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Personnel & Administration Division — Revised guidelines for promotion of academic faculty under the 3-3-4 Scheme— orders issued

PERSONNEL & ADMINISTRATIVE DIVISION

No. P&A.I/X/.../ SCTIMST/2018

Date: 26.10.2018

14.11.2018

- Ref: - 1. Order no. P &A.I/X/12/SCTIMST/2016 dated 01.04.2016
2. Order no. P &A.I/X/101/SCTIMST/2018 dated 21.09.2018
3. Report of the Committee constituted to review the 3-3-4 Guidelines
4. Order no. V-16020/57/2008-ME-I (P1) dated 25.09.2012 of MoHFW (Dr Sneh Bhargava Committee Report)
5. Resolution no. IV.7 of the 103rd GB dated 15.10.2018

ORDER

While approving the guidelines for promotion of academic faculty of the 3 Wings of the Institute under the 3-3-4 Scheme, the Governing Body (GB), vide the reference cited as 1 above had permitted a few relaxations from the Sneh Bhargava Committee Report (ref: 4) in authorship criteria of publications (second/last authorship of original articles, case reports/correspondences, book chapters and chief editorship of peer reviewed journals), and extra mural grants for higher posts, for a period for 3 years (2016-2018).

On the expiry of the said 3 year period, a Committee was constituted (ref: 2) by the Director for reviewing the existing 3-3-4 guidelines as per the GB directives and to recommend the revised guidelines in line with the Dr Sneh Bhargava Committee Report for implementation from 2019 onwards.

The GB, vide its Resolution cited as 5 above, considered the Committee's Report and approved the revised 3-3-4 guidelines based on Sneh Bhargava Committee Report (Order no. V-16020/57/2008-ME-I (PI) dated 25.09.2012) as applicable to the academic faculty of the Hospital wing of the Institute and suitably modified for the faculty of the BMT wing and AMCHSS, along with the Computer Division and the Division of Clinical Engineering (DCE) in the Hospital wing based on the nature of the work, for the 3-3-4 scheme of FCP for the academic faculty w.e.f 2019 onwards.

The SSSC would make the final recommendation for promotion taking into consideration an overall qualitative and quantitative assessment of all components of a candidate's performance

GB approved the switching from Annual Confidential Report (ACR) to the Annual Performance Appraisal Report (APAR) adopted from NIMHANS and suitably modified based on nature of

work of the three wings of the Institute and the use of APARs pertaining to the residency period for assessment for promotion.

With regard to Senior Grade Professorship, the Sub-Committee of SSSC constituted by the GB for this purpose will continue to evaluate the CV and work performance of professors who apply for Senior Grade. Hereafter, the Committee will apply the same criteria for promotion to Professor as recommended by the Sneh Bhargava Committee as the minimum required for Senior Grade. Eligible candidates fulfilling the said criteria, alone would be promoted to Senior Grade. GB directed that it was not mandatory to recommend Senior Grade Professorship, if applicants did not satisfy eligibility criteria.

GB approved the Institute's proposal to foster research in the Hospital Wing by providing seed money as recommended in Sneh Bhargava Committee Report to Assistant Professors and Scientists D (direct recruitment) in the Hospital Wing to help them do initial research that will help them compete for extra mural funds in future. These proposals have to be peer reviewed and cleared by the Internal Review Committee and the Institutional Ethics Committee (IEC). The Institute will be putting a system in place for the same. GB approved Institute's proposal to keep aside Rs 50 Lakh – Rs One Crore for this purpose from its internal revenue each year.

The revised 3-3-4 guidelines adopting the recommendations of the Sneha Bhargava Committee Report as applicable to the Institute and its Hospital Wing and as suitably modified for the Biomedical Technology (BMT) Wing and the Achutha Menon Centre for Health Science Studies (AMCHSS), duly incorporating the GB directives – is appended herewith.



DIRECTOR

To Notice Board (Hospital Wing/ AMC/BMT wing)/Website

Copy to: - Sr. Dy. Director (Admin)/FA/CAO/Sr. Accounts Officer (R&P Cell/BMT)
Executive Secretary to Director/IAO/A.O (Hospital /BMT)



**Sree Chitra Tirunal Institute for Medical Sciences and Technology
(SCTIMST)
Thiruvananthapuram**

**Guidelines for assessing applications from Academic Faculty for FCP
promotion under the 3-3-4 scheme for the three Wings of the Institute**

Guidelines for assessing applications from academic faculty for FCP promotion under the 3-3-4 scheme for the three wings of the Institute

Ref:

- 1) No. P&A.I/X/201/SCTIMST/2018 dated 21.09.2018
- 2) Order No. P & A.I/X/12/SCTIMST/dated 01.04.2016

The Director had appointed a committee vide order No.Per.&Admn.1/X/76/SCTIMST/2015, dated 07.12.2015 to draft guidelines for the promotion of faculty / scientists / engineers in the three wings of the institute. The Committee used the Sneh Bhargava Committee (SBC) report issued by the GOI dated 25th September, 2012, No.V-16020/57/2008-ME-1 (Pt.) Govt. of India, Ministry of Health and Family Welfare for medical doctors in Institutes under MOHWF, as reference for evolving the criteria for the hospital wing of SCTIMST. Similar general principles were applied to the BMT wing and Achutha Menon Centre for Health Science Studies (AMCHSS) but based on their nature of core activities.

The committee recommendations were placed before the 93rd Governing Body meeting held on 15.3.2016. A few relaxations from the SBC report, were given and that was approved for a period of 3 years only (2016-2018). Thereafter the criteria would be revised as per SBC report. Accordingly, order No.P&A.1/X/12/SCTIMST/2016 dated 1.4.2016 was issued for implementation of the 3.3.4 guidelines in the Institute. The Institute had conducted three SSSCs (2016, 2017 and 2018) under the scheme.

Since the three year period expired in April 2018, Director nominated a committee to review/revise the current 3.3.4 guidelines of the Institute in line with the SBC report. The committee proposed to implement SBC recommendations in the hospital wing and these were suitably modified to the core activities of the other two wings of the institute namely, BMT wing, AMCHSS wing and also the two service departments in the hospital wing: clinical engineering and computer division.

GB examined the report in detail and noted that the committee had adopted the recommendations of the SBC report as applicable to the institute and its hospital wing and suitably developed the same for the BMT wing and AMCHSS. Furthermore, GB noted that peer reviewed intramural and non funded research projects approved by IEC should be separately listed and due credit should be given for fulfilling mandatory extramurally funded projects. GB was informed that external peer

review process of non funded and intramural funded projects will be initiated from January 2019, and it will not be applicable for the SSSC of 2019 July.

Processes and Time Schedule for Promotion under FCP

All applicants for promotion are required to submit an application duly filled in, signed and forwarded by the head of department, in the prescribed format. For promotion from Assistant Professor/ Scientist D / Engineer D to Associate Professor / Scientist E/Engineer E, the applicant should complete three years in the current post; for promotion from Associate Professor / Scientist E / Engineer E to Additional Professor / Scientist F / Engineer F, this period will be three years, and from Additional Professor/ Scientist F/ Engineer F to Professor/ Scientist G / Engineer G, it will be four years. This will be referred to as the residency period, and it is expected that the applicant has been working as a full time faculty at the Institute during this time (except for personal eligible leaves).

Internal Screening and Peer Review

The applications will be reviewed by an Internal Screening Committee (ISC) constituted for the purpose separately for each department, which will submit a report on the work done by the faculty in the prescribed format. This report and the resume submitted by the faculty would be assessed and graded by a peer reviewer from another Institution.

Screening by the Senior Staff Selection Committee (SSSC)

The report of the ISC, the grading by the peer reviewer and the Annual Performance Appraisal Report (APAR) of the applicant will be reviewed by the SSSC along with the performance in interview of the faculty. The SSSC will recommend promotion based on grading for overall performance vis a vis the necessary bench marks for promotion. The constitution of SSSC will be as per SCTIMST act. All members and experts after the interview shall individually grade the faculty from A+ to C

Outstanding = A+, Very Good = A, Good = B+, Average = B, Poor = C

For promotion to Associate Professor / Scientist E / Engineer E and Additional Professor / Scientist F / Engineer F, the **benchmark to be applied by the SSSC will be A.**

For promotion from Additional Professor/ Scientist F/ Engineer F to Professor / Scientist G/Engineer G, the **benchmark to be applied by the SSSC will be A+**

Annual Schedule to be followed for the FCP: The recommended time schedule is

| |
|---|
| Call for Applications in specific format (Jan) |
| Receive completed applications (Feb) |
| Refer to Internal Screening Committee (Mar) |
| Refer for Peer Review (Apr) |
| Personal Interview of candidate by SSSC (June - July) |
| Approval by GB (Aug) |
| Declaration of results (Sept) |
| Issue of promotion orders (Sept) |

Appeals against the recommendations of the Senior Staff Selection Committee

Candidates who appeared for the promotion interview can appeal against the decisions of the SSSC to the Governing Body after the results are announced. In case of appeals, the GB should scrutinize the appeals as to whether they should be entertained. If any appeal/representation has a reasonable basis, the same should be referred back to the SSSC for reconsideration and the subject experts assisting the SSSC during the reconsideration, should not be the same who participated in the original selection. The recommendations will be forwarded to GB.

Review of Candidates found unfit for promotion under FCP

Candidates found unfit for promotion under FCP will continue in the same cadre. There would be no bar or ban on consideration for FCP in the succeeding year(s) for candidates found unfit under FCP during the first year of their eligibility.

Period of Absence from Institute

The FCP requires a minimum period of service at each level before a faculty can be eligible for next promotion. Therefore, faculty members taking assignments outside the Institute would normally not be eligible for consideration under the FCP unless they have put in the required years of service in the Institute and will be as per the rules of the institute during the relevant period.

While relieving faculty for taking up such assignments, the relieving order must clearly specify whether the period of absence from the Institute would count towards eligibility under the FCP or not.

Period of training / service with national/international/multinational agencies dealing in health sector (services) which is treated as duty would, however, be counted for eligibility under FCP.

Child care leave of maximum 6 months' duration would be considered for assessment purposes under FCP.

Infrastructure

Institute's thrust areas of research are health sciences research, applied biomedical research and medical research in cardiac & neuro sciences. Faculty should apply to national, international agencies for funds. Institute will provide seed fund sanctioned by the GB from time to time to entry level clinical faculty & scientist (D or C) in the hospital wing as per SBC report

These guidelines shall take effect from the year 2019.

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Criteria for faculty promotions under the FCP scheme

Hospital Wing

Guidelines:

1.Clinical / Para clinical / Basic sciences departments

These guidelines based on Sneh Bhargava Committee Recommendations will apply to promotions to the faculty post in the grades of Associate Professor/Scientist E, Additional Professor/Scientist F and Professor/Scientist G from 2019 onwards. The time frame for such promotions is:

- (i) Three years experience as Assistant Professor/Scientist D to be eligible for promotion as Associate Professor/Scientist E
- (ii) Three years experience as Associate Professor/Scientist E to be eligible for promotion as Additional Professor/Scientist F
- (iii) Four years experience as Additional Professor/Scientist F to be eligible for promotion as Professor/Scientist G

Functions of faculty & allocation of time

The faculty under reference is usually expected to devote time to:

- (i) Teaching and Training
- (ii) Research
- (iii) Patient care / Service delivery
- (iv) Corporate activities

Apportionment of faculty timings among these functions is expected to be as under:

Clinical departments

- (i) Teaching and Training 30%
- (ii) Patient care 30%
- (iii) Research 30%
- (iv) Corporate Activities 10%*

Para-clinical departments (Pathology, Transfusion Medicine, Microbiology and Biochemistry)

- (i) Teaching and Training 30%
- (ii) Service delivery 30%
- (iii) Research 30%
- (iv) Corporate Activities 10%*

Basic Science department (Cellular& Molecular Cardiology)

- (i) Teaching and Training 45%
- (ii) Research 45%
- (iii)Corporate Activities 10%*

*Corporate activities include serving on various Department/Institutional/National Academic Committees

Since teaching and research go hand in hand a 10-20% variation in time would be an acceptable norm.

For the clinical departments, faculty should be given 30% research timing (one day a week, apart from 2nd and 4th Saturdays (considered as academic holidays) or 4 days/month. Departments are requested to roster the research postings at the beginning of the month to enable the faculty to plan their research activity. It should be noted that attendance during 1st and 3rd Saturdays' departmental academic activities are considered under Teaching and Training.

Criteria for evaluation of performance (during assessment period)

The evaluation of faculty for promotion under the Flexible complementary promotion(FCP) scheme would be based upon the following parameters (as per Sneh Bhargava Committee recommendations):

A. Teaching & Training

Evaluation shall be based upon:

- I. Didactic lectures delivered
- II. Participation in Departmental, institutional, programs sponsored by National Associations and other educational Institutions, educational exercises i.e. Continuing Medical Education, Grand rounds, Seminars, Workshops
- III. Clinical teaching exercises
- IV. Interdepartmental teaching
- V. Mentorship & guidance provided to students for thesis work
- VI. Visiting professorships
- VII. Question Bank Formation
- VIII. Student Feed back
- IX. Production of teaching Material/Books/Monographs/Technical Manuals
- X. Innovation in teaching methods introduced

Details of the above stated activities will be maintained in a self- reporting log/ proforma and would be made available to the internal screening committee.

B. Research

Subject to the flexibility allowed, 25-30% of working time should be captive time for research. This would be assessed on the following parameters and is mandatory when considering promotions of faculty:

Grants obtained (mandatory)

| | |
|--------------------------------------|------------------------------------|
| As Assistant professor/ Scientist D | Intramural or extramural grant-one |
| As Associate professor/ Scientist E | Extramural grant-one |
| As Additional professor/ Scientist F | Extramural grants-two |

- This requirement is to be met while in a post for promotion to the next higher post.
- The grant could be held either as Principal Investigator or as Co-investigator.
- Peer reviewed(external) ethics committee approved non funded grants would also be given the same weight-age considered for evaluation.
- Institute will establish Scientific Advisory Committees.
- Certificate of attendance in Research Methodology course is **mandatory** for all faculty.

C. Publications (mandatory)

For consideration for promotion under the FCP scheme faculty are required as a part of their research activities to publish papers as under (This will also apply for direct recruitment to the respective levels):

| Applied post | Publication in PubMed/Scopus/Embase indexed journals (mandatory) |
|-----------------------------------|---|
| Assistant Professor /Scientist D | At least 3 publications of which at least 1 should be as first author |
| Associate Professor/Scientist E | 3-5 papers during the assessment period of which at least 1 should be as first/corresponding author of original article |
| Additional Professor /Scientist F | 5-7 papers during the assessment period of which at least 2 should be as first/corresponding author of original articles |
| Professor / Scientist G | 5-10 papers during the assessment period of which at least 3 should be as first/corresponding author of original articles . The publication should be focused in a particular research area in the specialty |

Evaluation of published papers would be done on the basis of:

- Number of papers published in
 - National journals
 - International journals
- Total citation index
- Average (5year) impact factor of journals
- Quality of publications
- Number of PhD scholars being guided would be given due credit
- Patents earned will be given due credit
- Elected membership/fellowship of medical and science academies is a desirable achievement and will be given due credit

D. Patient Care Services

The criteria for assessment of performance in delivery of Patient Care services would be as follows:

Clinical

- I. OPD's clinics attended per month
- II. IPD duties assigned and done per month
- III. Procedures / surgeries undertaken
- IV. New techniques developed
- V. New Services started, Creation of disease management programs for care-continuum
- VI. Destination programs (High excellence)
- VII. Interdisciplinary clinical treatment that are pace setters for other systems to adopt
- VIII. Development of new care models/ care delivery methods

5/8 criteria should be fulfilled while applying for Addl. Professor/Professor and 4/8 for other posts. For items no: IV to VIII proof to be provided which are to be certified by the HoD

Para-Clinical

- I. Work-load
- II. New diagnostic tests/techniques introduced

NB:Every Institution would establish departmental collegiums comprising of the HoD and the next two senior most faculty members in the Dept. for apportioning time for patient care services by individual faculty which would be communicated to the administration for record and subsequent assessment under the FCP.

E. Corporate Activities

This would include participation by faculty in activities promoting the objectives of the institute, smooth functioning of the department(s). Faculties of national institutes are also called upon to serve on various committees of national and international scientific, educational and health care Institutions/organizations and by Industry as well. These activities-would be given due credit.

For promotion to Associate Professor and Additional Professor the benchmark to be applied by the Senior Staff Selection Committee (SSSC) would be ‘A’

For promotion from Additional Professor to Professor the benchmark to be applied by the SSSC would be ‘A+’

Note to GB (Clarifications of Variations from Sneh Bhargava Committee Recommendations)

1. Page 8 (Grants Obtained): The committee recommended adding extra mural grant also in addition to Intramural grant under grants obtained during Assistant Professorship /Scientist D because faculty at this level may hold extra mural grants but not intra mural.
2. Page 8 (Peer-reviewed, intra mural or non-funded projects): The committee found from NIMHANS, Bangalore that, non-funded IEC approved projects would be given same weightage as externally funded projects by the Sneh Bhargava Committee only if they are peer reviewed by external experts. So peer-review of projects may be introduced in the institute.
3. Page 8,9 (Publications): The committee noticed difference in the row titles in the tables for Grants (only 3 levels-Assistant Prof to Additional Prof) and Publications (4 levels-Assistant Professor to Professor). So the committee clarified it by labelling table for grants with 3 level row heading ‘As’ to indicate performance in that level and in the table for publication as ‘for’ to indicate level of higher post.

4. Page 9 (Publication indexing): Along with indexing with Pubmed, the committee added Scopus and Embase to include publications relevant to the 3 wings of the institute.
5. Page 9 (Publications- Professor): The committee modified 'The publication should be focused in a particular research area' as 'The publication should be focused in a particular research area in the specialty' to give clarity to 'research area'.
6. Page 9 (Average Impact factor): Duration was not given. Hence the commonly used 5 year period of a journal was applied as '5 years impact factor'
7. Page 10 (Patient Care Services): Out of 8 clinical criteria, the committee decided that the applicants need to fulfill minimum of 5/8 for becoming Addl. Professor and Professor and 4/8 for lower posts as it may be difficult to achieve all. Those who achieve more may be given due credit.
8. In the ISC & Peer review report form and FCP Application form: the OPD clinics, IPD duties and the Corporate Activities could be expanded to include all the specialties and the different types of Corporate activities relevant to SCTIMST.

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INTERNAL SCREENING COMMITTEE (ISC) & PEER REVIEW FORM
Hospital Wing

FCP assessment of Faculty

1. Post applied for:
2. Name:
3. (i)Employee Code:
 (ii)Designation:
 (iii)Department:
4. Date of entry at the present post:
5. Due date of FCP:
6. Residency period:
 (3/3/4 years)
7. Any leave taken that does not count for the assessment period:

| Criteria | Details verified by ISC Yes / No Comments if any | Peer Reviewer Comments |
|--|---|------------------------------|
| A. Teaching & Training I. Didactic lectures delivered II. Participation in departmental, institutional, programs sponsored by national associations and other educational Institutions, educational exercises i.e. Continuing Medical Education, Grand rounds, Seminars, Workshops III. Clinical teaching exercises IV. Interdepartmental teaching V. Mentorship & guidance provided to students for thesis work | | |

| | | |
|--|--|--|
| VI. Visiting professorships | | |
| VII. Question Bank Formation | | |
| VIII. Student Feed back | | |
| IX. Production of teaching Material/Books/Monographs/Techn ical Manuals | | |
| X. Innovation in teaching methods introduced | | |
| B. Research (Mandatory) Projects: <i>[Title, Role(PI/Co-PI/Co-Inv), Duration, IEC no, Funding agency and Funds received]</i> <ul style="list-style-type: none"> • Extramural funded • Peer reviewed Intramural funded • Peer-reviewed Non-funded | | |
| C. Publications (Mandatory) <ul style="list-style-type: none"> • Pubmed/Scopus/Embase indexed publications only to be listed: Authors, Title, Journal, year; volume: pages • No of original articles published as first/corresponding author (Mandatory) • No of papers published as any author: Original articles & Other articles • Average (five-yr) Impact factor of the journals and Total Citation index of publications | | |
| Patents filed / granted | | |
| Number of PhD scholars guided | | |
| Elected membership / fellowship of medical or science academies | | |
| D. Patient Care Services (Proofs for items IV to VIII to be maintained in log & verified and certified by HoD) <u>Clinical</u> <ol style="list-style-type: none"> OPD / Clinics / Pre-procedural Assessment/imaging consultations per month | | |

| | | |
|--|--|--|
| <p>II. IPD duties: Ward / ICU rounds / Imaging & reporting / Emergency duties / Interdepartmental consultations per month</p> <p>III. Surgeries / Procedures /Advanced imaging undertaken</p> <p>IV. New Techniques developed</p> <p>V. New Services started, creation of disease management programs</p> <p>VI. Destination programs (high excellence / centers of excellence)</p> <p>VII. Interdisciplinary clinical treatment that are pace setters for other systems</p> <p>VIII. Development of new care models/care delivery methods</p> <p><u>Para-Clinical</u></p> <p>I. Work-load</p> <p>II. New diagnostic tests / techniques introduced</p> | | |
| <p>E. Corporate Activities</p> <p>i. Organizing conferences / workshops / CMEs: participation as Organizing Chair persons / Organizing Secretaries / Scientific Committee Chair or Co-Chair persons / Chief Co-coordinators</p> <p>ii. Departmental Academic Activities: Program-in-Charge, Program Coordinator, TAC / IEC memberships, Membership of Institutional Administrative/Academic /Selection committees/ Board of Studies</p> <p>iii. Office bearer of Regional / State / National/International Professional Societies as President, Secretary, Treasurer</p> | | |

| | | |
|--|--|--|
| iv. Membership of task forces or project review committees at the state / national / international levels, MCI & National Board of Examinations Inspection team member/Consultancy | | |
|--|--|--|

Final Report of the Internal Screening Committee on the work done by the faculty during the residency period including mandatory research and publications

Signature:

Name:

Designation:

Signature:

Name:

Designation:

Date:

Assessment and Grading of the faculty by Peer Reviewer

Grade of the Applicant: Outstanding 75% (A+) / Very Good 70% (A) / Good 65% (B+) / Average (B) / Poor (C)

[Required Grade for the Post:

➤ *for Professor, Scientist G - Outstanding $\geq 75\%$ (A+)*

➤ *for Additional & Associate Professor, Scientist F & E - Very Good $\geq 70\%$ (A)]*

Signature:

Name:

Designation:

Date:

Criteria for faculty promotions under the FCP scheme

Biomedical Technology Wing

Guidelines:

1. Functions of faculty & allocation of time there for.

Faculty of BMT Wing are expected to devote time to

- a. Technology Development
- b. Research
- c. Teaching & Training
- d. Service Delivery
- e. Corporate Activity

Apportionment of faculty time amongst these functions would vary depending on the core area and are to be grouped into four categories viz. Technology Development, Applied Research, Testing Services & Technical Services and time for activities is expected to be as:

| Category-1: Technology Development | |
|---|--------------|
| Technology Development | 60 % of time |
| Research | 15% of time |
| Teaching & Training | 15% of time |
| Service Delivery | Nil |
| Corporate Activity | 10% of time |

| Category-2: Applied Research | |
|-------------------------------------|-------------|
| Technology Development | 15% of time |
| Research | 60% of time |
| Teaching & Training | 15% of time |
| Service Delivery | Nil |
| Corporate Activity | 10% of time |

| Category-3: Testing Services | |
|-------------------------------------|-------------|
| Technology Development | 15% of time |
| Research | Nil |
| Teaching & Training | 15% of time |
| Service Delivery | 60% of time |
| Corporate Activity | 10% of time |

| Category-4: Technical Services | |
|---------------------------------------|-------------|
| Technology Development | 15% of time |
| Research | Nil |
| Teaching & Training | 15% of time |
| Service Delivery | 60% of time |
| Corporate Activity | 10% of time |

The performance of the faculty would be assessed against these components as per the formally assigned weight-age to each component

2. Criteria for evaluation of performance:

The evaluation of faculty for promotion under FCP would be based upon the following parameters:

a. Technology development (Patents & Technology development)

This would be assessed on the following parameters and is **mandatory for category-1** during their assessment period in each level, when considering promotion of faculty:

| | |
|---|---|
| Scientist/Engineer-B | Technology lead -One |
| Scientist/Engineer-C | Technology lead -One |
| Scientist/Engineer-D | Patents -One Technology Transfer/Technology lead* -One |
| Scientist/Engineer-E | Patents -Two Technology Transfer/Technology lead* -Two |
| Scientist/Engineer-F | Patents -Three Technology Transfer/Technology lead* -Three |
| *Phase of Technology development completed (Proof of concept/ Pre clinical safety and efficacy evaluation/ Technology Scale-up/ Clinical evaluation) and listed in the Technology compendium (Annexure-1) | |
| Role of faculty is as Principal Investigator / Principal Phase Investigator | |

Evaluation of Technology development would be done on the basis of

- Risk classification of the product
- Complexity of the product
- Efforts required for commercialisation

In addition, the contribution in the following activities as part of the Technology Transfer will be given due credit

- New process/ technique/ method/ protocol/ test system/ facility/ designed & validated
- Modelling/ Insilico simulation/ Visualisation
- Design of Moulding tool/ Customised equipment/ Assembly jig & fixture/ Process instrumentation
- Prototype development/ Precision fabrication/ Material processing

- Material or Product evaluation matrix / Device regulatory documentation/ Device Master file (Device risk management file/ Design dossier/ Design verification/ Design validation)
- Technology documentation (Product/ Manufacturing process know how/ Defect management, QA,/ QC / Regulatory requirements/ Packaging/ Labeling/ Sterility)

Industry sponsored projects will be given due credit

b. Research (Projects)

This would be assessed on the following parameters and is **mandatory for category-1, 2 3 & 4** during their assessment period in each level, when considering promotion of faculty:

| | |
|---|-----------------------------|
| Scientist/Engineer-B | Intra/Extramural grant- One |
| Scientist/Engineer-C | Intra/Extramural grant-One |
| Scientist/Engineer-D | Extramural grant- One |
| Scientist/Engineer-E | Extramural grant- Two |
| Scientist/Engineer-F | Extramural grant- Three |
| <ul style="list-style-type: none"> ▪ Role of faculty is as Principal Investigator ▪ For faculty in Category-4: Technical Services, infrastructure development in project mode also will be considered ▪ Faculty also must undergo training courses in Research Methodology | |
| <ul style="list-style-type: none"> ▪ BMT Wing has already got a research council (in place of Scientific Advisory Committee) | |

c. Teaching & Training

Evaluation will be based upon:

- Lectures delivered to PhD/M.Tech/M.Phil students & Senior Residents orientation programme
- Participation in Departmental, Institutional, programs sponsored by National Associations and other educational Institutions, educational exercises i.e. Continuing Education, Grand rounds, Seminars
- Mentorship & guidance provided to students for thesis work
- Visiting Professorship
- Production of teaching Materials/ Books/ Monographs/ Technical Manuals
- Innovation in teaching methods introduced
- Elected membership/ Fellowship/ Office bearer of Professional academies/ Societies

Details of the above stated activities will be maintained in a self reporting log/ proforma and would be made available to the internal screening committee

d. Publications

For consideration for **selection to each level**, faculty are required as a part of their research activities to publish papers as given below (**mandatory for category-2 & 3**)

| | |
|----------------------|---|
| Scientist/Engineer-B | Nil |
| Scientist/Engineer-C | At least 2 publications of which at least 1 should be first author |
| Scientist/Engineer-D | At least 3 publications of which at least 1 should be first author |
| Scientist/Engineer-E | 3-5 publications during the assessment period of which at least 1 should be first/ corresponding author of original article |
| Scientist/Engineer-F | 5-7 publications during the assessment period of which at least 2 should be first/ corresponding author of original articles |
| Scientist/Engineer-G | 5-10 publications during the assessment period of which at least 3 should be first /corresponding author of original articles. The publications should be focused in a particular research area |

Evaluation of published papers would be done on the basis of:

- No of papers published in
 - National journals
 - International journals
- Total citation index
- Average impact factor of journals (for the last five years of assessment)
- Quality of publication(s)
- Number of PhD scholars being guided would be given due credit
- Elected membership/fellowship of medical and science academics is a desirable achievement and will be given due credit

e. Service Delivery (mandatory for category- 4)

The criteria for assessment of performance in delivery of services would be as follows

- Work load
- Services delivered
- Accreditation/certification of facilities
- Maintaining accredited/certified facilities
- Test reports/ Calibration certificates generated
- New process/ technique/ method/ protocol/ test system/ facility designed & validated
- Technology assessment/ Market analysis
- Material/ Product evaluation/ Calibration reports
- Technology/ IPR/ IT Infrastructure/ Project Management/ Industrial liaison
- Prototype development/ Precision fabrication/ Material processing
- Study/ Project reports for industry/ funding agency
- Coordinating/ Participating inter-laboratory comparison/proficiency testing
- Participation in Technology development activities
- Participation in Applied research activities

f. Corporate Activity

Participation by Faculty in activities promoting the objectives of the Institute, smooth functioning of the Department(s). Faculty of national institutions are also called upon to serve on various committees of national and international scientific, technical, educational and health care Institutions/ Organisations and by Industry as well. These activities would be given due credit.

Annexure

1. Product Development Phases

Any product development project is considered to have four different phases of development, viz.

- Proof of Concept (PoC) Phase
- Preclinical Evaluation (PCE) Phase
- Scaling up / Transfer of Technology (ToT) Phase
- Clinical Evaluation (MCE) Phase

The key features and deliverables in each of these development phases are enlisted below

| Product Development Phase | Prerequisites | What is involved in this phase | Key deliverables |
|---|--|--|--|
| Proof of Concept Phase | <ul style="list-style-type: none"> • An idea showing promising potential • Hypothesis testing completed • Device characteristics documentation (DCD) completed | <ul style="list-style-type: none"> • Design and Choice of materials • Process know how development and standardisation • Demonstration of safety and efficacy through in vitro / ex-vivo / in vivotrials | <ul style="list-style-type: none"> • Device Design Dossier (DDD) • Material Evaluation Matrix (MEM) • Device Evaluation Matrix (DEM) (Preclinical evaluation protocols) |
| Pre clinical safety and efficacy evaluation | <ul style="list-style-type: none"> • Device Design Dossier (DDD) • Material Evaluation Matrix (MEM) • Device Evaluation Matrix (DEM) | <ul style="list-style-type: none"> • Development of preclinical evaluation protocols <ul style="list-style-type: none"> ○ <i>In silico</i> simulations ○ Physicochemical characterisation ○ <i>In vitro</i> / <i>ex vivo</i> / <i>in vivo</i> evaluations ○ Ageing studies • Comprehensive preclinical evaluation to meet the regulatory requirements | <ul style="list-style-type: none"> • Device Master File (DMF) • Technical Advisory Committee (TAC) Documentation • Ethics Committee Documentation (ECD) • Clinician's Brochure • Clinical Evaluation Protocol (CIP) |
| Technology Scale-up Phase | <ul style="list-style-type: none"> • Device Master File (DMF) | <ul style="list-style-type: none"> • Product scaling up • Pilot production | <ul style="list-style-type: none"> • Technology transfer documentation |
| Clinical Evaluation Phase | <ul style="list-style-type: none"> • Technical Advisory Committee (TAC) Documentation • Ethics Committee Documentation (ECD) • Clinician's Brochure • Clinical Evaluation Protocol (CIP) | <ul style="list-style-type: none"> • Conduct of the clinical evaluation • Documentation for regulatory approval | <ul style="list-style-type: none"> • MCE Report • Device Regulatory Documentation |

Each phase of the project will have a Phase Principal Investigator (PPI) and Phase Co-Principal Investigator (Co-PPI) apart from Co-Investigators, project consultants and external collaborators. The Phase Principal Investigator (PPI) and Phase Co-Principal Investigator may be different for different phases of product development. eg., The PPI of PCE phase may be a person with expertise in preclinical evaluation, the ToT phase may have person with scale up and technology transfer expertise and the MCE phase should have a clinician as the PPI. But, the PPI or Co-PPI of the PoC phase will have to either a PPI or Co-PPI in all subsequent phases.

2. Product Risk Classification of Medical Devices

(Based on Indian Medical Device Rules-2017)

Manufacture and sale of medical devices are subject to regulatory controls. The regulatory agency specifies procedures to be followed by developers / manufacturers during the design, manufacture, and marketing of each device, and describes the manner in which a developer / manufacturer should demonstrate conformity to such procedures. It is widely accepted that oversee of these procedures by the regulatory agencies should increase in line with the potential of a medical device to cause harm to a patient or user. In practice, this is achieved by assigning every medical device into one of four groups – or ‘classes’ - by applying the classification rules described in this document, and specify in separate guidance the different conformity assessment procedures that should apply to each group of devices.

| Level of hazard | Class | Example(s) |
|----------------------------|-------|---|
| Low risk devices | A | Bandages , tongue depressors |
| Low moderate risk devices | B | Hypodermic Needles, suction equipment |
| Moderate high risk devices | C | Lung ventilator, bone fixation plate |
| High risk devices | D | Heart valves, implantable defibrillator |

Probability of harm is influenced by factors such as whether:

- the technology is regarded as mature;
- the device type is the source of many adverse event reports;
- the device’s manufacturer has a long experience of the device and the technologies it embodies;
- the device user is a lay man.

The hazard presented by a particular medical device depends substantially on its intended use and the technology it utilises. Consequently, the classification rules stipulated take factors into account such as, whether the device:

- is life supporting or sustaining;
- is invasive and if so, to what extent and for how long;
- incorporates medicinal products, or human/animal tissues/cells;
- is an active medical device; or delivers medicinal products, energy or radiation;
- could modify blood or other body fluids;
- is used in combination with another medical device

**SREE CHITRA TIRUNAL INSTITUTE FOR MEDICAL SCIENCES & TECHNOLOGY
THIRUVANANTHAPURAM—695 011, INDIA.**

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Grams—Chitramet Phone—(91)0471—2443152 Fax—(91)0471—2446433, 2550728

Email-sct@sctimst.ac.in Web site—www.sctimst.ac.in

ISC REVIEW AND PEER REVIEW FORM

Biomedical Technology Wing

FCP assessment of Faculty

1. Post applied for:
2. Name:
3. (i)Employee Code:
(ii)Designation:
(iii)Department:
4. Date of entry at the present post:
5. Due date of FCP:
6. Residency period:
(3/3/4 years)
7. Any leave taken that does not count for the assessment period:

| a. Technology development (Patents & Technology development) | | |
|--|---|---------------------------------|
| Item | Details verified by ISC (Yes/No) Comments if any | Peer Review Comments |
| Technology Transfer | | |
| Technology leads (Phase of Technology development completed (Proof of concept/ Pre clinical safety and efficacy evaluation/ Technology Scale-up/ Clinical evaluation) and listed in the Technology compendium) | | |
| Indian patents (Filed/granted) | | |
| PCT patents (Filed/granted) | | |
| Design registrations (Filed/granted) | | |
| New process/ technique/ method/ protocol/ test system/ facility/ designed & validated | | |
| Modelling/ Insilico simulation/ Visualisation | | |
| Design of Moulding tool/ Customised equipment/ Assembly jig & fixture/ Process instrumentation | | |
| Prototype development/ Precision fabrication/ Material processing | | |
| Material or Product evaluation matrix / Device | | |

| a. Technology development (Patents & Technology development) | | |
|--|---|-----------------------------|
| Item | Details verified by ISC (Yes/No) Comments if any | Peer Review Comments |
| regulatory documentation/ Device Master file (Device risk management file/ Design dossier/ Design verification/ Design validation) | | |
| Technology documentation (Product/ Manufacturing process knowhow/ Defect management, QA,/ QC / Packaging/ Labeling/ Sterility) | | |

| b. Research (Project) (Attach Sanction letters) | | | | | | |
|---|----------------------|-----------------------|-----------------------------|-----------------|-----------|-----------------------|
| List of Projects | | | | | | |
| Name of the Project | PI/Co-PI/Co-I | Funding agency | Amount | Duration | | Current status |
| | | | | From | To | |
| | | | | | | |
| | | | | | | |
| Details verified by ISC (Yes/No) Comments if any | | | Peer Review Comments | | | |
| | | | | | | |

| c. Teaching & Training | | |
|---|---|-----------------------------|
| Item | Details verified by ISC (Yes/No) Comments if any | Peer Review Comments |
| Didactic lectures delivered | | |
| Lectures delivered to PhD/M.Tech/M.Phil students & Senior Residents orientation programme | | |
| Participation in Departmental, Institutional, programs sponsored by National Associations and other educational Institutions, educational exercises i.e. Continuing Education, Grand rounds, Seminars | | |
| Mentorship & guidance provided to students for thesis work Innovation in teaching methods introduced. | | |
| Visiting Professorship | | |
| Production of teaching Materials/ Books/ Monographs/ Technical Manuals | | |
| Elected membership/ Fellowship/ Office bearer of Professional academies/ Societies | | |

| d. Publications (In SCI/ Scopus/ PubMed indexed journals) (Attach copies) | | |
|--|---|-----------------------------|
| Authors, Title, Journal, year, volume, pages | Impact Factor (at the time of application) | Total Citation Index |
| | | |
| | | |
| Details verified by ISC (Yes/No) Comments if any | | Peer Review Comments |
| | | |

| e. Service delivery | | |
|--|---|-----------------------------|
| Item | Details verified by ISC (Yes/No) Comments if any | Peer Review Comments |
| Work load | | |
| Services delivered | | |
| Accreditation/certification of facilities | | |
| Maintaining accredited/certified facilities | | |
| Test reports/ Calibration certificates generated | | |
| New process/ technique/ method/ protocol/ test system/ facility designed & validated | | |
| Technology assessment/ Market analysis | | |
| Material/ Product evaluation | | |
| Technology/ IPR/ IT Infrastructure/ Project Management/ Industrial liaison | | |
| Prototype development/ Precision fabrication/ Material processing | | |
| Study/ Project reports for industry/ funding agency | | |
| Coordinating/ Participating inter-laboratory comparison/proficiency testing | | |
| Participation in Technology development activities | | |
| Participation in Applied research activities | | |

| f. Corporate Activities | | |
|--|---|-----------------------------|
| Item | Details verified by ISC (Yes/No) Comments if any | Peer Review Comments |
| Participation by Faculty in activities promoting the objectives of the Institute, smooth functioning of the Department(s). Faculty of national institutions are also called upon to serve on various committees of national and international scientific, educational and health care Institutions/ Organisations and by Industry as well. These activities would be given due credit. | | |

| g. Any other relevant item to be included | | |
|--|---|-----------------------------|
| Item | Details verified by ISC (Yes/No) Comments if any | Peer Review Comments |
| | | |
| | | |

Final Report of the Internal Screening Committee on the work done by the faculty during the residency period including mandatory research and publications

Signature:
Name:
Designation:

Signature:
Name:
Designation:

Signature:
Name:
Designation:
Date:

Assessment and Grading of the faculty by Peer Reviewer

Grade of the Applicant: Outstanding 75% (A+) / Very Good 70% (A) / Good 65% (B+) / Average (B) / Poor (C)

[Required Grade for the Post:

- *Scientist/Engineer G - Outstanding $\geq 75\%$ (A+)*
- *Scientist/Engineer- F & E - Very Good $\geq 70\%$ (A)*
- *Scientist/Engineer- C & D - Good $\geq 65\%$ (B+)]*

Criteria for faculty promotions under the FCP scheme

Achutha Menon Centre for Health Science Studies

Guidelines:

The following guidelines are framed to help the Internal Screening Committee for recommending faculty for promotion under the FCP (3-3-4) scheme in AMCHSS, SCTIMST. These guidelines are based on the recommendations of the Sneh Bhargava committee and have been suitably modified to suit the work pattern and mandate of AMCHSS. AMCHSS may be categorized to 'Basic Sciences Departments' as under the Sneh Bhargava committee classification and the distribution of time apportioned to various functions should be as follows:

| | |
|---|-------------|
| Teaching/Training | 45% of time |
| Research/ Publishing | 45% of time |
| Corporate activities | 10% of time |
| <i>Since Teaching /Training and Research/Publishing go hand in hand a 10-15% variation in time can be allocated more to one of these and corresponding less proportion of time for the other.</i> | |

Evaluation of faculty performance will be based on the following:

1. Teaching/Training

- i) Total credits of the course modules taught for the Masters and PhD programs
- ii) Good student feedback
- iii) Innovation in teaching method used
- iv) Production teaching materials including online materials/books/monographs/technical manuals/case studies.
- v) Contributing to question bank.
- vi) Supervision of MPH and PhD thesis/dissertations supervised.
- vii) Membership in Doctoral Advisory Committees
- viii) External examinership in Master's and doctoral dissertation/thesis in other institutions.
- ix) Participation in teaching in other courses within AMCHSS, SCTIMST, Masters and PhD courses in institutes affiliated to SCTIMST.
- x) Specialised training or higher qualifications from centers of excellence.
- xi) Contributing towards popularizing public health for lay communities.

xii) Visiting professorships

xiii) Organising workshops open to faculty/ PhD scholars/ independent scholars from other institutions

Details of the above activities/achievements will be maintained in a self-reporting log and made available to the internal screening committee with. During the application process, the head of department will have to endorse the candidate's claims based on available evidence.

Mandatory requirement for promotion of faculty:

| | |
|---|--|
| Scientist B to Scientist C | At least two of the above criteria to be met |
| Scientist C to Scientist D | At least three of the above criteria to be met |
| Assistant professor /Scientist D (to Associate Professor / Scientist E) | At least four of the above items to be met |
| Associate professor/Scientist E (to Additional Professor/ Scientist F) | At least five of the above items to be met |
| Additional professor/Scientist F (to Professor/ Scientist G) | At least six of the above items to be met |

2. Research and Publications

a) Research:

The following are **mandatory** in research when considering promotion of faculty:

| | |
|--|---|
| Assistant professor/Scientist D (to Associate Professor/ Scientist E) | At least one intramural/extramural grant as Principal Investigator. |
| Associate professor/Scientist E (to Additional Professor/ Scientist F) | At least one extramural grant as Principal Investigator. |
| Additional professor/Scientist F (to Professor/ Scientist G) | At least two extramural grants as Principal Investigator. |

Consultancies carried out for external institutions will be given due weightage.

b) Publications:

The following are **mandatory** for publications: (The following criteria apply for recruitment at the particular level. For Associate Professor / Scientist E and above, these will also be the criteria for evaluating the residency period for promotion to the respective level):

| | |
|----------------------------------|---|
| Scientist B | Should have one publication as author or co-author |
| Scientist C | Should have two publications as author or co-author |
| Assistant Professor/Scientist D | Should have 3-5 publications of which at least 1 should be as the first author. |
| Associate professor/Scientist E | At least 3-5 papers during the assessment period of which at least 1 should be as first/corresponding author of original article. |
| Additional professor/Scientist F | At least 5-7 papers during the assessment period of which at least 2 should be as first/corresponding author of original articles. |
| Professor/Scientist G | At least 5-10 papers during the assessment period of which at least 3 should be as first/corresponding author of original articles. The publications should be focused in a particular research area in the specialty |

Only publications in indexed journals will be considered. Indexed in Pubmed (Medline) /Scopus /Embase /Econlit/CINAHL/PsychINFO.

Evaluation of published papers would be done on the basis of:

Number of papers published in

- National Journals
- International Journals
- Total citation index
- Five year average impact factor of journals
- Quality of publications

3. Corporate activities

- i) Organising role in seminars/workshops/conferences at AMCHSS.
- ii) Participation in departmental academic activities as course co-ordinator
- iii) TAC/IEC membership
- iv) Membership of institutional administrative/academic committees
- v) Associate Dean, Member secretary/Chair of TAC, IEC, BOS etc.
- vi) Office bearer (President, Secretary, Treasurer) of State/National/International academic organizations or expert groups.

- vii) Participation in scientific and technical committees; and/or as invited speaker, key note speaker, session chairs etc. of national and international seminars/workshops/conferences.
- viii) Participation as advisory group member/technical expert in activities of governmental or non-governmental bodies engaged in public health research, programmes or advocacy.

Mandatory:

| | |
|--|---|
| Scientist B to Scientist C | At least one of the above activities to be fulfilled |
| Scientist C to Scientist D | At least one of the above activities to be fulfilled |
| Assistant professor /Scientist D to Associate Professor/ Scientist E | At least two of the above activities to be fulfilled. |
| Associate professor/Scientist E to Additional Professor/ Scientist F | At least three of the above activities to be fulfilled. |
| Additional professor/Scientist F to Professor/ Scientist G | At least four of the above activities to be fulfilled. |

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 Email-sct@sctimst.ac.in Website: sctimst.ac.in
ISC REVIEW AND PEER REVIEW FORM

Achutha Menon Centre for Health Science Studies

FCP assessment of Faculty

1. Post applied for:
2. Name:
3. (i)Employee Code:
 - a. (ii)Designation:
 - b. (iii)Department:
4. Date of entry at the present post:
5. Due date of FCP:
6. Residency period
 - a. (3/3/4 years):
7. Any leave taken that does not count for the assessment period:

| Criteria | Details verified by ISC Yes / No Comments if any | Peer Reviewer Comments |
|---|---|-----------------------------------|
| TEACHING | | |
| i) Total credits of the course modules taught for the Masters and PhD programmes | | |
| ii) Good student feedback | | |
| iii) Innovation in teaching method used | | |
| iv) Production teaching materials including online materials/books/monographs/technical manuals/case studies. | | |

| | | |
|---|--|--|
| v) Contributing to question bank. | | |
| vi) Supervision of MPH and PhD thesis/dissertations supervised. | | |
| vii) Membership in Doctoral Advisory Committees | | |
| viii) External examinership in Master's and doctoral dissertation/thesis in other institutions. | | |
| ix) Participation in teaching in other courses within AMCHSS, SCTIMST, Masters and PhD courses in institutes affiliated to SCTIMST. | | |
| x) Specialised training or higher qualifications from centres of excellence. | | |
| xi) Contributing towards popularizing public health for lay communities. | | |
| xii) Visiting professorships | | |
| xiii) Workshops/ training conducted open to faculty /Ph D scholars/ independent scholars from other institutions | | |
| RESEARCH: GRANTS | | |
| Details of projects awarded as PI: Title /Funding agency/ Total amount/ Completed or on-going | | |
| RESEARCH: PUBLICATIONS | | |
| Details: Title/ Names of authors as in publication/ Journal/ Indexed in: / 5 year Impact Factor | | |
| PARTICIPATION IN CORPORATE ACTIVITIES | | |

| | | | |
|-------|--|--|--|
| i) | Organising role in seminars/workshops/conferences at AMCHSS. | | |
| ii) | Participation in departmental academic activities as course co-ordinator | | |
| iii) | TAC/IEC membership | | |
| iv) | Membership of institutional administrative/academic committees | | |
| v) | Associate Dean, Member secretary/Chair of TAC, IEC, BOS etc. | | |
| vi) | Office bearer (President, Secretary, Treasurer) of State/National/International academic organizations or expert groups. | | |
| vii) | Participation in scientific and technical committees; and/or as invited speaker, key note speaker, session chairs etc. of national and international seminars/workshops/conferences. | | |
| viii) | Participation as advisory group member/technical expert in activities of governmental or non-governmental bodies engaged in public health research, programs or advocacy. | | |

Final Report of the Internal Screening Committee on the work done by the faculty during the residency period including mandatory research and publications

Signature:

Name:

Designation:

Signature:

Name:

Designation:

Signature:

Name:

Designation:

Date:

Assessment and Grading of the faculty by Peer Reviewer

Grade of the Applicant: Outstanding 75% (A+) / Very Good 70% (A) / Good 65% (B+) / Average (B) / Poor (C)

[Required Grade for the Post:

➤ for Professor, Scientist G - Outstanding $\geq 75\%$ (A+)

➤ for Additional & Associate Professor, Scientist F & E - Very Good $\geq 70\%$ (A)]

Signature:

Name:

Designation:

Date:

Criteria for faculty promotions under the FCP scheme

Division of Clinical Engineering (DCE)

Guidelines:

Mission of Division of Clinical Engineering is to support the patient care (clinical activities by maintaining equipments for the maximum uptime with the high quality of their performance as per the approved standards), training and teaching the young professional to obtain maximum Clinical engineering aptitude, designing and developing new equipments and applications for methods and approaches to deliver effective patient care. The following guidelines are framed to help the Internal Screening Committee for recommending faculty for promotion under the FCP (3-3-4) scheme. These guidelines are based on the recommendations of the Sneh Bhargava committee and have been suitably modified to suit the work pattern and mandate of Clinical Engineering which is essentially a service division.

| Activity | Percentage of time spent in each activity |
|------------------------------|---|
| Service delivery | 60% |
| Product development/Research | 10% |
| Teaching and Training | 20% |
| Corporate activity | 10% |

Criteria for evaluation of performance

A. Service Delivery-

| | |
|-----------------|-----------------------------------|
| Engineer-B to C | Any 5 of the evaluation criteria |
| Engineer-C to D | Any 6 of the evaluation criteria |
| Engineer-D to E | Any 8 of the evaluation criteria |
| Engineer-E to F | Any 9 of the evaluation criteria |
| Engineer-F to G | Any 10 of the evaluation criteria |

Evaluation criteria

- Attending complaints and Solving them
- Preventive Maintenance planning and execution
- Maintaining Test reports/ Calibration certificates generated

- Providing alternative supports for Institute equipments
- Coordinating/ Participating inter-division comparison/proficiency testing
- Indenting, evaluating and recommending for new purchase
- New process/ technique/ method/ protocol/ test system/ facility designed & validated
- Annual Maintenance Contract Management
- Inspecting new material & equipment
- Managing installation of new equipment
- Vendor management for maintenance
- Managing computerized inventory and log
- Technical support (24 x 7) and system maintenance

B. Product Development/Research-

| | |
|-----------------|----------------------------------|
| Engineer-B to C | Nil |
| Engineer-C to D | Nil |
| Engineer-D to E | Any 1 of the evaluation criteria |
| Engineer-E to F | Any 2 of the evaluation criteria |
| Engineer-F to G | Any 3 of the evaluation criteria |

Evaluation criteria

- Requirement Analysis /Proof of concept
- Projects / Product developments as Pi/CoPi/Co inv or Guide
- Technology development
- Patents

C. Teaching and Training-

| | |
|-----------------|----------------------------------|
| Engineer-B to C | Any 3 of the evaluation criteria |
| Engineer-C to D | Any 3 of the evaluation criteria |
| Engineer-D to E | Any 4 of the evaluation criteria |
| Engineer-E to F | Any 5 of the evaluation criteria |
| Engineer-F to G | Any 6 of the evaluation criteria |

Evaluation criteria

- Training staff on the usage of various products
- Training for Senior Residents, Students and Apprentices
- Participation in Departmental, Institutional, programs sponsored by National Associations and other educational Institutions, educational exercises i.e. Continuing Medical Education, Grand rounds, Seminars
- Preparation of Teaching material/Book/Monograph/Technical manual
- Invited talks/Chairing session / Resource Person in International/National conference/Workshop/Seminar/Symposium
- Visiting/Adjunct Professorship/Examinership
- Question paper setting/Evaluation of answer sheet/Conducting Viva & Thesis evaluation
- Journal reviewer/Editorial panel/ Project Evaluation

D. Corporate activity

| | |
|-----------------|----------------------------------|
| Engineer-B to C | Nil |
| Engineer-C to D | Nil |
| Engineer-D to E | Any 1 of the evaluation criteria |
| Engineer-E to F | Any 2 of the evaluation criteria |
| Engineer-F to G | Any 4 of the evaluation criteria |

Evaluation criteria

- Organize International/National conference/Symposium/Workshop
- Organize in house Training /Workshop/Seminar
- Membership of Institutional Administrative(including stock-verification)/Academic committees
- Chair/Member/Secretary of Statutory Committee
- Chair/Member of (National/ International) Scientific/Management committee/task force/ industry
- Member of Review/Enquiry/Selection committee of the Institute
- President/Secretary/Convener/Treasurer of International/National Professional Society

3. Processes & Time Schedule for promotion:
4. Annual scheme to be followed for the Assessment
5. Appeal against the recommendations of the selection committee
6. Review of candidates found unfit for promotion
7. Period of Absence from the Institute
8. Infrastructure

Items 3 -8: Common for the Institute

**SREE CHITRA TIRUNAL INSTITUTE FOR MEDICAL SCIENCES & TECHNOLOGY
THIRUVANANTHAPURAM—695 011, INDIA.**

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Email-sct@sctimst.ac.in Web site—www.sctimst.ac.in

ISC REVIEW AND PEER REVIEW FORM

Division of Clinical Engineering

FCP assessment of Faculty

1. Post applied for
2. Name
3. (i)Employee Code:
(ii)Designation:
(iii)Department:
4. Date of entry at the present post:
5. Due date of FCP:
6. Residency period
(6/6/3/3/4 years):
7. Any leave taken that does not count for the assessment period:

| Criteria | Details verified by ISC Yes / No Comments if any | Peer Reviewer Comments |
|---|--|------------------------------|
| <u>A. Service Delivery</u> I. Attending complaints and Solving them II. Preventive Maintenance planning and execution III. Maintaining Test reports/ Calibration certificates generated IV. Providing alternative supports for Institute equipments V. Coordinating/ Participating inter-division comparison/proficiency testing VI. Indenting, evaluating and recommending for new purchase | | |

| | | | |
|--|---|--|--|
| VII. | New process/ technique/ method/ protocol/ test system/ facility designed & validated | | |
| VIII. | Annual Maintenance Contract Management | | |
| IX. | Inspecting new material & equipment | | |
| X. | Managing installation of new equipment | | |
| XI. | Vendor management for maintenance | | |
| XII. | Managing computerized inventory and log | | |
| XIII. | Technical support (24 x 7) and system maintenance | | |
| <u>B. Product Development /Research</u> | | | |
| I. | Requirement Analysis / Proof of concept | | |
| II. | Projects / Product developments as Pi/CoPi/Co inv or Guide | | |
| III. | Technology development | | |
| IV. | Patents | | |
| C. Teaching and Training | | | |
| I. | Training staff on the usage of various products | | |
| II. | Training for Senior Residents, Students and Apprentices | | |
| III. | Participation in Departmental, Institutional, programs sponsored by National Associations and other educational Institutions, educational exercises i.e. Continuing Medical Education, Grand rounds, Seminars | | |
| IV. | Preparation of Teaching material/Book/Monograph/Technical manual | | |
| V. | Invited talks/Chairing session / Resource Person in International/National conference/Workshop/Seminar/Symposium | | |
| VI. | Visiting/Adjunct Professorship/Examinership | | |
| VII. | Question paper setting/Evaluation of answer | | |

| | | |
|--|--|--|
| sheet/Conducting Viva & Thesis evaluation | | |
| VIII. Journal reviewer/Editorial panel/ Project Evaluation | | |
| D. Corporate Activities I. Organize International/National conference/Symposium/Workshop II. Organize in house Training /Workshop/Seminar III. Membership of Institutional Administrative(including stock-verification)/Academic committees IV. Chair/Member/Secretary of Statutory Committee V. Chair/Member of (National/ International) Scientific/Management committee/task force/ industry VI. Member of Review/Enquiry/Selection committee of the Institute VII. President/Secretary/Convener/Treasurer of International/National Professional Society | | |

Final Report of the Internal Screening Committee on the work done by the faculty during the residency period including mandatory criteria

Signature:

Name:

Designation:

Signature:

Name:

Designation:

Date:

Signature:

Name:

Designation:

Assessment and Grading of the faculty by Peer Reviewer

Grade of the Applicant: Outstanding 75% (A+) / Very Good 70% (A) / Good 65% (B+) / Average (B) / Poor (C)

[Required Grade for the Post:

- *Engineer G - Outstanding $\geq 75\%$ (A+)*
- *Engineer- F & E - Very Good $\geq 70\%$ (A)*
- *Engineer- C & D - Good $\geq 65\%$ (B+)]*

Criteria for faculty promotions under the FCP scheme

Computer Division- Computer and IT related services

Guidelines:

The following guidelines are framed to help the Internal Screening Committee for recommending faculty for promotion under the FCP (3-3-4) scheme. These guidelines are based on the recommendations of the Sneha Bhargava committee and have been suitably modified to suit the work pattern and mandate of Computer and IT related work which is essentially a service division.

| Functions of faculty | Percentage of time spent in each activity |
|---|---|
| A. Service delivery | 50% |
| B. Product development (Software development for Institute as well as for Institute Projects) | 40% |
| C. Teaching and Training | 5% |
| D. Corporate activity | 5% |

Criteria for evaluation of performance under each functions

A. Service Delivery- Infrastructure management, Hardware services & Implementation

| Serial No | Activity |
|-----------|--|
| a | Requirement analysis of Hardware and Software. |
| b | Tender evaluation, Procurement of hardware and software for infrastructure. |
| c | Database Installation / Configuration / Maintenance / Upgradation / Fine tuning. |
| d | Network device Installation / Configuration / Maintenance/Upgradation. |
| e | Network security Policy formation / Configuration / Maintenance/ Upgradation. |
| f | Server Installation / Configuration / Upgradation / Tuning. |
| g | Storage Installation / Configuration / Upgradation / Tuning. |
| h | Client device / Peripheral Installation /Configuration, Integration / Upgradation. |
| i | Implementation of the software system developed / procured. |
| j | Technical support (24 x 7) and system maintenance. |

B. Product Development(Software development for Institute as well as for Institute Projects)

C.

| Serial No | Activity |
|-----------|--|
| a | Requirement Analysis /Proof of concept. |
| b | System Design / New Software Architecture Design. |
| c | Developing algorithms, Evaluation and solving programming problems. |
| d | Software Development (Coding), Testing, Evaluation, Upgradation, Implementation. |

D. Teaching and Training

| Serial No | Activity |
|-----------|--|
| a | Training staff on the usage of various products. |
| b | Training for Senior Residents, Students and Apprentices. |
| c | Participation in Departmental, Institutional, programs sponsored by National Associations and other educational Institutions, educational exercises i.e. Continuing Medical Education, Grand rounds, Seminars. |
| d | Teaching material /Book / Monograph / Technical manual /User Guide for softwares. |
| e | Invited talks/ Chairing session / Resource Person in International/National conference / Workshop/Seminar /Symposium. |
| f | Visiting / Adjunct Professorship / Examinership |
| g | Question paper setting / Evaluation of answer sheet / Conducting Viva & Thesis evaluation / Innovation in teaching methods introduced. |
| h | Journal reviewer / Editorial panel / Project Evaluation. |
| i | A higher degree in the relevant field of specialization. |

E. Corporate activity

| Serial No | Activity |
|-----------|--|
| a | Organize International / National conference / Symposium / Workshop |
| b | Organize IT related in house Training / Workshop / Seminar |
| c | Membership of Institutional Administrative(including stock-verification) / Academic committees |
| d | Chair / Member / Secretary of Statutory Committee |
| e | Chair/Member of (National / International) Scientific / Management committee / task force / industry |
| f | Member of Review /Enquiry / Selection committee of the Institute |
| g | President / Secretary / Convener / Treasurer of International / National Professional Society |

| Mandatory requirements for evaluation of performance based on above functions and activities | | | | |
|--|---|---|--|---|
| Promotion type | Service Delivery(Any activity in numbers) | Product Development(Software development for Institute as well as for Institute Projects – required activity in numbers, including modules) | Teaching and Training in numbers (Any activity in numbers) | Corporate Activity in numbers (Any activity in numbers) |
| Scientist/Engineer-B to C | 10 | 1 (c,d) | | |
| Scientist/Engineer-C to D | 12 | 2 (c,d) | 2 | |

| | | | | |
|---------------------------|----|-------------|---|---|
| Scientist/Engineer-D to E | 14 | 3 (c,d) | 3 | 1 |
| Scientist/Engineer-E to F | 16 | 4 (a,b,c,d) | 4 | 2 |
| Scientist/Engineer-F to G | 18 | 5 (a,b,c,d) | 5 | 3 |

Process and Time Schedule for promotion, Annual scheme to be followed for assessment, Appeal against the recommendation of the election committee, Review of candidates found unfit for promotion, Period of absence from the Institute, Infrastructure etc. will be followed as per the common policy of the Institute.

SREE CHITRA TIRUNAL INSTITUTE FOR MEDICAL SCIENCES & TECHNOLOGY

THIRUVANANTHAPURAM—695 011, INDIA.

(An Institute of National Importance under Govt.of India)

Grams—Chitramet Phone—(91)0471—2443152 Fax—(91)0471—2446433, 2550728

Email-sct@sctimst.ac.in Web site—www.sctimst.ac.in

ISC REVIEW AND PEER REVIEW FORM

Computer Division

FCP Assessment of Faculty

1. Post applied for
2. Name
3. (i)Employee Code:
(ii)Designation:
(iii)Department:
4. Date of entry at the present post:
5. Due date of FCP:
6. Residency period
(6/6/3/3/4 years):
7. Any leave taken that does not count for the assessment period:

| Criteria | Details verified by ISC Yes / No Comments if any | Peer Reviewer Comments |
|--|--|---------------------------|
| A. Service Delivery- Infrastructure management, Hardware services & Implementation. | | |
| Requirement analysis of Hardware and Software. | | |
| Tender evaluation, Procurement of hardware and software for infrastructure. | | |
| Database Installation / Configuration / Maintenance / Upgradation / Fine tuning. | | |
| Network device Installation / Configuration / Maintenance/Upgradation. | | |
| Network security Policy formation / Configuration / Maintenance/ Upgradation. | | |
| Server Installation / Configuration / Upgradation / Tuning. | | |

| | | |
|--|--|--|
| Storage Installation / Configuration / Upgradation / Tuning. | | |
| Client device / Peripheral Installation / Configuration, Integration / Upgradation. | | |
| Implementation of the software system developed / procured. | | |
| Technical support (24 x 7) and system maintenance. | | |
| B.Product Development (Software development for Institute as well as for Institute Projects) | | |
| Requirement Analysis /Proof of concept. | | |
| System Design / New Software Architecture Design. | | |
| Developing algorithms, Evaluation and solving programming problems. | | |
| Software Development (Coding), Testing, Evaluation, Upgradation, Implementation. | | |
| C. Teaching and Training | | |
| Training staff on the usage of various products. | | |
| Training for Senior Residents, Students and Apprentices. | | |
| Participation in Departmental, Institutional, programs sponsored by National Associations and other educational Institutions, educational exercises i.e. Continuing Medical Education, Grand rounds, Seminars. | | |
| Teaching material /Book / Monograph / Technical manual /User Guide for software's. | | |
| Invited talks/ Chairing session / Resource Person in International/National conference / Workshop/Seminar /Symposium. | | |
| Visiting / Adjunct Professorship / Examinership | | |
| Question paper setting / Evaluation of answer sheet / Conducting Viva & Thesis evaluation / Innovation in teaching methods introduced. | | |
| Journal reviewer / Editorial panel / Project Evaluation. | | |
| A higher degree in the relevant field of specialization. | | |
| D. Corporate activity | | |
| Organize International / National conference / Symposium / Workshop | | |
| Organize IT related in house Training / Workshop / Seminar | | |
| Membership of Institutional Administrative(including stock-verification) / | | |

| | | |
|--|--|--|
| Academic committees | | |
| Chair / Member / Secretary of Statutory Committee | | |
| Chair/Member of (National / International) Scientific / Management committee / task force / industry | | |
| Member of Review /Enquiry / Selection committee of the Institute | | |
| President / Secretary / Convener / Treasurer of International / National Professional Society | | |

Final Report of the Internal Screening Committee on the work done by the faculty during the residency period including mandatory criteria

Signature:
Name:
Designation:

Signature:
Name:
Designation:

Signature:
Name:
Designation:
Date:

Assessment and Grading of the faculty by Peer Reviewer

Grade of the Applicant: Outstanding 75% (A+) / Very Good 70% (A) / Good 65% (B+) / Average (B) / Poor (C)

[Required Grade for the Post:

Required Grade for the Post:

- *Engineer G - Outstanding $\geq 75\%$ (A+)*
- *Engineer- F & E - Very Good $\geq 70\%$ (A)*
- *Engineer- C & D - Good $\geq 65\%$ (B+)]*

Signature:

Name:

Designation:

Date:

ANNUAL PERFORMANCE APPRAISAL REPORT (APAR) **FORMS**

Sree Chitra Tirunal Institute for Medical Sciences and Technology Hospital Wing

ANNUAL PERFORMANCE APPRAISAL REPORT (APAR)

(For academic personnel viz., Assistant Professor / Scientist D, Associate Professor / Scientist E, Additional Professor / Scientist F, Professor / Scientist G and Professor / Scientist G- Senior Grade)

Part I(To be filled by the Personnel Section)

Performance Appraisal Report for the period from January_____ to December_____

Basic Information

1. Name of the officer reported upon :
2. Employee Code :
3. E-mail ID for official use :
4. Department :
5. Date of Birth :
6. Date of Joining the Service :
7. Present Designation :
8. Date of appointment to present Designation :
9. Pay as on 31st Dec 20_____ :
10. Reporting and Reviewing Authorities

| | |
|---------------------|-------------|
| | Designation |
| Reporting Authority | |
| Reviewing Authority | |

11. Period of absence on leave, (Other than CL, Duty Leave or Compensatory Leave) during the period under report

| | Period | Type | Remarks |
|-------------------------|--------|------|---------|
| Leave (specify type) | | | |
| Others (specify) | | | |

12. Details of APARs of officers not written by the officer as reporting/reviewing authority for the previous year.

Signature of Officer I/c in Personnel section:

Date:

Part II (To be filled by the officer reported upon)

- 1. Annual Report for the period under review may be attached as an Annexure, in not more than 2 pages.**

- 2. Brief description of duties**

(Objectives of the position you hold and the tasks you are required to perform, in about 100 words)

Objectives may be stated considering Clinical/ Laboratory, Research, Teaching and Corporate/ Administrative responsibilities

| |
|--|
| |
|--|

- 3. Annual work plans**

| Tasks to be Performed (Whichever is applicable) | Actual Achievements (Maximum 50 words each) |
|---|--|
| 1. Delivery of Clinical/ Surgical/ Laboratory Services | |
| 2. Academic Activities (Teaching, training etc) | |
| 3. Mentoring | |
| 4. Research Activity in the form of projects as Principal Investigator/ Co-Investigator | |

| | |
|---|--|
| 5. Translation of Research in to publications/ presentations/patents/ guidelines/ policies | |
| 6. Dissemination of Knowledge to peers in conferences/ workshops/ symposium, etc. | |
| 7. Human resource and Capacity Building Activities | |
| 8. Administrative/ Corporate activities (Department/ Institute/ Regional/ National / International) | |
| 9. Others | |

4. Please include here

- a. Any significantly higher achievements and contributions
- b. Shortfalls with reference to achieving objectives if any
- c. Any factors which hindered your performance (maximum 100 words):

5. Declaration

Please state whether the annual return on immovable property for the preceding calendar year was filled within the prescribed date i.e. 30th April of the year following the financial year. If not the date of filling the return should be given

Signature of officer reported upon:
Date:

Part III (To be filled by Reporting Officer)

Appraisal and the Numerical grading have to be awarded. These should be on scale of 1-10, Where 1 refers to the lowest grade and 10 to the highest

| | |
|--------------------------------------|--------------------|
| Name of the Reporting Officer | Designation |
|--------------------------------------|--------------------|

| A. Assessment of work output (weightage to this section would be 40%) | Reporting Authority | Reviewing Authority | Initial of Reviewing Authority |
|---|----------------------------|----------------------------|---------------------------------------|
| i. Accomplishment planned work/work allotted a. Clinical Responsibility (includes outpatient/Inpatient/specialty/ Laboratory services – Whichever is applicable) b. Teaching Responsibility (Includes teaching and supervision of the academic/clinical/ research work of the postgraduate/doctoral /and other students) c. Research Output (includes Projects funded/ non-funded, Publications in peer-reviewed Journals and Presentations in conferences/ symposiums/ workshops, etc.) d. Corporate Activities (departmental/ institutional / regional / national / international and other administrative responsibilities; serving on professional bodies) | | | |
| ii. Quality of output: a. Clinical / Lab Responsibility b. Teaching Responsibility c. Research Output d. Corporate Activities | | | |
| iii. Analytical ability | | | |
| iv. Accomplishment of exceptional work/ unforeseen tasks performed details there of | | | |
| Overall Average Grading of Work Output [(ia+ib+ic+id+iiia+iiib+iiic+iiid+iiia+iiib+iiic+iiid+iiia+iiib+iiic+iiid) / 10] | | | |
| 40% of overall average grading on (A) | | | |
| B. Assessment of Personal attributes (weightage to this section would be 30%) | | | |

| | | | |
|--|--|--|--|
| i. Attitude to work | | | |
| ii. Sense of responsibility | | | |
| iii. Maintenance of discipline | | | |
| iv. Communication skills | | | |
| v. Leadership qualities | | | |
| vi. Capacity to work in a team | | | |
| vii. Capacity to work in time limit | | | |
| viii. Interpersonal relations | | | |
| Overall grading on personal attributes [(i + ii + iii + iv + v + vi + vii + viii) / 8] | | | |
| 30% of overall average grading on (B) | | | |

| | | | |
|---|--|--|--|
| C. Assessment of Functional Competency (weightage to this section would be 30%) | | | |
| 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 [(i + ii + iii + iv + v) / 5] | | | |
| 30% of overall average grading on (C) | | | |

Signature of Reporting officer:

Date:

Part IV (To be filled by the Reporting Officer)

- 1. Relations with the Public (wherever applicable: Please comment on the officers accessibility to the public and responsiveness to their needs)**

- 2. Training: (Please give recommendations for training with a view to further improving their effectiveness and capabilities of the officer)**

- 3. State of Health :**Satisfactory / Not satisfactory

- 4. Integrity: Please comment on the integrity of the officer**

- Beyond Doubt
- Nothing adverse has come to my notice
- Since the integrity of the officer is doubtful, a Secret Note is attached herewith

5. Pen Picture by the reporting officer in no more than 100 words on the overall qualities of the officer including the area of strengths and lesser strength, extraordinary achievements, significant failures and attitude towards SC/ ST/ OBC

6. Over all numerical grading on the basis of weightage given in the sections A, B & C of part III
Over all grading (Sum of weighted scores of A, B and C):

Justification by the Reporting Officer (for 1 and 2 and 9 & 10 ratings), if any:

Signature of Reporting Officer:

Date:

Part V (To be filled by the Reviewing Officer)

| | |
|--------------------------------------|--------------------|
| Name of the Reviewing Officer | Designation |
|--------------------------------------|--------------------|

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 Parts III & IV? Do you agree with the assessment of the reporting officer in respect of extraordinary achievements and/or significant failures of the officer reported upon? (In case you do not agree with any of the numerical assessments of attributes, please record your assessment in the column provided for you in that section and initial your entries).

| | |
|-----|----|
| Yes | No |
|-----|----|

3. In case of difference of opinion details and reasons for the same may be given. Is there anything you wish to modify or add?

| |
|--|
| |
|--|

4. Pen picture by Reviewing Authority. 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 sections.

| |
|--|
| |
|--|

5. Over all numerical grading on the basis of weightage given in the sections A, B & C of part III:

Over all grading of (Work Output [40%] + Personal attributes [30%] + Functional competency [30%]) on a scale of 1-10 =

Signature of the Reviewing Officer :

Date:

Guidelines regarding the numerical grading

- 1) The columns in the APAR should be filled with due care and attention and after devoting adequate time.
- 2) It is expected that any grading of 1 or 2 (against work output or attributes or overall grade) would be adequately justified in the pen-picture by way of specific failures and similarly, any grade of 9 or 10 would be justified with respect to specific accomplishments. Grades of 1-2 or 9-10 are expected to be rare occurrences and hence the need to justify them. In awarding a numerical grade the reporting and reviewing authorities should rate the officer against a large population of his/her peers that may be currently working under them.
- 3) APARs graded between 8 and 10 will be rated as 'outstanding' and will be given a score of 9 for the purpose of calculating average scores for empanelment / promotion.
- 4) APARs graded between 6 and short of 8 will be rated as 'very good' and will be given a score of 7.
- 5) APARs graded between 4 and short of 6 will be rated as 'good' and given a score of 5.
- 6) APARs graded below 4 will be given a score of Zero.
- 7) Details given in Part 1 – Basic Information must be as per the documents maintained in the Personnel Section.
- 8) The overall grading should not be rounded off. The grading may have a maximum of two digits after the decimal point. To illustrate, if the overall grading comes to 6.57 it should be written as such and not rounded off to 6.6 or 7. The totaling should be checked properly.
- 9) No cutting/overwriting should be done in APAR Forms. If the same is unavoidable, the officer should append his/her signature on the part which has the cutting/overwriting.

COMMUNICATION AND ACCEPTANCE OF THE APAR GRADING

(To be filed in the APAR Dossier)

Review Period: January _____ to December _____

- Name :
- Designation :
- Department :
- Overall Grade Awarded :
- Specific Remarks if any :

(Signature of the Communicating Authority)

Name.....

Designation.....

I,..... (Name, Designation), hereby confirm that I have been communicated the overall grading and the relevant remark for the yearOn..... (Date) in respect of APAR.

I understand that if I wish to represent against the entries in the APAR, I will have to do so to the Competent Authority within 15 days from this date.

(Signature of the Officer reported upon)

Note: To be filled and issued by the APAR cell upon receipt of completed APAR forms.

Sree Chitra Tirunal Institute for Medical Sciences and Technology
Biomedical Technology Wing

ANNUAL PERFORMANCE APPRAISAL REPORT (APAR)

[For academic personnel viz., Scientist/Engineer-B/C/D/E/F/G/G(S.G)]

Part I (To be filled by the Personnel Section)

Performance Appraisal Report for the period from January_____ to December_____.

Basic Information

1. Name of the officer reported upon :
2. Employee Code :
3. E-mail ID for official use :
4. Department :
5. Date of Birth :
6. Date of Joining the Service :
7. Present Designation :
8. Date of appointment to present Designation :
9. Pay as on 31st Dec 20_____ :
10. Reporting and Reviewing Authorities

| | |
|---------------------|-------------|
| | Designation |
| Reporting Authority | |
| Reviewing Authority | |

11. Period of absence on leave, (Other than CL, Duty Leave or Compensatory Leave) during the period under report.

| | Period | Type | Remarks |
|-------------------------|--------|------|---------|
| Leave (specify type) | | | |
| Others (specify) | | | |

12. Details of APARs of officers not written by the officer as reporting/reviewing authority for the previous year.

Signature of Officer I/c in Personnel section:

Date:

Part II (To be filled by the officer reported upon)

1. Annual Report for the period under review may be attached as an Annexure, in not more than 2 pages.

2. Brief description of duties

(Objectives of the position you hold and the tasks you are required to perform, in about 100 words)

Objectives may be stated considering Technology Development/ Research /Teaching & Training/ Service Delivery/ Corporate/ Administrative responsibilities

Category: Technology Development/ Applied Research/ Testing Services/ Technical Services (To be mentioned)

| |
|--|
| |
|--|

3. Annual work plans

| Tasks to be Performed (Whichever is applicable) | Actual Achievements (Maximum 50 words each) |
|--|--|
| 1. Delivery of output in the core area (Technology Development/ Applied Research/ Testing Services/ Technical Services) | |

| | |
|--|--|
| 2. Academic Activities (Teaching, training etc) | |
| 3. Mentoring | |
| 4. Research Activity in the form of projects as Principal Investigator/ Co- Investigator | |
| 5. Translation of Research in to publications/ presentations/patents/ guidelines/ policies(If not mentioned under item.1 above) | |
| 6. Dissemination of Knowledge to peers in conferences/ workshops/ symposium, etc. | |
| 7. Human resource and Capacity Building Activities | |
| 8. Administrative/ Corporate activities (Department/ Institute/ Regional/ National / International) | |
| 9. Others | |

4. Please include here :

- a. Any significantly higher achievements and contributions
- b. Shortfalls with reference to achieving objectives if any,
- c. Any factors which hindered your performance (maximum 100 words):

5. Declaration:

Please state whether the annual return on immovable property for the preceding calendar year was filled within the prescribed date i.e. 30th April of the year following calendar year. If not the date of filling the return should be given.

Signature of officer reported upon

Date:

Part III (To be filled by Reporting Officer)

Appraisal and the Numerical grading have to be awarded. These should be on scale of 1-10, Where 1 refers to the lowest grade and 10 to the highest

| | |
|---------------------------------------|---------------------|
| Name of the Reporting Officer: | Designation: |
|---------------------------------------|---------------------|

| A. Assessment of work output (weightage to this section would be 40%) | Reporting Authority | Reviewing Authority 1 | Reviewing Authority 2 | Initial of Reviewing Authority 2 |
|--|---------------------|-----------------------|-----------------------|----------------------------------|
| <p>i. Accomplishment planned work/work allotted (In four of the below)</p> <p>a. Technology Development Responsibility</p> <p>b. Teaching Responsibility (Includes teaching and supervision of the academic/ research work of the postgraduate/doctoral /and other students)</p> <p>c. Research Output (includes Projects funded/ non-funded, Publications in peer-reviewed Journals and Presentations in conferences/ symposiums/ workshops, etc.)</p> <p>d. Service delivery</p> <p>e. Corporate Activities (departmental/ Institutional/ regional / national/ international and other administrative responsibilities; serving on professional bodies)</p> <p>ii. Quality of output: (In four of the below)</p> <p>a. Technology Responsibility</p> <p>b. Teaching Responsibility</p> <p>c. Research Output</p> <p>d. Service delivery</p> <p>e. Corporate Activities</p> <p>iii. Analytical ability</p> <p>iv. Accomplishment of exceptional work/ unforeseen tasks performed details there of</p> | | | | |
| Overall Average Grading of Work Output [(i+ii+iii+iv) / 10] | | | | |

| | | | | |
|---|--|--|--|--|
| 40% of overall average grading on (A) | | | | |
| C. Assessment of Personal attributes (weightage to this section would be 30%) | | | | |
| i. Attitude to work ii. Sense of responsibility iii. Maintenance of discipline iv. Communication skills v. Leadership qualities vi. Capacity to work in a team vii. Capacity to work in time limit viii. Interpersonal relations Overall grading on personal attributes $[(i + ii + iii + iv + v + vi + vii + viii) / 8]$ | | | | |
| 30% of overall average grading on (B) | | | | |
| | | | | |
| D. Assessment of Functional Competency (weightage to this section would be 30%) | | | | |
| 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 $[(i + ii + iii + iv + v) / 5]$ | | | | |
| 30% of overall average grading on (C) | | | | |

Signature of Reporting officer:

Date:

Part IV (To be filled by the Reporting Officer)

- 1. Relations with the Public (wherever applicable: Please comment on the officers accessibility to the public and responsiveness to their needs)**

- 2. Training: (Please give recommendations for training with a view to further improving their effectiveness and capabilities of the officer)**

- 3. State of Health:** Satisfactory / Not satisfactory

- 4. Integrity:** Please comment on the integrity of the officer

- Beyond doubt
- Nothing adverse has come to my notice
- Since the integrity of the officer is doubtful, a Secret Note is attached

5. Pen Picture by the reporting officer in no more than 100 words on the overall qualities of the officer including the area of strengths and lesser strength, extraordinary achievements, significant failures and attitude towards SC/ ST/ OBC

5. Over all numerical grading on the basis of weightage given in the sections A, B & C of part III
Over all grading (Sum of weighted scores of A, B and C):

Justification by the Reporting Officer (for 1 and 2 and 9 & 10 ratings), if any:

Signature of Reporting Officer:

Date:

Part V (To be filled by the Reviewing Officer 2)

| | |
|--|--------------------|
| Name of the Reviewing Officer 2 | Designation |
|--|--------------------|

1. Length of service under the reviewing officer 2:
2. Do you agree with the assessment made by the reporting officer with respect to the work output and the various attributes in Parts-III & IV? Do you agree with the assessment of the reporting officer in respect of extraordinary achievements and/or significant failures of the officer reported upon? (In case you do not agree with any of the numerical assessments of attributes, please record your assessments in the column provided for you in that section and initial your entries).

| | |
|-----|----|
| Yes | No |
|-----|----|

3. In case of difference of opinion details and reasons for the same may be given. Is there anything you wish to modify or add?

| |
|--|
| |
|--|

4. Pen picture by Reviewing Authority 2. 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 sections.

| |
|--|
| |
|--|

5. Over all numerical grading on the basis of weightages given in the sections A, B & C of part III

Over all grading of (Work Output [40%] + Personal attributes [30%] + Functional competency [30%]) on a scale of 1-10 =

Signature of the Reviewing Officer 2:

Date:

Guidelines regarding the numerical grading

- The columns in the APAR should be filled with due care and attention and after devoting adequate time.
- It is expected that any grading of 1 or 2 (against work output or attributes or overall grade) would be adequately justified in the pen-picture by way of specific failures and similarly, any grade of 9 or 10 would be justified with respect to specific accomplishments. Grades of 1-2 or 9-10 are expected to be rare occurrences and hence the need to justify them. In awarding a numerical grade the reporting and reviewing authorities should rate the officer against a large population of his/her peers that may be currently working under them.
- APARs graded between 8 and 10 will be rated as 'outstanding' and will be given a score of 9 for the purpose of calculating average scores for empanelment / promotion.
- APARs graded between 6 and short of 8 will be rated as 'very good' and will be given a score of 7.
- APARs graded between 4 and short of 6 will be rated as 'good' and given a score of 5.
- APARs graded below 4 will be given a score of Zero.
- Details given in Part 1 – Basic Information must be as per the documents maintained in the Personnel Section.
- The overall grading should not be rounded off. The grading may have a maximum of two digits after the decimal point. To illustrate, if the overall grading comes to 6.57 it should be written as such and not rounded off to 6.6 or 7. The totaling should be checked properly.
- No cutting/overwriting should be done in APAR Forms. If the same is unavoidable, the officer should append his/her signature on the part which has the cutting/overwriting.

COMMUNICATION AND ACCEPTANCE OF THE APAR GRADING

(To be filed in the APAR Dossier)

Review Period: January_____ to December_____

- Name :
- Designation :
- Department :
- Overall Grade Awarded :
- Specific Remarks if any :

(Signature of the Communicating Authority)

Name:.....

Designation:.....

I,..... (Name, Designation), hereby confirm that I have been communicated the overall grading and the relevant remark for the yearOn..... (Date) in respect of APAR.

I understand that if I wish to represent against the entries in the APAR, I will have to do so to the Competent Authority within 15 days from this date.

(Signature of the Officer reported upon)

Note: To be filled and issued by the APAR cell upon receipt of completed APAR forms.

Sree Chitra Tirunal Institute for Medical Sciences and Technology AMCHSS

ANNUAL PERFORMANCE APPRAISAL REPORT (APAR)

(For academic personnel viz., Assistant Professor / Scientist D, Associate Professor / Scientist E, Additional Professor / Scientist F, Professor / Scientist G and Professor / Scientist G- Senior Grade)

Part I (To be filled by the Personal Section)

Performance Appraisal Report for the period from January_____ to December_____.

Basic Information

- 1) Name of the officer reported upon :
- 2) Employee Code :
- 3) E-mail ID for official use :
- 4) Department :
- 5) Date of Birth :
- 6) Date of Joining the Service :
- 7) Present Designation :
- 8) Date of appointment to present Designation :
- 9) Pay as on 31st Dec 20_____ :
- 10) Reporting and Reviewing Authorities :

| | |
|---------------------|-------------|
| | Designation |
| Reporting Authority | |
| Reviewing Authority | |

11) Period of absence on leave, (Other than CL, Duty Leave or Compensatory Leave) during the period under report.

| | Period | Type | Remarks |
|-------------------------|--------|------|---------|
| Leave (specify type) | | | |
| Others (specify) | | | |

12) Details of APARs of officers not written by the officer as reporting/reviewing authority for the previous year.

Signature of Officer I/c in Personnel section

Date:

Part II (To be filled by the officer reported upon)

1. Annual Report for the period under review may be attached as an Annexure, in not more than 2 pages.

2. Brief description of duties

(Objectives of the position you hold and the tasks you are required to perform, in about 100 words)

Objectives may be stated considering Research, Teaching and Corporate/ Administrative responsibilities

| |
|--|
| |
|--|

3. Annual work plans

| Tasks to be Performed (Whichever is applicable) | Actual Achievements (Maximum 50 words each) |
|---|--|
| 1. Academic Activities (Teaching, training etc.) | |
| 2. Mentoring | |
| 3. Research Activity in the form of projects as Principal Investigator/ Co-Investigator | |
| 4. Translation of Research in to publications/ presentations/patents/ guidelines/ policies | |

| | |
|---|--|
| 5. Dissemination of Knowledge to peers in conferences/ workshops/ symposium, etc. | |
| 6. Human resource and Capacity Building Activities | |
| 7. Administrative/ Corporate activities (Department/ Institute/ Regional/ National / International) | |
| 8. Others | |

4. Please include here :

- a. Any significantly higher achievements and contributions
- b. Shortfalls with reference to achieving objectives if any
- c. Any factors which hindered your performance (maximum 100 words):

5. Declaration:

Please state whether the annual return on immovable property for the preceding calendar year was filled within the prescribed date i.e. 30th April of the year following calendar year. If not the date of filling the return should be given

Signature of officer reported upon:

Date:

Part III (To be filled by Reporting Officer)

Appraisal and the Numerical grading have to be awarded. These should be on scale of 1-10, Where 1 Refers to the lowest grade and 10 to the highest

| | |
|--------------------------------------|--------------------|
| Name of the Reporting Officer | Designation |
|--------------------------------------|--------------------|

| A. Assessment of work output (weightage to this section would be 40%) | Reporting Authority | Reviewing Authority | Initial of Reviewing Authority |
|--|----------------------------|----------------------------|---------------------------------------|
| i. Accomplishment planned work/work allotted a. Teaching Responsibility (Includes teaching and supervision of the academic/clinical/ research work of the postgraduate/doctoral /and other students) b. Research Output (includes Projects funded/ non-funded, Publications in peer-reviewed Journals and Presentations in conferences/ symposiums/ workshops, etc.) c. Corporate Activities (departmental/Institutional /regional /national/ international and other administrative responsibilities; serving on professional bodies) ii. Quality of output: a. Teaching Responsibility b. Research Output c. Corporate Activities iii. Analytical ability iv. Accomplishment of exceptional work/ unforeseen tasks performed details there of | | | |
| Overall Average Grading of Work Output [(ia+ib+ic+iaa+iib+iic+iii+iv) / 8] | | | |
| 40% of overall average grading on (A) | | | |
| B. Assessment of Personal attributes (weightage to this section would be 30%) | | | |

| | | | |
|---|--|--|--|
| i. Attitude to work ii. Sense of responsibility iii. Maintenance of discipline iv. Communication skills v. Leadership qualities vi. Capacity to work in a team vii. Capacity to work in time limit viii. Interpersonal relations Overall grading on personal attributes $[(i + ii + iii + iv + v + vi + vii + viii) / 8]$ | | | |
| 30% of overall average grading on (B) | | | |
| C. Assessment of Functional Competency (weightage to this section would be 30%) | | | |
| 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 $[(i + ii + iii + iv + v) / 5]$ | | | |
| 30% of overall average grading on (C) | | | |

Signature of Reporting officer:

Date:

Part IV (To be filled by the Reporting Officer)

1. Relations with the Public (wherever applicable: Please comment on the officers' accessibility to the public and responsiveness to their needs)

2. Training: (Please give recommendations for training with a view to further improving their effectiveness and capabilities of the officer)

3. State of Health: Satisfactory / Not satisfactory

4. Integrity: Please comment on the integrity of the officer

- Beyond doubt
- Nothing adverse has come to my notice
- Since the integrity of the officer is doubtful, a Secret Note is attached

5. Pen Picture by the reporting officer in no more than 100 words on the overall qualities of the officer including the area of strengths and lesser strength, extraordinary achievements, significant failures and attitude towards SC/ ST/ OBC

6. Over all numerical grading on the basis of weightage given in the sections A, B & C of part III
Over all grading (Sum of weighted scores of A, B and C):

Justification by the reporting officer (for 1 and 2 and 9 & 10 ratings), if any:

Signature of reporting officer
Date:

Part V (To be filled by the Reviewing Officer)

| | |
|---------------------------------------|---------------------|
| Name of the Reviewing Officer: | Designation: |
|---------------------------------------|---------------------|

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 Parts-III & IV? Do you agree with the assessment of the reporting officer in respect of extraordinary achievements and/or significant failures of the officer reported upon? (In case you do not agree with any of the numerical assessments of attributes, please record your assessments in the column provided for you in that section and initial your entries).

| | |
|-----|----|
| Yes | No |
|-----|----|

3. In case of difference of opinion details and reasons for the same may be given. Is there anything you wish to modify or add?

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|--|

4. Pen picture by Reviewing Authority. 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 sections.

| |
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|--|

5. Over all numerical grading on the basis of weightages given in the sections A, B & C of part III:
Over all grading of (Work Output [40%] + Personal attributes [30%] + Functional competency [30%]) on a scale of 1-10 =

Signature of the Reviewing Officer:

Date:

Guidelines regarding the numerical grading

- The columns in the APAR should be filled with due care and attention and after devoting adequate time.
- It is expected that any grading of 1 or 2 (against work output or attributes or overall grade) would be adequately justified in the pen-picture by way of specific failures and similarly, any grade of 9 or 10 would be justified with respect to specific accomplishments. Grades of 1-2 or 9-10 are expected to be rare occurrences and hence the need to justify them. In awarding a numerical grade the reporting and reviewing authorities should rate the officer against a large population of his/her peers that may be currently working under them.
- APARs graded between 8 and 10 will be rated as 'outstanding' and will be given a score of 9 for the purpose of calculating average scores for empanelment / promotion.
- APARs graded between 6 and short of 8 will be rated as 'very good' and will be given a score of 7.
- APARs graded between 4 and short of 6 will be rated as 'good' and given a score of 5.
- APARs graded below 4 will be given a score of Zero.
- Details given in Part 1 – Basic Information must be as per the documents maintained in the Personnel Section.
- The overall grading should not be rounded off. The grading may have a maximum of two digits after the decimal point. To illustrate, if the overall grading comes to 6.57 it should be written as such and not rounded off to 6.6 or 7. The totaling should be checked properly.
- No cutting/overwriting should be done in APAR Forms. If the same is unavoidable, the officer should append his/her signature on the part which has the cutting/overwriting.

COMMUNICATION AND ACCEPTANCE OF THE APAR GRADING

(To be filed in the APAR Dossier)

Review Period: January _____ to December _____

- Name :
- Designation :
- Department :
- Overall Grade Awarded :
- Specific Remarks if any :

(Signature of the Communicating Authority)

Name:.....

Designation:.....

I,..... (Name, Designation), hereby confirm that I have been communicated the overall grading and the relevant remark for the yearOn..... (Date) in respect of APAR.

I understand that if I wish to represent against the entries in the APAR, I will have to do so to the Competent Authority within 15 days from this date.

(Signature of the Officer reported upon)

Note: To be filled and issued by the APAR cell upon receipt of completed APAR forms.

Sree Chitra Tirunal Institute for Medical Sciences and Technology
Division of Clinical Engineering

ANNUAL PERFORMANCE APPRAISAL REPORT (APAR)

[For academic personnel viz., Engineer-B/C/D/E/F/G/G(S.G)]

Part 1(To be filled by the Personal Section)

Performance Appraisal Report for the period from January_____ to December_____.

Basic Information

1. Name of the officer reported upon :
2. Employee Code :
3. E-mail ID for official use :
4. Department :
5. Date of Birth :
6. Date of Joining the Service :
7. Present Designation :
8. Date of appointment to present Designation :
9. Pay as on 31st Dec 20_____ :
10. Reporting and Reviewing Authorities

| | |
|---------------------|-------------|
| | Designation |
| Reporting Authority | |
| Reviewing Authority | |

11. Period of absence on leave, (Other than CL, Duty Leave or Compensatory Leave) during the period under report.

| | Period | Type | Remarks |
|-------------------------|--------|------|---------|
| Leave (specify type) | | | |
| Others (specify) | | | |

12. Details of APARs of officers not written by the officer as reporting/reviewing authority for the previous year.

Signature of Officer I/c in Personnel section

Date

Part II(To be filled by the officer reported upon)

1. Annual Report for the period under review may be attached as an Annexure, in not more than 2 pages.

2. Brief description of duties:

(Objectives of the position you hold and the tasks you are required to perform, in about 100 words)

Objectives may be stated considering Technology Development/ Research /Teaching & Training/ Service Delivery/ Corporate / Administrative responsibilities

Category: Service delivery, Product development/Research, Teaching and Training and Corporate activity(To be mentioned)

| |
|--|
| |
|--|

3. Annual work plans

| Tasks to be Performed (Whichever is applicable) | Actual Achievements (Maximum 50 words each) |
|---|---|
| 1. Delivery of output in the core area (Service delivery) | |
| 2. Academic Activities: Human resource and Capacity Building Activities(Teaching, training etc) | |

| | |
|---|--|
| 3. Research Activity in the form of projects as Principal Investigator/ Co-Investigator | |
| 4. Translation of Research in to publications/ presentations/patents/ guidelines/ policies(If not mentioned under item.1 above) | |
| 5. Dissemination of Knowledge to peers in conferences/ workshops/ symposium, etc. | |
| 6. Administrative/ Corporate activities (Department/ Institute/ Regional/ National / International) | |
| 7. Others | |

4. Please include here :

- a. Any significantly higher achievements and contributions
- b. Shortfalls with reference to achieving objectives if any,
- c. Any factors which hindered your performance (maximum 100 words):

5. Declaration:

Please state whether the annual return on immovable property for the preceding calendar year was filled within the prescribed date i.e. 30th April of the year following calendar year. If not the date of filling the return should be given.

Signature of officer reported upon

Date:

Part III (To be filled by Reporting Officer)

Appraisal and the Numerical grading have to be awarded. These should be on scale of 1-10, Where 1 refers to the lowest grade and 10 to the highest

| | |
|--------------------------------------|--------------------|
| Name of the Reporting Officer | Designation |
| | |

| A. Assessment of work output (weightage to this section would be 40%) | Reporting Authority | Reviewing Authority | Initial of Reviewing Authority |
|---|----------------------------|----------------------------|---------------------------------------|
| i. Accomplishment planned work/work allotted (In four of the below) a. Service delivery b. Product development/Research (includes Requirement Analysis / Proof of concept, Projects / Product developments as Pi/CoPi/Co inv or Guide ,Technology development & Patents) c. Teaching and Training d. Corporate activity. (departmental/Institutional/ regional/national/ international and other administrative responsibilities; serving on professional bodies) ii. Quality of output: (In four of the below) a. Service delivery b. Product development/Research c. Teaching and Training d. Corporate activities iii. Analytical ability iv. Accomplishment of exceptional work/ unforeseen tasks performed details there of | | | |
| Overall Average Grading of Work Output [(i+ii+iii+iv) / 10] | | | |
| 40% of overall average grading on (A) | | | |
| B. Assessment of Personal attributes (weightage to this section would be 30%) | | | |
| i. Attitude to work ii. Sense of responsibility iii. Maintenance of discipline iv. Communication skills v. Leadership qualities | | | |

| | | | |
|--|--|--|--|
| vi. Capacity to work in a team vii. Capacity to work in time limit viii. Interpersonal relations. Overall grading on personal attributes [(i + ii + iii + iv + v + vi + vii + viii) / 8] | | | |
| 30% of overall average grading on (B) | | | |
| | | | |
| C. Assessment of Functional Competency (weightage to this section would be 30%) | | | |
| a. Knowledge of rules/ regulations / procedures in the area of function and ability to apply them correctly b. Strategic planning ability c. Decision making ability d. Coordination ability e. Ability to motivate and develop subordinates | | | |
| Overall grading on functional competency [(i + ii + iii + iv + v) / 5] | | | |
| 30% of overall average grading on (C) | | | |

Signature of Reporting officer:

Date:

Part IV (To be filled by the Reporting Officer)

1. **Relations with the Public** (wherever applicable: Please comment on the officers accessibility to the public and responsiveness to their needs)

2. **Training:** (Please give recommendations for training with a view to further improving their effectiveness and capabilities of the officer)

3. **State of Health** :Satisfactory / Not satisfactory

4. **Integrity:** Please comment on the integrity of the officer

- Beyond doubt
- Nothing adverse has come to my notice
- Since the integrity of the officer is doubtful, a Secret Note is

5. Pen Picture by the reporting officer in no more than 100 words on the overall qualities of the officer including the area of strengths and lesser strength, extraordinary achievements, significant failures and attitude towards SC/ ST/ OBC

6. Over all numerical grading on the basis of weightage given in the sections A, B & C of part III

Over all grading (Sum of weighted scores of A, B and C):

Justification by the Reporting Officer (for 1 and 2 and 9 & 10 ratings), if any:

Signature of Reporting Officer:

Date:

Part V (To be filled by the Reviewing Officer)

| | |
|--------------------------------------|--------------------|
| Name of the Reviewing Officer | Designation |
| | |

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 Parts-III & IV? Do you agree with the assessment of the reporting officer in respect of extraordinary achievements and/or significant failures of the officer reported upon? (In case you do not agree with any of the numerical assessments of attributes, please record your assessments in the column provided for you in that section and initial your entries).

| | |
|-----|----|
| Yes | No |
|-----|----|

3. In case of difference of opinion details and reasons for the same may be given. Is there anything you wish to modify or add?

| |
|--|
| |
|--|

4. Pen picture by Reviewing Authority. 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 sections.

[illegible]

5. Over all numerical grading on the basis of weightage given in the sections A, B & C of part III:

Over all grading of (Work Output [40%] + Personal attributes [30%] + Functional competency [30%]) on a scale of 1-10 =

Signature of the Reviewing Authority:

Date:

Guidelines regarding the numerical grading

- The columns in the APAR should be filled with due care and attention and after devoting adequate time.
- It is expected that any grading of 1 or 2 (against work output or attributes or overall grade) would be adequately justified in the pen-picture by way of specific failures and similarly, any grade of 9 or 10 would be justified with respect to specific accomplishments. Grades of 1-2 or 9-10 are expected to be rare occurrences and hence the need to justify them. In awarding a numerical grade the reporting and reviewing authorities should rate the officer against a large population of his/her peers that may be currently working under them.
- APARs graded between 8 and 10 will be rated as 'outstanding' and will be given a score of 9 for the purpose of calculating average scores for empanelment / promotion.
- APARs graded between 6 and short of 8 will be rated as 'very good' and will be given a score of 7.
- APARs graded between 4 and short of 6 will be rated as 'good' and given a score of 5.
- APARs graded below 4 will be given a score of Zero.
- Details given in Part 1 – Basic Information must be as per the documents maintained in the Personnel Section.
- The overall grading should not be rounded off. The grading may have a maximum of two digits after the decimal point. To illustrate, if the overall grading comes to 6.57 it should be written as such and not rounded off to 6.6 or 7. The totaling should be checked properly.
- No cutting/overwriting should be done in APAR Forms. If the same is unavoidable, the officer should append his/her signature on the part which has the cutting/overwriting.

COMMUNICATION AND ACCEPTANCE OF THE APAR GRADING

(To be filed in the APAR Dossier)

Review Period: January_____ to December_____

- Name :
- Designation :
- Department :
- Overall Grade Awarded :
- Specific Remarks if any :

(Signature of the Communicating Authority)

Name:.....

Designation:.....

I,..... (Name, Designation), hereby confirm that I have been communicated the overall grading and the relevant remark for the yearOn..... (Date) in respect of APAR.

I understand that if I wish to represent against the entries in the APAR, I will have to do so to the Competent Authority within 15 days from this date.

(Signature of the Officer reported upon)

Note: To be filled and issued by the APAR cell upon receipt of completed APAR forms.

Sree Chitra Tirunal Institute for Medical Sciences and Technology
Computer Division

ANNUAL PERFORMANCE APPRAISAL REPORT (APAR)

(For academic personnel viz., Engineer B/C/D/E/F/G/G(S.G))

Part I (To be filled by the Personal Section)

Performance Appraisal Report for the period from January_____ to December_____.

Basic Information

1. Name of the officer reported upon :
2. Employee Code :
3. E-mail ID for official use :
4. Department :
5. Date of Birth :
6. Date of Joining the Service :
7. Present Designation :
8. Date of appointment to present Designation :
9. Pay as on 31stDecember 20____ :
10. Reporting and Reviewing Authorities

| | |
|---------------------|-------------|
| | Designation |
| Reporting Authority | |
| Reviewing Authority | |

11. Period of absence on leave, (Other than CL, Duty Leave or Compensatory Leave) during the period under report.

| | Period | Type | Remarks |
|-------------------------|--------|------|---------|
| Leave (specify type) | | | |
| Others (specify) | | | |

12. Details of APARs of officers not written by the officer as reporting/reviewing authority for the previous year.

Signature of Officer I/c in Personnel section

Date:

Part II (To be filled by the officer reported upon)

1. Annual Report for the period under review may be attached as an Annexure, in not more than 2 pages.

2. Brief description of duties:

*(Objectives of the position you hold and the tasks you are required to perform, in about 100 words)
Objectives may be stated considering Service Delivery (Infrastructure management, Hardware services & Implementation), Product Development (Software development for Institute as well as for Institute Projects), Teaching and Training and Corporate activity.*

3. Annual Work Plans

| Tasks to be Performed (Whichever is applicable) | Actual Achievements (Maximum 50 words each) |
|---|--|
| 1. Delivery of output (Service Delivery (Infrastructure management, Hardware services & Implementation), Product Development (Software development for Institute as well as for Institute Projects)) | |
| 2. Academic Activities (Teaching, training etc) | |

| | |
|---|--|
| 3. Mentoring | |
| 4. Research Activity in the form of projects as Principal Investigator/ Co-Investigator | |
| 5. Translation of Research in to publications/ presentations/patents/ guidelines/ policies | |
| 6. Dissemination of Knowledge to peers in conferences/ workshops/ symposium, etc. | |
| 7. Human resource and Capacity Building Activities | |
| 8. Administrative/ Corporate activities (Department/ Institute/ Regional/ National / International) | |
| 9. Others | |

4. Please include here :

- a. Any significantly higher achievements and contributions
- b. Shortfalls with reference to achieving objectives if any,
- c. Any factors which hindered your performance (maximum 100 words):

Please state whether the annual return on immovable property for the preceding calendar year was filled within the prescribed date i.e. 30th April of the year following the financial year. If not the date of filling the return should be given

Signature of officer reported upon
Date:

Part III (To be filled by Reporting Officer)

Appraisal and the Numerical grading have to be awarded. These should be on scale of 1-10, Where 1 refers to the lowest grade and 10 to the highest

| | |
|--------------------------------------|--------------------|
| Name of the Reporting Officer | Designation |
|--------------------------------------|--------------------|

| A. Assessment of work output (weightage to this section would be 40%) | Reporting Authority | Reviewing Authority | Initial of Reviewing Authority |
|---|----------------------------|----------------------------|---------------------------------------|
| <p>I. Accomplishment planned work/work allotted</p> <p>a. Service Delivery (Infrastructure management, Hardware services & Implementation). (Combined score (i.. x) scale is from 1 -10)</p> <p><i>Evaluation shall be based upon:</i></p> <ul style="list-style-type: none">i. Requirement analysis of Hardware and Software.ii. Tender evaluation, Procurement of hardware and software for infrastructure.iii. Database Installation / Configuration / Maintenance / Upgradation / Fine tuning.iv. Network device Installation / Configuration / Maintenance/Upgradation.v. Network security Policy formation / Configuration / Maintenance/ Upgradation.vi. Server Installation / Configuration / Upgradation / Tuning.vii. Storage Installation / Configuration / Upgradation / Tuning.viii. Client device / Peripheral Installation /Configuration, Integration / Upgradation.ix. Implementation of the software system developed / procured.x. Technical support (24 x 7) and system maintenance. <p>b. Product Development (Software development for Institute as well as for Institute Projects). (Combined score (i.. iv) scale is from 1 -10)</p> <p><i>Evaluation shall be based upon:</i></p> <ul style="list-style-type: none">i. Requirement Analysis / Proof of concept.ii. System Design / New Software Architecture Design.iii. Developing algorithms, Evaluation and solving programming problems. | | | |

| | | | |
|--|--|--|--|
| <p>iv. Software Development(Coding), Testing, Evaluation, Upgradation, Implementation.</p> <p>c. Teaching and Training. (Combined score (i.. ix) scale is from 1 -10)</p> <p><i>Evaluation shall be based upon:</i></p> <ul style="list-style-type: none"> i. Training staff on the usage of various products. ii. Training for Senior Residents, Students and Apprentices. iii. Participation in Departmental, Institutional, programs sponsored by National Associations and other educational Institutions, educational exercises ie Continuing Medical Education, Grand rounds, Seminars. iv. Teaching material /Book / Monograph / Technical manual /User Guide for softwares. v. Invited talks/ Chairing session / Resource Person in International/National conference / Workshop/Seminar /Symposium. vi. Visiting / Adjunct Professorship / Examinership vii. Question paper setting / Evaluation of answer sheet / Conducting Viva & Thesis evaluation / Innovation in teaching methods introduced. viii. Journal reviewer / Editorial panel / Project Evaluation. ix. A higher degree in the relevant field of specialization. <p>d. Corporate activity. (Combined score (i.. vii) scale is from 1 -10)</p> <p><i>Evaluation shall be based upon:</i></p> <ul style="list-style-type: none"> i. Organize International / National conference / Symposium / Workshop ii. Organize IT related in house Training / Workshop / Seminar iii. Membership of Institutional Administrative(including stock-verification) / Academic committees iv. Chair / Member / Secretary of Statutory Committee v. Chair/Member of (National / International) Scientific / Management committee / task force / industry vi. Member of Review /Enquiry / Selection committee of the Institute vii. President / Secretary / Convener / Treasurer of International / National Professional Society | | | |
|--|--|--|--|

| | | | |
|--|--|--|--|
| II. Quality of output:(Combined score (i.. iv) scale is from 1 -10) i. Service Delivery ii. Product Development iii. Teaching and Training iv. Corporate activities | | | |
| III. Analytical ability (Score 1-10) | | | |
| IV. Accomplishment of exceptional work/ unforeseen tasks performed details there of (Score 1-10) | | | |
| Overall Average Grading of Work Output $[(a (i..x) + b (i..iv) + c (i ..ix) + d (i..vii) + II + III + IV) / 7]$ | | | |
| 40% of overall average grading on (A) | | | |
| B. Assessment of Personal attributes (weightage to this section would be 30%, Score 1-10)) | | | |
| i. Attitude to work ii. Sense of responsibility iii. Maintenance of discipline iv. Communication skills v. Leadership qualities vi. Capacity to work in a team vii. Capacity to work in time limit viii. Interpersonal relations. | | | |
| Overall grading on personal attributes $[(i + ii + iii + iv + v + vi + vii + viii) / 8]$ | | | |
| 30% of overall average grading on (B) | | | |
| C. Assessment of Functional Competency (weightage to this section would be 30%, Score 1-10) | | | |
| 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 | | | |
| 30% of overall average grading on (C) | | | |

Signature of Reporting officer
Date

Part IV (To be filled by the Reporting Officer)

1. **Relations with the Public** (wherever applicable: Please comment on the officers accessibility to the public and responsiveness to their needs)

2. **Training:** (Please give recommendations for training with a view to further improving their effectiveness and capabilities of the officer)

3. **State of Health** :Satisfactory / Not satisfactory

4. **Integrity:** Please comment on the integrity of the officer

- Beyond Doubt.
- Nothing adverse has come to my notice.
- Since the integrity of the officer is doubtful, a Secret Note is attached

5. Pen Picture by the reporting officer in no more than 100 words on the overall qualities of the officer including the area of strengths and lesser strength, extraordinary achievements, significant failures and attitude towards SC/ ST/ OBC

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6. Over all numerical grading on the basis of weightage given in the sections A, B & C of part III

Over all grading (Sum of weighted scores of A, B and C):

| |
|--|
| |
|--|

Justification by the Reporting Officer (for 1 and 2 and 9 & 10 ratings), if any:

Signature of Reporting Officer:

Date:

Part V (To be filled by the Reviewing Officer)

| | |
|---------------------------------------|---------------------|
| Name of the Reviewing Officer: | Designation: |
|---------------------------------------|---------------------|

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 Parts-III & IV? Do you agree with the assessment of the reporting officer in respect of extraordinary achievements and/or significant failures of the officer reported upon? (In case you do not agree with any of the numerical assessments of attributes, please record your assessment in the column provided for you in that section and initial your entries).

| | |
|-----|----|
| Yes | No |
|-----|----|

3. In case of difference of opinion details and reasons for the same may be given. Is there anything you wish to modify or add?

| |
|--|
| |
|--|

4. Pen picture by Reviewing Authority. 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 sections.

| |
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|--|

5. Over all numerical grading on the basis of weightage given in the sections A, B & C of part III:
Over all grading of (Work Output [40%] + Personal attributes [30%] + Functional competency [30%]) on a scale of 1-10 =

Signature of the Reviewing Authority:

Date:

Guidelines regarding the numerical grading

- The columns in the APAR should be filled with due care and attention and after devoting adequate time.
- It is expected that any grading of 1 or 2 (against work output or attributes or overall grade) would be adequately justified in the pen-picture by way of specific failures and similarly, any grade of 9 or 10 would be justified with respect to specific accomplishments. Grades of 1-2 or 9-10 are expected to be rare occurrences and hence the need to justify them. In awarding a numerical grade the reporting and reviewing authorities should rate the officer against a large population of his/her peers that may be currently working under them.
- APARs graded between 8 and 10 will be rated as 'outstanding' and will be given a score of 9 for the purpose of calculating average scores for empanelment / promotion.
- APARs graded between 6 and short of 8 will be rated as 'very good' and will be given a score of 7.
- APARs graded between 4 and short of 6 will be rated as 'good' and given a score of 5.
- APARs graded below 4 will be given a score of Zero.
- Details given in Part 1 – Basic Information must be as per the documents maintained in the Personnel Section.
- The overall grading should not be rounded off. The grading may have a maximum of two digits after the decimal point. To illustrate, if the overall grading comes to 6.57 it should be written as such and not rounded off to 6.6 or 7. The totaling should be checked properly.
- No cutting/overwriting should be done in APAR Forms. If the same is unavoidable, the officer should append his/her signature on the part which has the cutting/overwriting.

COMMUNICATION AND ACCEPTANCE OF THE APAR GRADING

(To be filed in the APAR Dossier)

Review Period: January _____ to December _____

- Name :
- Designation :
- Department :
- Overall Grade Awarded :
- Specific Remarks if any :

(Signature of the Communicating Authority)

Name:.....

Designation:.....

I,..... (Name, Designation), hereby confirm that I have been communicated the overall grading and the relevant remark for the yearOn..... (Date) in respect of APAR.

I understand that if I wish to represent against the entries in the APAR, I will have to do so to the Competent Authority within 15 days from this date.

(Signature of the Officer reported upon)

Note: To be filled and issued by the APAR cell upon receipt of completed APAR forms.