Kerala State Council for
Science, Technology and Environment
Sasthra Bhavan, Pattom P.O. Thiruvananthapuram - 695 004, Kerala State, India.
Tel: 0471-2548200-09, EVP – 2543557, 2548222,
MS – 2534605, 2548220, CoA – 2543556, 2548248
Fax: 0471-2540085, 2534605 e-mail: mail.kscste@kerala.gov.in, www.kscste.kerala.gov.in

KSCSTE – Assessment Promotion Scheme for Scientists of KSCSTE and its R&D Centres - Modified APAR and amendment of Council Rules – Orders issued.

Council (M) Order No132/2021/KSCSTE
Thiruvananthapuram,Dated:31/12/2021

Read: (1) Order No.32/C6/2011/KSCSTE dated 16.02.2011.
(2) Minutes of the 53rd Executive Committee meeting
(3) Council(M)Order No.15/2021/KSCSTE dated 22.02.2021
(4) Decision of the 55th Executive Committee of KSCSTE on Agenda Item No.55.12
(5) Note from the Executive Vice President, KSCSTE dated 29.12.2021.

ORDER

Section II Part IV of the Service Rules of the KSCSTE is dealt with the Rules and Regulations for assessment and promotion of Scientists in the KSCSTE. The existing guidelines read as 1st above for the evaluation by the Reporting Authority, Reviewing Authority, Internal Screening Committee and the Assessment Committee lacks clarity specifically in terms of objective evaluation of the performance of the Scientists/Assesses. The Executive Committee in its 54th meeting recommended to revisit the procedure of Annual Performance Assessment of Scientists. Accordingly, a Committee comprising of the Executive Vice President, KSCSTE, Director, KSCSTE-JNTBGRI and Director, KSCSTE-NATPAC was entrusted to look into the revision of AAR forms of KSCSTE and its R&D Centres and propose modifications required, if any, as per Order read as 3rd above.

The draft format prepared by the Committee was presented before the55th Executive Committee meeting and it was decided to circulate the draft format amongst the Scientists of KSCSTE and its R&D Centres through respective Directors and incorporate their suggestions, if any. The Executive Committee also entrusted the Executive Vice President to implement the final format of Assessment as per the recommendation of the Committee and amend the Rules accordingly. The Committee after several rounds of discussions and deliberations developed a new proforma for Annual Performance Appraisal

Report (APAR). The proforma was circulated to all the Scientists of KSCSTE HQ and its R&D Centres through the respective Directors and the suggestions/opinions were incorporated. Also, the final format of APAR submitted by the Committee was circulated to the Executive Committee members, and the members approved it.

Accordingly, KSCSTE is pleased to approve the revised guidelines attached herewith as Annexure I, for the assessment and promotion of all Scientist cadre (Junior Scientist to Chief Scientist) in KSCSTE and its R&D Centres w.e.f. 1st January, 2022 and to amend Section II Part IV of the Service Rules accordingly.

K P SUDHEER
EXECUTIVE VICE PRESIDENT

To

    All R&D Centres

Copy to :

    PS to EVP/PA to MS
    Notice Board/KSCSTE Website
    SF/OC

Forwarded/By Order

Section Officer

Assessment Promotion Scheme for Scientists of KSCSTE and its R&D Centres

Guidelines

The rules and regulations for assessment and promotion of Scientists in the KSCSTE is dealt in Section II, Part IV of the Service Rules of the KSCSTE. The existing guidelines issued for the evaluation by the Reporting Authority, Reviewing Authority, Internal Screening Committee and the Assessment Committee, as per the Council Order No. 32/C6/2011/KSCSTE, dt. 16-02-2011 lacks clarity specifically in terms of objective evaluation of the performance of the Scientists/Assesses. There have been instances where concerns were raised by several of the Scientists on the grading in ACR and assessment promotion given to them. Therefore, it was proposed to revisit the procedure of Annual Performance Assessment of Scientists, and the Executive Committee recommended the same in its 54th meeting (Agenda Item No. 54.02, and minutes).

As per the decision of the 54th Executive Committee meeting, a Committee comprising of Executive Vice President, KSCSTE, Director, KSCSTE- JNTBGRI and Director, KSCSTE-NATPAC was entrusted to look into the revision of AAR forms of KSCSTE and its R&D centres, and propose modifications required, if any. The Draft format was presented in the 55th Executive Committee meeting and it was decided to circulate the draft format amongst the Scientists of the KSCSTE and its R&D centres through respective Directors and incorporate their suggestions, if any (Agenda Item No. 55.12, and minutes). The Executive Committee in its 55th meeting also entrusted (Agenda Item No. 55.12, and minutes) the Executive Vice President to implement the FINAL format of Assessment as recommended by the above committee, and amend the Rules accordingly.

The Committee after several rounds of discussions and deliberations developed a new proforma for Annual Performance Appraisal Report (APAR). The proforma was circulated to all the Scientists of the KSCSTE and its R&D centres through the respective Directors (2 rounds of circulation), and the suggestions/opinions are incorporated. The **FINAL format** of "Annual Performance Assessment Report (APAR)" is submitted by the committee. The Final format, as submitted by the committee was circulated to the Executive Committee Members, and the members approved it.

Accordingly, the guidelines for the assessment and promotion for Scientist of all cadre (Junior Scientist to Chief Scientist – formerly Scientist B to G) in KSCSTE and its R&D centres are revised as follows and it will be effective from 1st January 2022.

1. Submission of APAR:

All the Scientists in KSCSTE's HQ and KSCSTE's R&D centres shall furnish APAR in the prescribed format on a calendar year basis. The Scientist reported up on has to fill PART-2 in Section A and Section B of APAR, based on the duties assigned, targets set and major activities/achievements. The Annual Work Report (AWR) and the Score card in Section B has to be filled, after carefully referring the instructions for Marking Scheme for claiming the marks. The activities in the Score Card are categorised into ten groups and each group carries a maximum of 25 marks. The total maximum

marks that will be considered for the assessment is 200, which will be the sum total of marks in eight groups for which highest marks have been scored by the Scientist.

2. Evaluation of the APAR by the Reporting Officer

The evaluation of the APAR will be done in terms of Work output, Personal attributes and Functional competency of the Scientist based on numerical grading on a ten point scale (PART- 3). If the allotted numerical grade is less than 3 for any of the category, the reporting officer should clearly substantiate with evidences, if any. Also specific remarks are to be provided if the Grade allotted is above 9 for any of the category. The marks in the Score Card of AWR will be awarded by the Reporting Officer.

The overall numerical grading in PART-4 will be determined on the basis of weightage given to the three attributes (40:30:30). The overall grade and corresponding score are as follows.

Sl. No.	Score	Overall Grade
1.	≥ 9.0	Outstanding
2.	8.0 - 8.9	Excellent
3.	7.0 - 7.9	Very Good
4.	6.0 - 6.9	Good
5.	5.0 - 5.9	Satisfactory
6.	4.0 - 4.9	Average
7.	< 4.0	Poor

Note

a   Minimum Overall grading of 7 points (average over the assessment period) is required to become eligible for promotion

b   'Eligible for promotion' does not necessarily imply that the candidate is 'Fit for promotion'

c   The average APAR overall grade for the assessment period in a particular grade will be determined and average APAR overall grade of 7 is required for the personnel to be short-listed for Assessment Interview.

d   The 'Fitness for promotion' will be based on the average marks awarded for the Score Card for the assessment period and performance in the Interview together. The weightage for the marks in the Score card and interview will be 80% and 20% respectively.

3. Evaluation of the APAR by the Reviewing Officer

The reviewing officer will evaluate the APAR in terms of Work output, Personal attributes and Functional competency based on numerical grading on a ten point scale (PART- 3). The overall numerical grading in PART-5 will be determined on the basis of weightage given to the three attributes: 40%, 30% and 30% respectively. Further, the overall grading will be done based on the scale as detailed in section 2. The marks in the Score Card of AWR will be endorsed by the Reviewing Officer.

4. Countersigning Authority

There will be a countersigning authority for the APAR. The Member Secretary, KSCSTE will be the countersigning authority for APAR from KSCSTE's R&D Centres, and the Executive Vice President will be the countersigning authority for APAR from KSCSTE's HQ. The countersigning authority will endorse the Average grading based on the overall grading by the Reporting Officer and Reviewing Officer.

Note

a   *Minimum Overall grading of 7 points (average over the assessment period) is required to become eligible for promotion*

b   *'Eligible for promotion' does not necessarily imply that the candidate is 'Fit for promotion'*

c   *The average APAR overall grade for the assessment period in a particular grade will be determined and average APAR overall grade of 7 is required for the personnel to be short-listed for Assessment Interview.*

d   *The 'Fitness for promotion' will be based on the average marks awarded for the Score Card for the assessment period and performance in the Interview together. The weightage for the marks in the Score card and interview will be 80% and 20% respectively.*

The Custodian of the APAR after filled in by the Counter signing authority would be the Director in the case of R&D Institutions and Member Secretary in the case of KSCSTE-HQ.

5. Disclosure of APAR

The copy of the APAR will be communicated to the Scientist reported upon after entering the entries in Part 3, 4 and 5 by the Reporting Officer and Reviewing Officer, and after the endorsement by the countersigning authority. Representations, if any, on the grievances from the Scientist reported upon with regard to the APAR entries should be submitted to the Reviewing Officer within 7 days. If no representations are received, it will be deemed that the Officer reported upon 'Agrees' with the remarks provided in the APAR.

6. Appellate Authority

There will be an appellate authority for addressing the grievances (if any) by the Scientists about the Overall Grade assigned to him/her. The appellate authority will be the Executive Vice President, KSCSTE. The disparity/anomaly in the Overall Grade, Score card in the APAR of a particular scientist (by the Reporting Officer/Reviewing Officer), can be brought to the notice of the Appellate Authority through the Director of the respective R&D Centre/HQ. Also, the matters related to the grievances from the Scientists wherein he/she feels that his performance is not properly accounted/rewarded in the APAR score card will be addressed to the Appellate Authority. Appellate Authority shall scrutinise such grievances taking into account all the relevant aspects. The decision of the Appellate Authority shall be final and it will be communicated to the Scientist reported upon.

7. Screening Committee

The Screening Committee will be constituted for the HQ/Centre as per Clause 10.1 under section II, Part IV. The Screening Committee shall verify the average APAR Overall Grade based on the APAR of each Scientist reported upon, corresponding to the assessment period in a particular grade. The average score obtained by the Scientist will be recorded by the Committee and recommendation will be made for shortlisting for interview.

The average overall grade of 7 corresponding to the residency period in a particular grade is required for the personnel to be short-listed for Assessment Interview. Also the average score based on the Score Card of the AWR corresponding to the residency period in a particular grade will be determined.

8. Assessment Committee

Assessment Committee will be as per Clause 10.1 under section II, Part IV.

The candidates eligible for promotion based on the Average APAR overall grade (7 points) will be directed to submit two page Executive Summary of the activities during the assessment period.

The assessment Committee shall evaluate the Executive Summary, and conduct interview and assign the total mark for the Assessment as per the following Scheme:

> Average Score awarded for AWRs : 80 %
>
> Interview : 20 %

There will be a minimum residency period in a grade before a Scientist can be considered for assessment promotion. The minimum residency period for assessment of Junior Scientists to Scientist is 3 years, Scientist to Senior Scientist and Senior Scientist to Principal Scientist is 4 years, and Principal Scientist to Senior Principal Scientist and Senior Principal Scientist to Chief Scientist is 5 years.

The threshold marks stipulated for the consideration of the candidate as 'Fit for Promotion' by the Assessment Committee shall be as follows:

	No. of Years in the Grade					
	3	4	5	6	7	8
Junior Scientist to Scientist	80	75	70	65	60	
Scientist to Senior Scientist		80	75	70	65	60
Senior Scientist to Principal Scientist		80	75	70	65	60
Principal Scientist to Senior Principal Scientist			80	75	70	65
Senior Principal Scientist to Chief Scientist			80	75	70	65

Assessment Committee will recommend the candidate as 'Fit for promotion' or 'Not fit for promotion' based on the above criteria.

In the initial years of implementation of the new APAR scheme, there would be cases wherein the period of assessment comprises of period prior to 2022 as well. The performance in part of the

period will be based on the earlier scheme and the remaining will be based on the revised scheme. In such cases, 70% weightage will be for the period prior to 2022 with the earlier scheme and 30% weightage will be for the revised scheme while considering the average performance during the period of assessment.

The candidates with overlapping period for assessment will be directed to submit the Score card in this prescribed format for the period prior to 2022. Proper accounting and mapping of marks will be done by the Reviewing Officer/ Screening Committee for the purpose of assessment.

9. Time frame

The proposed time schedule for the processing of APAR in KSCSTE and its R&D Centres are as follows:

Sl. No.	Time line for the completion of assessment process	Time limit
i.	APAR format to be issued to the Scientists by the Administration (only First Page – Section A – Part 1)	5th January of every year
ii.	Time frame for the submission of APAR (Scientists may use a WORD/PDF document for filling up the proforma, and a signed printout/hardcopy needs to be submitted)	31st January of every year
iii.	Evaluation of APAR by Reporting officer	15th February of every year
iv.	Evaluation of APAR by Reviewing Officer	28th February of every year
v.	Scrutiny by the Countersigning Authority	15th March of every year
vi.	Disclosure of APAR to the Officer reported up on	1st April of Every Year
vii.	Representations, if any, to the Reviewing Officer	Within 7 days
viii.	Forwarding of representations, if any, by the Director concerned to the Appellate Authority	10th April of every year
ix.	Final Decision by the Appellate Authority	30th April of every year
x.	Shortlisting of candidates by the Screening Committee	15th June of every year
xi.	Evaluation by the Assessment Committee	31st August of every year

10. General instructions:

1. The Administrative Section of the R&D centres and KSCSTE-HQ should make sure that the APAR forms are issued to the Scientists on time.

2. The Directors/ Scientists shall strictly adhere to the above time schedule so that the assessment promotion procedure is completed well in time.

3. In case the Scientist fails to submit the APAR on time, due to reasons other than that beyond his/her control, he/she may loose the chance to get assessed in time and will be considered only in the subsequent year, without retrospective effect.

4. Freshly recruited Scientist will be awarded 25% extra marks for all items in the first two years of service, restricted to overall 200 marks

5. In case a scientist is on deputation, mapping of marks during the period of deputation will be done by the Director concerned based on the performance of the scientist at the borrowing organization. The Scientist will have to submit the APAR in the same format duly endorsed by the reporting officer of the borrowing organization

6. In case of maternity leave/study leave/ long leave on medical grounds (any leave not less than six months), the scientist will be awarded 50% extra marks, restricted to overall 200 marks.

KERALA STATE COUNCIL FOR SCIENCE TECHNOLOGY & ENVIRONMENT

ANNUAL PERFORMANCE APPRAISAL REPORT (APAR) FORM

(for Scientists of all cadre)

Report for the year/period from _____ to_____

<div style="border:1px solid">

SECTION A

</div>

PERSONAL DATA

PART -1

(To be filled by the Administrative Section of the Office)

1. Name of the Scientist : ....

2. Date of Birth : / /
   (DD/MM/YYYY)

3. Date of entry in the service of : ....
   KSCSTE/R&D Centre

   Research Institute in which : ....
   working

4. Present post and date of : Present Designation...........................
   appointment thereto

   Date of joining the present grade:

   Present Pay:

5. Academic Qualifications : ....
   acquired during the year ....
   reported upon (in case no ....
   academic qualification has
   been acquired, the highest
   degree along with
   specialization need be given):

6. Period of absence from duty : ....
   (on leave, training, etc.) ....
   during the year/period under ....
   report. If undergone training,
   please give details

PART-2

TO BE FILLED IN BY THE SCIENTIST REPORTED UPON

1. Name of the Scientist :

2. Designation:

3. Period of report: From....................to........................

4. Brief description of duties:

....

....

5. Activities & achievements:

   (Please read carefully instructions given at the end of the Table before filling the entries and choose whichever is applicable to you)

Sl. No.	Activities planned and Targets*	Time spent** (%)	Achieved ***(%)	Reasons for Shortfalls/ Constraints, if any
I.	Research Activities/ S&T Management			
II.	Technology Development/ Transfer of technology/ Business Development			
III.	Academics/Training and Extension activities			
IV.	Management & Maintenance of Resources, Research/S&T Data base creation			
V.	Resource generation (Sponsored/ Consultancy projects/ Schemes)			
VI.	Institutional Support- Administration/ Management/			

	Co-ordination activities			
VII.	Organizing conferences/ workshops/ seminars/ meetings/webinars			
VIII.	Other activities: Scientific Report generation including annual technical reports Special assignments within or outside the institute Outreach activities Information/ Data compilation			
IX.	Any other (please specify)			

* Give short title or phrase. Indicate project title and whether PI/Co-PI.
** Total should add upto 100%
*** Extent and also indicate whether achieved within the time-frame set for the purpose

6. Please also indicate items in which there have been significantly higher achievements and your contribution there to and attach a summary report (about 400 words) on the most significant achievements during the year reported upon

Sl. No.	Activity	Contribution

Date

Signature of the Scientist reported upon

PART – 3

ASSESSMENT OF SCIENTIST UNDER REPORT

1. Name of the Scientist Reported upon:

2. Designation:

3. Period of report: From.....................to..........................

Note: *1. Numerical grading is to be awarded by the reporting officer and reviewing officer*
(Scale of 1 – 10, where 1 refers to the lowest grade and 10 to the highest)
2. Minimum Overall grading of 7 points is required to become eligible for promotion
3. The numerical grading should be in line with the marks gained by the Scientist in the
SCORE card in Section B of the APAR

A. Assessment of Work output (weightage of this section would be 40% in Part 4 and Part 5)

SI. No.	Item	Numerical Grading by Reporting Officer	Initial of Reporting Officer	Numerical Grading by Reviewing Officer	Initial of Reviewing Officer
i.	Accomplishment of planned work/ work allotted				
ii.	Quality of output				
iii.	Analytical/Logical reasoning				
iv.	Accomplishment of exceptional work/ unforeseen tasks performed				
	Overall grading on 'Work Output' (average of i to iv)				

B. Assessment of Personal attributes (weightage of this section should be 30% in Part 4 and 5)

SI. No.	Item	Numerical Grading by Reporting Officer	Initial of Reporting Officer	Numerical Grading by Reviewing Officer	Initial of Reviewing Officer
i.	Attitude to work				

		Numerical Grading by Reporting Officer	Initial of Reporting Officer	Numerical Grading by Reviewing Officer	Initial of Reviewing Officer
ii.	Sense of Responsibility				
iii.	Maintenance of discipline				
iv.	Communication skills				
v.	Leadership qualities				
vi.	Capacity to work in team spirit				
vii.	Capacity to work in time limit				
viii.	Interpersonal relations				
	Overall grading on 'Personal attributes' (average of i to viii)				

C. Assessment of Functional Competency (weightage to this section would be 30% in Part 4 and 5)

Sl. No.	Item	Numerical Grading by Reporting Officer	Initial of Reporting Officer	Numerical Grading by Reviewing Officer	Initial of Reviewing Officer
i.	Knowledge of Rules/ Regulations/ Procedures in the area of function and ability to apply them correctly				
ii.	Strategic planning ability				
iii.	Decision making ability				
iv.	Coordination ability				
v.	Ability to motivate and develop subordinates				
	Overall grading on 'Functional Competency' (average of i to v)				

Reporting officer should clearly substantiate, if the allotted numerical grade is <= 3 for any of the category. Also specific remarks to be provided if the Grade allotted is above 9.

Name and Designation of the
Reporting Officer :

General Remarks:

Signature with date:

Name and Designation of the
Reviewing Officer:

General Remarks:

Signature with date:

PART - 4

REMARKS OF THE REPORTING OFFICER

1. Length of service under the Reporting Officer:

2. State of Health (Please select whichever is applicable): Sound/ Poor

3. Integrity (Please select whichever is applicable. In case of adverse remarks, justification may be given):

   Beyond doubt

   Nothing adverse heard against

   Doubtful

4. Relations with the public (wherever applicable)

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

5. Training

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

6. Pen picture by Reporting Officer (maximum 100 words) on the overall qualities of the Scientist including area of strength and lesser strength, extraordinary achievements, significant failures (Ref. 5 of Part 2) and attitude towards weaker sections.

7. Overall numerical grading on the basis of weightage given in Section A,B,C in Part – 3 of the Report

Section A (40%)	Section B (30%)	Section C (30%)	Overall Numerical Grading (1+2+3)
1. ....x 0.4=	2. ....x 0.3=	3. ...x 0.3=	...........+.........+.......=

APAR marks obtained = Overall numerical grading = ...

8. Overall grading (Rounding to 1 decimal point) :

Note

a   Minimum Overall grading of 7 points (average over the assessment period) is required to become eligible for promotion

b   'Eligible for promotion' does not necessarily imply that the candidate is 'Fit for promotion'

c   The average APAR overall grade for the assessment period in a particular grade will be determined and average APAR overall grade of 7 is required for the personnel to be short-listed for Assessment Interview.

d   The 'Fitness for promotion' will be based on the average marks awarded for the Score Card for the assessment period and performance in the Interview together.

Sl. No.	Score	Overall Grade
i.	≥ 9.0	Outstanding
ii.	8.0 - 8.9	Excellent
iii.	7.0 - 7.9	Very Good
iv.	6.0 - 6.9	Good
v.	5.0 - 5.9	Satisfactory
vi.	4.0 - 4.9	Average
vii.	< 4.0	Poor

Score	Overall Grading by the Reporting Officer

Signature of the Reporting Officer

Place   Name in block letters

Date   Designation during the period of report

PART – 5

REMARKS OF THE REVIEWING OFFICER

1. Length of service under the Reviewing Officer:

2. Do you agree with the assessment made by the reporting officer with respect to the work output and the various attributes in Part-3 & Part-4? Do you agree with the assessment of reporting officer in respect of extraordinary achievements/significant failures of the Scientist reported upon? (Ref Part-4 (6) (In case you do not agree with any of the numerical assessment of attributes please record your assessment on the column provided for you in that section and initial your entries)

Yes	No

3. In case of disagreement, please specify the reasons. Is there anything you wish to modify or add?

4. Pen Picture by Reviewing Officer. Please comment (max. 50 words) on the overall qualities of the officer including area of strength and lesser strength and his attitude towards weaker sections.

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

Section A (40%)	Section B (30%)	Section C (30%)	Overall Numerical Grading (1+2+3)
1. ......x 0.4=	2. .... x 0.3=	3. ... x 0.3=	......+.......+........ =

APAR marks obtained = Overall numerical grading = ...

6. Overall grading: (Rounding to 1 decimal point)

Note

1   *Minimum Overall grading of 7 points (average over the assessment period) is required to become eligible for promotion*

2   *'Eligible for promotion' does not necessarily imply that the candidate is 'Fit for promotion'*

3   *The average APAR overall grade for the assessment period in a particular grade will be determined and average APAR overall grade of 7 is required for the personnel to be short-listed for Assessment Interview.*

4   *The 'Fitness for promotion' will be based on the average marks awarded for the Score Card for the assessment period and performance in the Interview together.*

Sl. No.	Score	Overall Grade
i.	≥ 9.0	Outstanding
ii.	8.0 - 8.9	Excellent
iii.	7.0 - 7.9	Very Good
iv.	6.0 - 6.9	Good
v.	5.0 - 5.9	Satisfactory
vi.	4.0 - 4.9	Average
vii.	< 4.0	Poor

Score	Overall Grading by the Reviewing Officer

Signature of the Reviewing Officer

Place   Name in block letters

Date   Designation during the period of report

PART - 6

COUNTERSIGNING AUTHORITY

	Overall grade	Score	Average Grade	Eligible for promotion (Please initial)	
Reporting Officer				YES	NO
Reviewing Officer					

Note

a   *Minimum Overall grading of 7 points (average over the assessment period) is required to become eligible for promotion*

B   *'Eligible for promotion' does not necessarily imply that the candidate is 'Fit for promotion'*

c   *The average APAR overall grade for the assessment period in a particular grade will be determined and average APAR overall grade of 7 is required for the personnel to be short-listed for Assessment Interview.*

d   *The 'Fitness for promotion' will be based on the average marks awarded for the Score Card for the assessment period and performance in the Interview together.*

Signature of the Countersigning Authority

Place   Name in block letters

Date   Designation during the period of report

PART-7

DISCLOSURE OF APAR

(To be filled by the Reviewing Officer)

Sl. No.	Item	Signature with date
i.	Copy of APAR communicated to the Scientist reported up on	
ii.	Response of the Scientist reported upon (Agree/Disagree)	
iii.	Representation of grievances if any, received on	
iv.	Representation forwarded to the Appellate Authority for decision	

PART- 8

DECISION OF THE APPELLATE AUTHORITY

1. Name of the Scientist Reported up on   :

2. Designation of the Scientist Reported up on :

3. Decision of the Appellate Authority on the representation taking into account all the relevant aspects. (The decision of the Appellate Authority to be communicated to the Scientist reported upon)

Signature of the Appellate Authority

Place   Name in block letters

Date   Designation

ANNUAL WORK REPORT AND SCORE CARD

(SELF ASSESSMENT BY THE SCIENTIST REPORTED UPON)

1. Name:

2. Designation:

3. Area of S&T Function:

4. Brief Description of S&T work function:

5. S&T output Indicators for assessment and measurement of work function (as appropriate to the Scientist):

6. Highlight the major outputs from S & T function:

7. Major impact reported during the calendar year (if any) for work done during previous three years:

8. New technologies/innovations if any introduced by the Scientist in work plan/ functions:

9. Summary of the work done during the calendar year, including significant achievements/recognition/social impact outputs from research and extension works

10. Quantified S&T outputs as per the selected indicators (as Annexure 1)

Signature of the Scientist reported upon

Name and Designation of the
Reporting Officer :

General Remarks:

Signature with date:

Name and Designation of the
Reviewing Officer:

General Remarks:

Signature with date:

Kerala State Council for Science, Technology & Environment

Score Card for Annual Work Report (AWR) by the Scientist reported upon
(Please refer the guidelines while filling the scores.)

Name of Scientist:_____ Designation:_____

Year:_____

The activities in the Score Card are categorised into ten groups and each group carries a maximum of 25 marks. Please fill the entries in all groups. The total maximum marks that will be considered for the assessment is 200, which will be the sum total of marks in eight groups for which highest marks have been scored by the assessee.

Sl. No. (A)	Category (Max. Score) / Item (B)	Number of output (C)	Marks claimed (D)*	Marks Awarded (E)**
1	**Technical reports(25 marks)**			
	i. Technical report (PI/Co-PI/Co-I/ Project Leader)			
	ii. Book authored (with ISBN)			
	iii. Book authored (without ISBN)			
	iv. Edited Book/proceedings(with ISBN)			
	v. Edited books / proceedings (without ISBN)			
	vi. Annual Institutional report			
	vii. Book Chapter (with/ without ISBN)			
	viii. Other S&T product/concept paper/ document			
	Total(1)			
2	**Technical publications(25 marks)**			
	i. Journal (SCI/SCOPUS, PubMed, CABI, Biological abstracts, Chemical abstracts, Web of Science, UGC-CARE, NAAS indexed) with IF>3			
	ii. Journal (SCI/SCOPUS, PubMed, CABI, Biological abstracts, Chemical abstracts, Web of Science, UGC-CARE, NAAS indexed) with IF≤3			
	iii. Peer reviewed journals			
	iv. Conference(SCI/SCOPUS Indexed/ Professional Societies/ Kerala Science Congress)			
	v. Other Conferences			
	vi. No. of citations			
	Total(2)			

3	**Workshop/ Courses conducted/ Brainstorming sessions/ Seminar/ webinar/symposia organized (25 marks)**			
	i. Training course organized(≥5 days) with external funding			
	ii. Training course organized(≥5 days) with plan fund			
	iii. Training course organized(<5 days) with external funding			
	iv. Training course organized(<5 days) with plan fund			
	v. Brainstorming sessions/ Workshop			
	vi. International conference/ seminar / webinar/symposia organized			
	vii. National conference/ seminar / webinar/symposia organized			
	viii. State / Regional Conference organized/ Seminar/webinar/symposia			
	ix. External/Internal Training course			
	x. Attending international/national/ State/regional conference/workshop/ meeting/symposia/webinar			
	xi. Demonstration/ Exhibition/New Training courses designed / coordinated /participated			
	xii. Management of inter-institutional scientific collaboration/industry-academia linkage			
	xiii. Master of ceremony/ compering/chairing a session			
Total (3)				
4	**Management of schemes for fostering Research & Innovation / S&T promotion/ Sponsored R&D Consultancy Projects Field Investigation, Laboratory Investigations (25 marks)**			
	i. Management of schemes for fostering Research & Innovation			
	ii. Consultancy project/technical service >30 lakh (PI/Co-PI)			
	iii. Consultancy project/technical service 10-30 lakh			

		(PI/Co-PI)			
	iv.	Consultancy project/technical service <10 lakh (PI/Co-PI)			
	v.	Sponsored project of > 20 lakhs (PI/Co-PI)			
	vi.	Sponsored project of 10 – 20 lakhs (PI/Co-PI)			
	vii.	Sponsored project of < 10 lakhs			
	viii.	Development & operation of field station / observatory/ laboratory/ Genetic resources conservation and database management			
	ix.	Social impact created through schemes/ programmes/ S&T popularization/ extension activities /outreach activities			
	x.	Software project Management/website management/software updating			
		Total(4)			
5		**Keynote lectures/invited talks delivered (25 marks)**			
	i.	Keynote Lecture/invited talk in International/ National programmes			
	ii.	Lecture/Talk in State level programmes			
	iii.	TV/ Radio Talk			
	iv.	Laboratory session/tutorial			
	v.	Chaired/ Co- chaired a technical session			
	vi.	Organizing an Invited talk			
		Total (5)			
6		**Administrative/ Management responsibilities(25 marks)**			
	i.	Head/SIC/Coordinator of Division/RC/Coordinator of Scientific Schemes & Programmes / Coordinator of mega projects / Procurement officer			
	ii.	Up keeping of hardware and peripherals			
	iii.	State Public Information Officer/Assistant Public Information Officer / Networking Officer / Documentation Officer			
	iv.	Permanent Committees: (GPC/ Quotation opening/Technical Specifications/Grievance/ Annual Report/ Purchase Committee/ Management Committee:			
	v.	Coordinating the meetings of various committees			

	vi. Attending meetings on behalf of EVP / MS / DIR / Representing KSCSTE				
	vii. Documentation of information collected				
	viii. Member of Special Purpose Committee(Events/ others)				
	Total (6)				
7	**Member of Committees, Project proposal/paper evaluation, Guiding UG/ PG/ M.Tech. /Ph. D students (25 marks)**				
	i. Nodal officer of National programmes				
	ii. Nodal officer State Programme				
	iii. Membership of Committee				
	iv. Project proposal/ Research Paper/Technical Report/ Book/Standard Evaluation				
	v. Ph. D. Guidance(on submission)				
	vi. Post-docs facilitated/ Mentor				
	vii. Ph.Ds facilitated				
	viii. Screening and review of Proposals / applications etc.				
	ix. P G Students Guidance(on submission)				
	x. UG Students Guidance (on submission)				
	xi. PhD Thesis evaluation				
	xii. P G Thesis/ dissertation evaluation				
	xiii. Conducting PG practical exam/ viva				
	xiv. Conducting PhD open defence				
	Total (7)				
8	**Other important activities like patent/ Drafting Standards/ Manuals/outreach material, general articles, software package, project formulation etc (25 marks)**				
	i. Patent awarded				
	ii. Patent/GI filed / facilitation of patent/GI filing				
	iii. Identification of new species/ Release of new varieties/ development of new protocols				
	iv. Research Protocol Developed/ Genbank submissions/Management practices developed				
	v. Product development projects				
	vi. Solution to referred problem/ technology package developed or implemented in field/ standard drafting/ software package/ manual/				

		developed			
	vii.	Election duty			
	viii.	Organizers of Vigilance Week/Trade-Fair/Stock Verification/ Exhibition / Observance of Important days etc.			
	ix.	Inputs for Annual Report/ e-governance/ARC/DST or KSCSTE documents: compilation of programmes of SIC / for the whole Division / RC/ CFMS/Unit etc			
	x.	Organizing / sub-committee member of Kerala Science Congress / other similar programmes			
	xi.	Project formulation & Submission for International funding			
	xii.	Project formulation & Submission to other agencies for funding			
	xiii.	Member in external/ internal recruitment of temporary or permanent staff			
	xiv.	Outreach material/ General Article/Popular article / Research communications / Mass Awareness etc			
	xv.	Any other important activity/ scientific dissemination			
	xvi.	Social impact created			
		Total (8)			
9		**Peer Recognition/ Awards/ Affiliation to Professional Societies: (25 marks)**			
	i.	External Ph. D viva or comprehensive exam/ DC member/ State, District level science programmes evaluator etc.			
	ii.	Editorial Board activities			
	iii.	Reviewer of papers			
	iv.	Membership/ Fellows/ Honors			
	v.	Good service entry / State Award			
	vi.	Letter of Appreciation			
	vii.	Awards for books, articles etc.			
	viii.	Best paper award in Conference (SCI/SCOPUS Indexed/ Professional societies/KSC):			
	ix.	Best poster award in Conference (SCI/SCOPUS Indexed/ Professional societies/KSC):			

			Reportee	Reporting Officer	Reviewing Officer
	x. Affiliation to Professional Societies:				
	Total (9)				
10	**Institutional development/support activities (25 marks)**				
	i. Facilitation of income generation to the institute through project deliverables (> one lakh):				
	ii. Funds raised/generated				
	iii. Management support documents				
	iv. Providing scientific input to Govt. / Committees / other agencies				
	v. Implementing Centre Sector Schemes/Central supported schemes				
	vi. Scientific Services / Field Visit / Investigation				
	vii. Other important activities directed by DIR / MS / EVP / Govt.				
	viii. Skill development / Entrepreneurship Development programmes coordinated / organized				
	ix. Scientific output / technology transfer enabled				
	x. Fund utilized against fund provided				
	xi. Extension/ outreach activities through training on specialized areas				
	xii. Support to startups / incubation facilities				
	xiii. Value addition to existing schemes				
	xiv. Novelty introduced in the schemes and programmes				
	Total(10)				
	Grand Total***				
	Signature		Reportee	Reporting Officer	Reviewing Officer

*Column (D) to be filled by the Scientist reported upon.

** Column (E) to be filled by the Reporting Officer.

***Grand total: Sum total of marks in eight groups for which highest marks have been scored by the assessee, limiting to 200 marks.

Kerala State Council for Science, Technology & Environment

Marking Scheme for AWR – Guidelines (Maximum marks – 200)

Sl. No.	Item	Max Score	Basis to award marks
1	**Technical reports**	25	• Technical report (excluding Consultancy project reports) with external funding: • PI/ Project Leader 20 marks; Co-PI 10 marks; and 7 marks each for Co-investigators • Technical report (excluding Consultancy project reports) with plan fund: • PI/ Project Leader 15 marks; Co-PI 8 marks; and 5 marks each for Co-investigators • Book authored (with ISBN): 25 marks for 1st author, 20 for 2nd author, 15 marks for 3rd author and 10 marks for remaining authors. Additional 5 marks for books in Malayalam (limiting to 25 marks). • Book authored (without ISBN): 15 marks for 1st author, 10 for 2nd author, 7 marks for 3rd author and 6 marks for remaining authors. Additional 5 marks for books in Malayalam. • Edited books/ proceedings (with ISBN): 15 marks for 1st editor, 10 marks for 2nd editor and 7 marks for all other editors. Additional 5 marks for books in Malayalam. • Edited books / proceedings (without ISBN): 10 marks for 1st editor, 7 marks for 2nd editor and 5 marks for all other editors. Additional 5 marks for books in Malayalam. • Annual Institutional report - 15 marks for each editor • Book chapter: 1. In books with ISBN – 15 marks for 1st author, 10 for 2nd author and 5 marks for remaining authors. (Additional 5 marks for books in Malayalam) 2. In books without ISBN – 8 marks for 1st author; 5 marks for 2nd author; and 3 marks for 3rd author. (Additional 5 marks for books in Malayalam) • Other S& T product/ concept paper/ document (per product / document):8 marks for 1st author; 5 marks for 2nd author; and 3 marks for 3rd author. In case of document authored by a group, 5 marks for each author
2	**Technical publications**	25	• Journal (SCI/SCOPUS, PubMed, CABI, Biological abstracts, Chemical abstracts, NAAS, UGC-CARE, Web of Science indexed) with Impact factor>3:

			• 25 marks for 1st author/ corresponding author/ main supervisor of the work; 20 marks for 2nd author; 15 marks for 3rd author and 10 marks each for others • Journal (SCI/SCOPUS, PubMed, CABI, Biological abstracts, Chemical abstracts, NAAS, UGC-CARE Web of Science indexed) with Impact factor <3: • 20 marks for 1st author/ corresponding author/ main supervisor; 15 marks for 2nd author, and 10 marks for 3rd author and 5 marks each for others. • Peer- reviewed journals: 15 marks for 1st author/corresponding author/main supervisor, 10 for 2nd author and 5 marks for remaining authors. • Conference(SCI/SCOPUS Indexed/ Professional societies/ Kerala Science Congress): 10 marks for each author • Other conferences (National / State level/ Regional Conference): 5 marks for each author • Number of citations (SCI/SCOPUS) – 5 marks for a block of 5 citations.
3	**Workshop/Course conducted/ Brainstorming session/ seminar/webinar organized**	25	• Training course organized/coordinated (≥ 5 days) with external funding: 20 marks to be divided equally if more than one organizer/coordinator. • Training course organized/coordinated (≥ 5 days) with plan fund: 15 marks to be divided equally if more than one organizer/coordinator. • Training course organized/coordinated (< 5 days) with external funding: 15 marks to be divided equally if more than one organizer/coordinator. • Training course organized/coordinated (< 5 days) with plan fund: 10 marks to be divided equally if more than one organizer/coordinator. • Brain Storming Session/ Workshop organized/ coordinated: 15 marks to be divided equally if more than one organizer/coordinator. • International conference/ seminar/ webinar/ symposia organized: 20 marks for Convenor/ Organizing Secretary; 15 marks for Jt. Organizing Secretary; and 7 marks each for other members • National Conference/seminar/webinar/symposia organized: 15 marks for Convenor/ Organizing Secretary; 10 marks for Jt. Organizing Secretary/ Joint Convenor; and 5 marks each for other members • State/Regional Conference/ seminar/webinar/ symposia organized: 10 marks for Convenor/

			Organizing Secretary; 7 marks for Jt. Organizing Secretary / Joint Convenor; and 5 marks each for other members
			• External /Internal Training course / Webinars attended: 10 marks for ≥ Two weeks; 5 marks for 5-10 days; 1 mark per day for<5 days.
			• Attending International / National / State / Regional conference/ workshop / symposium: 8 marks for International, 5 for National and 3 for State/Regional (per programme)
			• Demonstration/ Exhibition/ New Training courses designed / coordinated / : 10 marks
			• Demonstration/ Exhibition participated: 5 marks
			• Management of inter-institutional scientific collaboration/ industry- academia linkage: 10 marks
			• Master of ceremony/compering/chairing- 5 marks
4	Management of schemes for fostering Research & Innovation / S&T promotion/ Sponsored R&D/ Consultancy Projects, Field Investigations Laboratory Investigations, Laboratory Investigations	25	• Management of schemes for fostering Research & Innovation/ S&T promotion: 20 marks for In-charge
			• Consultancy project/technical services of >30 lakh. PI 20 marks,10 marks for Co-PI and 8 marks each for Co-PIs/member (max 5 eligible)
			• Consultancy project/technical service of 10-30 lakh. PI 15 marks,10 marks for Co-PI and 7 marks each for Co-PIs/member (max 4 eligible)
			• Consultancy project/technical service/sponsored project of <10 lakh. PI 10 marks, 7 marks for Co-PI and 4 marks each for Co-Is (max 2 eligible)
			• Sponsored project of > 20 lakh. PI 20 marks, 10 marks for Co-PI and 8marks each for Co-PIs/member (max 5 eligible)
			• Sponsored project of 10 - 20 lakh: PI 15 marks,10 marks for Co-PI and 7 marks each for Co-PIs/member (max 4 eligible)
			• Sponsored project of <10 lakh. PI 10 marks,7 marks for Co-PI and 4 marks each for Co-PIs/member (max 2 eligible)
			• Development & operation of field station/ observatory/ laboratory/ Genetic resources conservation and database management: 15 marks
			• Social impact created through schemes/ programmes/ S&T popularization/ extension activities/ outreach activities : 20 marks
			• Software project Management/ website management/ software updating : 20 marks

5	Keynote lectures/ invited talks delivered / organized	25	15 marks for Keynote lecture/ invited talk in international/ national conferences 10 marks for each lecture/ talk delivered in State level programmes 10 marks for each TV / Radio talk 5 marks for each laboratory session/ tutorial 5 marks for Chairing/ Co-chairing a technical session - Organizing an invited talk: 8 marks for each programme organized
6	Administrative/ Management responsibilities	25	- Head/ SIC/Coordinator of Division/ RC/ Co-ordinator of Scientific Schemes & Programmes / Coordinator of Mega Projects/ Procurement Officer: 20 marks - Up keeping of hardware and peripherals: 20 marks. - State Public Information Officer/ Assistant Public Information Officer / Networking Officer / Documentation Officer: 20 marks - Members of Permanent Committees(GPC/ Quotation opening/ Technical Specifications/ Grievance / Annual Report/Annual plan/ Purchase committee/ management committee): 10 marks per committee - Coordinating the meetings of various committees: 10 marks / meeting - Attending meetings on behalf of EVP / MS / DIR / Representing KSCSTE: 10 marks / meeting - Documentation of information collected: 10 marks - Member of Special Purpose Committee (Events / others) : Max 5 marks per committee - Management of Hostels as Warden/Asst Warden : 10 Marks
7	Member of Committees, Project proposal/paper Evaluation, Guiding MTech./ Ph.D. students	25	- Nodal officer of National programmes – 15 marks - Nodal officer State Programmes – 10 marks - Member of committees constituted by various organizations: 5 marks per committee - Project proposal/ Research paper/ Technical Report / Book/ Standard Evaluation: 3 marks per evaluation - Guiding Ph. D. students(on submission): 15 marks per student - Post-Docs facilitated/ Mentor– 5 marks per student - Ph.Ds facilitated – 5 marks per student - PG students facilitated – 3 marks / student; UG students facilitated – 2 marks / batch Screening and Review of proposals / application etc. – 10 marks

			• Guiding PG students(on submission): 5 marks per student
			• Ph D Thesis evaluation;10 marks per thesis
			• PG Thesis/ dissertation evaluation: 5 marks per thesis
8	**Other important activities like Patent/ Drafting Standards/ Manuals / Outreach material, general articles, software package, project formulation etc.**	25	• Patent awarded: 25 marks, to be divided if more than one investigator
			• Patent/GI filed: 15 marks
			• Facilitation of patent/GI filing: 10 marks
			• Identification of new species/ Release of new varieties/ development of new protocols: 25 marks
			• Research Protocol Developed/ Genbank submission/ Management practices developed:15 marks for each
			• Product development projects: 15 marks
			• Publications/recognition from supported project- 10 marks for more than five publications; 5 marks for less than five publications
			• Solution to referred problem / technology package developed or implemented in field/ standard drafting/ software package/ manual developed: 25 marks to divided if more than one investigator
			• Election duty: Max 15 marks for Flying squad; 10 marks to Zonal/ Sectoral Magistrate; 8 marks for PO/ MO
			• Organizers of Vigilance Week/ Trade Fair/ Stock Verification/ Exhibition/ Observance of Important days etc.: 8 marks per activity
			• Inputs for Annual Report/ e-governance/ARC/DST or KSCSTE documents: Max 8 marks for compilation of inputs programmes of SIC / for the whole Division / RC/ CFMS/Unit etc.
			• Organizing / sub-committee member of Kerala Science Congress / Children's Science Congress / other similar programmes: 5 marks per membership.
			• Project formulation & submission for International funding: 15 marks
			• Project formulation & submission for funding to other agencies: 10 marks for each proposal
			• Member in external/ internal recruitment of temporary or permanent staff including screening committee: 5 marks for each committee
			• Outreach material including video/audio/ General Article / Popular article / Research communications / Mass Awareness etc.: Maximum of 6 marks

			• Any other important activity / Scientific dissemination: 5 marks • Social impact created – 10 marks for each programme
9	**Peer Recognition/ Awards/ Affiliation to professional societies etc.**	25	• External examiner in PhD viva or comprehensive exam/ DC member- 15 marks • State / District level science programmes evaluator etc.– 10 marks each • Editorial Board activities – 10 marks • Reviewer of papers– 10 marks per paper • Good service entry/ State awards – 15 marks • Letter of Appreciation – 10 marks each • Awards for books, Articles etc. – 15 marks each • Best paper award in Conference (SCI/SCOPUS Indexed/ Professional societies/KSC): 15 marks for 1st author; 10 marks for 2nd author and 8 marks each for others • Best poster award in Conference (SCI/SCOPUS Indexed/ Professional societies/KSC): 10 marks for 1st author; 8 marks for 2nd author and 5 marks each for others • Affiliation to Professional Societies:15 marks for Office bearers, 10 marks for Executive Committee member • Life Member / Honours/ Fellow- 10 marks in the year of membership • Member – 8 marks in the year of membership
10	**Institutional Developmental/support Activities**	25 marks	• Facilitation of income generation to the institute through project deliverables (> one lakh): 15 marks • Funds raised/generated: 10 marks • Providing scientific input to Govt. / Committees / other agencies – 10 marks • Implementing Centre Sector Schemes/Centre sponsored scheme – 20 marks • Scientific Services / Field Visit / Investigation: 20 marks for each • Other important activities directed by Director/ MS / EVP / Govt.: 10 marks • Skill development / Entrepreneurship Development coordinated / organized: 20 marks • Management support documents - 10 marks for each document • Scientific output / technology transfer enabled: 10 marks • Fund utilisation against fund provided (financial Progress) ➢ 75% - 20 marks

			➢ 50% to 75% - 15 marks
			➢ < 50% - 10 marks
			• Extension/ outreach activities through training on specialized areas:
			➢ ≥ 5 days: 20 marks to be divided equally if more than one organizer.
			< 5 days :15 marks to be divided equally if more than one organizer
			• Support to start-ups/incubation facilities 20 marks
			• Value addition to existing schemes 10 marks
			• Novelty introduced in the schemes and programmes 10 marks

NOTE

- Freshly recruited Scientist will be awarded 25% extra marks for all items in the first two years, restricted to overall 200 marks

- In case a scientist is on deputation, mapping of marks during the period of deputation will be done by the Director based on the performance of the scientist at the borrowing organization. The Scientist will have to submit the APAR in the same format duly endorsed by the reporting officer of the borrowing organization.

- In case of maternity leave/study leave/ long leave on medical grounds (any leave not less than six months), the assesse will be awarded 50% extra marks, restricted to overall 200 marks