	6	7	8
Minimum averaged percentage of APAR scores for eligibility						
Scientist B to Scientist C	85%	80%	70%	65%	60%	-
Scientist C to Scientist D	-	85%	80%	75%	70%	60%
Scientist D to Scientist E	-	85%	80%	75%	70%	60%
Scientist E to Scientist F	-	-	85%	80%	75%	70%
Scientist F to Scientist G	-	-	85%	80%	75%	70%

- iv) Notwithstanding anything contained in these rules, a relaxation of one year in the minimum residency period can be granted to a Scientist C, D & E provided that he/she consistently secures 90% and above marks in the Annual Performance Appraisal Reports (introduced under Rule 4.12.1.5) in three successive years in the grade. This provision shall be applicable maximum twice in the career of a Scientist.
- v) All regular service rendered in a post shall be counted for the purpose of review and promotion to the next higher grade.
- vi) Where an eligible scientist is not physically available for review due to deputation or foreign service in India or abroad, his case shall be considered in the immediate review falling due on his return.
- vii) A person holding a scientific post not found fit for promotion after any review shall become eligible for the next review only after a lapse of one year from the date of such review.

4.12.1.5. Review Process:

- i) The Assessment Promotion shall be made by ICSAP as constituted under **Recruitment**

- and Assessment Board** above. The quorum of the meeting of the ICSAP shall be the Chairperson plus three members, with at least one Subject Matter Specialist.
- ii) The ICSAP shall appraise the Scientists on the basis of objective criteria laid down in the APAR (Appendix IIa). However, there will not be separate marks for interview.
 - iii) All Scientists will submit a 'Self Assessment' report for the total residency period to ICSAP providing details of their activities and accomplishments. The 'Self Assessment' report will be reviewed as per same criteria and weightage provided in the APAR and the marks thus obtained would form the basis of their assessment promotion as per the threshold prescribed in para above.
 - iv) The ICSAP shall submit its recommendations as 'Fit for Promotion' or 'Not yet Fit for Promotion' as per the norms laid down in the modified Flexible Complementing Scheme.
 - v) The effective date of promotion for those found eligible for promotion shall be the due date of review of 1st January or 1st July of that year, as the case may be, except for cases of promotion requiring approval of the Appointments Committee of the Cabinet (ACC), Government of India in which case the effective date of promotion shall be the date of approval by ACC.
 - vi) In case of a scientist assessed and found fit for promotion but is unable to assume charge of the higher grade on effective date for being away on study leave (combined with any other leave), sanctioned by the competent authority, for pursuing higher studies or receiving specialized training in professional and technical subjects having a direct or close connection with the GBPIHED programs, on resumption he/she may reckon notional seniority in the higher grade from the date of his/her selection to that grade for the purposes of counting of residency period for considering for promotion to the next higher grade provided the Director, GBPIHED is satisfied about the performance of the scientist during the course of study/training.
 - vii) Those scientists, who leave the service of GBPIHED on their own volition including voluntary retirement, shall not be entitled for any assessment over and above the assessment(s) if any, already availed even if it may relate to the period when they were in GBPIHED service. However, those scientists who superannuate or pass away while in service shall be considered for assessment from the due date of eligibility. The cases of the deceased shall be decided by the ICSAP on the basis of their APARs.

4.12.1.6. Filling up of vacancies arising due to vacation of the post by a scientist due to resignation, superannuation, etc.

- a. A scientist promoted after a review, shall carry the post with him, and consequently no vacancy is caused.
- b. A vacancy is caused due to a scientist vacating a post by superannuation, resignation, etc.
- c. Two posts of scientific Group A (up to Sc C level) shall be recruited from IFS officers on deputation for NE Region..
- d. All the vacancies up to Scientist 'C' (Rs.10,000-15200/-) level shall be filled by direct recruitment. The vacancy may be filled at the same level or at any lower level as may be decided by the Director.

4.12.1.7. Probation:

Probation for direct recruits shall be for a period of one year extendible twice by further periods of a maximum of 6 months on each occasion.

4.12.1.8. Avenue for promotion:

A scientist will be eligible for promotion upto and including the level of Scientist 'G' through the process of periodical reviews.

4.12.1.9. Power to amend:

Where the Governing Body is of the opinion that it is necessary or expedient so to do, it may, by order for reasons to be recorded in writing, amend any of the provisions of these rules with respect to any class or category of staff.

4.12.1.10. Deputation from outside agencies:

Where the services of candidate have been obtained on deputation, the period of such deputation will be initially for one to three years, which may be extended for two more years on year to year basis. No scientist shall be held on deputation in a post in the Institute for a period exceeding five years.

4.13. Recruitment and Promotion Rules of Technical, Support & Administrative Staff:

In supersession of all the rules in so far as they relate to the Technical, Support and Administrative posts in the Institute are concerned, except as respect things done or omitted to be done before, such supersession the method of recruitment to posts of Technical, Support and Administrative posts in the G.B. Pant Institute of Himalayan Environment and Development will be:

4.13.1. Designation, Grades and Minimum Qualifications for the Recruitment of Technical, Support and Administrative Staff:

A. Technical and support staff

Technical Staff means staff who are expected to use existing scientific and/or technical knowledge/ methods/techniques towards solution of technical problems. **Support Staff** means staff who are expected to provide skilled assistance to technical staff.

The entire Technical and Support staff is divided in following four groups, namely: Groups I & II (Support), Group III (Technical -Laboratory/ Engineering Maintenance) and Group IV (Other Technical)

Group-I - Technical-I: Attendants in any Laboratory, field sites, Library, house keeping, Technology centers, Computer & GIS, Arboretum, Herbarium, Engineering maintenance, etc.

Group-II - Technical-II: Staff in any Laboratory, field sites, Library, Technology centers, Computer & GIS, Arboretum, Herbarium, Engineering maintenance, etc. In addition, the inducted

Drivers in Technical Service.

Group-III -Technical-III: Staff in Engineering (civil/ electrical/ mechanical) maintenance Sections, library and information centers, etc.

Group-IV - Technical-IV: Staff in any Laboratory, Field stations, arboretum, Herbarium, Artist, Audio-visual, Library, Horticulture, Computer & GIS, Editor, etc.

Each Group has a number of Grades. The groups are described in Roman numerals and the grades in Arabic numerals. For example, I (2) refers to the second grade in Group I and III(5) refers to the fifth grade in Group III.

The Groups and Grades are as follows:

Group I

Grade	Pay Scale
1	Rs.2550-55-2660-60-3200
2	Rs.2650-65-3300-70-4000
3	Rs.3050-75-3950-80-4590
4	Rs.4500-125-7000

Group II

Grade	Pay Scale
1	Rs.3050-75-3950-80-4590
2	Rs.4500-125-7000
3	Rs.5500-175-9000
4	Rs.6500-200-10500

Group III

Grade	Pay Scale
1	Rs.4500-125-7000
2	Rs.5500-175-9000
3	Rs.6500-200-10500
4	Rs.8000-275-13500
5	Rs.10000-325-15200
6	Rs.12000-375-16500

Group IV

Grade	Pay Scale
1	Rs.5500-175-9000
2	Rs.6500-200-10500
3	Rs.8000-275-13500
4	Rs.10000-325-15200
5	Rs.12000-375-16500
6	Rs.14300-400-18300

B: Administrative Services - Ministerial

Group and Scale are as follows: Qualification, age and experience required is given in Schedule Ib

annexed hereafter.

(i) L.D.C.	Group C	Rs. 3050-4590
(ii) U.D.C.	Group C	Rs. 4000-6000
(iii) Stenographer	Group C	Rs. 4000-6000
(iiia) Store Keeper	Group C	Rs. 4500-7000
(iiib) Steno- grapher/PA	Group C	Rs. 4500-7000
(iiic) Hindi Translator	Group C	Rs. 4500-7000
(iva) Office Superintendent	Group C	Rs. 5500-9000
(ivb) Accountant	Group C	Rs. 5500-9000
(ivc) SPA	Group C	Rs. 5500-9000
(v) Asst. Admn.	Group B	Rs. 6500-10500
(vi) Admn. Officer	Group A	Rs. 10000-15200
(vii) Sr. Admn. Officer	Group A	Rs. 12000-16500
(viii) Accounts Officer	Group B	Rs. 7450-11500
(xi) Finance Officer	Group A	Rs. 10000-15200
(x) Sr. Finance Officer	Group A	Rs. 12000-16500

4.13.2. Terms and Conditions of Recruitment and Promotions

A. Technical and Support staff

Recruitment will normally be made only at the lowest grade in each Group. Director will be the appointing authority in such cases. However, in case of special need, recruitment in higher grades in Groups – II, III & IV can be made on specific recommendations of Director and with prior approval of the Chairman GB GBPIHED.

Notification of vacancies

- i) Posts in pay scale of Rs. 4500-7000 and above shall be advertised & given wide publicity.
- ii) However, for posts below Rs. 4500-7000: The positions will be notified in Employment exchange (EE) and simultaneously advertised in regional News paper. All candidates (through newspaper, sponsored by EE & eligible departmental candidates) will be considered together.

Qualifications, Experience & Age Limits For Recruitment

The minimum qualifications/experience and maximum age limits for recruitment at various levels are given in Appendix 1b. Cases of equivalence of qualifications may be decided as per the list notified by CSIR and updated from time to time (as per appendix 1c). Cases not covered in the aforesaid list shall be referred to the Chairman, Governing Body for determination of equivalence. Relaxation in age limit as per Government of India norms.

Selection procedure

- Candidates recommended by the Screening Committee will be invited for interview and/or trade tests. Intimation to candidates be sent at least 21 days in advance of the date fixed for interview and/or trade test, by registered/speed post
- A duly constituted Selection Committee as per 4.13.3. under these rules will interview the candidates to evaluate their suitability for the posts.
- For filling up a post, a panel of selected candidates in each discipline will be prepared. In case a candidate, at the top of the merit list, does not report or does not accept the appointment, the next on the panel can be offered the post; validity of the panel will be for a period of one year. However, if a departmental candidate has been selected, no other candidate will be kept on panel for that particular post.
- After finalization of recommendations of the Selection Committee, these will be approved by Appointing Authority. Subsequently, usual procedure, as laid down, will be followed before the appointment letter is issued.
- Where posts are reserved for SC/ST candidates or where SC/ST candidates are applicants for the posts a Member belonging to SC/ST Community is nominated on the Selection Committees/Screening Committee for all posts Instructions for nomination of female members and members representing the minority communities as issued by GOI from time to time will continue to be followed.
- In case suitable candidates are not available through direct recruitment, the Appointing Authority in regard to technical posts may make appointments on deputation/ foreign service terms; failing which on short-term contract.

Appointing Authorities

- For the posts of Group III (4) and Group IV (4) and higher posts the Appointing Authority shall be Chairman GB, GBPIHED.
- For all entry level posts in Group-I, II, III and IV, the Appointing Authority shall be Director GBPIHED.

Merit and Normal Assessment scheme (MANAS) for promotions

- The assessment scheme envisages Normal and/or Merit promotion on the basis of prescribed thresholds. Merit Assessment shall be restricted to really outstanding Technical Staff without dilution of quality; and the criterion of "Research and Development" work will be the guiding factor. Eligibility criteria should ensure that only the very meritorious Technical and Support staff qualify for Merit promotion. The assessments under MANAS are based on the Grade held in a particular Group and do not depend on seniority and designation.
- The Merit & Normal Assessment Promotion (MANAS) supersedes the existing GBPIHED Assessment Scheme for Technical and Support Staff. All pending cases of assessment falling due prior to the date of commencement of these rules, shall be decided according to the old recruitment and assessment promotion rules.
- The Merit Assessment Scheme is applicable to Group-IV(3) up to IV(6), provided the incumbents possess entry level qualifications of Scientist B (Rs. 8000-13500) and are engaged in Training and Research activities.
- Only those Technical Staff in the aforementioned Groups, who in their ACRs/ APARs secure at least 225 marks in preceding three years and 300 marks in preceding four years, as the case may be, will be eligible for consideration under the scheme. For assessment under the aforementioned merit scheme, thresholds will be as prescribed in Appendix IIb.
- The provisions of merit assessment will be applicable with effect from the date as and when notified by the Institute.
- Eligibility and Thresholds: The eligibility and thresholds for Normal Assessment shall be as per Appendix IIb.
- Relaxation for SC/ST category: Relaxation in thresholds for SC/ST category: Relaxation of 10% marks in prescribed thresholds will apply only for Normal Assessments of SC/ST category. Wherever relaxation is provided, it will be ensured that the cumulative effect of this relaxation will not have the effect of bringing the threshold below the "Satisfactory" level.
- Re-classification of Posts: The re-classification of posts, on the recommendations of the Director GBPIHED will require prior approval of the Chairman GB.
- Time Schedule for Assessment: The assessment period will be the financial year and assessments will be done once in a year. Only eligible employees up to 31st March of the year will be considered for assessment. As far as possible assessments should be completed by 30th September of the year.
- The employees of GBPIHED governed by erstwhile Recruitment and Assessment Promotions Rules of the Institute shall be given an option to switch over to the MANAS from the date of its coming into effect. The option shall be exercised within the period prescribed by the Institute.
- Assessment to a higher grade does not necessarily imply higher perks, such as office space, telephone, stenographic assistance, furniture, etc. which will continue to depend upon functional needs subject to relevant instructions issued from time to time.
- Assessment is distinct from promotion under the DPC system and does 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 scientific and/or technical performance.

- Services rendered in the following situations, if any, will be computed for determining the eligibility for Normal Assessment:-
 - Service rendered in a Sponsored Project/Scheme.
 - Periods of leave including Extraordinary Leave (EOL) to the extent it counts for earning increments; and the period spent on deputation/Foreign Service.
 - EOL granted for a full-time assignment within or outside the country.
 - Ad-hoc/Supernumerary service provided under rules followed by regular appointment without break.
 - For foreign assignment/deputation, study leave, EOL which has not resulted in break of service where no ACRs/APARs are available, average of percentage of marks as obtained for interview (including Trade Test) for all group will be counted for Normal Assessment only. If the ACRs/APARs for the said period are available, then the rating given by the outside organization will be converted into 7-Point Scale, For this purpose at least three ACRs/APARs written in GBPIHED are required.
 - Period spent on prestigious fellowships will be considered for Merit Assessment provided ACRs/APARs for at least two years written in the GBPIHED are available.
 - The period spent on official deputation for which full salary has been paid and treated as duty will also be considered for Merit Assessment.
- The Merit Assessment will come into effect from the date notified by the Institute.
- Period spent on Sabbatical Leave will count for Normal Assessment only.

Eligibility and Thresholds For Normal Assessment

The eligibility and thresholds for Normal Assessment shall be as follows:

Group-I

Group & Grades	Scale of pay*	Eligibility for assessment (yrs.) (No. of years required to be completed in the existing Grade)	Threshold <i>i.e.</i> Minimum Marks	
			Normal assessment	Merit assessment
I(1)	Rs.2,550-3,200	7, 8, 9, 11 and after remaining for one year at the maximum of the grade.	60	NA
I(2)	Rs.2,650-4,000	-do-	60	NA
I(3)	Rs.3,050-4,590	-do-	70	NA
I(4)	Rs.4,500-7,000			NA

Group -II

Group & Grades	Scale of pay*	Eligibility for assessment (yrs.) (No. of years required to be completed in the existing Grade)	Threshold <i>i.e.</i> Minimum Marks	
			Normal assessment	Merit assessment
II(1)	Rs.3050-4,590	7, 8, 9, 11 and after remaining for one year at the maximum of the grade	60	NA
II(2)	Rs.4500-7,000	-do-	70	NA
II(3)	Rs5500-9,000	-do-	75	NA
II(4)	Rs.6500-10500			NA

Group-III

Group & Grades	Scale of pay*	Eligibility for assessment (yrs.) (No. of years required to be completed in the existing Grade)	Threshold <i>i.e.</i> Minimum Marks	
			Normal Assessment	Merit Assessment
III (1)	Rs.4500-7000	5,6,7,9 and after remaining for one year at the maximum of the	60	NA
III (2)	Rs.5500-9000	-do-	60	NA
III (3)	Rs.6500-10500	-do-	70	NA
III (4)	Rs.8000-13500	-do-	75	NA
III (5)	Rs. 10000-15200	Nil	Nil	Nil

Group-IV

Group & Grades	Scale of pay*	Eligibility for Assessment (yrs.) (No. of years required to be completed in the existing Grade)	Threshold <i>i.e.</i> Minimum Marks		
			Normal Assessment	Merit Assessment	
			5 yrs.	4 yrs.	3 yrs.

IV(1)	Rs.5500-9000	-do-	60	NA	NA
IV(2)	Rs.6500-10500	-do-	70	80	90
IV(3)	Rs.8000-13500	-do-	75	85	90
IV(4)	Rs.10000-15200	-do-	75	85	90
IV(5)	Rs.12000-16500	5, 6, 8 and at the maximum of the grade	75	85	90
IV(6)	Rs.14300-18300	Nil	Nil	Nil	

*Consequent upon implementation of the recommendations of Fifth Central Pay Commission (V CPC), the concept of "after remaining for one year at the maximum of the grade" in the pre-revised scale shall be determined and admissible only to those employees, who have availed all the other chances of assessment admissible under the MANAS before 1.1.96 except the last chance on reaching the maximum of the grade, which becomes due after 1.1.1996. In all other cases eligibility for last chance will be determined with reference to revised pay scales only.

- Staff in Group IV (5), who possesses the entry level qualification of Scientist-B, will only be eligible for assessment to Group IV (6).
- A non-functional selection grade in the revised scale of Rs.14300-18300 will be applicable for giving encouragement to the especially meritorious persons in the scale of Rs.12000-16500 provided they have spent at least one year at the maximum of the scale of Rs.12000-16500. When promoted, they shall carry the post with them. The post will revert to the grade of Rs. 12000-16500 on vacation.

Special Provisions

- For second and subsequent chances of Normal Assessment, up to 5 (five) marks will be awarded for each year of experience in the interview marks, to reach the minimum prescribed threshold, provided the APAR for that year is 'Satisfactory'. Marks will be given on this account only for a maximum period of 3 (three) years.
- Those employees who have acquired entry level qualifications of the next Group may be assessed to the next higher Grade in the same Group, two years earlier than the normal prescribed period of assessment, provided they attain the prescribed threshold. If an assessee is not recommended for promotion during first time, this will be treated as the first chance due on completion of five years and he/she will get his/her chance(s) as in subsequent years as per table for Group IV. This benefit will be allowed only under Normal Assessment and not under Merit Assessment.
- Such benefit is admissible only to those employees who acquire entry level qualification of next higher Group by undergoing the full process of acquiring the relevant higher qualification after joining GBPIHED service, *i.e.* taking admission in the course of study after joining with due permission of the competent authority.
- This chance is admissible once in the same group and will not be adjusted against the chances available for normal assessment under MANAS.
- Employees who subsequently acquired the entry level qualifications of the next higher Group

to the one in which they were placed could be considered along with others, who apply in response to advertised posts. Such employees, if found fit for selection, will be permitted to carry their posts to the higher Group, if so required over and above the number of outside candidates selected against the posts advertised. Wherever posts are not advertised in a particular year or, if advertised, does not cover the specialization of particular Technologists of the above category, special interviews may be arranged for them as a one-time measure. Their selection will be on acquiring comparable level qualifications expected in open recruitment to such positions.

Induction

- A Non-Technical departmental staff member acquiring skills and found fit, through a suitable trade test for entry into Group I may be considered for induction provided vacancy exists at the lowest grade. The Trade Test shall be conducted by a Committee constituted by Director, GBPIHED, comprising of the following:
 - a) A member from outside the GBPIHED system;
 - b) A member from an technical organization covering relevant area;
 - c) A member from within the GBPIHED.
- One of the members of the above Committee shall be nominated as the Chairman by Director, GBPIHED. This emphasizes the need for imparting in-house training to staff members. If found fit, they shall be placed in that particular grade in Group I which is closest to their present salary grades. Such induction should be justified and approved by the Director of the Institute. In such cases the entire service rendered by the staff members in the Non-Technical category will be taken into consideration for computing the period of service towards eligibility for assessment to the next higher grade. However, the effective date of assessment of such staff will be from the date of induction.
- A Non-Technical departmental employee can be considered for induction in Group II subject to the following conditions:
 - a) Induction may be done before the employee attains the age of 50 years;
 - b) Induction should be made against an available vacancy in Group II by the Committee as constituted under above para;
 - c) Induction in all the grades in Group II should be need-based and in the discipline in which the vacancy is required to be filled. Employees with technical qualifications which are laid down for direct recruitment in Group II will be given preference;
 - d) The employee should have undergone at least six months structured in-house training or training imparted by an outside professional agency approved by State/Central Government and should qualify a Trade Test conducted by a duly constituted Committee as mentioned at (b) above;
 - e) The period of service for assessment to a higher grade will count from the date of induction but an employee will get the benefit of computing two years or the actual number of years of service rendered in the grade immediately before induction, whichever is less, towards the residency period only for the first chance of assessment in Group II;

- f) Inductees will be placed in the equivalent/segmented grade and if grade does not exist, then in the nearest higher grade.

Explanation: If a Non-Technical employee in the grade of Rs.1200-2040 is inducted in the Technical cadre, then his pay will be fixed in the grade of Rs.1350-2200, there being no equivalent grade in Gr.II. Likewise, if a Non-Technical employee in the grade of Rs. 1400-2600 is inducted into technical cadre, then his pay will be fixed in the grade of Rs.1640-2900, there being no equivalent grade in Group II.

- g) The pay will be fixed as per rules, *i.e.* at the same stage and if there is no such stage then at the next higher stage without giving the benefit of fixation as per relevant GOI rules in this regard.
- h) In the case of Drivers, the residency period for their assessment will count from the date of their induction in technical stream. Guidelines for induction of the drivers are given at **Annexure-Id.**
- i) Induction under above categories will come into effect from the date as notified by the Institute.
- j) For assessment promotion within the same group, the restriction of minimum Qualifications and experience will not apply for the existing employees.

k) Equivalence of Qualifications:

- a. While deciding the equivalence of qualifications, it is to be ensured that only those degrees/diplomas/certificates which are relevant to the areas of work to be performed and are recognized by appropriate government agencies or have been obtained from Govt. recognized educational Institutes are taken into consideration. The qualifications which have been recognized at the national level by the competent relevant bodies of the Govt. of India, *i.e.* UGC and AICTE and are relevant to technical activities being carried out by GBPIHED only should be recognized for recruitment and assessment purposes in GBPIHED. The equivalence of qualification available/decided from time to time will be up-dated periodically.
- b. A list of qualifications treated equivalent to those required for induction/fresh recruitment in various Groups is annexed as **Annexure Ic** to these Rules. New cases of equivalent qualifications, if required, will be decided by the Chairman, Governing Body.

B. Administrative Staff

- (i) The promotion in Administrative cadres shall be vacancy based. There shall however, be an inbuilt system of reviewing number of available posts in the higher grades for promotion, from time to time.
- (ii) Subject to the provision of rules,
- (a) the appointments of Officers in the scale of Rs. 10000-15200 and above will be made by the Governing Body of the Institute through Direct Recruitment.

- (b) the appointments for all the posts carrying pay scale of Rs. 7450-11500 and below will be made by the Director of the Institute through Direct Recruitment/Departmental Promotion.
- (c) The promotion to the post upto and including the scale of Rs. 7450-11500 will on the basis of combined eligibility list of all Units of the Institute.

4.13.3. Selection, Recruitment and Promotion Committees

A. Constitution of Selection & Screening Committee for Technical and support staff

- For recruitment to all entry level posts in Group I, II, III and IV the Committee will be constituted by Director GBPIHED. It shall consist of Chairman (nominated by the Director), two experts from related area one of whom will be from outside the GBPIHED system and Member Secretary (Head of Core/Unit or equivalent Scientist).

Quorum: Chairman, Head of Division or equivalent and at least one expert in the concerned field.

- For recruitment to post III (4) and IV (4) and above Committee will be constituted by Chairman GB. It consists of Chairman (nominated by Chairman GB; three experts and Director GBPIHED as Member Secretary.
Quorum: Chairman, Director and Two experts.

Constitution on Promotion Committees

GBPIHED proposes to follow time bound assessment & promotion rules in a pattern as mentioned below:

SAPC I: For posts above 10,000-15200/-

SAPC II: For posts up to the pay scale of Rs. 8000-13500:

For SAPC II:

It shall consist of Chairman (nominated by the Director), three members (one Scientist E from GBPIHED, one expert from outside the GBPIHED system and Member secretary (one scientist from GBPIHED at the level of (14300-18300).

Quorum: Chairman, Scientist E, one Expert in the concerned discipline.

For SAPC I:

For posts in the pay scale of Rs. 10,000-15200/- and above:

It shall consist of Chairman (An expert from outside GBPIHED/ Member Governing Board), three expert members (in related area from outside the GBPIHED system and Director GBPIHED as Member secretary.

Quorum: Chairman, Director GBPIHED, one Expert in the concerned discipline.

- The Assessment Committees considering the assesseees of reserved categories must include an expert of SC/ST category. In case an expert is not available in the approved area-wise Panel of Experts, an outside member of SC/ST category must

be associated as a full-fledged member of the Assessment Committee.

- All members on the Assessment Committees should normally be at least one rank higher than the grade for which assessment is being done.
- The Accepting Authority for the recommendations by the SAPC-I would be the Chairman GB being the Appointing Authority. The Accepting Authority for the recommendations by SAPC-II would be the Director being the Appointing Authority in their cases.

Self-Assessment And Performance Appraisal Report, Work Report

The self-assessment report (SAR), Annual Performance Appraisal Report (APAR) and Work report (WR) as defined below for assessment and promotion having marking system shall be as per Appendix IIb. New Proforma for APAR will come into force w.e.f. date to be decided by the GB, GBPIHED

- Work Report (WR): Report of an assessee on the work done by him/her during the entire period, on the basis of which he/she is to be considered for assessment. This will be applicable only for groups III & IV.
- Self-Assessment Report (SAR): An assessee's statement of work done during a year as contained in Part-1 of APAR.
- Annual Performance Appraisal Report (APAR): Report of Appraisal of annual performance.
- Annual Performance Appraisal Report (APAR) is applicable to employees of all Groups.

New Proformae for APAR will come into force from a date to be decided by Chairman, GB. For all assessments falling due on or before that date, the available CR gradings will be converted into 7-point scale in MANAS as per CSIR circular No.17 (65) p-42/90-PPS (Pt.II) dated 21.12.1990.

Procedure For Assessment

i) For assessments, marks will be apportioned as follows in respect of Group I, II, III & IV:

- i) APAR: 50% marks (weightage)
 - ii) Interview (Performance): 50% marks, and/ or Trade Test in Gr.I, II, III & IV
- ii) Lists of those being considered for Merit and Normal Assessment have to be prepared and placed before the Assessment Committee in an alphabetical order by the Director, GBPIHED.
- iii) The self-assessment reports and work reports of the assessee without the remarks of the Reporting/Reviewing Officer(s) will also be placed before the Committee. Non-submission of work report by the assessee will be treated as willful disinterest and the assessee will be considered as having forfeited that chance of assessment and no experience marks as per para

- iv below will be admissible in subsequent chance.
- iv) 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 Assessment Committee.
 - v) The marks for experience wherever applicable, will be added thereafter.
 - vi) The Assessment Committee will prepare separate lists (proceedings) for Merit and Normal Assessment promotion in alphabetical order.
 - vii) Lists (proceedings) as above will be placed before the competent authority for approval. The competent authority will also be informed about the assesses, whose results are yet to be finalized for whatever reason.
 - viii) The assesseees, whether promoted or not, should be informed of the result of the assessment.
 - ix) Assessment of Technical employees is effective from due dates. In the case of backlog of assessments, an employee is required to be assessed retrospectively, *i.e.* from the date when he had become due for assessment on completion of the prescribed residency period.
 - x) The procedure for assessing of Technical and Support Staff, who are under suspension/ against whom disciplinary proceedings are pending, shall be as under:

If on the date of meeting of the Assessment Committee, an employee is (a) under suspension; (b) against whom a charge sheet has been issued and disciplinary proceedings are pending; or (c) against whom prosecution has been launched/sanctioned, the findings of the Assessment Committee will be kept in sealed cover irrespective of the fact that the Assessment is due from the date when none of these contingencies was in existence. Likewise, if the assessment has taken place but any of the contingencies as mentioned above arises before issue of orders, the findings of the Committee in respect of that employee will be kept in sealed cover. However, if the employee is completely exonerated or suspension is held unjustified upon conclusion of the proceedings, findings in the sealed cover would be acted upon and the employee allowed the benefit of notional promotion from due date, if recommended for promotion. In so far as the payment of arrears for the period of notional promotion is concerned, the question or the extent thereof will be decided by the appointing authority by taking into consideration all facts and circumstances of disciplinary proceedings/criminal prosecution. Where the authority denies arrears of salary or part of it, it shall record reasons for doing so after affording opportunity to the employee concerned by issuing a notice to show-cause there-against.
 - xi) In case the disciplinary proceedings result in imposition of penalty of "censure" or "recovery from pay of the whole or part of any pecuniary loss caused by the official's negligence or breach of orders" to the Institute the case would be placed before the same Assessment Committee(s) for the relevant year(s), as far as possible, which will review it with reference to the original recommendations kept in the sealed cover(s), the circumstances leading to disciplinary action and the penalty imposed; and after taking into consideration all the aspects, give specific recommendations for promotion or otherwise from the due date(s). Even if the employee is recommended for assessment promotion from his due date, his pay on promotion will be fixed notionally from the due date but actual monetary benefit shall accrue to him only from the date following the date of imposition of any of these penalties.
 - xii) The same procedure as in para 3 above shall be followed in the case of penalty of

"reduction to a lower stage in the time scale of pay" as specified in Rules 11 (iii) (a) of CCS (CCA) Rules is imposed, except that the monetary benefit of the assessment promotion shall accrue to the Officer after expiry of the penalty.

- xiii) In case the penalty of "withholding of promotion" is imposed, the disciplinary authority while passing the orders will clearly indicate therein the date of effect of the penalty and also the date on which the said employee shall become due for his assessment consequent upon imposition of the aforesaid penalty, implying thereby the shifting of due date by the period of penalty. The findings in the sealed cover shall, in such a case, will not be acted upon and the assessment shall be taken up afresh from the shifted due date. The monetary benefit will accrue only with effect from the date following the date of issue of such orders *i.e.*, the orders for imposing penalty, if the employee is recommended for promotion. However, he will get notional benefit from the shifted due date of assessment promotion.
- xiv) In the event of penalty of "withholding increments of pay", is imposed, the sealed cover(s) containing findings of the Assessment Committee(s) will be placed before the same Assessment Committee(s) for relevant years, as far as possible. In case, the employee was recommended for promotion by the earlier Committee, the Committee after considering the penalty and the charges against the employee will give its recommendation whether the employee is to be promoted from his original due date or otherwise. In case, he has not been recommended by the earlier Committee then his case for the next chance will be processed as per provisions of the assessment scheme(s). The Assessment Committee while considering such cases will take into consideration the penalty imposed upon the employee and the facts of the case and thereupon give its recommendation. In case the employee is recommended for promotion he will get his promotion notionally from his due date with actual financial benefit from the date following the date of expiry of the penalty.
- xv) In the event of imposition of penalty of "reduction to a lower time-scale of pay/grade/post or service" the sealed cover will not be opened and the employee will be assessed only from the date following the date of expiry of the penalty.
- xvi) However, in case disciplinary proceedings/court case result in imposition of the major penalties of "compulsory retirement/removal/dismissal" under Rule 11 of CCS (CCA) Rules, 1965, the sealed cover(s) will not be opened and the employee will cease to be entitled to the assessment which had become due to him.
- xvii) The above procedure will be applicable to the cases of assessments of employees governed under MANAS as well as erstwhile recruitment rules of the Institute.
- xviii) In the event of imposition of penalty of reduction to a lower stage for a specified period as specified in Rules 11(v) of CCS(CCA) Rules, the sealed cover will not be opened and the employees will be assessed only from the date following the date of expiry of penalty.
- xix) Methodology for clearing backlog:** Normally an employee should be assessed for only one chance in a year. In case, it is necessary to hold assessments for more than one chance in a year due to backlog or otherwise, it would be necessary to:
 - a) have separate Assessment Committees for each of the years;

- b) get separate Work Reports;
- c) do separate assessments for each year in a separate sitting; proceedings of each Assessment Committee meeting be drawn separately for each year.

B. Recruitment and Promotion committees for Administrative Staff

For the post of Administrative Officer/Finance Officer and all the equivalent posts:

Chairman Governing Body	Chairman
Two out side expert to be nominated by Chairman out of the panel proposed by Director	2 Member
One SC/ST member of appropriate status to be nominated by Chairman	Member
Director of the Institute Institute	Member- Secretary

For the all other administrative posts

Director or his nominee	Chairman
Two out side experts to be nominated By Director	Members
An Officer belonging to SC/ST community to be nominated by Director of the Institute	Member
Administrative Officer/Finance Officer	Member- Secretary

4.13.4. Employees to whom these Rules apply:

- (i) Save as otherwise provided by or under these rules, these rules shall apply to persons appointed to the service of the Institute and whose pay is debatable to the funds of the Institute.
- (ii) These rules shall not apply to:
 - (a) Persons not in whole time employment.
 - (b) Persons paid out of contingency and those engaged in R&D projects.
 - (c) Persons paid otherwise than on a monthly basis including those paid only on a piece rate basis.
 - (d) Re-employed employees of the Institute.

- (e) Such other categories of persons as may be specifically excluded either wholly or in part by the Governing Body.
- (f) Persons whose services are obtained on deputation basis/ Foreign service terms and conditions.

4.14. General Conditions Applicable to all Employees :

Nothing in these rules shall affect reservations, relaxation of age limit and other concessions required to be provided for candidates belonging to the scheduled castes, the scheduled tribes, ex-servicemen and other special categories of persons in accordance with orders issued by the Central Government from time to time in this regard.

a. Benefit of added years of service:

The benefit of added years of service admissible under rules 30 of the Central Civil Service (Pension) rules, 1972 shall be applicable to all the posts covered by these rules.

b. General Instructions:

- (i) The pay of the officers and staff in the higher grade on promotion shall be fixed according to Fundamental Rules and any other instructions issued by the Government of India from time to time.
- (ii) In the matter of nominating a SC/ST officer on the Selection/ Review committee the procedure prescribed by the Government of India shall be followed.
- (iii) The services of temporary staff may be terminated by either party giving to the other a period of notice not less than that specified in the letter of appointment. The services of an employee may also be terminated without notice by payment of a sum equivalent to his salary (Basic pay plus D.A.) in lieu of notice period. The service of temporary employee against whom an enquiry or disciplinary proceeding is pending or contemplated may not, however, be terminated by virtue of these rules unless otherwise decided by the appointing authority.
- (iv) The appointing authority may accept a shorter period of notice from a member of the staff in special circumstances.
- (v) The age of superannuation for regular staff will be as per Govt. of India order in this regard. The Governing Body may grant extensions in special cases in accordance with the instructions/guidelines issued by Government.
- (vi) Every employee shall perform such duty as may be entrusted to him and shall to the best of his ability carry out the directions of the Director.
- (vii) During the period of service every employee shall observe, obey and abide by the rules of GBPIHED and bye laws made from time to time by the Governing Body and all standing orders passed by the Director.

- (viii) In all service matters the decision of the Director in case of Scientist B and Chairman, Governing Body in case of Scientist C and above shall be final. Director at the time of advertisement and selection to the posts would prescribe the specializations and job requirements.
- (ix) The Governing Body shall have powers to relax, amend and repeal any or all these rules provided that such amendment, repeal shall not affect the previous operation of these rules or notifications or orders made or anything done or any action taken thereunder.
- (x) In this regard any matters not specified herein above, the employees of GBPIHED will be governed by the relevant rules/ orders issued by the Government of India from time to time.
- (xi) The crucial date for determining the age limit shall be the closing date for receipt of application.

c. Disqualifications:

- (i) Furnishing of false information, suppression of any factual information, canvassing in any form will render the applicant unfit for being called for interview/or appointment.
- (ii) No person:
 - (a) who has entered into or contracted a marriage with a person having a spouse living.
 - (b) who, having a spouse living, has entered into or contracted a marriage with any person shall be eligible for appointment to any of the aforesaid posts. Provided that the Institute may, if satisfied that such marriage is permissible under the personal law applicable to such person and the other party to the marriage and there are other grounds for doing so, exempt any person from the operation of this regulation.
- (iii) No person shall be appointed by direct recruitment unless he/she is, after such medical examination as the Director of the Institute may prescribe, found to be free from any mental or physical defect which is likely to interfere with the discharge of his duties to which he/she is to be appointed.
- (iv) Reservation for Schedule Castes/Schedule Tribes will be as per Central Government Rules, amended from time to time.

CHAPTER V

COMMITTEES, SCIENTIFIC ADVISORY COMMITTEE

Committees

- 5.1. There shall be one standing committee namely, Scientific Advisory Committee.
- 5.2. The panel of the names of various committees shall be proposed by the Director out of which the Chairman, Governing Body shall approve the names for each committee.
- 5.3. The member of each committee shall hold the office for a period of three years, except the Ex-officio members. The vacancy in any committee, upon the request of any member, shall be filled by the Governing Body to continue the tenure of the concerned committee.
- 5.4. The Governing Body shall nominate the Chairman of each committee.
- 5.5. Each committee shall meet at least once in a year and the presence of at least 2/3 members shall constitute a **quorum** for the transaction of business at any meeting. Minutes of the meeting of the committees will be reported to the Governing Body.

Scientific Advisory Committee

- 5.6. The Scientific Advisory Committee of the Institute shall consist of the following
 - (i) Chairman of the Committee
 - (ii) Thematic experts (3 No) from public/private institutes in analogous sectors.
 - (iii) Representatives of stakeholders and beneficiaries (3 No), one each representing NGOs, GOs, and farmers group.
 - (iv) Representatives (2 No) of peer Institutions working in the Indian Himalayan Region.
 - (v) Institute Faculty (3 No), one each representing three levels of scientific experience (i.e. senior, middle and junior level).
 - (vi) Director of the Institute as convener (Member Secretary)
- 5.7. The Scientific Advisory Committee shall have the following functions:
 - (a) to carefully select agenda for research based on perceived needs under thematic thrust areas and region specific priorities;
 - (b) to finalize research agenda well in advance of clearance of budget for the Institute on a rolling basis for 5 year period;
 - (c) to advice the Governing Body on Institute's needs for augmenting Research outputs;
 - (d) to suggest the names and functions of networking partners of the Institute;
 - (e) to monitor and review the implementation of Institute's programme and projects; and
 - (f) to act on all items referred to it by the Governing Body.

Chapter VI

Guidelines for consultancy projects

6.1 Contract Research & Development (R & D)

6.1.1 Definitions and Scope

Contract research shall comprise all R&D activities undertaken through specific contractual arrangement agreed upon for the purpose. The projects to be undertaken should fall within the purview of approved research programmes of the Institute. Contract research shall cover:

Sponsored Projects: Projects wholly funded by the sponsor having specified R&D objectives and well defined expected project output/results, generally culminating in generation of intellectual property. Exception to full funding by sponsor can be made, with the approval of Competent Authority, for specific nationally relevant projects related to Social Welfare and the like. Sponsored projects could be multi-client also, with two or more sponsors sharing the project funding and research outputs.

Collaborative Projects: Projects partially funded by the sponsor, and supplemented by provision of inputs, such as expert manpower, infrastructural facilities or other inputs etc. Collaborative projects could be for upscaling/ proving of Institute level know-how, technology development or generation of intellectual property etc. Like sponsored projects, the expected project output/results will be well defined.

Composite Projects: Some projects are composite in nature and envisage diverse inputs, which may be termed contract R&D, consultancy, technical services etc. Such type of projects could, for purposes of GBPIHED costing/accounting be split into appropriate contract research, consultancy and technical services components; and approval of Competent Authority be obtained for each component indicating the overall project profile. The contract for and the charge to the client may be for a single composite project.

6.1.2. Approvals

6.1.2.(A) For Projects

Competent Authority

Director :
Governing Body, GBPIHED:

Projects

up to Rs.50 lakh
beyond Rs. 50 Lakh or
Involving:
- foreign sponsors
- multi Institute inputs

The project proposals shall be placed in the prescribed pro-forma (**Annexure 6.I**). The Competent Authority shall also have the powers to approve the terms and conditions of licensing the intellectual property resulting from contract research to the client/ sponsors.

6.1.2(B) Contracts

Competent Authority

Director :

Chairman, GB :

Contracts

- drawn up substantially
as per the model agreement
- a) largely deviating from
the model agreement

 - b) with foreign clients
or multi-agency projects

6.1.3 Authorised signatories to contracts

The authorised signatories for all contracts/ agreements shall be the Director. In the absence of Director such documents will be signed by the Head of Office. The senior-most officer from the Finance side and in his absence, the next senior-most officer but not below the rank of Accounts Officer of the Institute shall be the countersigning authority. For multi-agency projects, the signatories shall be the designated officers of the coordinating agencies.

6.1.4 Financial Aspects

6.1.4.(A) Costing of contract research project

The charges for contract research project shall comprise of two main components *viz.* :

6.1.4.(A) (i) Expenses

- a) Cost of man-days of staff deployed.
- b) Cost of consumables/raw materials/components with 25% overheads.
- c) Cost of physical inputs/services/utilities with 25% overheads.
- d) Equipment usage cost/ cost of equipment procured specifically for the project, if any,
- e) External payment envisaged *e.g.* for hiring infrastructural facilities, experts, computer time, information etc.
- f) TA/DA
- g) Contingencies

Total Expenses = Sum of i(a) to i(g).

6.1.4(A) (ii) Intellectual fee:

To be decided by the Competent Authority (minimum of 33.3% of total expenses excluding cost of equipments purchased)

Project Charges = Total expenses + intellectual fee

i.e. (i+ii) above

Intellectual fee to be charged should, therefore, be commensurate with quantum and quality of GBPIHED's resource inputs and also the likely benefits to be derived by the client on implementation of the project results. The intellectual fee for grant-in-aid projects, which do not lead to generation of commercial intellectual property could however be reduced/ waived, at the discretion of the Competent Authority.

6.1.4(B)Explanation

6.1.4.(B) (i) Expenses

- a) Man-days costs are the charges for the time (in days) of S&T staff deployed on the contract research as per prescribed man-day rates for different categories of staff (**Annexure 6.II**).
- b) Cost of consumables/ raw materials/ components: comprise chemicals, glasswares, stationery, raw materials, components and other store items required for the project and should be charged at 100% cost plus overheads @ 25% of the cost (towards expenses for purchase, storage, handling etc.).
- c) Cost of physical inputs/ utilities/ services: should be charged at 100% cost plus overheads @ 25% of the cost (towards installation, maintenance etc.).

d) ***Equipment Usage:***

Existing Equipment: Pro-rata charges for usage based on an annual usage charge @ 20% of cost of equipment and installation. In case of old equipment, where its cost is not readily available, the costing of this component could be decided by the Competent Authority.

New Equipment: The new equipment shall either be provided by the client at his cost as per the specifications given by the Institute or purchased by the Institute and charged to the client with an additional procurement and handling charges of 5% of the cost of equipment. The ownership of the equipment after the completion of the project period would be governed by terms and conditions as may be specified.

- e) ***External payments:*** Comprise payments towards hiring by the Institute, of outside infrastructural facilities, experts, computer time, information etc. to supplement its expertise/facilities.
- f) ***TA/DA:*** Comprises of expenses on travel and daily allowances of GBPIHED staff visiting/traveling for the work related to the contract research project. In this regard the following guidelines would apply:
 - Allowances for travel on tour (Air journeys, Hotel accommodations, Per-diem, incidentals etc.) should be governed on the basis of agreement made with the client.
 - Client's hospitality, wherever available, may be accepted by the employees at their discretion subject to the DA being limited to 25% in the event of both boarding and lodging being provided free, or 50% if only either boarding or loading is provided free.
 - Air-travel may be allowed for non-entitled staff by the Director, as per applicable rules,

on functional basis and if it is expedient to do so in the interest of the project.

- g) **Contingencies:** Provide for any unforeseen expenditure likely to be incurred on the project for which no provision has been made in the cost of project. The quantum of contingency charges would vary for each project as may be mutually agreed between the Institute and the sponsor. However, estimated contingency charges of about 3 to 5% of total project costs are normal.

6.1.4.(C) Terms of payment

The Institute shall endeavor to obtain an advance on or before signing the agreement as negotiated with the sponsor. The balance amount of payment could be availed in installments, to be negotiated with the client, having regard to the project schedule. The final installment shall be payable after the submission of the project report.

6.1.4.(D) Use of GBPIHED Facilities

In case the client's personnel are to make use of the library/ computer/ equipment in the Institute, suitable charges and a suitable interest free security deposit, to be fixed by the Director of the Institute, should be collected from the client. On completion of the project the security deposit may be refunded to the client after deducting for any loss/damage. The decision of the Director on the deductions if any, shall be final and binding on the client.

6.1.5 Research Output

6.1.5.(A) Publications

The client shall be consulted prior to publishing of any research results arising from the contract research work. The publications shall duly acknowledge the inputs of the client.

6.1.5.(B) Intellectual Property (IP)

i. Sponsored Research

The ownership of the intellectual property generated shall be of GBPIHED. Obtaining and maintaining the relevant intellectual property rights shall be the responsibility of and at the cost of GBPIHED. The decision, whether or not an intellectual property right be obtained, shall be that of the Director of the Institute, which shall be final and binding on the sponsor.

ii. Collaborative Research

Intellectual property generated through projects with technical contribution from the collaborator, shall be jointly owned. The expenses for obtaining and maintaining the intellectual property rights shall be borne equally by GBPIHED and the collaborator. The decision whether or not intellectual property rights be secured shall jointly be taken by the Director of the Institute and the collaborator.

iii. Grant-in-aid

Intellectual property rights in case of government departments and agencies may be as per their standard terms and conditions. However, where the donor has no standard conditions and for non-government agencies, ownership rights shall be that of GBPIHED.

6.1.6 Licensing of Intellectual Property

6.16.(A)&(B) Sponsored Research& collaborative research

- i. The rights of licensing intellectual property shall rest with GBPIHED.
- ii. The sponsor shall be given the first right for commercial exploitation of intellectual property. However, this right shall be exercised by a written communication to the Institute within a pre-specified period of time commencing from the receipt of final report. In the event, the sponsor fails to exercise his option within the specified period, or having done so fails to commercially exploit the intellectual property within the stipulated time-frame, GBPIHED shall be free to license the intellectual property to others and the money accruing there from shall be shared equally between GBPIHED and sponsor with a ceiling on the sponsor's share equal to the amount the sponsor had paid to GBPIHED as sponsorship charges.
- iii. Wherever feasible, the sponsor shall be given a non-exclusive license failing which an exclusive license for a limited period of time, normally not exceeding 5 years, for commercial exploitation of the intellectual property.
- iv. For the license granted for commercial exploitation of the intellectual property to the sponsor, GBPIHED shall charge an adequate amount as fee. This could be a lumpsum and/or recurring royalty.
- v. GBPIHED shall have the right to license the intellectual property to any other party on the terms and conditions it may decide in the case, where it has granted non-exclusive license or in case of exclusive license on the expiry of the exclusivity period. In such cases, if the licensing of intellectual property is only by GBPIHED without any further assistance of the sponsor, then the money realised shall be shared on a 50:50 basis with a ceiling on the total amount receivable by the sponsor to the amount the sponsor has paid to GBPIHED as sponsorship charges. In case GBPIHED seeks assistance of the sponsor to license the intellectual property, the sharing of the monies shall be specifically negotiated depending upon the inputs to be provided by the sponsor..
- vi. Notwithstanding the exclusive license granted to the sponsor, GBPIHED shall have the right to license the intellectual property during the period of license if:
 - a) there is a proposal before the Government of India for import of the same/similar intellectual property as developed under the sponsored project.
 - b) Government of India desires GBPIHED to disclose the intellectual property for its own use.

In such cases the money accruing there from shall be shared equally between the sponsor and GBPIHED without any ceiling on the share of the amount receivable by the sponsor.

6.1.6.(C) Grant-in-aid Projects

Licensing rights of intellectual property in case of government departments and agencies may be as per their standard terms and conditions. However cases where the grantor has no standard conditions and for non-government agencies, licensing rights shall be that of GBPIHED.

6.1.7. Indemnity/Liability

The liability, if any, for GBPIHED arising out of or in connection with contract research/IPR licensing shall be subject to a ceiling of the amount received by Institute from the client for the Contract Research/ IPR licensing.

6.1.8 Ownership of Reports/Plans/Guides/Software etc.

The ownership of the above mentioned outputs shall normally be the property of the sponsors. For collaborative and Grant-in-Aid projects, the ownership shall be specifically agreed upon between GBPIHED and the collaborator/grantor and so included and specified in the agreement.

6.1.9 Feedback to Governing Body, GBPIHED

Feedback about agreements entered into shall be placed before the Governing Body meeting. Information shall be furnished vide item III of proforma at **Annexure 6.III**

6.2 Consultancy

6.2.1 Definition and Scope

The Institute shall encourage its scientific and technical staff to undertake specific consultancy assignments. All consultancy services in GBPIHED shall be institutional. Consultancy shall be in an area of expertise of the Institute, preferably its thrust areas and overall mandate. For purpose of definition there shall be two categories of consultancy, viz. **Advisory & General Consultancy**.

6.2.1(A) Advisory Consultancy

Advisory consultancy shall comprise scientific, technical, engineering or other professional advice, provided to a client purely on the basis of available expert knowledge and experience of individual(s), rendered outside the GBPIHED and not envisaging use of any facilities of the Institute (including experimental, informational, computational etc.), and also not involving any kind of survey, detailed study or report preparation/submission.

6.2.1.(B) General Consultancy

General consultancy shall comprise scientific, technical, engineering or other professional advice / assistance based on the available knowledgebase / expertise of the Institute, and envisaging only minimum use of Institute facilities for essential experimentation, computation and other facilities needed to meet the objectives of the consultancy assignment. General consultancy may *interalia* cover:

- Preparation of literature survey/feasibility studies, state-of-the-art technology sources, forecasting/ evaluation reports etc.;
- Interpretation and validation of test results and data, risk and hazard/ environment impact analysis etc.
- Assistance in environmental tests/ analysis & management, productivity improvements, technology dissemination, monitoring, assessment and evaluation, etc.

6.2.1.(C) The competent Authority for approving the consultancy shall have the power to decide on the category of a particular consultancy assignment. Any consultancy assignment, which does not strictly fall under the category of Advisory consultancy, shall be taken up as General Consultancy.

6.2.1.(D) Individual consultancies offered by clients on the basis of merit and competence of the faculty members shall be allowed as per the relevant provisions of GFR 2006/FR-SR.

6.2.1.(E) It should be ensured that owing to financial benefits accruing to staff members from consultancy work, attention is not diverted from R&D and other activities to consultancy. A proper balance of the manpower and other resources of the Institute to be deployed between R&D activities, consultancy and technical services should be decided

upon by the Institute. There should be no diversion or classification of R&D projects as consultancy; in case of borderline or doubtful cases the project should be classified as contract R&D projects rather than as consultancy.

6.2.2. Approvals

6.2.2.(A) For Projects

Competent Authority

Projects

Director : **up to Rs. 50 lakh** and not involving the Director or Director level scientist as one of the consultants

Chairman GB:

- a) beyond the powers of the Director or involving the Director or a Director level scientist as the sole consultant;
- b) for foreign sponsor.
- c) The project proposal will be placed before the Competent Authority, for consideration and approval in the prescribed Proforma (**Annexure 6.IV**).

6.2.2.(B) For Contracts

Competent Authority

Contracts

Director : drawn up substantially as per the model agreement;

Chairman GB:

- a) largely deviating from the model Agreement;
- b) for foreign clients or multi-agency projects.

6.2.3 Authorised signatories to contracts

The authorised signatories in the Institute for all contracts/ agreements shall be the Director. In the absence of Director, such documents will be signed by the Head of Office. The senior-most officer from the Finance side and in his absence, the next senior-most officer but not below the rank of Accounts Officer of the Institute shall be countersigning authority. For multi-agency projects, the signatories shall be the designated officers of the coordinating Institute

6.2.4 Financial aspects

6.2.4.(A) Costing of Consultancy Project

The charges for consultancy project shall comprise of two main components *viz.*:

6.2.4.(A) (i) Expenses

- a) cost of man-days of staff deployed.
- b) cost of physical inputs /services /utilities/ consumables/raw materials/components (if any) with 25% overheads.
- c) Equipment usage cost/cost of equipment procured specifically for the project, if any.
- d) External payments envisaged *e.g.* to outside consultants, for obtaining data, hiring of

- infrastructural facilities, computer time, information etc.
 - e) TA/DA.
 - f) Contingencies.
- Total expenses = sum of [i(a) to i(f)]

6.2.4.(A) (ii) Intellectual fee

To be decided by the authority competent to approve the project [minimum equal to manpower charges i.e. i(a)].

Project Charges = Total expenses + Intellectual fee i.e. (i + ii) above

6.2.4.(A) (iii) Service tax as per prevailing Govt. rates

The total consultancy charges to a client shall be as follows:

- a) Expenses {2.4.1 (i)}
 - b) Intellectual Fee {2.4.1 (ii)}
- Project charges = (a+b)
- c) Service Tax calculated as per the prevailing rates
 - d) Total charges to be obtained from the client = (a+b+c) above

6.2.4.(B) Explanation

6.2.4.(B) (i) Expenses

Costing of various elements/components contributing to the expenses of the consultancy project shall be similar to that of Contract Research

6.2.4.(B) (ii) Intellectual fee

This reflects charges for GBPIHED's investment, over the period of time, in building up and sustaining the level of expertise, knowledgebase and facilities. Intellectual fee to be charged should therefore be commensurate with quantum and quality of GBPIHED's resource inputs and also the likely benefits to be derived by the client on implementation of the project results. There is variety of ways of estimating and linking the intellectual fees to project parameters, such as expenses on manpower inputs etc. While there is no ceiling on the upper limit of the intellectual fee to be charged, it should in no case be less than the estimated manpower charges, except in cases of consultancy offered against open tenders, where the Competent Authority keeping in view the potential competition could decide the intellectual fee.

6.2.4.(B) (iii) Service Tax

The GBPIHED has obtained registration for payment of service tax as per the rules in force and the payment of service tax is to be debited to the project amount.

6.2.4.(C) Terms of payment

The Institute shall endeavor to obtain maximum percentage of consultancy amount as advance in installments. The quantum of installments shall be fixed through negotiations with the sponsor before signing of agreement. However, in cases covered under clauses 2.6.3 and 2.6.4 and consultancy assignment offered against open tender, it may not be necessary to insist on bank guarantee or the terms of payment as above.

6.2.5 Indemnity / Liability

The liability, if any, for GBPIHED arising out of or in connection with Consultancy Services shall be subject to a ceiling of the amount received by GBPIHED from the Party for the Consultancy.

6.2.6 General Rules

6.2.6.(A) Contractual obligations of a consultancy project shall be that of GBPIHED. Agreements with clients, will thus be executed, on behalf of GBPIHED and not by an individual scientist or team of scientists. Every care should be taken to avoid any legal complications involving the Institute as a result of the consultancy service.

6.2.6.(B) For consultancy services of a minor nature, formal agreement on a stamp paper may be dispensed with and the terms and conditions of consultancy settled through exchange of letters. In case the Director feels that an agreement would be technically and legally useful, the party may be asked to enter into a legal agreement. The terms and conditions should include a disclaimer on responsibility of the Institute for the advice /recommendations given in the consultancy.

6.2.6.(C) In the case of consultancy service rendered to Government Departments/Agencies, Public Sector Undertakings, the terms and conditions may be settled through exchange of letters. In such cases, formal agreement on non-judicial paper may not be necessary.

6.2.6.(D) GBPIHED may be called upon to carry out investigational jobs by Government agencies, Courts of law, Statutory Authorities etc. These jobs may need to be undertaken on an urgent basis and in such cases the Institute shall not, subject to acceptance of payment and other terms by the client in writing, insist on advance instalment of payment.

6.2.6.(E) The Director/ Governing Body shall approve the staff involvement for each consultancy project as the case may be. While assigning the consultancy job to a staff member, cognisance shall be taken of his /her workload, qualifications and experience vis-à-vis the specific requirements of the consultancy job, annual honorarium likely to accrue to him/her from consultancy etc.

6.2.6.(F) As far as possible, the 'team of consultants' selected for consultancy work should have the confidence of the client. In case the client indicates preference for a particular person(s), the request shall be given due consideration.

6.2.6.(G) The Institute should, on the whole ensure a fair distribution of consultancy work among the eligible staff at all levels and see that it is not confined to specific individuals /groups/levels of staff.

6.2.6.(H) Consultancy assignment costing less than Rs. 20,000/- should not in general be encouraged. Exceptions, in deserving cases judged by the importance/necessity of assistance to client/service sought, may be made at the discretion of the Director of the Institute.

6.2.6.(I) The total number of days devoted by an individual to consultancy work should not exceed **50 man-days** in a financial year.

6.2.6.(J) A copy of the project report for all consultancy jobs undertaken shall be retained for record purposes, with the Director's office of the Institute, except those which are purely advisory in nature and where no project report is required to be submitted to the client. In such cases, a brief note on the consultancy rendered should be submitted to the Director of Institute for records.

6.2.7 Feedback to Governing Body GBPIHED

Information on all consultancy projects shall be presented to the Governing Body. Information shall be furnished vide item IV of proforma at **Annexure 6.III**.

6.3 Intellectual Property

6.3.1 Definition

"Intellectual Property" shall include patent, copyright, registered design, trademark, know-how for a methodology/ process / plan /design and computer software.

6.3.2 Types of Intellectual Property

Intellectual Property generated by GBPIHED shall be of two types:

6.3.2.(A) Unencumbered

- i. Developed, through wholly in-house R&D programmes / projects. In such cases, ownership of intellectual property shall be solely that of GBPIHED, and consequently the licensing rights shall be that of GBPIHED alone.
- ii. Intellectual property developed through contract research and subsequently rendered unencumbered as per the contractual arrangements with the client. In such cases, licensing of intellectual property by GBPIHED would be in accordance with the terms & conditions agreed upon with respect to third party licensing with the client.

6.3.2.(B) Encumbered

Developed through contract research *i.e.* with total or partial financial support, and with/without technical inputs from users/clients. In such cases, ownership and licensing of intellectual property for commercial utilization shall be governed by GBPIHED's obligations to client in the matter.

6.3.3 Development of Intellectual Property - General Aspects

- i. Development of intellectual property shall be taken up preferably in consultation with user participation right from initial stages, to ensure commercial viability and successful utilisation.
- ii. Wherever feasible and necessary, the development should be taken to the stage of proving commercial viability. However, as this would not be feasible for all Institute projects, research results of projects, which at a particular stage of consultancy work, may not find potential users, should be adequately protected and shelved till such time that a demand develops for them. However, in case there is a demand for these research results per se, they could be leased, on non-exclusive and 'as-is-where-is' basis, in a documented (report) form only, without any guarantees or other liabilities related to technology licensing.
- iii. The Institute may continue with further development of intellectual property already

licensed. The method and terms and conditions of licensing of all such developmental work, shall be clearly specified in the license agreement. Any directly relatable developments with respect to the know-how already referred to the National Research & Development Corporation (NRDC) shall be referred/ assigned to the NRDC as improvements/additions to the already assigned know-how.

6.3.3.(A) Ownership of intellectual property

Intellectual property that is patentable or protectable:

- (i) GBPIHED will not require to be assigned to it intellectual property created by inventors where there is use of usual Institute resources only.
- (ii) GBPIHED will require to be assigned to it such intellectual property as is created by creators:
 - (a) through the use of Institute supported resources and which is in the opinion of the Institute as commercializable,
 - (b) intellectual property created through sponsored research where the sponsor does not claim intellectual property right, and
 - (c) IP developed through contract research, i.e. with total or partial financial support, and with/without technical input from users/clients. In such cases the ownership and licensing of IP for commercial utilization shall be with GBPIHED except in case of collaborating research where the other collaborator has also contributed for developing a particular technology and in such cases the IPR can be shared depending on the contribution of each partner(s).
- (iii) GBPIHED will have the benefit sharing right of 15% of the total financial benefit patented by the other institutions from the results of the project sponsored/ financial support provided by the GBPIHED.

In the case of all such properties the creators will retain all the moral rights to be identified as such unless they specifically waive this right in writing.

Royalty accruing or any type of payment received from commercialization of Institute owned intellectual property will be shared between the Institute and the creator(s).

6.3.3.(B) Copyrightable Work

Ownership of copyright of all copyrightable work shall rest with the author(s) with the following exceptions:

- i. If the work is produced during the course of sponsored and/or collaborative activity, specific provisions related to IP made in contracts governing such activity shall determine the ownership of IP.
- ii. GBPIHED shall be the owner of the copyright of work, including software, created by GBPIHED personnel with significant use of GBPIHED resources.
- iii. GBPIHED shall be the owner of the copyright on all teaching material, policy documents, etc. developed by GBPIHED personnel as part of any of the academic

programmes, instruction manuals, etc. at GBPIHED. However, the authors shall have the right to use the material in her/his professional capacity. As the traditional exception, GBPIHED shall not claim ownership of copyright on books and publications authored by GBPIHED personnel.

- iv. GBPIHED shall be the owner of copyright of work produced by non-GBPIHED personnel associated with any activity of GBPIHED with the intellectual contribution of GBPIHED personnel. However, the authors shall have the right to use the material in her/his professional capacity.

6.3.4. Licensing of Intellectual Property

6.3.4(A) Definition

Licensing of intellectual property shall mean granting the licensee the right to utilise the intellectual property and to make, sell or use the resulting product(s) either for commercial/captive purpose or as otherwise agreed to.

6.3.4(B) Method of Licensing

Licensing of intellectual property involving transfer through format means shall be through specific contractual arrangements. For transfer of intellectual property through only one-time demonstration or supply of only drawings, reports, plans software etc. licensing can be done through implied contractual agreement with no liabilities on GBPIHED (**Annexure 6.V**).

6.3.4(C) Channel of Licensing and associated ownership rights

GBPIHED would be free to choose the channel of licensing/commercial utilisation of all unencumbered intellectual property generated, which could be either directly by the Institute themselves, through the National Research Development Corporation (NRDC) or through any other Technology Transfer Agency (TTA) such as Consulting & Design Engineering Organisations, etc. Requisite approvals as per guidelines would be necessary in each case of licensing of intellectual property.

6.3.4(D) (a) Direct licensing by the Institute

Intellectual property that can be licensed directly by the Institute would comprise:

- i. unencumbered intellectual property not referred to NRDC.
- ii. all encumbered intellectual property developed under contract research (ref. chapter 6.1, para, 6.1.6).

GBPIHED should clearly specify in the agreement their obligations and extant commitments to the licensee(s) in each case.

Licensing of unencumbered intellectual property should be generally on non- exclusive basis. However, where despite publicity and conscious efforts for commercial utilization of such intellectual property, it has remained unlicensed for more than three years, it could thereafter, if deemed necessary be offered on a limited exclusive basis to make it more attractive to users/clients.

6.3.4.(D)(b) Licensing through the NRDC

Unencumbered intellectual property licensable on non-exclusive basis could at the discretion of the Institute be commercialised through the National Research Development Corporation (NRDC). All intellectual property proposed to be commercialised through the NRDC would need to be assigned to the NRDC. Ownership of the intellectual property so assigned would then vest with the NRDC.

****Reference of Intellectual Property to NRDC***

Information as per prescribed NRDC proforma in triplicate, on all industrial property sought to be licensed through the NRDC should be placed before the Governing Body of GBPIHED, after obtaining due approval of the Competent Authority.

The Institute should while forwarding this information to the GB, GBPIHED clearly indicate:

- i. Level of development and transfer of know-how.
- ii. Status of know-how with or without guarantee for technical or commercial viability.
- iii. Assistance and documentation to be given to the licensee.

****Terms & conditions of licensing of intellectual property by NRDC***

Terms & conditions of licensing recommended to the NRDC by the Institute are indicative only. NRDC, in the interest of ensuring the commercial utilization of the know-how, has the right to alter the terms.

6.3.4(c) Licensing of intellectual property through other TTAs

Only unencumbered intellectual property not referred to the NRDC can be licensed to the TTAs. The ownership rights of all intellectual property to be licensed through shall vest with the GBPIHED, while the TTAs shall be assigned only the rights to the specific intellectual property. The liabilities of GBPIHED if any, due to licensing of intellectual property shall be subject to a ceiling of the amount it receives for the same.

Licensing through TTAs shall be through formal contractual agreement with the TTA clearly specifying the rights and obligations of GBPIHED and the TTA as also the terms & conditions governing the licensing of the intellectual property by the TTA. The terms offered to the TTAs shall not in any case be more favourable than those offered to the NRDC under the existing working arrangement with the later.

6.3.5 Prelicensing aspects

6.3.5(A) Evaluation of Intellectual Property

A proper technical evaluation of any intellectual property sought to be licensed shall to undertaken, through GBPIHED's Intellectual Property Committee (IPC) or any other suitable mechanism to be decided by the Director. The mechanism could be in-house to the Institute or external or a combination of both and could also differ from case to case. If the technical evaluation is satisfactory, a feasibility report for the utilization of the intellectual property should be prepared.

6.3.5(B) Legal protection

The Director may set up a suitable mechanism for examining the possibility of legally protecting the intellectual property generated. All such protectable properties need legal protection through appropriate legal instruments *e.g.* patent, copyright, registered design, trademark, etc.

Industrial property sought to be patented shall be licensed preferably after filing of the complete specifications.

6.3.5(C) Documentation

In case the whole intellectual property developed is sought to be licensed, either directly or otherwise, the detailed know-how document on the process, technique, design product, the method of its utilisation, quality control aspects, safety and pollution control regulation and other parameters associated with the implementation must be prepared. This document should be available with the Director. The services /assistance to be rendered by the Institute to the licensee for the exploitation of the intellectual property should be clearly specified.

6.3.6 Post- licensing aspects

6.3.6(A) Review of intellectual property licensed

Annual review of intellectual property licensed including follow-up with the licensee, shall be conducted by the Institute through IPC (in association with the NRDC or TTA as applicable) to assess its utilisation status. Any technological modification/ development necessitated and also change in terms /conditions of its licensing can then be considered.

6.3.6(B) Collection of monies

The Institute would be responsible for prompt collection of monies accrued through licensing of intellectual property directly by it or through TTAs. It should thus evolve a proper mechanism for collecting and monitoring the accrual and realisation of such monies. The mechanism evolved should include annual review of outstanding dues from intellectual property licensing and their recovery from the licensee(s) along with interest on the delayed payments at prevailing bank rates.

6.3.7 Indemnity/Liability

The liability, if any, for GBPIHED arising out of or in connection with IPR licensing shall be subject to a ceiling of the amount received by GBPIHED from the licensee for the IPR licensing.

6.3.8 Financial aspects

6.3.8(A) Pricing

There is no rigid formula for determining the price of intellectual property and thus estimates would vary from case to case. The price of know-how/intellectual property normally ranges between 2% to 10% of usage in next five years. However, the price would depend on the estimates of opportunity value and "what the user can bear". Besides, the realisation of price could be divided between lumpsum amount and recurring royalty payments. Although it would be in the interest of GBPIHED to realise as much of the price as possible through a lumpsum payment, the licensee's interest would be to pay the price only through recurring royalty based on

production. Thus, a balance has to be struck between these two components. The estimates of following factors shall be placed for the consideration of the competent authority to arrive at the price of intellectual property:

- i. Cost of development.
- ii. Estimate of net benefit to be derived by the licensee.
- iii. Size and number of potential licensees.
- iv. Comparative cost of imported intellectual property, wherever applicable/available.
- v. Possibility of intellectual property being pirated.
- vi. Opportunity value.

Price decided for a specific intellectual property should be reviewed periodically, at least every three years for revision, if required.

6.3.8(B) Explanation

i. Cost of Development

Includes estimated cost of:

Direct inputs

- a. S&T manpower deployed on the project (as per prescribed rates).
- b. Raw materials, consumable components etc. with 25% overheads.
- c. Physical Inputs for the project with 25% overheads.
- d. Equipment usage.
- e. External payments, made if any.
- f. Securing of intellectual property rights.
- g. Cost of publicity.

Indirect inputs

- a) Notional amortisation of investment on the staff, equipment and facilities deployed for the project.
- b) Intellectual inputs.

ii. Net benefit to be derived by the licensee

This can be calculated as the money to be saved by the licensee by productivity improvement such as saving in raw materials, energy, time, labour, capital etc. or additional profit to be realised due to better quality of product or reduction in pollution etc. or the net profit from the exploitation of the intellectual property.

iii. Size and number of potential clients

Some estimates may be made of the potential market for the IP namely product, process, technique, software etc. and the likely number of licensees for the intellectual property. Sometimes, there may be alternative competing sources for the intellectual property. This should be taken into consideration while determining the number of licensees for the Institute's intellectual property.

iv. Cost of imported Intellectual Property

In some cases, the equivalent intellectual property may have been imported or proposed to be imported in the country. The price and level of such technology could be an indicator for fixing the price of intellectual property.

v. Piracy of Intellectual Property

Some intellectual property is highly innovative but difficult to prevent from being pirated by others. The price would need to give due recognition to the intellectual property protection that can be accorded to the licensees.

vi. Opportunity Value

Opportunity value in terms of money is the estimated amount that can be realised by cashing upon the circumstantial /contingent aspects prompting the utilisation of the intellectual property by the licensee. For purpose of calculations, opportunity value could be expressed either in absolute money value or as a percentage of profits anticipated or of value addition envisaged.

6.3.9 Approvals

6.3.9(A) For licensing of unencumbered Intellectual Property

Competent Authority

Director, GBPIHED:

Projects

where envisaged
payments per licensee
do not exceed **Rs. 50 lakh**
over the period of licence

Chairman, GB, GBPIHED:

where envisaged payments
exceed **Rs. 50 lakh**
per licensee (based on the
recommendation of Director)

The following should be placed for consideration of the competent authority:

- c) estimates of factors considered for arriving at the price of intellectual property vide a para 6.3.8.1.
- d) technical evaluation and feasibility report prepared vide a para 6.3.5.1.

6.3.9(B) Licence Agreements

Competent Authority

Director :

Contracts

drawn up substantially as
per the model agreement.

Chairman, GB, GBPIHED:

- a) largely deviating
from the model agreement
- b) with foreign client or multi-Institute
projects

6.3.9(C) Authorised signatories to contracts

The authorized signatories for all contracts/ agreements shall be the Director. In the absence of Director such documents will be signed by the Head of Office. The senior-most officer from the Finance side and in his absence, the next senior-most officer but not below the rank of Accounts Officer of the Institute shall be the countersigning authority. For multi-agency projects, the signatories shall be the designated officers of the coordinating agency.

6.3.10 Feedback to Governing Body, GBPIHED

Information on intellectual property generated, licensed and utilised shall be provided to the Governing Body. Information shall be furnished vide items II(a), II(b), & II(c) of proforma at **Annexure 6.III**.

6.4 Technical services

6.4.1 Definition

Technical services are meant to render to the clients / customers, assistance of a minor nature based on available knowledge, expertise, skills, infrastructure and facilities of the Institute. Technical services shall comprise:

- Testing & Analysis (including certification and calibration)
- Training
- Technical assistance of an advisory nature
- Supply of information / database

6.4.2 Training

Institute will take up training programs either on their own or at the specific request of clients. Charges per participant for training programs arranged by the Institute on its own should be such that at least all out of pocket expenditure is recovered. Normally training program could be a significant source of external cash flow, especially those arranged for international organisations / agencies, thus due consideration should be given to this factor in charging for training.

6.4.3 Technical Assistance

Technical assistance shall involve one time assistance mainly advisory in nature to help in troubleshooting, problem resolving, quality control etc. No formal contractual arrangements are needed with the client for technical assistance sought. However, the scope and objectives of the assistance requested by the customer should be clearly specified and Institute's obligations in the service to be rendered clearly stated through proper / appropriate documentation (e.g. letters, joint declaration etc.).

6.4.4 Supply of Information/Databases

Institute have over the years collected and compiled information and database in specialised areas which can be of significant value to clients. In the past this type of information has often been given free. However, most clients would be willing to pay a price for it. While no rigid guidelines can be laid on the price of supplying this information the Director must ensure that the

price charged takes into consideration the benefit to be derived by the client on acquisition of the information/ database as also the nature of the client. While Institute may supply the information / database at a modest price to Universities and other S&T organisation/ agencies the charges for such information to commercial organisations and international / foreign agencies should be more on commercial basis.

6.4.5 Testing & Analysis (including Certification & Calibration)

Services undertaken under this category pertain to use of the specialized facilities and technical expertise available at the Institute for testing & analysis. The Institute shall wherever feasible draw-up a schedule of charges for its testing and analysis service, which may be reviewed at least every two years.

In respect of testing jobs undertaken for purposes of 'Certification' and 'Calibration', the certificates issued should clearly specify:

- i. Limitations of, testing equipment /procedures available with the Institute.
- ii. Disclaimer on responsibility of the Institute for non-conformance of products/ instruments to results given in the certificate.
- iii. Testing based only on samples supplied.

6.4.6 Financial aspects

Charges for technical services (except for supply of information / databases) shall comprise:

6.4.6(A),(i) Expenses:

- a) Manpower (at prescribed rates)
- b) Physical inputs / services / utilities etc. including overheads at 25%
- c) Raw materials / consumables components with 25% overheads
- d) Equipment usage, depreciation / replacement costs
- e) Any other out-of pocket expenditure.

6.4.6(A)(ii) Intellectual fee / opportunity cost

The quantum of intellectual fee or opportunity value shall be at the discretion of the Director considering the nature of client, the benefits accruing and his paying capacity.

Charges = Total Expenses + Intellectual fee i.e. (i + ii) above

6.4.6(A)(iii) Service tax at prevailing Govt. rates

The total charges for the Technical service to the client shall be as follows:

- a) Expenses {6.4.5.1(i)}
- b) Intellectual Fee {6.4.5.1(ii)}
- c) Charges = (a+b)
- d) Service Tax calculated at prevailing rates of (a+b)
- e) Total charges to be obtained from the client = (a+b+c) above.

6.4.7 Indemnity/Liability

The liability, if any, for GBPIHED arising out of or in connection with Technical Services shall be subject to a ceiling of the amount received by GBPIHED from the client for the Technical Services.

6.4.8 Competent Authority for Approval

All jobs undertaken under Technical Services and charges thereto shall be approved by the Director.

6.4.9 Feedback to Governing Body, GBPIHED

Information on Technical Services undertaken by the Institute shall be furnished to the Governing Body of the Institute vide item V of proforma at **Annexure 6. III**.

6.5 Utilization Of Knowledge Base By Foreign Clients

Preamble

There has been an increasing interest in the Institute knowledgebase from clients, not only from developing countries but also developed countries. As per these guidelines all projects involving foreigners/foreign collaboration in any form will need a first level scrutiny from security & sensitivity angles by the concerned Ministry for clearance by the Secretary of the concerned Ministry/Department or a High Level Committee (HLC) of the Govt. of India depending upon the nature of the project. The consolidated guidelines for exploitation of knowledgebase by foreign clients are as under:

6.5.1 Definition

Foreign Client is deemed to be:

- i. A juridical entity registered/ situated outside India;
- ii. All UN and World Organisations/ Bodies such as UNDP, UNIDO, UNESCO, WIPO, CSC etc.;
- iii. NRI and Indian Client seeking to utilise/ exploit Institute's knowledgebase abroad.

6.5.2 Approvals

6.5.2(A) For projects

The proposals for undertaking projects involving foreigners/foreign collaboration by the Institute after first level of scrutiny by the Director at the Institute shall be referred to **JS (CS division) MoEF** for obtaining clearance/approval of the Competent Authority as per the detailed procedure given in (**Annexure 6.VI**) .

6.5.2(B) Contracts

The Competent Authority for approval of contracts in all cases will be Secretary, MoEF, New Delhi.

6.5.3. Authorised signatories to contracts

The authorised signatories for all foreign contracts /agreements shall be the Director. In the absence of Director such documents will be signed by the Head of Office. The senior-most officer from the Finance side and in his absence, the next senior-most officer but not below the rank of Accounts Officer of the Institute shall be the countersigning authority. For multi-agency projects, the signatories shall be the designated officers of the co-ordinating agency.

6.5.4 Financial aspects

6.5.4(A) Charging for Projects

The estimates of costs to be taken into consideration for costing of a 'Project' with foreign client will be the same as for the Indian clients and an opportunity charge levied keeping in view the cost that the foreign client would incur internationally or in his country for a similar Project. The opportunity charges should normally not be less than two times the Intellectual Fee that could be charged to an Indian client for a similar / same Project.

6.5.4(B) Pricing

The pricing of intellectual property shall be done on the same conditions as for Indian client. All the factors enumerated therein shall be taken into account while arriving at the price of the intellectual property however the opportunity value which would depend upon the specialised nature of inputs like raw materials, expertise, size of plant, competition from similar technology from other countries, state-of-art of technology etc. would play a greater role in determining the final price to be offered to the foreign client. Some of the countries, may not have a well developed system for foreign currency remittances and as such royalty collection may be difficult. In such cases, it may be advisable to transfer the technology preferably against lumpsum payments only, while in other cases the charges could be split between lumpsum amount and recurring royalty payment.

6.5.4(C) Terms of payment

The terms of payment by the foreign client could be negotiated and settled to mutually agreed conditions, to be approved by the Director.

6.5.5 Intellectual property

6.5.5(A) Ownership

The intellectual property generated/acquired from the project shall normally be jointly owned by the foreign client and GBPIHED. The Institute and the foreign client shall mutually decide on the territories for obtaining and maintaining the intellectual property rights (IPR) and the sharing of expenses thereof. IPR for India shall however, be filed & maintained by GBPIHED.

6.5.5(B) Licensing

GBPIHED and the foreign client shall have exclusive rights for licensing/ commercial exploitation of the intellectual property in their respective countries. For other countries, rights for commercial exploitation will be mutually decided between the Institute and the foreign client.

The monies accruing from commercial exploitation shall be shared between GBPIHED and the foreign client on mutually agreed basis.

6.5.6 Indemnity/Liability

The liability, if any, for GBPIHED arising out of or in connection with Technical Services shall be subject to a ceiling of the amount received by GBPIHED from the client for the Technical Services.

6.5.7 Feedback to GB/ MOEF

The Institute shall keep **GB and MoEF, New Delhi** informed of any 'Project' negotiated and contracts entered into with foreign clients by submitting a quarterly statement of the details of such project including a copy of the contract agreement.

6.6 Sharing of Monies Realised with Staff

Preamble

The consolidated guidelines for sharing of monies realised from licensing of Intellectual Property and intellectual fees from Contract R&D and S&T Services and Consultancy with the Institute staff are proposed as under:

6.6.1 Intellectual Fees from Contract R&D

Intellectual fee realised from contract R&D contracted is to be shared as follows:

Share of	Fees from contract R&D
GBPIHED	60%
Investigators	40%

6.6.2 Honorarium for Consultancy Services

Remuneration by way of honorarium receivable by staff associated with consultancy work shall be in accordance with O.M.No. F-11(2)- E.II(B)/63 dated 6th May, 1963 of the Department of Expenditure, Ministry of Finance (**Annexure 6.VII**). Thus, an amount up to a maximum of two thirds of the fee portion or of the net surplus (remaining after accounting for all direct and indirect expenditure for the consultancy service) whichever is less is distributable as honorarium to staff.

6.6.3 Premia/ Royalty received from Intellectual Property Licensing

The monies/fees realised from licensing of intellectual property (a) referred to NRDC and (b) directly by the Institute is to be shared as follows:

Share of	Monies realized from licensing	
	Through NRDC	Direct by Institute
NRDC	30%	--

GBPIHED	30%	60%
Investigators	40%	40%

6.6.4 Intellectual Fees from S&T Services

The share distributable to staff is twenty per cent of the intellectual fee or net surplus (remaining after accounting for all direct and indirect expenditure for the services) whichever is less, from the S&T Services.

6.6.5 Pattern of Distribution

6.6.5(A) Contract R&D, Intellectual Property and S&T Services

- i. The distribution pattern of Investigators' share of monies realised from Contract R&D and S&T services contracted and licensing of Intellectual property developed and referred to NRDC or approved for direct licensing by the Institute is to be as follows :

S.No.	Staff	Share
i.	Innovators & Principal Contributors	40%
ii.	S&T and other staff, who contribute direct inputs to the specific development/activity	35%
iii.	Remaining staff of the Institute	20%
iv.	GBPIHED Corpus Fund	5%

The detailed procedure for distribution of monies realised is given in Chapter 6.7, para 6.7.1.

6.6.5(B) Consultancy Services

The pattern of distribution of the permissible honorarium from consultancy services is to be as follows:

(i) *Advisory Consultancy*

Team of Consultants	-	95%
GBPIHED Corpus Fund	-	5%

(ii) *General Consultancy*

The permissible amount of honorarium or 300% of the manpower charges levied, whichever is less, is to be as follows :

Team of Consultants	-	65%
Other S&T Staff	-	15%
Supporting Staff	-	15%
GBPIHED Corpus Fund	-	5%

The detailed procedure for distribution of honorarium shall be as per Section 6.7, para 6.7.2.

6.7 Procedure for Sharing of Monies with Staff

6.7.1 Sharing of monies realised from licensing of Intellectual Property, Contract R&D and Consultancies/ Technical Services

6.7.1(A) Conditions for sharing of monies

The sharing of portion of monies/fees as specified in above sections 6.6 is subject to the fulfillment and compliance of the following:

- a) A format of cost accounting has been put in place and notified by the Institute;
- b) A legally valid agreement has been executed for Intellectual Property licensing /Contract R&D;
- c) The technology transfer/ project has been completed in accordance with the terms of the agreement;
- d) All the monies/fees due have been received in full;
- e) The client has not contested GBPIHED's fulfillment of its obligations as defined in the contract/ agreement;
- f) In the event of any legal action/dispute necessitating refund/payment of monies/ fees by GBPIHED to the client, the amount paid to the staff is recoverable;
- g) The maximum amount of money receivable by an employee from licensing of Intellectual Property and Intellectual Fee from Contract R&D and S&T Services will not exceed Rs.1 lakh per financial year or his/her salary for the particular financial year whichever is less;

6.7.1(B) Categorisation of staff

- a) Innovators & Principal Contributors may comprise scientists and other S&T staff, who have provided innovative, developmental, design engineering, experimental, data/information, testing/ analytical, repair/fabrication, training and business development/marketing inputs for the project/ activity;
- b) S&T and other staff may comprise staff, who have provided direct supporting inputs for the specific project/activity; and
- c) Remaining staff may comprise rest of the staff of the Institute, who have not been included in the category of staff at (a) and (b) above for the specific project/activity.

6.7.1(C) Maintenance of Project Records

- a) The Head of the Institute shall ensure that the following records are maintained and retained in the Institute:

(i) By Project Leader

- a) Project File

Document containing information on a systematic basis on initiation of the idea; date of starting of the project; list of Innovators and Principal Contributors (as defined earlier); responsibilities assigned to the individuals and the extent of their participation (whether whole-time or part-time); significant contributions made by the individuals along with the supporting inputs/contributions of the S&T and other staff.

b) Completion Report

A document listing the outcome of the project/activity including the contributions made by each of the Innovators & Principal Contributors, S&T and other staff. The final record shall be signed by each of the Innovators & Principal Contributors and the Project Leader.

c) Project Cost

Certified expenditure for each project/activity.

(ii) By Innovators & Principal Contributors and S&T and Other Staff

a) Record Book

A document maintained individually by the Innovators & Principal Contributors, S&T and Other staff listing date of his/her joining the project; extent of participation (whether whole-time or part-time); work allotted and/or undertaken from time to time; contributions or achievement made, verified and countersigned by the Project Leader/Director.

6.7.1(D) Distribution of Monies/Fees

- a) A Standing Committee shall be set up by the Director to consider and decide on the share of the Innovators & Principal Contributors, S&T and Other staff from the monies realised from licensing of Intellectual Property, the Intellectual Fees of Contract R&D Projects and S&T Services.
- b) The Project Leader shall recommend to the Standing Committee the share of the individual Innovators, Principal Contributors and S&T and Other staff for a specific project/activity commensurate with the individual's contributions to the project/activity as reflected in the Project Records.
- c) The Standing Committee shall decide the share of each individual [as at (ii) above] in the light of the recommendations of the Project Leader and taking into consideration the Project Records, wherever necessary.
- d) The recommendations of the Standing Committee shall be intimated to each of the Innovators and Principal Contributors and S&T and other staff and also displayed on the Institute and other appropriate notice boards. In case no objections/ representations are received within fifteen days of the date of notification, then the same can be submitted for consideration and approval by the Director.
- e) Representations, if any, against the recommendations of the Standing Committee, within the stipulated time limit, shall be reconsidered by the Standing Committee. The fresh recommendations of the Standing Committee, along with the details of

representations shall be put up to the Director for consideration.

- f) The decision of the Director shall be intimated to each of the Innovators & Principal Contributors and S&T and Other staff and displayed on appropriate notice boards. Distribution of the monies/ fees will then be done, if no representations are received against the decision of the Director within thirty days of the date of notification.
- g) Appeals against the decision of the Director, within thirty days of the date of notification, can be made to Chairman, GB, GBPIHED through the Director of the Institute. Decision of Chairman, GB, GBPIHED shall be final and binding on all concerned.
- h) The portion of the monies/ fees earmarked for the remaining Staff of the Institute is to be uniform for a salary scale and is to be distributed once a year.
- i) A person is entitled for a share from the monies/fees even in the event of his transfer/retirement/resignation from GBPIHED. In the event of death of a worker, his/her legal heir shall be entitled for his/her share of monies/fees.

6.7.2 Distribution of honorarium for Consultancy Services

6.7.2(A) Honorarium is payable only to the 'Team of Consultants' and 'Other S&T Staff' providing inputs to the specific consultancy assignment, together hereinafter referred to as 'Group of Staff' and the 'Supporting Staff'. In case, there is no staff under 'Other S&T staff' associated with a consultancy project the share of honorarium earmarked for this category shall then go to the Team of Consultants.

6.7.2(B) The 'Team of Consultants' shall comprise only such staff members who provide intellectual inputs to the specific consultancy work, while 'Other S&T Staff' shall generally include Group III & IV staff, Research Fellows/Associates/ others who assist the team of consultants with S&T, information, computational, economic and marketing-inputs pertaining to the specific consultancy and the 'Supporting Staff', will comprise all staff in the Institute from the technical groups I, II & III, administration, finance, stores and purchase, who have not been included in the other two categories of staff of any consultancy project for the year of distribution of honorarium. The Director shall have the flexibility to, group the 'Supporting Staff' as (a) those who contributed directly to the consultancy, and (b) the remaining supporting staff. The Director can also apportion between the two groups (a) and (b) above, the honorarium earmarked for the category of Supporting Staff. The distribution of honorarium to group (b) staff is to be uniform for a salary scale and is to be done once a year; however any supporting staff included in Group (a) of a consultancy shall be excluded from Group (b).

6.7.2(C) The names of the 'Group of Staff' to be associated with the 'consultancy project', indicated under each category, along with the proposed share (%) of honorarium 'of each individual member should be included in the project proposal put up to the Competent Authority for seeking approval to the project.

6.7.2(D) Any change in the approved 'Group of Staff' for the consultancy project can be made by the Director, with the revision being ratified by the Governing Body, GBPIHED for projects within their competence for approval.

6.7.2(E) The consultancy will be deemed as completed only when the obligations envisaged in the assignment have been fulfilled and all the money due from the client has been received.

- 6.7.2(F)** On the completion of the consultancy, the Project Coordinator shall in consultation with the team of consultants decide the share of honorarium to each member of the "Group of Staff", commensurate with the inputs of each individual member. The share of distribution agreed upon will be intimated to the concerned staff and also displayed on the notice board of the Institute. In case, no objection to /representations against the proposed distribution are received within fifteen days from the date of intimation/ notification the recommended distribution may be taken as final.
- 6.7.2(G)** In case of Advisory Consultancy projects for which the duration of the contract is more than a year, honorarium may be distributed annually, provided the amount due for the year, has been received from the client.
- 6.7.2(H)** The Director would be competent to approve the distribution of honorarium (vide procedure stipulated in para 6 above) in all cases where there is no deviation from the approvals obtained for the distributable amount of intellectual fee and/ or share of honorarium of individual member for a consultancy project.
- 6.7.2(I)** In cases, where there is a deviation in the approved share of honorarium of individual member and/ or the amount of intellectual fee available for distribution, approval of Competent Authority to the revised proposal for grant of honorarium as envisaged by the changed conditions may be obtained prior to distribution of honorarium as per procedure prescribed in para 6 above.
- 6.7.2(J)** Any objections/representations (received within the stipulated period of time) to the distribution of honorarium proposed vide para 6, shall be discussed with the Project Coordinator by either the Director or any Committee setup by the Director for the purpose. The Committee's recommendation would then be placed for consideration/ decision of the Director, GBPIHED. The decision of the Director shall be intimated to all concerned staff and displayed on the Notice Board. In case, there is no representation against the decision of the Director within 30 days of its display on the Notice Board, distribution of honorarium as per the MC's decision shall be done.
- 6.7.2(K)** Representations/ objections against the decision of the Director can be made to Chairman, GB within 30 days of the date of its display on the Notice Board (A copy of all such representations should invariably be endorsed to the Director of the Institute). The decision of Chairman, GB in the matter shall be final and binding on all concerned.
- 6.7.2(L)** A member of the consultancy team shall have the option to forego his/her share of honorarium, which shall then lapse to the GBPIHED Corpus Fund.
- 6.7.2(M)** There is no ceiling on the maximum amount of honorarium receivable by an individual from consultancy provided that the man-days devoted by the individual on consultancy work in a financial year do not exceed **50 man-days** (as stipulated in Chapter 2, para 2.6.9).
- 6.7.2(N)** Any distributions made in disregard of the prescribed procedure and guidelines shall be deemed as unauthorized and liable to recovery with 18% interest.

PROFORMA FOR APPROVAL OF CONTRACT R&D PROJECT

1. Project
 - a) Title, Number & Impact Code :
 - b) Type (Sponsored/Collaborative/
Grants-in-aid)
2. Client / Customer :
 - a) Name and address :
 - b) Category (Type & size)
(Govt. Deptt./ Agency/ Voluntary / Cooperative Agency, Research Organisation,
Foreign Firm/Agency, Public/Private Sector, Large / Medium / Small / Cottage Unit)
3. Objectives, scope and duration of the project :
4. Present stage of knowledge :
5. Programme of work with phasing, milestones and S&T inputs of client
6. Project Team (S&T Staff) :
7. a) Benefits to client on Utilisation of research results
- b) Vesting of Intellectual property :
8. Financial aspects :
- I. Estimated Expenses :
 - a) On Man-days

	Man-days Rate	Amount (Rs.)
Name & Designation	(Rs./day)	
i.		
ii.		
iii.		
iv.		
v.		

b) Consumables/raw materials/ component	:	Rs.
c) Services/utilities	:	Rs.
Overheads @ 25% of (b+c)	:	Rs.
d) Equipment/computer usage (see para 1.4.1)	:	Rs.
e) External payments	:	Rs.
f) TA/DA	:	Rs.
g) Contingencies	:	Rs.
Total expenses		_____
Sum of I(a) to I(g)		_____
II. Intellectual fees - (@ ____% of 'I' or minimum 33.3% of 'I')	:	Rs.
Total Project Charges (I+II)		_____
		Rs.

III. Payments to be received as follows (indicate for the installments the amount, mode, time and bank guarantee)	:	
9. Utilisation of Intellectual property generated	:	
Licensing:		
a) Exclusive/non-exclusive		
b) Period		
c) Fee/charges		
i. Lumpsum (installments, amount, time, mode, guarantees)		
ii. Recurring royalty (Period and basis)		

10. Remarks

Project Leader
(Signature)

DECISION OF COMPETENT AUTHORITY

Director/ Chairman GB, GBPIHED

Signature

CC:

1. Director, GBPIHED
2. Head of Core/ Scientist In-charge Unit
3. Finance Officer
4. Administrative Officer
5. Project Leader/ Principle Investigator
6. Consultancy Team Members
7. Guard File

MAN POWER CHARGES

The minimum manpower charges for all external work shall be as follows:-

Category of Staff	Manpower rates (Rs.)	
	Per day	Per annum
a) Senior Scientist (S&T personnel of the level of Sc. E and above)	5000	10 lakh
b) Scientist (S&T personnel of the level of Sc. B to Sc. D)	3000	6 lakh
c) S&T Assistant (Personnel below the level of Sc. B including Research Fellows)	2000	4 lakh
d) Project Assistant	on actual basis	

Note 1: In cases where Group I & II staff contribute S&T inputs to the project, their manpower charges are to be calculated at 2.5 times the median emoluments of the grade/scale on per day/per annum basis as applicable.

Note 2: The charges shall be effective from the date of adoption of these rules.

Note 3: These are minimum manpower charges, higher rates could be charged, wherever possible.

Note 4: While working out the manpower charges on the basis of per annum rates for different categories of staff, the number of working days in a year shall be taken as 200.

Note 5: Per day charges will apply where total man-days for the project/assignment are less than sixty, otherwise pro rata per annum man-day charges shall apply.

RESEARCH UTILISATION DATA

For the quarter _____20 to_____20

From GBPIHED, Kosi-Katarmal, Almora (UA)

I. Major Contributions to GBPIHED's Knowledgebase

Please include here, amongst others, information (along with publicity and related literature) on:

- i. Details on technical assistance/consultancy / know-how supplied by the institution.

- ii. Commissioning of any special Research, Design, Development and Testing facilities (list details of the facility, utility, cost etc.).

- iii. Completion of any R&D projects having significant economic/ welfare/ national security impact potential.

- iv. Any other achievement.

II. Intellectual Property

II a. Developed & Available for Utilisation

S. No.	Title	Date of Development	At scale (Quantitative)	Through In-house/Contract Projects	Licensing through & terms

* Date when made ready for licensing.

** Channel of licensing *i.e.* Direct by GBPIHED/ NRDC / TT Agency / Other

IIb. Intellectual Property Licensed

S. No.	Title	Licensee	Licensed through GBPIHED /NRDC/others (specify)	Terms of License	Effective date of License

* also indicate if first licensee

II c. Intellectual Property Productionised & Monies Accrued Thereof

S. No.	Title	Licensee	Licensed through GBPIHED/NRDC/ others (specify)	Effective date of license	Date of Commencement of Production	Plant capacity / Investment	Money Received Premia/ Royalty

* also indicate if first licensee

III. Contract Research Projects

S. No.	Client Name and Status	Name of Project (Type)	Value of contract (Rs. Lakh)	Money Received during the Quarter (Rs. Lakh)	Date & duration of project	Status of project (New/Cont./ Comp.)	Licensing of know-how envisaged (Yes/No)

SP - Sponsored Project
 CP - Collaborative Project
 GA - Grant-in-aid Project

Agency/
NGO's
 PS - Public Sector
 PVT - Private Sector
 RO - Research Organisation
 FO - Foreign Agency/Organisation

SM - Small
 COT – Cottage

GD - Govt. Deptt/Agency
 CV -Co-operative/Voluntary

LAR - Large
 MED - Medium

IV. Consultancy Projects

S. No.	Client's Name and Status	Name of Project	Value of contract (Rs. Lakh)	Money received during the Quarter (Rs. Lakh)	Date & duration of project	Status of project (New/Cont./Comp.)	Licensing of know-how envisaged (Yes/No)

*GD - Govt. Deptt/Agency
 CV -Co-operative/Voluntary Agency/
NGO's
 PS - Public Sector
 PVT - Private Sector
 RO - Research Organisation
 FO - Foreign
 Agency/Organisation

LAR - Large
 MED - Medium
 SM - Small
 COT – Cottage

V. Technical Services

V.a. Training

S.No.	Title of training programme	Duration	Number of trainees	Money received for the training

V.b. Other Technical Services

	Number of Clients	Total money received (Rupees)
i. Testing/analysis work		
ii. Training		
iii. Job work		
iv. Supply of information/ databases		
v. Any other service rendered (Please specify).		

Annexure- 6.IV

PROFORMA FOR APPROVAL OF CONSULTANCY PROJECT

1. Project Title, Number & Impact Code :
2. Client/Customer :
 - a) Name and address :
 - b) Category :

(Govt.Dept./ Agency, Voluntary / Cooperative Agency, Research Org., Foreign firm/Agency, Public/Private Sector; Large/ Medium/ Small/ Cottage/ Tiny Units)

3. Nature (Advisory /General) :
(Justification for classification as Advisory)
4. Objective, scope and duration :
of the project
5. Programme of work with phasing :
and milestones
6. Benefits to client on :
utilisation of project output

7. Financial aspects :
 - I. Estimated Expenses
 - a) On Man-days

Name & Designation	Man-day Rate (Rs./day)	Amount (Rs.)
i.		
ii.		
iii.		
iv.		
v.		

The scientists/staff included have not rendered consultancy exceeding 50 days in the FY under consideration.

b) Consumables/raw materials/ components	: Rs.	
c) Services/utilities	: Rs.	
overheads @ 25% of b+c	: Rs.	
d) Equipment /computer usage (see para 1.4.1)	: Rs.	
e) External payments	: Rs.	
f) TA/DA	: RS.	
g) Contingencies	: Rs.	

Total expenses [Sum of I (a) to I (g)]		_____
II. Intellectual Fees - (minimum = Man-day charges i.e. I (a))	: Rs.	
Project Charges (I+II)	: Rs.	_____
III. Services tax calculated at prevailing rates of (I+II) Total Charges = I + II + III		
IV. Payments to be received as follows: (indicate for the installments, the amount, mode, time and bank guarantees)		
8. Honorarium payable		
A. Advisory Consultancy Distributable amount up to a maximum of 2/3rd of intellectual fee as follows:		

Team of Consultants	95%
Corpus fund	5%
B. General Consultancy	

Distributable amount upto a maximum of 2/3rd of intellectual fee or 300% of the manpower charges levied, whichever is less as follows:

I. 'Group of Staff' (or the consultancy project)

a) Team of Consultants (65%)

Name & Designation	% share
i.	
ii.	
iii.	
iv.	
v.	

b) Other S&T staff (15%)

Name & Designation	% share
i.	
ii.	
iii.	
iv.	
v.	

c) Supporting staff (15%)

Name & Designation	% share
i.	
ii.	
iii.	
iv.	
v.	

II GBPIHED Corpus Fund _____ @ 5%

9. Remarks

Project Leader
(Signature)

DECISION OF COMPETENT AUTHORITY

Director/ Chairman, GB, GBPIHED

Signature

CC:

1. Director, GBPIHED
2. Head of Core/ Scientist In-charge Unit
3. Finance Officer
4. Administrative Officer
5. Project Leader
6. Consultancy Team Members
7. Guard File

Annexure 6.V

STRATEGY TO IMPLEMENT THE IPR POLICY

Preamble

In view of the above mentioned R&D activities, the IPR Policy would maximize benefits, generate awareness and ensure legal protection for its IP to the Institute in particular, and also amongst the various Himalayan communities. These necessitated the enunciation and communication of an Intellectual Property (IP) Policy of GBPIHED. The goals of Institute policy are thus to:

1. Stimulate and encourage increased creativity and innovation of issues relating to the management of IPRs to gain economic advantage.
2. Expose and develop skills amongst the scientific community to understand, interpret and analyze the techno-legal and business information contained in patents and other IP documents.
3. Protection of different intellectual properties generated at G.B. Pant Institute of Himalayan Environment & Development.
4. Evolve appropriate systems to capture and assess the intellectual property generated in the GBPIHED system.
5. Establish a globally acceptable system of recording and documentation of experimental results, data and information base.
6. A concerted plan to intensify research on traditional system of medicine, biotechnology, conservation of biodiversity and various disciplines so as to contribute to fundamental advances in health care, and overall sustainable development leading to commercialization of effective products.
7. Expose the local and indigenous people to various issues of biodiversity and indigenous knowledge, protect their interests and develop mechanism for preserving and benefit sharing.
8. Develop a model mechanism for protection of biodiversity, identification of bioresources and its conservation and information to central and state governments for its protection.
9. Mobilize and influence national thinking in IP related issues and concerns.
10. Provide the highest level of professional techno-legal services for securing and protecting the IP generated.

The policy is based upon the following principles relating GBPIHED to the community.

- The mission of GBPIHED remains the generation and dissemination of technology/knowledge for conservation and sustainable development of Himalayan region.
- Intellectual property will be generated within GBPIHED, and there exists an obligation to disseminate it. An interface is needed if better technology transfer is to be achieved, and GBPIHED will provide mechanisms for that function.

The policy is based upon the following principles relating staff, students and the local communities to the GBPIHED.

- Intellectual property is created by individuals, or by groups of individuals, who are entitled to choose the course of disclosure; academic freedom of individuals is a higher priority than possible financial rewards.
- There exists a historical tradition allowing authors to retain ownership of intellectual property rights from textbooks and works of art.
- GBPIHED is the support of the entire Institute community along with its units and is thereby entitled to share in financial rewards.
- There should be incentives for all parties to pursue financial rewards together, consistent with the expressed goals of the policy. The distribution of these rewards should reflect, insofar as possible, the creative contributions of the creator, and the resources contributed by and risks assumed by both the creator and the GBPIHED in developing intellectual property.
- Since it is frequently difficult to meaningfully assess risks, resources and potential rewards, negotiated agreements are to be encouraged whenever possible.

Strategy

The goals of GBPIHED's IP policy are to be achieved by:

1. Nurturing a strong innovation base in the GBPIHED through a balanced system of recognition and rewards ranging from according due weightage in promotions to monetary and other forms of rewards.
2. Investing liberally to enhance the skills and knowledge base of scientists, through structured in-house and external professional training programmes, some even abroad, on understanding, interpreting and analyzing the techno-legal and business information contained in IP documents and in drafting of IP documents.
3. Strengthening the IPC of GBPIHED through infusion of qualified and trained staff, empanelment of outstanding consultants and a high level advisory committee to enable it to develop as a centre of excellence and a national resource for intellectual property.
4. Identifying and mounting applied research projects after thorough analysis and assessment of techno-legal and business information in related IP documents and monitoring the global patent position for mid-term project appraisal for which requisite pre-project budget and funds would be allocated.
5. Establishing and enforcing a formal mechanism of recording and authentication of R&D output / results taking into account the individual characteristics of each core/unit and its activities, that would be accepted and respected by the patenting authorities the world over.
6. Encourage the publication of R&D results in scientific papers after careful consideration of the consequences of IP rights. A quick and effective system at Institute would be established to scrutinize the scientific papers and media releases on achievements/ developments proposed in terms of the IP information contained therein.

7. Availing the services of high-class national and foreign consultants and attorneys to advise on and to secure IP rights for GBPIHED.
8. Monitoring national and international patents and other IP, through access to on-line databases, to ensure effective protection and to ward off infringements and threats to GBPIHED's IP portfolio and vice versa.
9. Analyzing and assessing techno-legal and business information and market intelligence to identify strategic alliances and to exploit potential uncovered niche areas of opportunities and offer on a merchant basis value-added patent information services.
10. Mobilizing public opinion and influencing government decisions / policy on diverse IP issues through analytical and scientific studies taken up in-house or commissioned nationally and internationally and spearheading the movement towards formulating a national IP policy.

The Role of GBPIHED's Intellectual Property Committee (IPC)

GBPIHED's Intellectual Property Committee (IPC) shall provide guidance, support and resources to all GBPIHED personnel and facilitate protection and deployment of intellectual property. In achieving this goal, IPC creates awareness of the importance and role of IP Rights, implements the IP policy, ensures transparency and fairness of the IP policy to encourage compliance, solicits feedback regarding the fulfilment of the IP policy and periodically reviews the Policy to improve upon any shortcomings, strengthens the infrastructure and resources for protection and exploitation of IP and makes available expert inputs.

Issues of ownership, confidentiality, disclosure, patentability, technology transfer, revenue sharing, and conflict of interest among others play a very important role in any IP management. IPC shall conduct workshops to enhance awareness on related issues. IPC shall also provide templates and guidelines for the contracts, agreements and MOUs governing the effective exploitation of the IP produced by GBPIHED. All such agreements and matters relating to confidentiality, infringements, damages, liabilities and compliance are administered by the IPC.

Annexure-6.VI

PROFORMA FOR SEEKING SECURITY & SENSITIVITY CLEARANCE FOR PROJECTS INVOLVING FOREIGNERS/ FOREIGN COLLABORATION

1. The proposals for undertaking any and all projects involving foreigners/ foreign collaboration by GBPIHED after due diligence of scrutiny be referred to CS division at MoEF, New Delhi for obtaining security and sensitivity Clearance.

- i. Title and short description of the project;
- ii. Name, address, nature of organization and the activities of foreign collaborator/sponsor and more especially of the direct collaborator;
- iii. Details of past collaborations, if any, by the collaborator/sponsor with the GBPIHED /other Indian institution(s);
- iv. Details if any, available on R&D projects of sensitive and national security, taken up and/or funded by the sponsor/collaborator in the past in its own country or any other country;
- v. Genesis to the origin of the project;
- vi. Total cost (in Rs. and Foreign Exchange) and duration of project;
- vii. Foreign support/collaboration (details):
 - a. Financial support (Rs. & Foreign Exchange)
 - b. Equipment support
 - c. Technical support
 - d. Manpower training/exchange ((Indian/foreign)
 - e. Data/Informational support
 - f. Miscellaneous/others (use of facilities, ship, computers etc.)
- viii. Justification/need for foreign sponsorship/collaboration and likely benefits (scientific, economic, societal, strategic etc.) for the GBPIHED/ and India;
- ix. The project involves (give details):
 - a. Referring to or sourcing of strategic/sensitive material/ information;
 - b. Transfer of biological material(s) to the collaborator/sponsor;
 - c. Use of genetically modified materials;
 - d. Use of environmentally or otherwise hazardous material(s);
 - e. Use of radio-active materials;
 - f. Field surveys/trials/proving/collection/testing (give locations);
 - g. Intellectual Property Rights (IPR) generation/exploitation/ use;

- h. Visits if any, by the personnel of foreign collaborator/sponsor to India; if so, the places/institutions to be visited and likely duration;
- i. Ethical issues in conducting of the project;
- j. If answer to any of the points in (ix) is 'yes', the investigator/ proposer to give undertaking to abide by relevant and extant GBPIHED /national regulations and guidelines on the subject.
- x. Any conditionals on use of project results for strategic and/or national security uses;
- xi. Any other relevant information not covered above; and
- xii. Endorsement and specific recommendations of Director of the Institute that:
 - The project does not involve any national security and/or sensitivity angles either proximately or remotely now or in the foreseeable future.

OR

- The project involves issues of national security and/or sensitivity (specify) and due diligence has been exercised in the laboratory and measures (specify) put in place to adequately safeguard the security and sensitivity issues.

2. Scrutiny of proposals at the Institute:

Prior to submission of the proposal for clearance as above, the proposal shall be scrutinised at the Institute level by the Director with respect to the following guidelines namely that:

- i. the project is related to national/ GBPIHED's research priorities and interests;
- ii. there is need for foreign collaboration in the specific field/subject;
- iii. the foreign collaboration is expected to add value or bring benefits to the GBPIHED and the nation;
- iv. the field/subject of the project does not have a bearing on sensitive matters - political, regional, religious, communal, social, tribal and/or on security, including industrial and technological and on the country's commercial interests, either proximately or remotely;
- v. the project would not allow access by foreigners to sensitive information or data or material;
- vi. the end-use of the results of the study do not impinge on areas of national security, or on the areas which are 'sensitive', particularly through custody and control over data and its dissemination/ publication to the detriment of national security or interest, now or in the foreseeable future;
- vii. appropriate measures to ensure necessary security have been/will be put in place in case of visits by foreigners to sensitive areas or institutions;
- viii. for projects involving cruise of foreign vessels in Indian EEZ and/or flight-of

foreign aircraft over Indian territory clearance of appropriate inter-ministerial group(s)/Ministries/Departments has been obtained and specifically mentioned thereto.

3. Scrutiny of proposals at the MoEF

The project proposal in the prescribed format along with the information on scrutiny at lab. level be referred to CS division at MoEF, New Delhi for seeking clearance from security & sensitivity angles. The proposal shall be examined and processed by CS division at MoEF, New Delhi as follows:

- i. Those not involving any security and sensitivity issues will be put up to Secretary, MoEF for his approval on behalf of High Level Committee(HLC) of the Government and the GBPIHED is informed accordingly within 2 weeks of receipt of full details;
- ii. Those involving security and/or sensitivity aspects will be submitted by correspondence for approval to other relevant Ministries/ Departments/State Governments and processed as follows:
 - a. In case the proposal is cleared by all relevant agencies;
Or
 - b. In case no response is obtained from referred agencies within 6 weeks.

The proposal will be put up to Secretary, MoEF for approval/ clearance on behalf of the HLC and the Institute informed accordingly within 8 weeks of receipt of full details.

- c. In case an agency, prior to the expiry of 6 weeks seeks more time for examination then the proposal would be kept pending for that time and thereafter processed appropriately. The Institute will be kept informed of the position within 8 weeks of the receipt of full details;

In case the proposal is not cleared by any of the concerned agencies, it will be submitted to Secretary, MoEF for permission to forward it along with completed prescribed government checklist and MoEF's recommendations to the Competent Authority for the consideration and decision of the HLC. The Institute will be informed of non-clearance of the proposal by any agency within 8 weeks of receipt of the full information.

**CONSULTANCY WORK BY STAFF OF
GOVERNMENT INSTITUTIONS**

Copy of Office Memorandum No. F-11(2)-II(B)/63 dated the 6th May, 1963 from the Govt. of India, Ministry of Finance (Department of Expenditure), New Delhi addressed to all Ministries/Departments etc.

Subject: Private Consultancy Work by the Staff of Government Institutions.

1. At present, some categories of staff of some Government Institutions (particularly the teaching staff of technological institutions like the Indian Institutes of Technology, Bombay, Madras, Kanpur &, Kharagpur, the Delhi Polytechnic, etc.) are permitted to undertake private consultancy work and to receive fees from private parties in respect therefore, subject to certain conditions.
2. The position in this regard has been reviewed and it has been decided that, with immediate effect, private practice (whether it be in the nature of consultancy work or of some other type of work) should not, except in the types of cases, referred to in paragraph 4 below, be permitted to any member of the staff in any Government institution.
3. The purpose of permitting private practice to officials, viz. to enable them to keep pace with the scientific / technological advances that are taking place in their respective fields and to improve their professional competence, can be served by the institution concerned itself taking up the consultancy work. The following procedures may be adopted in such cases of institutional consultancy :
 - i. the institutions taking up the consultancy work will entrust the work to selected staff members;
 - ii. as far as possible, the staff members selected for the work should have the confidence of the client;
 - iii. the fees received for rendering the consultancy work will be credited to the funds of the institution;
 - iv. the institution may sanction suitable honorarium to the member of the staff who actually execute the work. The honorarium should be fixed having regard to the nature of the work, the amount of the time spent

on it and the extent of facilities provided by the institution for the work. But the total amount of honorarium paid to the members of the staff should not exceed $\frac{2}{3}$ of the total fees received for the work by the Institution.

4. In the case of an officer appointed on contract, who under the terms of contract, is entitled to have private consultancy practice, these orders will be applied to him from the date following the date of expiry of the present contract but, if the present contract of such an officer is for an indefinite period, these orders will be applied in his case after the expiry of two years from the date of issue/of these orders.

5 The Ministry of Scientific Research & Cultural Affairs, etc. is requested to bring these orders to the notice of the institutions etc. under their administrative control.

Appendix Ia

Qualifications, disciplines, experience and age limits for direct recruitment of Scientific Group A posts:

The minimum qualifications, experience and maximum age limits for direct recruitment to Scientists Group-A at various levels shall be as follows:

Sl. No.	Designation and scale of pay of the post	Qualification and disciplines	Experience in required areas	Age limit not exceeding
1.	Scientist-B Rs.8000-13500	Master Degree in Physical Sciences/ Life Sciences/ Social Sciences	Nil	28 years
		OR		
		Degree in Engineering/ Medical Science	2 years	28 years
		OR		
		Ph.D. in any of the above fields	Nil	33 years
		OR		
2.	Scientist-C Rs.10000-15200	Master Degree in Physical Sciences/ Life Sciences/ Social Sciences	3 years	31 years
		OR		
		Degree in Engineering/ Medical Science	4 years	32 years
		OR		
		Ph.D. in any of the above fields	1 year	34 years
		OR		
		Masters degree in Engineering and Medicine	2 years	34 years

Sl. No.	Designation and scale of pay of the post	Qualification and disciplines	Experience in required areas	Age limit not exceeding
3.	Scientist-D Rs.12000-16500	Master Degree in Physical Sciences/ Life Sciences/ Social Sciences	7 years	35 years
		OR		
		Degree in Engineering/ Medical Science	8 years	35 years
		OR		
		Ph.D. in any of the above fields	4 years	38 years
		OR		
		Masters degree in Engineering and Medicine	6 years	38 years
4.	Scientist-E Rs.14300-18300	Master Degree in Physical Sciences/ Life Sciences/ Social Sciences	10 years	38 years
		OR		
		Degree in Engineering/ Medical Science	11 years	38 years
		OR		
		Ph.D. in any of the above fields	7 years	40 years
		OR		
		Masters degree in Engineering and Medicine	9 years	40 years
5.	Scientist-F Rs.16400-20000	Master Degree in Physical Sciences/ Life Sciences/ Social Sciences	13 years	41 years
		OR		
		Degree in Engineering/ Medical Science	14 years	41 years
		OR		

Sl. No.	Designation and scale of pay of the post	Qualification and disciplines	Experience in required areas	Age limit not exceeding
		Ph.D. in any of the above fields	10 years	43 years
		OR		
		Masters degree in Engineering and Medicine	16 years	43 years
6.	Scientist-G Rs.18400-22400	Master Degree in Physical Sciences/ Life Sciences/ Social Sciences	16 years	44 years
		OR		
		Degree in Engineering/ Medical Science	17 years	44 years
		OR		
		Ph.D. in any of the above fields	13 years	46 years
		OR		
		Masters degree in Engineering and Medicine	15 years	46 years

Appendix Ib

QUALIFICATIONS, EXPERIENCE & AGE LIMITS FOR RECRUITMENT OF TECHNICAL POSTS IN GBPIHD

The minimum qualifications/experience and maximum age limits for recruitment at various levels are as follows:

Group & Grade	Qualification	Experience in years	Age limit in years
Note: The period of experience in the requisite discipline/area of work where prescribed shall be counted w.e.f. the date of acquiring the prescribed minimum educational qualification for that Group/Grade and actual working experience in the relevant field in analogous post or one grade below.			
GROUP-I Rs.2550-3200 (Rs.750-940)	SSC/10 th standard in science with 50% marks in the aggregate or ITI Certificate of 2 years duration in relevant field.	Nil	28
GROUP – II			
GROUP-II(1) Rs.3050-4590 (Rs.950-1400)	SSSC/HSC/12 th in science with 60% marks in aggregate/ Certificate of 1 year duration in relevant field.	Nil	28
GROUP-II(2) Rs.4500-7000 (Rs.1350-2200/ Rs.1400-2300)	SSC/10 th standard with 50% marks in the aggregate and Certificate of 1 year duration in relevant trade. OR SSSC/HSC/12 th with relevant technical subjects and a min. of 60% marks in aggregate.	Five	28
GROUP-II(3) Rs.5500-9000 (Rs.1640-2900)	SSC/10 th standard with 50% marks in the aggregate and Certificate of 1 year duration in relevant trade. OR SSSC/HSC/12 th with relevant technical subjects and a min. of 60% marks in aggregate	Six	28
GROUP-II(3) Rs.5500-9000 (Rs.1640-2900)	SSC/10 th standard with 50% marks in the aggregate and Certificate of 1 year duration in relevant trade. OR SSSC/HSC/12 th with relevant technical subjects and a min. of 60% marks in aggregate	Nine	30
		Ten	

Group & Grade	Qualification	Experience in years	Age limit in years
GROUP- II(4) Rs.6500-10500 (Rs.2000-3500)	SSC/10 th standard with 50% marks in the aggregate and Certificate of 1 year duration in relevant trade.	Twelve	35
	OR SSSC/HSC/12 th with relevant technical subjects and a min. of 60% marks in aggregate	Thirteen	
GROUP – III			
GROUP-III(1) Rs.4500-7000 (Rs. 1400-2300)	Ist Class Diploma in Engg. or its equivalent.	Nil	28
GROUP- III(2) Rs.5500-9000 (Rs.1640-2900)	Ist Class Diploma in Engg. or its equivalent.	Three	28
GROUP-III(3) Rs.6500-10500 (Rs.2000-3500)	Ist Class 3-year Diploma or its equivalent. OR B.E./ B. Tech. (Civil)	Five	30
GROUP-III(4) Rs.8000-13500 (Rs.2200-4000)	Ist Class 3-year Diploma Engg. or its equivalent.	Eight	35
	OR B.E./ B. Tech.	Two	
GROUP-III(5) Rs.10000-15200 (Rs.3000-4500)	Ist Class 3-year Diploma Engg. or its equivalent.	Ten	40
	OR B.E./ B. Tech.	Six	
GROUP – IV			

Group & Grade	Qualification	Experience in years	Age limit in years
GROUP-IV(1) Rs.5500-9000 (Rs.1640-2900)	Ist Class B.Sc. (Sci.)/ Ist Class B.Lib.Sci. or equivalent	Two	28
	OR Dip. in Engg./Tech. of 3 years fulltime duration or its equivalent.	Three	
	OR M.Sc. or equivalent with minimum of 55% marks; or B.E./B.Tech. or equivalent	Nil	
GROUP-IV(3) Rs.6500-10500 (Rs.2000-3500)	Ist Class B.Sc. (Sci.)/Ist Class B.Lib.Sci. or equivalent	Five	30
	OR Ist Class Dip. in Engg./Tech. of 3-years fulltime duration or its equivalent.	Six	
	OR M.Sc. or equivalent with minimum of 55% marks; or B.E./B.Tech. or equivalent	Three	
GROUP-IV(4) Rs.8000-13500 (Rs.2200-4000)	Ist Class B.Sc. (Sci.)/Ist Class B.Lib.Sci. or equivalent	Eight	35
	OR Ist Class Dip. in Engg./Tech. of 3-years fulltime duration or its equivalent.	Nine	
	OR M.Sc. or equivalent with minimum of 55% marks; or B.E./B.Tech. or equivalent	Six	
GROUP-IV(5) Rs.10000-15200 (Rs.3000-4500)	Ist Class B.Sc. (Sci.)/Ist Class B.Lib.Sci. or equivalent	Eleven	40
	OR Ist Class Dip. in Engg./Tech. of 3 years fulltime duration or its equivalent.	Twelve	
	OR M.Sc. or equivalent with minimum of 55% marks; or B.E./B.Tech. or equivalent	Nine	

Group & Grade	Qualification	Experience in years	Age limit in years
GROUP-IV(6) Rs.12000-16500 (Rs.3700-5000)	Ist Class B.Sc. (Sci.)/Ist Class B.Lib.Sci. or equivalent	Fourteen	40
	OR Ist Class Dip. in Engg./Tech. of 3-years fulltime duration or its equivalent.	Fifteen	
	OR M.Sc. or equivalent with minimum of 55% marks; or B.E./B.Tech. or equivalent	Twelve	
GROUP-IV(7) Rs.14300-18300 (Rs.4500-5700)	Ist Class B.Sc. (Sci.)/Ist Class B.Lib.Sci. or equivalent	Seventeen	45
	OR Ist Class Dip. in Engg./Tech. of 3-years fulltime duration or its equivalent.	Eighteen	
	OR M.Sc. or equivalent with minimum of 55% marks; or B.E./B.Tech. or equivalent	Fifteen	

Note: Qualifications to be as considered equivalent are given in Appendix Ic.

Appendix Ic

LIST OF RECOGNISED EQUIVALENT QUALIFICATIONS

Sl.No	Qualifications	Equivalent to
1.	MVS Course from BITS, Pilani - De-recognised <i>w.e.f.</i> 14-12-2001 vide CSIR Lr.No.17/66/EQV/94 dated 14.12.2001	M.Sc. degree
2.	Diploma in Process Instrumentation from the Institute of Paper Technology, University of Roorkee (After B.Sc. degree)	M.Sc. degree
3.	Ph.D. degree obtained after B.Sc. or M.Sc.	Ph.D. degree
4.	Diploma in Photography awarded by the Indian Air Force - De-recognised <i>w.e.f.</i> 14-12-2001	3-Years Diploma in Photography Entry level qualification for Gr.IV
5.	M.A. or Ph.D. in technical translation (other than Indian Language) provided these qualifications have been obtained after B.Sc. in any branch of science and the person concerned is engaged in scientific or technical translation from English into any other foreign language or from any other foreign language into English - De-recognised <i>w.e.f.</i> 14-12-2001	Entry level qualification for Scientist B
6.	M.Sc. awarded on the basis of dissertation	M.Sc. degree in 1st Class being entry level qualification for Scientist B
7.	Two years Diploma in Draftsmanship in respect of those Sr. Draftsman (Selection Grade) who were in position as on 1-2-1981 - De-recognised <i>w.e.f.</i> 14-12-2001	Entry level qualification for Gr. IV
8.	National Trade Certificate/Diploma after one and half years academic study followed by six months in-plant training in respect of those Sr. Draftsman (Selection Grade) who were in position as on 1-2-1981 - De-recognised <i>w.e.f.</i> 14-12-2001	Entry level qualification for Gr. IV
9.	Associateship Diploma of the Institution of Chemists (India) obtained by examination - De-recognised <i>w.e.f.</i> 14-12-2001	M.Sc. degree

Sl.No	Qualifications	Equivalent to
10.	Associate Membership Examination of the Indian Institute of Chemical Engineers	Degree in Chemical Engg.
11.	M.Com.	M.Sc. for recruitment to Gr.IV in relevant Cell
12.	PG Degree in Statistics/ Mathematics/ Computer Sciences	M.Sc. for recruitment to Gr. IV in respective areas as decided by Head of Institute
13.	PG Degree in Economics/Geography	M.Sc. for recruitment to Gr.IV depending upon the relevance of the area of work decided by Head of Institute
14.	Two years Certificate course in Sr. Surveyor's Examination awarded by the West Bengal-Survey Institute prior to 1987-88 - De-recognised <i>w.e.f.</i> 14-12-2001	Three Years Diploma in the technical subject prescribed as the entry level qualification for Gr.IV
15.	Certificate in General Nursing & Midwifery of 3-1/2 years duration awarded by the Rajasthan Nursing Council - De-recognised <i>w.e.f.</i> 14-12-2001	-do-
16.	Two years course of Diploma in Business Management with <i>one</i> year course of Master of Management Science - De-recognized <i>w.e.f.</i> 14-12-2001	M.Sc.
17.	Master's degree in Library & Information Science has been treated as equivalent to entry level qualification of Scientist B vide CSIR letter No. 17/66/94-PPS dated 21.1.2004.	
18.	Intermediate plus training as Forest Ranger/Deputy Ranger and Certificate in Wildlife Management from Wildlife Institute of India, Dehradun	Entry level qualification for Field Technical Officer Gr.IV(2) of GBPIHED Technical Service

Sl.No	Qualifications	Equivalent to
19.	M.A. English with Hindi as optional subject at Graduation and with Diploma in Journalism	Entry level qualification for Editorial post in Group IV of GBPIHED Technical Service
20.	Two year Diploma in Engg. awarded by Ad hoc Boards of Technical Education prior to 1959 -w.e.f. 14-6-1995 - De-recognised w.e.f. 14-12-2001	3-Year Diploma in Engg./Tech Entry level qualification for Gr.IV
21.	Post-Graduate Diploma in Pulp & Paper from Indian Institute of Paper Technoigy, Saharanpur- w.e.f. 14-6-1995	M.Sc.
22.	5-Year Diploma from Sir JJ School of Arts, Mumbai followed by clearing the Examination in the prescribed subjects (w.e.f. 24-7-1996) - De-recognised w.e.f. 14-12-2001	B.Arch. degree
23.	M.Sc. degree in Life Sciences of 3-year duration obtained after B.Sc. from BITS, Pilani -w.e.f. 14-10-1999 - De-recognised w.e.f. 14-12-2001	M.Sc.
24.	Master degree in Mathematics M.A. (Math.) obtained after B.Sc. - w.e.f. 8-10-1999	M.Sc.
25.	B.Sc. degree in Engg. Technology obtained after 3-year Diploma in Civil Engg. from BITS, Pilani- 14-10-1999	B.Tech/B.E.
26.	Pass in Section "A" & "B" Examination of Institution of Engineers (I), Kolkata	B.Tech./B.E.
27.	Associate Membership Examination of Indian Institute of Metals, Calcutta obtained after B.Sc. - w.e.f.14-10-1999	BE.
28.	Associate Membership Examination of Indian Institute of Ceramics, Kolkata obtained after Diploma in Ceramics Engg. of 3-year duration -w.e.f. 25-10-1999	B.Tech./B.E.
29.	1st Class 3-Year Diploma Licentiate Examination in Printing & Graphic Arts obtained from State Council of Engg. & Technical Education - w.e.f. 25-10-1999	3-Year Diploma in Engg./Tech. (Entry level qualification for Gr.IV)
30.	MBA degree obtained from IGNOU after B.Sc. with not less than 65% marks w.e.f. 31.8.01	M.Sc. for Recruitment and Assessment for Business Development

		and/or Resource Planning Monitoring and Evaluation Divisions
Sl.No	Qualifications	Equivalent to
31.	MS Degree from Anna University/IIT <i>w.e.f.</i> 31.8.2001	M. Tech.

- NB:
1. These qualifications could be considered equivalent if the same have been obtained with the division/percentage of marks as prescribed in the GBPIHED Service Rules, for Recruitment of Technical and Supporting Staff.
 2. These qualifications would be considered equivalent in respect of any candidate only if the same is of direct relevance to the work/job assigned to him/her within the areas/disciplines relevant to the mandate of the Institute.

Appendix Id

GUIDELINES FOR INDUCTION OF DRIVERS INTO TECHNICAL STREAM

The post of Driver belongs to Administrative (Non-Technical) Cadre. As such the recruitment for the post of Driver should be made in *i.e.* non-technical cadre only. However, they could be inducted into the technical cadre provided they have received demonstrable maintenance training on the engines and have acquired technical skill and experience in repair and maintenance of vehicles and are willing to work on the maintenance side when they do not have driving duty.

Those, who have not so far acquired such training/skill, may be given the required practical training for a period of not less than three months in any Institute/Government/Non-Government Organization where such facilities exist.

After satisfactory training and on their being found fit for induction on the basis of a suitable trade test, by an appropriate Committee (comprising three experts - one each from outside the GBPIHED system, relevant technical organization and from within the Institute, they may be inducted into technical cadre. The drivers thus inducted into technical cadre will become entitled to the benefit of assessment scheme applicable to Group-II Technical employees of GBPIHED

The period of service for their assessment to the next higher grade will count from the date of their induction into technical stream.

On vacation of the post by the individual concerned due to resignation, retirement, death etc. the vacancy will occur and be filled up in non-technical cadre only.

Appendix –IIa

Annual Performance Appraisal Report (APAR) for GBPIHED Group–A Scientist

Part 1: Basic Information

1. Identification information (please write clearly)	
Name of the Scientist	
Date of Birth	
Core Group/ Unit/ Thematic Area	

2. About the evaluation period (and other obligatory information)	
Is it a part year evaluation or full year evaluation?	
Reporting period start date	
Reporting Officer	
Reviewing Officer	

3. Categories information (for the period under evaluation)	
Group and Grade	
Date of appointment to current grade	

4. Education	
Highest educational qualification	
State work experience gained outside GBPIHED, if any	
State awards and special achievements, if any.	

5. Leave record	
Please list leave record for the year being evaluated (include all leave other than casual leave)	

Verified by the Head of Office	
Date	

Part 2. PROFESSIONAL INDEX

Part 2A: Research Component

Table 1: Overall Weightage for Research Component:

(a) Scientist B,C and D 65%

(b) Scientist E and above 60%

S. No.	Category of Output	Relative Weightage	Absolute Weightage		Derived Weightage (c ₁ /c ₂)		No. of Outputs
			Scientist B,C,D	Scientist E & above	Scientist B,C,D	Scientist E & above	
			a	b ₁	b ₂	c ₁ = (a*b ₁)*100	
1.	Policy Papers/ Briefs written to Policy Makers	0.80	0.65	0.60	52	48	
2.	Peer reviewed report ¹ (Final technical reports/ review report to recognized National / International agencies)	0.60	0.65	0.60	39	36	
3	Peer reviewed papers ² (in International /National Journals)	0.80	0.65	0.60	52	48	
4.	Intellectual property developed ³ (Patent/ Process)	0.80	0.65	0.60	52	48	
5.	Paper in Seminar/ Conference Proceedings/ Book chapter	0.40	0.65	0.60	26	24	
6.	Technical Manual	0.50	0.65	0.60	32.5	30	
7.	Monographs	0.60	0.65	0.60	39	36	
8.	Book/ Ph.D. Thesis	0.60	0.65	0.60	39	36	
9.	Popular articles	0.30	0.65	0.60	19.5	18	

N.B.: Please provide details regarding 'Number of Outputs (d)'. A separate sheet may be used.

¹ Report reviewed by external /internal expert committee and accepted by funding agencies

² Includes research papers, articles, review articles, general articles, published in impact factor journals out of the work done in the Institute. Short communications and meeting reports to be proportionately weighed in category 5

³ Includes all intellectual property instruments mentioned in Institute's IPR policy (Section 6 of rules)

**Part 2B: Training, Demonstration, Dissemination, and Services
Component**

Table 2: Overall Weightage for Training, Demonstration, Dissemination, and Services Component:

(a) Scientist B, C and D 25%

(b) Scientist E and above 20%

S. No.	Category of Output	Relative Weightage	Absolute Weightage		Derived Weightage (c ₁ /c ₂)		¹ Feedback Rating	No. of Outputs
			Scientist B,C,D	Scientist E & above	Scientist B,C,D	Scientist E & above		
			a	b ₁	b ₂	c ₁ = (a*b ₁) *100		
1.	Providing training/ seminar/ workshop to Stakeholders (as reflected in feed back form ¹)	0.50	0.25	0.20	12.5	10		
2.	Field tour inputs (as reflected in feed back form ²) for extension of services	0.20	0.25	0.20	5	4		
3.	Development of Training Manual ((as reflected in feed back form ³)	0.50	0.25	0.20	12.5	10		
4.	Field demonstrations/ Technologies developed(as reflected in feed back form ¹)	0.50	0.25	0.20	12.5	10		
5.	Consultancy assignments ⁴	0.30	0.25	0.20	7.5	6		
6.	Extramural Projects received ⁵	0.50	0.25	0.20	12.5	10		
7.	MoU executed with stakeholders/ Organizations for implementation ⁶	0.20	0.25	0.20	5	4		

N.B.: Please provide details regarding 'Feedback Rating (d)' and 'Number of Outputs (e)'. A separate sheet (Appendix-II) may be used.

¹ As per the average feedback rating obtained in trainings, invited lectures, etc. in feedback forms (as enclosed in Appendix)

² As per the feedback given by the different stakeholders taking feedback during field tour

³ As reflected in the feedback form in terms of content of the manual rated by trainees

⁴ The consultancies received from reputed National/ International agencies on the basis of the competitive process and as defined in section of Institute rules to be included.

⁵ Feedback of the External expert committee of funding agencies on projects received to be included

⁶ Feedback rating given by the stakeholders to be included

Part 2C: Advisory and Institutional Component

Table 3: Overall weightage for Advisory & Institutional Component:

(a) Scientist B,C and D 10%

(b) Scientist E and above 20%

S. No.	Category of Output	Relative Weightage	Absolute Weightage		Derived Weightage (c ₁ /c ₂)	
		a	Scientist B,C,& D	Scientist E & above	Scientist B,C,&D	Scientist E & above
			b ₁	b ₂	c ₁ = (a*b ₁) *100	c ₂ = (a*b ₂) *100
1.	Technical and Advisory Services to International Organization/ National and State Institution/ Societies/ local Govt ¹ .	0.40	0.10	0.20	4	8
2.	Extension & outreach services (as reflected in feed back form ²)	0.40	0.10	0.20	4	8
3.	Other Institutional responsibilities	0.20	0.10	0.20	2	4

N.B.: Please provide details of outputs (Serial No. 1, 2,& 3,) in a separate sheet.

Signature of the Scientist

Date

¹ As per the feedback/ minutes obtained in advisory committee, etc.

² As per the average feedback rating in extension activities and benefit accrued, etc. in feedback forms

Part 3: Evaluation by Reporting Officer

Part 3a: Research Component

Table 1: Overall Weightage for Research Component:

(a) 65% for Scientist B, C, D.

(b) 60% for Scientist E & above.

S. No.	Category of Output	Relative Weightage	Absolute Weightage		Derived Weightage (c ₁ , c ₂)		No. of Outputs	Marks Obtained	
			Scientist B, C, D	Scientist E & above	Scientist B, C, D	Scientist E & above		Scientist B, C, D (max 65)	Scientist E and above (max 60)
			a	b ₁	b ₂	c ₁ = (a*b ₁)*100		c ₂ = (a*b ₂)*100	d
1.	Policy Papers/ Briefs written to Policy Makers	0.80	0.65	0.60	52	48			
2.	Peer reviewed report ¹ (Final technical reports/ review report to recognized National / International agencies)	0.60	0.65	0.60	39	36			
3.	Peer reviewed papers ² (in International /National Journals)	0.80	0.65	0.60	52	48			
4.	Intellectual property developed ³ (Patent/ Process)	0.80	0.65	0.60	52	48			
5.	Paper in Seminar/ Conference Proceedings/ Book chapter	0.40	0.65	0.60	26	24			
6.	Technical Manual	0.50	0.65	0.60	32.5	30			
7.	Monographs	0.60	0.65	0.60	39	36			
8.	Book/ Ph.D. Thesis	0.60	0.65	0.60	39	36			
9.	Popular articles	0.30	0.65	0.60	19.5	18			

N.B.: Please provide details regarding 'Number of Outputs (d)'. A separate sheet may be used.

¹ Report reviewed by external /internal expert committee and accepted by funding agencies

² Includes research articles, review articles, general articles, published in impact factor journals out of the work done in the Institute. Research communications and reports to be proportionately weighted

³ Includes all intellectual property instruments mentioned in Institute's IPR policy (Section)

Part 3B: Training, Demonstration, Dissemination, and Services Component

Table 2: Overall Weightage for Training, Demonstration, Dissemination, & Services Component:

(a) Scientist B,C and D 25%

(b) Scientist E and above 20%

S. No.	Category of Output	Relative Weightage	Absolute Weightage		Derived Weightage (c ₁ ,c ₂)		¹ Feedb ack Rating	No. of Outputs	Marks obtained
			Scientist B,C,D	Scientist E & above	Scientist B,C,D	Scientist E & above			
		a	b ₁	b ₂	c ₁ = (a*b ₁) *100	c ₂ = (a*b ₂) *100	d	e	c ₁ or c ₂ *d*e
1.	Providing training/ seminar/ workshop to Stakeholders (as reflected in feed back form ¹)	0.50	0.25	0.20	12.5	10			
2.	Field tour inputs (as reflected in feed back form ²) for extension of services	0.20	0.25	0.20	5	4			
3.	Development of Training Manual ((as reflected in feed back form ³)	0.50	0.25	0.20	12.5	10			
4.	Field demonstrations/ Technologies developed(as reflected in feed back form ¹)	0.50	0.25	0.20	12.5	10			
5.	Consultancy offered ⁴	0.30	0.25	0.20	7.5	6			
6.	Extramural Projects received ⁵	0.50	0.25	0.20	12.5	10			
7.	MoU executed with stakeholders/ Organizations for implementation ⁶	0.20	0.25	0.20	5	4			

N.B.: Please provide details regarding 'Feedback Rating (d)' and 'Number of Outputs (e)'. A separate sheet may be used.

¹ As per the average feedback rating obtained in trainings, invited lectures, etc. in feedback forms (as enclosed in Appendix)

² As per the feedback given by the different stakeholders taking feedback during field tour

³ As reflected in the feedback form in terms of content of the manual rated by trainees

⁴ The consultancies received from reputed National/ International agencies on the basis of the competitive process and as defined in section of Institute rules to be included.

⁵ Feedback of the External expert committee of funding agencies on projects received to be included

⁶ Feedback rating given by the stakeholders to be included

Part 3C: Advisory and Institutional Component

Table 3: Overall weightage for Advisory & Institutional Component:

(a) Scientist B,C and D 10%

(b) Scientist E and above 20%

S. No.	Category of Output	Relative Weightage	Absolute Weightage		Derived Weightage (c ₁ ,c ₂)		No. of output	Marks obtained
		a	Scientist B,C,D	Scientist E & above	Scientist B,C,D	Scientist E & above		
			b ₁	b ₂	c ₁ = (a*b ₁) *100	c ₂ = (a*b ₂) *100		
1.	Technical and Advisory Services to International Organization/ National and State Institution/ Societies/ local Govt ¹ .	0.40	0.10	0.20	4	8		
2.	Extension & outreach services (as reflected in feed back form ²)	0.40	0.10	0.20	4	8		
3.	Other Institutional responsibilities	0.20	0.10	0.20	2	4		

N.B.: Please provide details of outputs (Serial No. 1, 2, & 3) in a separate sheet.

Table 4: Overall score of Professional Index

S.No.	Component	Marks Obtained out of 100
1.	Developmental Research	
2.	Training, Demonstration, Dissemination, and Services Component	
3.	Advisory and Institutional	
Total		

Signature of the Reporting Officer
Date

¹ As per the feedback/ minutes obtained in advisory committee, etc.

² As per the average feedback rating in extension activities and benefit accrued, etc. in feedback forms

Part 3D: Pen picture by Reporting Officer. Please comment (in about 100 words) on the overall qualities of the officer including areas of strengths and lesser strengths and his attitude towards weaker section

Part 4: Integrity and Ethics

Please read the following guidelines before evaluating the scientist for integrity and ethics.

Guidelines issued by the Government of India, Department of Personnel, regarding, Integrity", vide O.M. No. S1/S/72-ESTT 'A' dated 20May 1972.

In every form of Confidential Report there should be a column regarding integrity to enable the Reporting Officer to make his remarks on the integrity of the Government servant reported upon. The following guidelines should be followed in the manner 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 departmentally or by referring the matter to the Special Police Establishment. At the time of recording the Annual Confidential Report this diary should be consulted and the material in it utilized for filling, in the column relating to integrity. If the column is not filled on account of the unconfirmed nature of the suspicious, further action should be taken in accordance with the following sub-paragraphs,
- b) The column pertaining to integrity in the character Roll should be left blank and a separate secret note about the doubts and suspicions regarding the Government servants integrity should be recorded simultaneously and followed up.
- c) A copy of the secret note should be sent together with the Character Roll 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, a Government servant 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 can also be recorded and duly communicated to the Government servant concerned,
- f) There may be cases in which after a secret report/ note has been recorded expressing suspicion about a Government servant's integrity, the inquiries that follow do not disclose sufficient material to remove the suspicion or to 'confirm' it. In such a case the Government servant's conduct should be watched for a further period, and in the meantime, he/she should as far as possible be kept away from positions in which there are opportunities for indulging in corrupt practices and thereafter action taken as indicated at (p") and (e) above,
- g) There are occasions when a Reporting Officer cannot in fairness to himself and to the Government servant 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. Such instances can occur when a Government servant is serving in a remote station and the Reporting Officer has not had occasion to watch his work closely or when a Government servant has worked under the Reporting Officer only for a brief period or has been on a long leave etc. In all such cases, the Reporting Officer should make an entry in the integrity column to the effect that he has not watched the Government servant's work for sufficient time to be able to make any definite remark or that he has heard nothing against the Government servant'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 judgement about the integrity of those working under him, as early as possible, so that he may be able to make a

positive statement.

Please comment on the scientist's integrity and standards of ethics:

Signature of the Reporting Officer
Date

Part 5: Decision of the Reviewing and Accepting Officers

1. Remarks of the Reviewing Officer: I agree/I do not agree with the assessment of the Reporting Officer

2. Comments of the Reviewing Officer (*in case of disagreement*)

3. Signature of the Reviewing Officer with designation

4. Place and Date

5. The rating assigned by the Normalising Committee

6. Remarks of the Accepting Officer: I agree/I do not agree with the assessment of the Reviewing Officer/ Normalising committee

7. Comments of the Accepting Officer (*in case of disagreement*)

8. Final rating of the Scientist:

9. Signature of the Accepting Officer with designation

10. Place and Date

Part 6. Scientist's Targets for Coming Year and Continual Growth Plan

Scientists should be clear of the expectations against which they will be evaluated. This form provides the scientist and reporting officers to set "stretch'-goals (ambitious but not impossible goals) for achievements for the coming year given the enabling mechanisms and availability of facilities/resources (available and accessible both within or outside the institute. The completion of this form is in the best interest of the scientist, reporting, reviewing and accepting officers and objectivity of the evaluation exercise. This form would be updated at mid-year, to take into account of changed circumstances, if any.

(Please note: The outputs are to be submitted by January 31st of the year. The scientist can retain the original while the reporting officer can retain a photocopy for future reference.)

S. No.	Professional Index	No. of Outputs/ Activities Planned*
I	Research	
1.	Policy Papers/ Briefs written to Policy Makers	
2.	Peer reviewed report ¹ (Final technical reports/ review report to recognized National / International agencies)	
3.	Peer reviewed papers ² (in International /National Journals)	
4.	Intellectual property developed ³ (Patent/ Process)	
5.	Paper in Seminar/ Conference Proceedings/ Book chapter	
6.	Technical Manual	
7.	Monographs	
8.	Book/ Ph.D. Thesis	
9.	Popular articles	
II.	Training, Demonstration, Dissemination, and Services	

¹ Report reviewed by external /internal expert committee and accepted by funding agencies

² Includes research articles, review articles, general articles, published in impact factor journals out of the work done in the Institute. Research communications and reports to be proportionately weighted

³ Includes all intellectual property instruments mentioned in Institute's IPR policy (Section)

Component		
1.	Providing training/ seminar/ workshop to Stakeholders (as reflected in feed back form ¹)	
2.	Field tour inputs (as reflected in feed back form ²) for extension of services	
3.	Development of Training Manual ((as reflected in feed back form ³)	
4.	Field demonstrations/ Technologies developed(as reflected in feed back form ¹)	
5.	Consultancy offered ⁴	
6.	Extramural Projects received ⁵	
7.	MoU executed with stakeholders/ Organizations for implementation ⁶	
III. Advisory and Institutional		
1.	Technical and Advisory Services to International Organization/ National and State Institution/ Societies/ local Govt ⁷ .	
2.	Extension & outreach services (as reflected in feed back form ⁸)	
3.	Other Institutional responsibilities	

N.B. Please provide details of outputs/ activities in a separate sheet.

¹ As per the average feedback rating obtained in trainings, invited lectures, etc. in feedback forms (as enclosed in Appendix)

² As per the feedback given by the different stakeholders taking feedback during field tour

³ As reflected in the feedback form in terms of content of the manual rated by trainees

⁴ The consultancies received from reputed National/ International agencies on the basis of the competitive process and as defined in section of Institute rules to be included.

⁵ Feedback of the External expert committee of funding agencies on projects received to be included

⁶ Feedback rating given by the stakeholders to be included

⁷ As per the feedback/ minutes obtained in advisory committee, etc.

⁸ As per the average feedback rating in extension activities and benefit accrued, etc. in feedback forms

2. Please state any other planned activities and proposed achievements that will help you build on capabilities and demonstrate your commitment to values considered important by the Institute.

--

3. In view of your self-assessment, please state your plan for personal growth in knowledge, skills, capabilities and experiences.

Time period (start –end date)	Additional qualifications/ training, gathering of experience, attendance of conferences and field visits etc planned.

Signature of the Reporting Officer	Signature of the Scientist
Date	Date

**G.B. Pant Institute of Himalayan Environment and Development
Kosi-Katarmal, Almora**

ANNUAL PERFORMANCE APPRAISAL REPORT FOR GROUP –I & II

From to.....

PART – I

PARTICULARS OF THE EMPLOYEE

(To be furnished by the Administration)

1. Name (In Block Letters):
2. Date of Birth:
3. Date of Joining in GBPIHED:
4. Department
5. Present Post:
 - a) Designation:
 - b) Group & Grade:
 - c) Date of appointment to the present post:
 - d) Date of Joining the Department
6. Reporting Officer:
7. Reviewing Officer:
8. Qualifications (Academic/Scientific/Technical)
- 9.

Degree/Diploma/Certificate	Year	Subject & Specialization

10. Leave Record (Other than casual leave)

Verified by:

Signature of AO with Date

Signature of the Employee with Date

PART II
PERFORMANCE APPRAISAL

Part II (A)
SELF-ASSESSMENT BY THE EMPLOYEE

Period (From to)

1. Programmes/Activity(ies)/Project(s):

(Give titles)

2. Status in the Programme(s) Activity(ies)/ Project(s)

Please tick the relevant Box

Team Member(s)

Technical Support

General Assistance

3. Tasks assigned during the period:

(Please give information in the format enclosed)

4. Tasks completed during the period:

(Please give information in the format enclosed)

5. Any specialized work done or distinguished service rendered:

6. Please state whether the annual return on immovable property (if applicable) for the proceeding calendar year filed within the prescribed date *i.e.* 31st January of the year following the calendar year. If not, the date of filling the return should be given.

Signature of the Employee
with Date

II (B) APPRAISAL BY THE REPORTING AND REVIEWING OFFICERS

Reporting Officer:

- a) Name (In block Letters):
- b) Designation:

Critical Appraisal by the Reporting Officer:

Grade awarded by the Reporting Officer:

(Seven-point scales to be inserted).

Signature of the Reporting Officer with Date

Appraisal by the Reviewing Officer:

- a) I accept the self-assessment report of the employee except for the following:
- b) Grade awarded by the Reviewing Officer:

Signature of the Reviewing Officer with Date

Note:

- i. Critical appraisal of the Reviewing Officer and Grading shall be communicated to the employee. If the employee has anything further to add, he/she may respond in writing within a period of four weeks after the receipt of remarks. The reply of the employee is to be placed on record whenever necessary. The employee may seek an interview with the Head of the Institution/Designated Authority.
- ii. If the assessee has served under more than one Reporting Officer during the period, appraisal by each Reporting Officer should be given using xeroxed copies of this page only.

Part II (C) DECISION OF THE ACCEPTING OFFICER

*Remarks by the Accepting Officer:

Final Grade Awarded:

Signature of the Accepting Officer with Date

* The part is to be filled only in case of Difference in opinion.

**G.B. Pant Institute of Himalayan Environment and Development
Kosi-Katarmal, Almora**

ANNUAL PERFORMANCE APPRAISAL REPORT

PART III: BEHAVIOURAL ASPECTS

Period: From to.....

(Completed form is to be returned to the Administration for record and necessary action)

1. Name of the Employee :

(In Block Letters)

2. Designation:

3. Department:

4. Employee's profile:

(Please ✓ mark the relevant box)

Attributes Satis-	Poor	Outstanding	Very Good	Good		
		(5)	(4)	(3)	factory (2)	(1)
a)Intelligence & Industry	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
b)Creativity & Motivation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
c)Ability to work in a team	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
d)Sense of responsibility/discipline	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
e) Punctuality and Attendance	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

5. Integrity : (As per guidelines issued by Govt. of India)

6. Final Marks:

Signature of the Reporting Officer
with Date

Signature of the Reviewing Officer
with Date

- I Please read carefully the attached guidelines before filling up this column.
- II If the employee is reporting to more than one Reporting Officer, each Reporting Officer will fill separate form. Arithmetic Mean of the marks given by each Reporting Officer will be the final marks.
- III Final marks obtained in the Behavioral Aspects will not be communicated to the employee. However, marks obtained by the employee which fall under the category **“Poor”** as well as adverse remarks on **“Integrity”** shall be communicated.

**G.B. Pant Institute of Himalayan Environment and Development
Kosi-Katarmal, Almora**

PART IV

FINAL MARKS IN ANNUAL PERFORMANCE APPRAISAL REPORT

Period from:to.....

1. Name of the Employee:
(In block letters)
2. Final Marks (to be computed by apportioning relative marks of Part II and III)

Marks in part II (out of 75)

Marks in part III (out of 25)

Total Marks (out of 100)

Signature of Reviewing Officer
with Date

**GUIDELINES ISSUED BY GOVT. OF INDIA, DEPARTMENT OF PERSONNEL,
REGARDING “INTEGRITY” VIDE O.M. NO. 51/5/71-ESTT. “A”
DATED 20TH MAY, 1972.**

In every form of Confidential Report there should be a column regarding integrity to enable the Reporting Officer to mark his/her remarks on the integrity of the Government servant reported upon. The following guidelines should be followed in the matter of making remarks in the column relating to integrity:-

- a) Supervisory Officer should maintain a confidential diary in which instances which creates 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 departmentally. 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 suspicion further action should be taken in accordance with the following sub-paragraphs.
- b) The column pertaining to integrity should be left blank and a separate secret note about the doubts and suspicions regarding the Government servant’s integrity should be recorded simultaneously and followed up.
- c) A copy of the secret note should be sent together with the Character Roll 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, a Government servant is exonerated, his/her integrity should be certified and an entry made in the Character Roll.
- e) If, suspicions regarding his/her integrity are confirmed, this fact can also be recorded and duly communicated to the Govt. servant concerned.
- f) There may be cases in which after a secret report/note has been recorded expressing suspicion about a Govt. servant’s integrity, the inquiries that follow do not disclose sufficient material to remove the suspicion or to confirm it. In such a case the Govt. servant’s conduct 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 him and to the Govt. servant 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. Such instances can occur when a Govt. servant in a remote station and the Reporting Officer has not be the occasion to watch his/her work closely or when a Govt. servant has worked under the Reporting Officer only for a brief period or has been on long leave etc. In all such cases, the Reporting Officer should make an entry in the integrity column to the effect that he has not watched the Govt. servant's work for sufficient time to be able to make any definite remark, or that he has heard nothing against the Govt. servant'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.

APAR is applicable to Employees of all Groups and all Grades and will consist of two parts:

Part I: Self Assessment Report by the assessee and its Appraisal by the Reporting/Reviewing Officer based on assigned tasks, accomplished work and outputs. This part of the appraisal will be open and non-confidential and will carry 75% weightage and will be communicated to the employee.

Part II: Assessment/Appraisal of behavioral aspects. This part of the appraisal will be confidential and carry 25% weightage. However, only adverse remarks will be communicated to the assessee as per existing provisions.

The total APAR marks in a year will be 100.

APAR marks (**Part I**) will be awarded according to assessee's rating on a seven-point scale, as under:-

Outstanding	-	100 marks.
Excellent	-	90 marks.
Very good	-	75 marks.
Good	-	60 marks.
Satisfactory	-	50 marks.
Fair	-	35 marks.
Poor	-	20 marks.

TASK ASSIGNED DURING THE PERIOD COVERED BY THE REPORT

(To be filled in the beginning of the year or later whenever task is assigned)

Name of the Employee:

(In block letters)

Reporting Period

From..... to.....

1. General Tasks:

2. Special Tasks:

Signature of the Employee

with Date

Signature of the Reporting Officer

with Date

TASK COMPLETED DURING THE PERIOD COVERED BY THE REPORT
(To be filled at the end of the Reporting Period)

Name of the Employee:
(In block letters)

Reporting Period

From..... to.....

1. General Tasks Completed: (Give details)

2. Special Tasks:

Signature of the Employee
with Date

Signature of the Reporting Officer
with Date

**G.B. Pant Institute of Himalayan Environment and Development
Kosi-Katarmal, Almora**

**THE ANNUAL PERFORMANCE APPRAISAL REPORT (APAR)
FOR GROUP III & IV**

Reporting Period: From..... to.....

PART – I

PARTICULARS OF THE EMPLOYEE

(To be furnished by the Administration)

1. Name (in block letters) :
2. Date of Birth :
3. Date of Joining GBPIHED :
4. a) Department :
- b) Programme(s)/activity(ies) :
5. Present Post:
 - a) Designation:
 - b) Group & Grade:
 - c) Date of appointment to the present post :
 - d) Date of joining the Division/Area/Section:
6. *Reporting Officer:
7. *Reviewing Officer
8. Qualifications (Academic/Scientific/Technical) in reverse chronological order.

Degree/Diploma/Certificate	Year	Subject	Specialization

9. Membership of Professional Societies

Name of the Society	Class of Membership

11. *Leave Record (other than Casual Leave):

Varified by:

Signature of AO
With Date

Signature of Employee
with Date

NOTE: * These columns will be filled by the Administration

PART - II

II (A) SELF ASSESSMENT BY THE EMPLOYEE

(From To)

1. **Programme(s)/Activity(ies)/Project(s) (give details of activity)**
(Please tick the relevant boxes)

Activity	Coordinator	Leader	Member of Team	Tech. Support
i)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
ii)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
iii)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
iv)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

2. **Type of work engaged in & time devoted**
Months

a) Research & Development	<input type="checkbox"/>
b) Design & Development	<input type="checkbox"/>
c) Testing, Evaluation, Calibration & Maintenance/Management Of facilities	<input type="checkbox"/>
d) Documentation, Publication, Library & Translation	<input type="checkbox"/>
e) Technical service	<input type="checkbox"/>

- f) Engineering Services
- g) Information,
Liaison, HRD
- h) Teaching/ Training
- i) Field Work
- j) Editorial Services
- k) Any other (Please specify)

4. Tasks assigned during the period covered by the Report
[Give information in the format enclosed]

5. Work done during the period covered by the Report
[Give information in the format enclosed]

6. Technical output

6.1 Technical know-how, Expertise & Technical Service Contributed.

- a) Software/Programmes/New Data Base/ Alogrith Developed/Applied
- b) Technical Manuals, Test Reports/ Analytical/ Reports prepared (give full particulars including fee realized)
- c) Design & Drawing/ Flow Charts Developed
- d) Consultancy assignments undertaken (if any)
- e) Training offered/organized
- f) Repair & Maintenance (Job work) undertaken

g) Technical Assistance rendered (give details)

h) Membership of Technical Committees (give full particulars)

i) Any other (give details)

6.2 Research publications, Technical Reports, Conference Papers and Invited Lectures etc.

a) Paper published or accepted for publication in Scientific/Technical Journals (give full particulars)

b) Paper presented in organized Conferences/Symposia/Seminars etc. (give full particulars)

c) Books, Monographs, Chapters in Books, Reviews & Bibliographies published in the open literature etc. (give details)

d) Internally published Scientific/Technical Reports

e) Invited lectures delivered

f) Any other (give details)

6.3 Output relating to Technical Support Services

a) Workshop and other Technical Support Services (give details)

b) Operation & Maintenance of Sophisticated Equipment/Facilities

c) Other Technical Support Services (give details)

6.4 Output relating to other Technical Services

a) Organizing of Meetings/Perspective Analysis and other services (give details)

b) Information/Publication/Documentation/Library/Translation services provided (give details)

c) Manpower and Human Resource Development (give details)

d) Any other (give details)

6.5 Inputs in imparting Training/ Teaching/ field exercise(s)/filed Surveys

a) Training/Teaching inputs

b) Inputs as resource person

c) Contribution towards undertaking field exercise/visit to field areas on tour or research work(s)/workshop(s)

d) Field Area(s) visited during the period

7. Honours/Awards/Distinctions/Citations received during the period (give details)

8. Additional Qualifications obtained/Training received (give details)

Please state whether the Annual Return on Immovable Property for the preceding calendar year was filled within the prescribed date i.e. 31st January of the year following the calendar year. If not, the date of filing the return should be given.

Signature of the Employee with Date

**II (B) APPRAISAL BY THE REPORTING AND
REVIEWING OFFICERS**

1. Reporting Officer:
 - a) Name (In block letters):
 - b) Designation:

2. Critical Appraisal of the performance of the employee during the period (give (a) Highlight the significant achievements of the Employee (b) shortfalls relevant to the assigned tasks)

3. Grade awarded by the Reporting Officer (Seven-point scales to be used)

Signature of the Reporting Officer
with Date

4. Appraisal by the Reviewing Officer
 - a) I accept the self-assessment report of the employee except for the following:

 - b) Grade awarded by the Reviewing Officer (Seven point scale to be used)

Signature of the Reviewing Officer
with Date

5. Appraisal by the Accepting Officer
 - a) I accept the self-assessment report of the employee except for the following:

 - b) Grade awarded by the Accepting Officer (Seven point scale to be used)

Signature of the Accepting Officer
with Date

Note:

- i) Critical appraisal of the Reviewing Officer and Grading shall be communicated to the employee. If the employee has anything further to add, he/she may respond in writing within a period of four weeks after the receipt of remarks. The reply of the employee is to be placed on record whenever necessary. The employee may seek an interview with the Head of the Institute/Designated Authority.
- ii) If the Assessee has served under more than one Reporting Officer during the period, appraisal by each Reporting Officer should be given using Xeroxed copies of this page only.

**II (C) DECISION OF THE DIRECTOR OF THE INSTITUTE
OR DESIGNATED AUTHORITY***

1. Remarks by the Director of the Institution or Designated Authority
2. Final Grade Awarded:

Signature of the Director of the Institute
Or Designated Authority with Date

* The part is to be filled only in case of difference in opinion.

**G.B. Pant Institute of Himalayan Environment and Development
Kosi-Katarmal, Almora**

ANNUAL PERFORMANCE APPRAISAL REPORT

PART III BEHAVIOURAL ASPECTS

Period: From to.....

(This completed form is to be returned to the Administration for record
and necessary action)

1.Name of the Employee (In block letters):

2.Designation:

3.Division/Area/Section :

4. Employee's profile:

(Please ✓ mark the relevant box)

Attributes/Aspects	Outstanding (5)	Very Good (4)	Good (3)	Satis- factory (2)	Poor (1)
i) Intelligence	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
ii) Creativity & Motivation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
iii) Ability to work in a team	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
iv) Sense of Respon- sibility/Discipline	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
v) Leadership	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

1. INTEGRITY: (As per guidelines issued by Govt. of India)

2. Final Marks in the Behavioural Aspects:

Signature of the Reporting Officer

Date:

Signature of the Reviewing Officer

Date:

Signature of the Accepting Officer

Date:

- I Please read carefully the attached guidelines before filling up this column.
- II If the employee is reporting to more than one Reporting Officer, each Reporting Officer will fill separate form. Arithmetic Mean of the marks given by each Reporting Officer will be the final marks.
- III Final marks obtained in the Behavioral Aspects will not be communicated to the employee. However, marks obtained by the employee which fall under the category "Poor" as well as adverse remarks on Integrity shall be communicated.

**G.B. Pant Institute of Himalayan Environment and Development
Kosi-Katarmal, Almora**

PART IV

FINAL MARKS IN ANNUAL PERFORMANCE APPRAISAL REPORT

Period from:to.....

1. Name of the Employee:
(In block letters)

2. Final Marks (to be computed by apportioning relative marks of Part II and III)

Marks in part II (out of 75)

Marks in part III (out of 25)

Total Marks (out of 100)

Signature of Reviewing Officer or
Designated Authority with Date

I agree with the assessment of the Reviewing Officer.

Signature of Accepting Officer
with Date

**GUIDELINES ISSUED BY GOVT. OF INDIA, DEPARTMENT OF PERSONNEL,
REGARDING “INTEGRITY” VIDE O.M. NO. 51/5/71-ESTT. “A” DATED 20TH
MAY, 1972.**

In every form of Confidential Report there should be a column regarding integrity to enable the Reporting Officer to mark his/her remarks on the integrity of the Government servant reported upon. The following guidelines should be followed in the matter of making remarks in the column relating to integrity:-

- a) Supervisory Officer should maintain a confidential diary in which instances which creates 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 departmentally. 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 suspicion further action should be taken in accordance with the following sub-paragraphs.
- b) The column pertaining to integrity should be left blank and a separate secret note about the doubts and suspicions regarding the Government servant’s integrity should be recorded simultaneously and followed up.
- c) A copy of the secret note should be sent together with the Character Roll 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, a Government servant is exonerated, his/her integrity should be certified and an entry made in the Character Roll.
- e) If, suspicions regarding his/her integrity are confirmed, this fact can also be recorded and duly communicated to the Govt. servant concerned.
- f) There may be cases in which after a secret report/note has been recorded expressing suspicion about a Govt. servant’s integrity, the inquiries that follow do not disclose sufficient material to remove the suspicion or to confirm it. In such a case the Govt. servant’s conduct 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 him and to the Govt. servant 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. Such instances can occur when a Govt. servant in a remote station and the Reporting Officer has not been the occasion to watch his/her work closely or when a Govt. servant has worked under the Reporting Officer only for a brief period or has been on long leave etc. In all such cases, the Reporting Officer should make an entry in the integrity column to the effect that he has not watched the Govt. servant’s work for sufficient time to be able to make any definite remark, or that he has heard nothing against the Govt. servant’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.

APAR is applicable to Employees of all Groups and all Grades and will consist of two parts:

Part I: Self Assessment Report by the assessee and its Appraisal by the Reporting/Reviewing Officer based on assigned tasks, accomplished work and outputs. This part of the appraisal will be open and non-confidential and will carry 75% weightage and will be communicated to the employee.

Part II: Assessment/Appraisal of behavioral aspects. This part of the appraisal will be confidential and carry 25% weightage. However, only adverse remarks will be communicated to the assessee as per existing provisions. The total APAR marks in a year will be 100.

APAR marks (**Part I**) will be awarded according to assessee's rating on a seven-point scale, as under:-

Outstanding	-	100 marks.
Excellent	-	90 marks.
Very good	-	75 marks.
Good	-	60 marks.
Satisfactory	-	50 marks.
Fair	-	35 marks.
Poor	-	20 marks.

TASKS ASSIGNED DURING THE PERIOD COVERED BY THE REPORT
(To be filled in the beginning of the year or later whenever task is assigned)

Name of the Employee:
(In Block Letters)

Reporting Period From _____ to _____

1. General Technical Tasks:

2. Special Tasks:

3. Other than Technical Tasks

Signature of the Employee
with Date

Signature of the Reporting Officer
with Date

TASK COMPLETED DURING THE PERIOD COVERED BY THE REPORT

(To be filled at the end of the Reporting Period)

Name of the Employee:

(In block letters)

Reporting Period From..... to.....

1. General Technical Tasks:

2. Special Tasks:

3. Other than Technical Tasks

Signature of Employee
with Date

Signature of the Reporting Officer
with Date

Appendix IIc

General guidelines for filling up the APAR form

1.0 Introduction

- 1.1. The Annual Performance Appraisal Report is an important document. It provides the basic and vital inputs for further development of a scientist. The Scientist reported upon, the Reporting Authority, Reviewing Authority and the Accepting Authority should therefore; undertake the duty of filling up the form with a high sense of responsibility.
- 1.2 Annual Performance appraisal should be used as a tool for career planning and training, rather than a mere judgmental exercise. Reporting Authorities should realize that the objective is to develop the scientist so that he/she realizes his/her true potential. It is not meant to be a faultfinding process but a developmental tool. The Reporting Authority, the Reviewing Authority and the Accepting Authority should not shy away from reporting shortcomings in performance, attitudes or overall personality of the scientist reported upon.
- 1.3 The columns should be filled with due care and attention and after devoting adequate time. Any attempt to fill the report in a casual or superficial manner will be easily discernible to the higher authorities.
- 1.4 Although the actual documentation of annual performance appraisal is a year-end exercise, in order that it may be a tool for human resource development, career planning and training, rather than a mere judgmental exercise, the Reporting Authority and the scientist reported upon should meet during the course of the year at regular intervals to review the performance and to take necessary corrective steps.

2.0 Part – I Basic Information

- 2.1 This Section should be filled up in the Administration Division. Period of report could be the entire reporting calendar year, namely, from 1st of January to 31st December or a part of the year (exceeding 3 months). In case the period of report is a full year, it should be indicated accordingly; for example, year 2007. In case the period of report is less than the entire year, specific start and end dates should be indicated, for example, 1st June 2007 to 31st December 2007.
- 2.2 Information on the present grade (pay-scale) as well as present post (actual designation and Division) and the date from which he/she has been on his/her present post needs to be mentioned.
- 2.3 In the table relating to reporting, reviewing and accepting authorities the name and designation of the reporting and reviewing authorities should be mentioned so that the officer reported upon is clear about whom he/she is required to send the report.

- 2.4 The period of absence from duty, on leave, training, or for other reasons, should also be mentioned in this section in the table provided for the purpose. Details of the training attended, dates should be mentioned in the table for the purpose.

3.0 Part – II Professional Index

- 3.1 All scientists are required to develop a work plan based on the activities to be conducted with expected quantifiable outputs in the format given in APAR for the year and agree upon the same with the reporting officer/ normalizing committee. The output sheet should incorporate the relative annual work rhythm and budgetary cycle. This exercise is to be carried out at the beginning of the year and finalized by 31st January, positively. In case of a change of the reporting officer during the year, the work plan agreed with the previous reporting officer would continue to apply. The work plan agreed upon at the beginning of the year has to be reviewed again during the month of June/ July as a mid-year exercise and finalized by 31st July each year. Based on this review the work plan may undergo some changes from that originally prepared.
- 3.2 After the outputs are prepared, it is possible that the Scientist reported upon is transferred out. There need not be more than one work plan for one post each year. The period spent by the officer during the year and his contribution could be considered for evaluating his performance against the outputs. In the case of mid-term transfers, continuity and assessment of work and the lower performance profile in the first quarter should be taken into consideration.
- 3.3 The work plans, duly signed by the scientist reported upon and the reporting authority has to be submitted to the reviewing authority/ normalizing committee for his/her perusal and custody. The annual performance appraisal form provides for an assessment of the accomplishments vis-à-vis the work plan agreed at the commencement of the year and reviewed mid- year. The officer reported upon is required to fill up the table provided for the purpose in Part -II.
- 3.4 Part II also provides an opportunity for the Scientist to reflect upon his/her performance during the year and indicate one item which he/she thought was a significant contributions made by him/her during the year.
- 3.5 The scientist reported upon is required to indicate specific areas in which he/she feels the need to upgrade skills and attend training programs. He/she should also mention the specific steps that he/she has taken or proposes to take to upgrade his/her skills in the identified area in the output form.
- 3.6 There is an increased emphasis on competency building in the new performance appraisal and career progression system. There would be a premium on competency and skill upgradation. Hence, all scientists are advised, to inform the Competent Authority of all educational and training programs attended. These would be taken into account in the future career progression.

4.0 Part – III Assessment by Reporting Officer

- 4.1 Part III requires the reporting authority to quantitatively and objectively estimate the performance of the scientist reported upon in the prescribed manner as given in APAR Part II. A numerical grade is to be given in respect of the work output of the scientist reported upon both in respect of the pre-planned targets as well as the higher achievements and additional tasks accomplished.
- 4.2 Part III also requires the reporting authority to comment on Part II as filled out by the Scientist reported upon, and specifically state whether he/she agrees with the responses relating to the accomplishments. In case of disagreement the reporting authority should highlight the specific portions with which he/she is unable to agree and the reasons for such disagreement.
- 4.3 This Section then requires the reporting authority to comment on the skill upgradation needs as identified by the officer.
- 4.4 Part III requires the reporting authority to comment on the integrity of the officer reported upon. In recording remarks with regard to integrity, he/she need not limit him/herself only to matters relating to financial integrity but could also take into account the moral and intellectual integrity of the officer reported upon. The following procedure should be followed in filling up the column relating to integrity:
 - (i) If the Officer's integrity is beyond doubt, it may be stated.
 - (ii) If there is any doubt or suspicion, the column should be left blank and action taken as under:
 - (a) A separate secret note should be recorded and followed up. A copy of the note should also be sent together with the Annual Performance Appraisal Report to the next superior officer who will ensure that the follow up action is taken expeditiously. Where it is not possible either to certify the integrity or to record the secret note, the Reporting Officer should state either that he/she had not watched the officer's work for sufficient time to form a definite judgment or that he/she has heard nothing against the officer, as the case may be.
 - (b) If, as a result of the follow up action, the doubts or suspicions are cleared, the officer's integrity should be certified and an entry made accordingly in the Annual Performance Appraisal Report.
 - (c) If the doubts or suspicions are confirmed, this fact should also be recorded and duly communicated to the officer concerned.
 - (d) If as a result of the follow up action, the doubts or suspicions are neither cleared nor confirmed, the officers conduct should be watched for a further period and thereafter action taken as indicated at (b) and (c) above.
- 4.5 The reporting authority is also required to record a descriptive pen-picture on the

overall qualities of the officer reported upon and his/her performance including his attitude towards weaker sections. This need not exceed about 100 words and should try to cover overall qualities of the officer including areas of strengths and lesser strengths. The pen-picture is also meant to be a qualitative supplement to the quantitative assessments made earlier part of this section.

- 4.6 Finally, the reporting authority is required to record an overall grade. This should also be done on a scale of 100 marks, apportioning the different outputs as specified in the APAR format.

5.0 Part –IV Remarks of Reviewing Officer/ Normalising Committee

- 5.1 This Section is to be filled up by the reviewing authority. He/she is required to indicate if he/she agrees with the assessments made by the reporting officer. In case of disagreement, he/she may record his/her own assessment against the work output or any of the attributes in the column specifically provided for the purpose. In case of agreement, he/she need not fill in the column meant for him/her in the attributes/work output tables.
- 5.2 The reviewing authority is required to record a pen-picture, not exceeding about 100 words, on the overall qualities of the officer reported upon including areas of strengths and lesser strengths and his/her performance including his attitude towards weaker sections and recommendations relating to domain assignment. Finally he/she is required to record an overall grade out of 100.

5.3 Normalising Committee for APAR Grading

- a. The normalisation of the APAR grading should be done at the Institute level by a normalizing Committee consisting of Senior Scientists and the normalised grade finally awarded by the Committee should only be communicated to the employee concerned
- b. Tasks should be assigned to all the scientists in advance in the beginning of the reporting year for the sake of objective evaluation/assessment of the performance of the concerned employee against these assigned tasks at the time of writing/reviewing the reports
- c. The reports should be written by the immediate supervisor of the employee concerned and the reporting and reviewing both should not be done by the same person, save in exceptional circumstances;
- d. The following procedure to be adopted to update the APAR dossier in respect of S/T staff whose APAR forms were left incomplete/not returned to Institute by respective Reporting /Reviewing Officer within the prescribed time limit on their demitting the office due to retirement/resignation etc.

- (i) In the absence of Reviewing Officer not completing his portion in

the APAR form, the report written by Reporting Officer may be placed before the APAR Normalisation Committee and the grading as awarded by 'APAR Normalisation Committee' to be communicated to the employee concerned as in any other cases when report has been reviewed by the Reviewing Officer.

- (ii) In the absence of both reporting and reviewing in the APAR for any particular year, an 'averaged grading' on the basis of all the APARs available for past years in the same group and grade held by the individual may be taken for calculating the APAR marks for that particular year for which APAR was not filled in; and
- (iii) The APAR for any particular period cannot be filled in at a later stage by any officer who had not been authorised to act as Reporting or Reviewing Officer during that relevant period in respect of the concerned scientist. Such cases may be regulated as per item (i) or (ii) above as the case may be. The best course will always be to ensure that both the Reporting and Reviewing Officers fill in all the reports, which are due.

5.4 Constitution of the Normalisation Committee for APAR grading

- a. The normalisation committee should be constituted under the Chairmanship of the seniormost Scientist of the Institute so that the dispute, if any relating to the gradings awarded by the Committee could be considered by the Director at the Institute level in his capacity as the appellate/decision making authority.
 - b. Further with the introduction of the normalisation of the grading by the Committee as above the critical appraisal by reporting and reviewing officer, the grade awarded by the Committee will now be communicated to the scientists. In view of the revised procedure, the proforma for recording the appraisal by the Reviewing Officer has also accordingly been modified.
 - c. The critical appreciation and grad awarded by the Normalisation Committee shall be communicated to the employee. If the employee has any representation to make against the grading communicated to him, he/she may respond in writing within a period of four weeks from the date of receipt of communication by him/her. The representation thus made will be considered by the competent authority and the employee will be informed of the final decision, wherever necessary. The employee may seek an interview with the competent authority. However, no further representation will lie against the final decision of the competent authority.
- 5.5 If the employee has served under more than one Reporting Officer during the period, appraisal by each Reporting Officer should be given separately. And cumulative score shall be considered for grading.
- 5.6 As the Director of the Institute himself being the decision making authority in respect of any disputes arising out of the grading awarded by the Normalization Committee, the APARs reviewed by him will not be subject to any further normalisation/ review by the

Committee. In such cases the grading awarded by the Director of the Institute will only be communicated to the scientist concerned.

- 5.7 However, as far as practical the R & D work in the Institute shall be structured in such a way that the Reporting /Reviewing authorities at least up to the level of Scientist D or equivalent are below the level of the Head of the Institute or designated authority so that disputes if any, arising in future are settled at the level of the Head of the Institute.

6.0 Part –V Remarks of Accepting Authority

- 6.1 This Section is to be filled by the accepting authority. He/she is required to indicate if he/she agrees with the assessments made by the reporting authority/reviewing authorities. In case of difference of opinion, he/she is required to give details and reasons for the same in the column specifically provided for the purpose in the table in Section V.

7. Outputs and Numerical Grades

- 7.1 The finalisation of expected output to be set at the beginning of the year will be the responsibility of the reporting officer who will set these targets in consultation with the scientists report upon. While setting the item-wise targets priorities should be assigned to each categories of items in terms of weightage reflected in APAR performance Index, i.e. Research outputs, Training, demonstration, and Advisory services, etc. considering the nature and area of work. Due care will be taken by the reporting Officer in bringing objectivity and equity in finalizing the targets.
- 7.2 In the APAR Part II and III, outputs are weighted in terms of numerical grades are to be estimated and finalized by the reporting and review authorities based on the inputs given by the Scientist reported upon. The total score is to be given out of 100, apportioning it according to the relative weightage for each component. It is expected that final grading of scientists (against work output or attributes or overall grade) would be adequately justified in the pen-picture by way of specific failures and specific accomplishments. In awarding a final numerical grade the reporting, reviewing/normalizing committee and accepting authorities should rate the scientist against the outputs of a larger population of his/her peers that may be currently working under them or would have worked under them in the past.
- 7.3 The overall grade will be based on the addition of the weighted mean value of each group of indicators in proportion to weightage assigned.

8. Disclosure

- 8.1 There should be more openness in the system of appraisal. The APAR, including the overall grade and integrity, should be communicated to the officer reported upon after it has been finalized by the accepting authority.
- 8.2. The scientist reported upon may have the option to give his comments on the evaluation

of APAR. Such comments may be restricted to the specific factual observations contained in the Annual Performance Appraisal Report leading to the assessment of the officer in terms of attributes, competency and output. If comments were submitted, the Reporting/Reviewing/Accepting Authority would have the option to accept them and modify the APAR accordingly. If the comments were not accepted, the views of the Reporting/Reviewing/Accepting Authority would be communicated with reasons to the scientist reported upon.

9. Schedule for completion of APARs

9.1 The following schedule should be strictly followed: -

Reporting Year – Calendar Year

Blank PAR form to be given to the Scientists reported upon by the Administration Division, Specifying the reporting officer and Reviewing authority	by 31 st December
Part II of APAR for current year	by 15 th January
Appraisal on Part III by reporting authority	by 6 th February
Appraisal by reviewing authority (Part IV)	by 22 February
Finalisation by the Normalising committee	by 15 th May
Disclosure to the Scientist reported upon	between 15 th August- 15 th September
Comments of the Scientist reported upon, if any (if none, transmission of the APAR to the CA)	by 31 st August – 30 th September
Forwarding of comments of the officer reported upon to the reviewing and the reporting authority by the accepting authority, in case the Scientist reported upon makes comments	by 15 th September – 15 th October
Comments of reporting authority	by 30 th September – 31 st October
Comments of reviewing authority	by 15 th October – 15 th November
Comments of accepting authority/APAR to be finalized and disclosed to the officer reported upon	by 31 st October - 30 th November

9.2 If APAR relating to a calendar year is not recorded by the 31st of October of the next year, no remarks shall be recorded thereafter. The member of Service will be assessed based on the overall record and Part II of the year concerned, if he had given his Part II in time and the Reporting Authority, Reviewing Authority and the Accepting Authority have not completed the APAR according to the time schedule given in Para 9.1

9.3 The member of Service reported upon should, while forwarding his self-appraisal in

Part II to the Reporting Authority, endorse a copy of the self-appraisal, to the nodal officer and keep a record of the same as evidence that he had submitted the same in time.

- 9.4 The Reporting Authority shall complete the record in Part III of APAR of the scientist reported upon within the stipulated time and send it to the Reviewing Authority. In case the Reporting Authority fails to submit the APAR to the Reviewing Authority within the stipulated period the Competent Authority shall send a copy of Part II of APAR directly to the Reviewing Authority and authorize him to initiate the APAR.
- 9.5 The Head of Institute shall evolve a suitable mechanism to ensure that the assessment report of the Reporting, the Reviewing and the Accepting Authorities are recorded without fail by the dates given in the schedule below Para 9.1.

**G.B.Pant Institute of Himalayan Environment & Development
Kosi, Almora**

Training/Field Demonstrations Feedback Form

(to be used after each training in addition to the training specific feedback forms)

Date:

PART A: RESPONDENT INFORMATION (Optional)

1. Name of participant:
2. Organisation:

PART B: FEEDBACK

Content Feedback

Please rate the following on a scale of 1 – 5, with 1 being the lowest rating and 5 the highest rating.

	1	2	3	4	5
1. Was the course/ content relevant for your work?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. Was the subject covered adequately?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. Was your sector covered well in the session?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4. Was the session/ demonstration helpful in discussing key issues?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Overall rating for the course:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Speaker/ Instructor Feedback¹

Name: _____

	1	2	3	4	5
1. Are you satisfied with the subject <input type="checkbox"/> knowledge of the speaker?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2. Was the speaker/ instructor enthusiastic <input type="checkbox"/> and interested?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
3. Was the speaker/ instructor approachable <input type="checkbox"/> and able to provide timely feedback?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
4. Were the teaching methods employed effective?	<input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Overall rating for the instructor:	<input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Please indicate how this training will help you in your work. (Give specific situations, if possible)

¹ Please insert separate page for each speaker

Please use this sheet to provide further comments on the training program and the course contents as well as on the speakers. Your suggestions on making the training program more effective and relevant are welcome.

THANK YOU!

SCHEDULE Ia

Schedule specifying method of recruitment, age limit, qualification, pay, allowances, leave and other conditions of service, etc. for the post of Director, GBPIHED

1	Name of Post	Director, Govind Ballabh Pant Institute of Himalayan Environment and Development (GBPIHED), Almora
2	Number of posts	*One
3	Scale of Pay	18,400-500-22,200
4	Classification	"Equivalent to Group-A Gazetted, Non-Ministerial."
5	Whether selection post or non selection post	Selection
6	Whether benefit of added years of service admissible under rules 30 of the CCS (Pension Rules), 1972	NA
7	Age Limit for direct recruitment	NA
8	Educational and other qualification required for direct recruitments	NA
9	Whether age and educational qualifications prescribed for direct recruits will apply in the case of promotes	NA
10	Period of probation, if any	NA
11	Method of Recruitment whether by direct Recruitment, or by promotion or by deputation/transfer & percentage of the vacancies to be filled by various methods	Deputation/short-term contract, failing which by direct recruitment. * The search cum-selection Committee will be constituted as per the provisions of the Department of Personnel & Training O.M. No. 28/13/2006-EO(SM.I) dated 3 rd July, 2006 or any further instructions issued from time to time, regarding policy & procedure for

		<p>appointments in autonomous institutions.</p> <p>Officers under the Central/State Governments/Public Sector Undertakings/Universities/Recognized Research Institutions or Autonomous or Semi-Government or Statutory Organizations or other Non-Government bodies:-</p> <p>a) i) holding analogous posts on regular basis; or ii) with five years regular service in posts in the scale of Rs. 16,400-20,000/- b) Ph.D. degree with 15 years experience in the field of Environmental Research and Sustainable Mountain Development, forestry, natural resource management, environment in Central/State Governments/Research Institutes of reputed Universities/Public Sector undertakings/reputed private companies. (ii) Intellectual credentials with evidence of contribution to research supported by published work in reputed journals/recognized innovations and qualities of leadership for heading an organization independently.</p> <p>Desirable:- Creative, innovative and well established scientist/technologist/foresters with three years research experience having a demonstrated ability to create an environment, conducive of nurturing of high class research and development. Experience of research work in Mountain Environment and development in leading capacity. Experience in forestry research/education/forestry extension. Demonstrable capabilities of conducting independent research projects, both national and international and fund generation through such R&D activities.</p> <p>Note: The total continuous period of</p>
12	<p>In case of recruitment by promotion/deputation/absorption, grades from which promotion/deputation/absorption to be made</p>	

		<p>deputation including on another ex-cadre post held preceding to this appointment in the same or other organization/department/Central Government shall not exceed seven years.</p> <p>The maximum age limit is 56 years for appointment on deputation on the last day of receipt of application form.</p> <p>The maximum age limit is 50 years for appointment through direct recruitment on the last day of the receipt of application form (relaxation as per GOI orders).</p> <p>In case of deputation, the tenure of the Director shall normally be for a period of five years or till the date of superannuation, whichever is earlier.</p>
13	If a DPC exists what is its composition	NA
14	Circumstances in which UPSC is to be consulted in making recruitment	NA

SCHEDULE Ib

CATEGORIES OF THE POSTS IN THE INSTITUTE AND QUALIFICATION AND METHOD OF RECRUITMENT ETC. FOR VARIOUS POSTS

Name of the post	Classification	Selection or non-selection post	Age limit for direct recruitment	Educational qualification for direct recruitment	Whether age & education prescribed for D/R will apply for promotion	Period of probation, if any	Method of recruitment whether D/R or promotion deputation, transfer % of vacancies to be filled by various method	In case of recruitment by promotion deputation, transfer grade from which the promotion/ deputation, transfer to be made
1	2	3	4	5	6	7	8	9

SCIENTIFIC SERVICES (To be governed by details given in Appendix Ia)

TECHNICAL SERVICES (To be governed by details given as per Appendix Ib)

ADMINISTRATIVE SERVICES -

LDC	Group C	Selection	18-28 years	SSC passed or equivalent with typing speed of 30 w.p.m.	Educational qualification not relaxable upto 30 yrs for graduate & 35 years for Institute candidates	--do--	D/R 80% A/P 20% from Grade IV Institute employees with requisite qualification. Failing which 100% D/R	Nil
UDC	--do--	Non-selection	19-28 years	Graduate with typing speed of 30 w.p.m. for appointment as Cashier/Asstt. Store Keeper typing qualification would be substituted with knowledge of writing account books	Educational qualification not relaxable for D/R age relaxation for 2 years in case of post graduate candidates.	--do--	D/R 50% through open advertisement type test & interview by the selection committee. A/P 50% from LDCs.	From LDCs with minimum experience of six years
Stenographer	Group C	Selection	19-28 years	Passed SSC with typing speed 40 w.p.m. & shorthand 80 w.p.m.	Nil	--do--	D/R 100% through type test and shorthand test & interview	Nil
Store Keeper	--do--	Non-selection	--do--	Graduate with 5 years experience of writing accounts books of stores and purchase of store.	Educational qualification and age relaxable	--do--	100% A/P	From UDCs
Stenographer/PA	--do--	--do--	--do--	Passed SSC with diploma in type and shorthand from a recognised Institute with type 40 w.p.m. & shorthand 80	Educational qualification will apply. Age relaxable	--do--	100% A/P failing which D/R	From the Stenographer in the scale Rs. 1200-2040 with minimum six years experience

w.p.m.

1	2	3	4	5	6	7	8	9
Hindi Trnslator	--do--	Selection	--do--	Graduate with Hindi and English as first language Diploma in translation	In case of post graduates in Hindi & Eng. Diploma condition is relaxable	--do--	D/R 100%	Nil
Office Superintendent	--do--	--do--	--do--	Graduate from a recognised University	Both educational qualification and age relaxable	--do--	S/P 100% failing which D/R	From ministerial posts in the scale of 1400-2300 with six yrs. exp. in that scale or from ministerial staff in the scale of 1200-2040 with 9 yrs. service in that scale.
Accountant	--do--	--do--	--do--	--do--	--do--	--do--	--do--	--do--
Senior PA/ Stenographer	Group C	Non-selection	19-28 years	--do-- with type speed 40 w.p.m. & shorthand 100 w.p.m.	--do--	--do--	D/R-D/P-A/P	From Stenographers in the scale of 1400-2300 with five year experience
Asstt. Adm. Officer	Group B	Selection	--do--	Graduate with 5 years experience in Administration Accounts in not less than 1640-2900 scale	Nil	--do--	D/R-D/P-S/P	From Office Supdt. & Accountant
Adm. Officer	Group A	--do--	40 years	Graduate with 5 years exp. in Administration in independent capacity in not less than 2000-3500 scale	Nil	--do--	D/R-D/P	From Asst. Adm. Officer
Sr. Adm. Officer	--do--	--do--	45 years	Masters degree in social natural science with 10 years exp. of Admn. in independent capacity out of which not less then 5 year in the scale of 3000-4500.	Educational qualification will apply. Age relaxable	--do--	D/R-D/P-S/P	From Dy. Adm. Officer
Accounts Officer	Groups B	--do--	19-28 years	Graduate with 5 years exp. or passed SAS/JAO exam.	Both educational qualification and age relaxable	--do--	--do--	From Acct. O/S
Finance/ Officer	Group A	--do--	40 years	Graduate passed SAS/JAO exam. with 10 years exp. as Acctt. out of which not less than 3 years in the scale of 2375-3500	Nil	--do--	D/R-D/P	From Accounts Officer
Sr.Finance Officer	Group A	Selection	45 years	Master degree passed SAC/JAO exam.with 10 years exp. in Accounts & Finance out of which 5 years in the scale of 3000-4500	Nil	--do--	D/R-D/P-S/P	From Dy. Finance Officer

SCHEDULE II

SERVICE RULES AND REGULATIONS

Sl.No.	Subject	Pattern to be	Remarks
1.	Conduct discipline and Appeal Rules	As per Central Govt. Rules	Nil
2.	Rules for issue of Liveries & Uniforms to the administrative & Maintenance staff.	As per Central Govt. rules	Nil
3.	Rules for payment of washing Allowance to Group C & D staff.	As per Central Govt. Rules	Nil
4.	Rules for payment of City Compensatory Allowance/Winter Allowance.	As per Central Govt. Rules	Nil
5.	L.T.C. Rules	As per Central Govt. Rules	Nil
6.	Overtime rules	As per Central Govt. Rules	Nil
7.	Tuition fees/Children education allowance rules	As per Central Govt. Rules	Nil
8.	Rules for grant of advances for purchase of conveyance-Motor car, motor cycle/scooter/ bicycle	As per Central Govt. Rules	Nil
9.	Rules for grant of short term non-interest bearing advances-viz. Festival advance, warm clothing advance, table fan advance, flood advance, and other natural Calamities Advance.	As per Central Govt. rules	Nil
10.	House building advance rules	As per Central Govt. rules	Ni.
11.	Leave encashment rules	As per Central Govt. rules	Nil
12.	Leave rules	As per Central Govt. rules	Nil
13.	Joining time rules	As per Central Govt. Rules	Nil
14.	Rules for grant of Honorarium and fee	As per Central Govt. rules	Nil
15.	Provident Fund rules	(a) C.P.F. Scheme for direct society employees. (b) G.P.F. Scheme for Govt. employees on deputation to the Institute.	Nil
16.	Group Insurance Scheme	GGEIS Scheme for Central Govt. employees on deputation to the Institute	New scheme in collaboration with LIC to be drawn as prevelant in other autonomous Organisation.
17.	Rules for use of Institute Vehicle/Staff car and maintenance of log books	As per Central Govt. rules	Nil
18.	T.A./D.A. Rules for foreign Travels	As per Central Govt. Rules	Nil
19.	Ad hoc Bonus Rules	As per Central Govt. rules	Nil

SCHEDULE III**DELEGATION OF ADMINISTRATIVE POWERS**

Sl.No. 1	Nature of power 2	Extend of power 3	Authority Competent 4
Powers under Fundamental rules:			
1.	Grant of special pay to LDC/UDC appointed to the duties of a cashier	Full powers. Subject in conditions laid down by the Govt. of India, Ministry of Finance and rates prescribed for the purpose from time to time	Director
2.	Powers to dispense with medical certificate of fitness before appointing to service in individual cases (F.R. 10) and Govt. of India decision No. 6 (para 2)	Full powers for group B,C & D	Director
3.	Power to suspend a lien (F.R. 14)	Full powers subject to provisions of F.R. 14 provided the Director is authorised to make appointment to the post on which the lien is held.	Director
4.	Power to transfer a lien (F.R. 14-B).	Full powers subject to provisions of F.R. 15. Provided that he is authorised to make appointments to both the posts concerned.	Director
5.	Powers to transfer an employee of the Institute from one post to another (F.R. 15).	Subject to provision as in S. No. 4	Director

6.	Powers to fix the pay and allowance of employees (F.R. 20)	Full powers provided Director is empowered to make a substantive appointment to the post with reference to which the pay & allowances are to be regulated.	Director
7.	Power to withhold annual increments (F.R. 24)	To withhold normal increments in all cases and crossing of efficiency bar for which Director is appointing Authority.	Director
8.	Power to allow an employee to count extra ordinary leave for increments (F.R. 26).	Full in cases where Director is the appointing Authority	Director
9.	Power in reduce pay of an officiating employee (F.R. 35)	Full power where Director is appointing authority subject in restrictions laid down in FR 35.	Director
10.	Power to sanction the undertaking of work for which an honorarium is offered and the grant or acceptance of an honorarium (F.R. 46 (b)).	Full powers upto a maximum of Rs. 1000 per annum or one month pay, which ever is less.	Director
11.	Power to appoint employees to hold temporary or to officiate in more than one post and to fix the pay of subsidiary posts and the amounts of compensatory allowance to be drawn (F.R. 49).	Full powers if Director is appointing authority for each of the post concerned. The exercise of this power will be subject to condition laid down in F.R. 49). In case of Group-A posts the power may vest with Governing Body	Director
12.	Power to relax medical certificate of fitness before return from leave (F.R. 71) on medical ground.	Full powers if he is empowered to grant leave	Director

13.	Power to sanction Casual Leave	Full powers	Director
14.	Power to sanction Earned Leave (S.R. 206 & 208)	Full powers to grant leave other than special disability leave, excepting for himself provided no officiating arrangements are involved in respect of posts which the Director or is not competent to fill up. (This includes extra ordinary leave for prosecuting higher studies. The exercise of this power will be subject to observance of all relevant rules of Govt. of India.	Director
15.	Power to extend leave (F.R. 73)	Regard. Full powers provided the original leave was sanctioned by the Director and the employee on his return will be under his administrative control.	Director
16.	Power to sanction transfer to foreign service in India (F.R. 110) subject to the conditions mentioned in F.R. 114 & 115.	Full powers in the case of employees for whom Director is the appointing authority	Director
17.	Power to fix pay in foreign service.	Full power subject observance of rules and orders issued by Ministry of Finance	Director
	Powers under supplementary rules:		
18.	Powers to sanction the under-taking of work for which fee is offered and the acceptance of a fee (S.R. 11)	Upto a maximum of Rs. 3000/- in each case except in their own cases for which Governing Body approval is necessary. In the case of recurring fees the limit would apply to the total	Director

		amount of recurring payment made to an individual in a year. The exercise of power will be subject to cut imposed under SR 12 wherever applicable.	
19.	Power to decide shortest of two or more routes (S.R. 30 (b)).	Full power for journeys within their jurisdiction.	Director
20.	Power to sanction travel by air to non officials to Institute entitled to TA as Grade I Officer of Govt. of India (S.R. 48 (b) (ii)).	Full powers subject to economy instruction and restrictions imposed by Govt.	Director
21.	Power to sanction travel by Air in Indian Airlines/Air India to non-entitle Class I Officers on official duty (S.R. 48) (b) (ii).	Full powers subject to Economy instructions issued by Govt. from time to time	Chairman Governing Body
22.	Power to sanction refund of cancellation charges on air ticket (including himself).	Full powers	Director
23.	Power to prescribe headquarters of the employees (S.R. 59)	Full powers	Director
24.	Power to define the limits of employees sphere of duty (S.R. 60)	Full powers	Director
25.	Power to decide whether a particular absence is absence on duty (S.R. 62)	Full powers	Director
26.	Power to restrict the frequency and duration of	Full powers	Director

journeys (S.R. 63).

- | | | | |
|-----|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------|
| 27. | Power to grant exemption from rule limiting a halt on tour to 30 days (S.R. 73). | Full powers to grant daily allowance beyond the first 30 days of continuous absence from headquarters, subject to satisfaction of conditions mentioned in paras (a) & (b) to provision to S.R. 73. Where the prolonged absence beyond 30 days has the effect of prolonged halt at one and the same place, daily allowance beyond the 30th day should be at half the rates, upto a maximum of 90 days. | Director |
| 28. | Powers to sanction TA for a tour to a Govt. Servant who is required while on leave in India to perform any Institute/ public duty at a place other than one where he is spending his leave (S.R. 135). | Full powers provided T.A. may not be granted for a journey while proceeding on leave or while returning from leave. | Director |
| 29. | Power to allow actual cost of a journey to appear before a medical board, preliminary to voluntary retirement or invalid pension (S.R. 160 (b)). | Full powers | Director |
| 30. | Powers to sponsor candidate for short term course and count the period spend on training as duty | Full powers subject to conditions laid down in Govt. of India Ministry of Finance Memo. No. F(71) Estt, II/ 60, dated 2.12.60, as modified from time to time. | Director |
| 31. | Power to decide the rates of TA admissible to a employees deputed to undergo a course of training in | Full powers subject to the following:-
If the period of training does not exceed 90 days | Director |

	India (S.R. 164).	in during & if the pay & allowances of the officer deputed for training have not been increased to meet the expenses of training, he may be allowed TA & DA the sliding scale as on tour viz., 1. First 30 days - full DA 2. Next 180 days - half of full rate 3. Beyond 180 days - Nil.	
32.	Power to sanction hire charges when an employee is provided with means of locomotion at the expenses of Central/State/ Public Sector undertakings etc. but pay all cost of its use or propulsion (S.R. 183).	Full powers	Director
33.	Power to declare who should be controlling officers (S.R. 191)	Full powers provided that the Director may not declare an employee to be his own controlling Officer and subject to SR 182 & 183.	Director
34.	Power to make rules for the guidance of controlling officers (S.R. 195 (e)).	Full powers	Director
35.	Power to accept a certificate signed by any registered medical practitioner as evidence of the fitness if an employee of non-gazetted status to (S.R. 213)	Full powers	Director
36.	Power to grant leave to an employee in respect of whom medical committee has reported that there is no reasonable prospect that he will ever be fit to return to duty (S.R. 233).	Full powers where the Directors are empowered to grant leave.	Director

37.	Power to grant maternity leave (S.R. 267)	Full powers subject to provisions of S.R. 267 and orders issued by G.O.I.	Director
38.	Power to grant hospital leave (S.R. 269)	Full powers subject to provision of S.R. 269	Director
39.	Power to permit the calculation of joining time by a route other than which travels ordinarily use (S.R. 302).	Full powers	Director
40.	To sanction tour programme and counter signature of T.A. bills.	Full powers for all including self.	Director
41.	Power to sanction reimbursement of cancellation charges on unused Railway tickets.	Full power	Director
42.	Authorising an employee to proceed on duty to any part of India	Full powers	Director
Powers to make appointments and disciplinary powers:			
43.	Power to make officiating appointment to a vacant post in a vacancy (include - those in continuous chain of vacancies each of one month or more).	Full powers. To be exercised only in very exceptional circumstances and subject to observance of instructions issued by the Central Govt. from time to time.	Director
44.	Power to make ad hoc appointment	Full power where the Director is the appointing authority. The power is to be exercised most sparingly and only in exceptional cases where	Director

appointment on regular basis is likely to be delayed and subject to the conditions issued by Government of India from time to time.

45. Disciplinary powers

According to classification, control and appeal Rules applicable to Central Government.

Director

General Conditions:

1. The powers of the Head of Department in Central Government under the Fundamental Rules (FR), Supplementary Rules (SR), Account code and other rules and regulations as amended from time to time shall vest in Director of the Institute, subject to the condition that where, if any, specific delegations have already been made by the Government to Director & where specific delegation made in hereto, such specific provision shall prevail.
2. Director of the Institute may authorise exercise of the powers vested in them by this delegation, to subordinate authority as is necessary to the proper conduct of the business of the Institute. Director will continue to be responsible for the correctness, regularity and propriety of the powers exercised by the subordinate authority.
3. All administrative powers not specifically delegated to any authority by or under this delegation, shall vest in the Director of the Institute subject to the orders issued by the Governing Body from time to time.

SCHEDULE - IV**DELEGATION OF FINANCIAL POWERS**

Sl.No.	Nature of power	Extent of power	Competent Authority
1.	Purchase of Office and Scientific equipment including computers and equipments under Open General Licence allowed DST from time to time for autonomous body but excluding motor vehicles.	Full powers subject to the conditions prescribed at S.No. 26(2) of Set V of DFPR.	Director
2.	Purchase of books Journals, reprints, periodicals, News papers etc.	Full powers	Director
3.	Purchase and repairs of furniture and fixtures.	Full powers	Director
4. (a)	Incurring of expenditure on purchase of publication of journals etc. for the Institute.	Full powers	Director
4(b) 1)	Incurring of expenditure on printing of scientific and technical publication of the Institute.	Full powers subject to the limits and guidelines issued by Dte. of printing, GOI from time to time.	Director
(b) 2)	Other publications	Rs. 25,000 per annum	Director
5.	Expenditure on legal matters concerning the Institute.	1000 - High Court at Calcutta, Bombay and Madras 800 - other High Court 200 - Any other Court	Director

6.	Hiring of building for the use of the Institute	Subject to the monetary limits laid down in Annex. B. (S.N. 16) of DFTRS approved by the Governing Body.	Director
7. i.	Stores Stores required for works	Full powers	Director
ii.	Other stores i.e. required for the working of an establishment instruments, equipments and apparatus.	Full powers	Director
8.	Repairs to an removal of machinery and scientific equipment.	Full powers	Director
9.	Maintenance of motor vehicle including payment of insurance charges.	Full powers	Director
10.	Staff paid from contingencies	Full powers. So far as payment to casual workers is concerned. Appointment of staff on contingencies is banned and can be made only in exceptional cases provided the work is of casual nature. Approval of the Governing body will be required for quantum of casual nature work of required to be performed during the year and requirements required.	Director
11.	Purchase of stationery for official use.	(a) Full powers in case of purchases made through controller of stationery, Calcutta.	Director

12.	Purchase of Liveries Badges for Group III & Group IV staff.	Full powers as per terms/conditions laid down by the Central govt.	Director
13.	Payment of electricity and water charges, telephone charges, house and other taxes payable under the law.	Full powers	Director
14.	Expenditure on postage and telegram and commission on money orders, bank drafts.	Full powers	Director
15.	Power to sanction subsidy as financial assistance to Departmental canteens.	Full powers subject to the limits prescribed by Dte. of Canteens, Deptt. of personnel, GOI from time to time	
16.	Condemnation of Typewriters and its stores.	Full powers	Director
17.	Freight and Demurrage/ Warfare charges.	Full powers	Director
18.	Powers to write-off irrecoverable losses of stores/ public money including loss of stamps	i) Rs. 10000 for loss of stores not due to theft, fraud or negligence. ii) Rs. 5000 for other cases.	Director
19.	Advance payment against supplies	Full powers subject to provision of GFR 256 and 258	Director
20.	Powers of incurring contingent expenditure not specifically covered under any of the sub-items mentioned herein	Recurring Rs. 4000/- per annum in each case. Non-recurring: Rs. 20,000/- in each case.	Director

i)	Bicycle	Full powers	Director
ii)	Conveyance hire	To the extent out lined in Col. 4 against item 3 or Schedule V or DFER 1958 (Item 3 of Annexure to Schedule V DFER 1958).	Director
iii)	Repairs and alterations to hired and requisitioned buildings	Rs. 5000/- per annum recurring Rs. 50,000 per annum non-recurring.	Director
iv)	Indents, contracts & purchases.	Full powers	Director
v)	Miscellaneous expenditure	Recurring Rs. 500/- per year, non-recurring Rs. 5000/- per year.	Director
21.	Alteration of date of birth in respect of non-Gazetted staff.	Full powers subject to provision of GFRs.	Director
22.	Powers to relax the age limit for initial appointment to posts for which the Director is the appointing authority Section, I, Appendix 3 of F.R. and S.R. vol. II).	Full powers subject to Govt. orders in force from time to time.	Director
23.	Investigation of arrear claims.	As per GFR 82-88.	Director
24.	To execute contracts deeds and other instruments.	Full powers subject to approval of Governing body.	Director
25.	Form of surety bond to be executed by employees handling cash/stores etc. acceptance	As per Central Government rules laid down in full powers.	Director

	thereof.		
26.	Grant of Advances for purchase of conveyance.	Full powers subject to provision of budget allotment and observance of rules laid down by Govt.	Director
27.	Grant of temporary advances including special advances from provident fund.	Full powers	Director
28.	Grant of House Building Advance	Full powers as per HBA rules of Central Govt.	Director
29.	Financial withdrawals including part/final withdrawals from provident fund.	Full powers	Director
30.	Grant of overtime allowance	As per Govt. instructions issued from time to time	Director
31.	Sanction of Fellowships subject to rules in force.	Full powers	Director
32.	Sanction of trainees tour advance & Training allowances.	Full powers	Director
33.	Sanction of Research grant	Full powers	Director
CAPITAL			
34.	Civil works (Departmental)	25,000/- in each case	Director
35.	To accord administrative approval/expenditure sanction for estimates of minor works	Non-residential Rs. 50,000 in each case subject to limit of Rs. 1.5 lakh per annum.	Director

General Conditions:

1. The budget of G.B. Pant Institute of Himalayan Environment and Development shall be passed by the Governing Body.
2. The expenditure shall be incurred subject to the availability of budget provision and within the powers delegated to Director or any subordinate authority to whom the powers have been delegated.
3. The powers of the Head of the Department in Central Government under the delegation of Financial Powers rules (DFPR), the General Financial Rules (GFR) and other financial rules and regulations, as amended from time to time shall vest in the Director of the Institute under it subject to the condition that whether, if any, specific delegations have been made such specific provision shall prevail.
4. The Director shall have the powers to make reappropriation of funds upto 10% from one sub-head to another. No reappropriation shall be made without the approval of the Governing Body from the head of Capital to the head of `Programmes expenditure and viceversa or in any manner so as of augment the provision and the Head `Salaries, Wages and Allowances'.
5. The Director may authorise subordinate authority to exercise the power vested in him by delegation, as is necessary to the proper conduct of the business of the Institute. Director will continue to be responsible for correctness, regularity and propriety of the powers exercise by the subordinate authority.
6. All financial powers not specifically delegated to any authority by this delegation shall vest in the Governing Body of GBPIHED.
7. The exercise of powers laid in Schedule III and IV above will be subject to observance of such conditions, restrictions and orders of the Central Government on the subject issued from time to time.