

## Chapter 2

### SCHEME FOR PROFESSIONAL COMPENSATION AS INCENTIVE FOR SUCCESSFULLY AND TIMELY COMPLETION OF TARGET ORIENTED REVENUE EARNING PROJECTS

Detailed procedure for introducing the scheme for Professional Compensation shall be as given below : -

#### 2.1. OBJECTIVE

C-MET's primary goal is of achieving the status of National Center of Excellence, carrying out applications oriented research and development in the extremely fast moving field of electronics and IT. C-MET shall also work towards self-sustenance over a period of time. The major contribution for achieving these goals is undoubtedly to come from dedicated, motivated and top class experts and other support staff of C-MET. It is essential that they put in increasingly extra efforts to keep up to date with the advancing frontiers of technology. Simultaneously they must undertake more and more projects, which will bring in more revenue required for the sustenance. The objective of this Professional Compensation Scheme is to provide incentive to staff such that they undertake more projects in high-tech area and complete them with utmost temporal and financial economy thus saving funds: a fraction of which will be shared with them.

#### 2.2. DEFINITION

Research oriented and target based Industrial Consultancy in the form of contract projects for design & development of systems/products taken up by various Laboratories of C-MET and fully funded by DIT and Govt. departments excluding projects secured against open tenders will be covered under the scheme.

#### 2.3. PROCEDURE FOR FIXING PROJECT COSTS

- 2.3.1. The Laboratory receiving a request for Industrial Consultancy Developmental assistance from the industry/ Client / Sponsorer / Organisation shall prepare a detailed project proposal and submit the same to the competent authority for their approval. Such Project proposal shall contain relevant particulars such as (i) scope and aim of the work, (2) Expertise Specialisation available with C-MET (3) Facilities available with C-MET (4) Duration of the Project (5) Cost analysis with detailed working sheet covering:

S No	Nature of expense	Amount
1.	Expenses	
1.1.	Cost of man-days of Scientific / Technical Staff to be deployed at approved rates	
1.2.	Cost of consumables / raw materials / components with 10% towards procurement over heads	
1.3.	Cost of physical inputs / services / utilities not separately charged since manpower rates include administrative overheads.	
1.4.	Charges for use of Equipment / software of C-MET (annual usage charge @ 30% of cost of	

	equipment and installation calculated at 50% utilization)	
1.5.	Cost of equipment / software procured specifically for the project, if any with 5% towards procurement over heads	
1.6.	External payment envisaged e.g. for hiring infrastructural facilities, experts, computer time, Information etc.	
1.7.	TA/DA	
1.8.	Contingencies (charges of 5 to 10% of total project costs are normal)	
	Total Expenses = Sum of 1.1. to 1.8.	
2.	<u>Intellectual fee:</u> To be decided by the Competent Authority (Minimum of 33.3% of total expenses)	
	Project Cost = Total Expenses + intellectual fee i.e. 1 + 2	

Note: The project cost arrived at should provide for cost of insurance, levies & taxes, cost of patents /trade marks, cost of customer training etc.

Cost incurred during technology transfer and field trials.

Cost incurred during the warranty period if any.

2.3.2. The Accounts Section shall maintain project wise account with sub heads as above so that the actual expenditure against each element of the project cost could be known. It is absolutely essential that all expenditure incurred against a project including pay and allowances of each person engaged in the project is properly accounted for against the project.

#### 2.4. **RULES FOR OPERATION OF PROFESSIONAL COMPENSATION FUND SCHEME**

2.4.1 On completion of a project, savings will be arrived at by deducting actual expenditure of the project from the funds actually received by C-MET. Details of expenditure under various heads, including proposed purchase of equipment, materials, consumables, standard manpower charges, services and travel (TA/DA) for the project work / consultancy will be vetted by the Accounts in order to facilitate the computations. 30% of such savings shall be shared with the staff of C-MET by earmarking 15% for providing additional benefits as described at 17.3.4 of the Bye-laws of C-MET and the remaining 15% (hereinafter called 'B') for cash disbursement to staff in the manner described below.

2.4.2. 40% of the amount 'B' identified in Para 2.4.1 above for a given project shall be distributed in proportion to basic salary among the scientific staff who are directly involved in the project as decided by the Director / Head of the Laboratory. The following procedure is prescribed to ensure that the staff has reasonable opportunity of receiving credit for work done. The Director / Head of the Laboratory will file with the Finance Officer of the Laboratory a statement at the beginning of every project showing the planned division of labour. Even if there is no change in the workload planned, there will be a

statement every quarter confirming the division of labour on the project concerned for that quarter.

2.4.3. 60% of the amount B identified in Para 2.4.1 above for all projects plus transfers as per Paras 2.5.1 and 2.5.4 below added to the Fund, shall be distributed to all the staff of the Laboratory including those directly involved in proportion to the Basic Salary earned during the financial year concerned.

**2.4.4. Calculation of Individual Incentive Entitlement: -**

(i) Of indirect Employees =

Basic Salary of X Individual Employee*	Total amount available for disbursement (60%)
	<hr/> Total basic salary of all employees of the Laboratory

(ii) Of Project Team =

Basic Salary of X Individual Employee* (In proportion to %age involvement in the project and duration)	Total amount available for disbursement (40%)
	<hr/> Total basic salary of project team *

- Basic salary should be reduced to a level in proportion to the percentage involvement and also the duration of involvement with respect to total duration of the project; by an individual. Basic salary of research staff shall be taken as 50% of their lumpsum remuneration / stipend.

2.4.5. Disbursement from this Fund will cover only those staff members who continue to be on the rolls of C-MET at the time of disbursement and who have been in the services of C-MET at least for a period of six months during the project duration for which the compensation is being paid. Employees on Contract basis, Research Personnel, Trainees, Apprentices if directly involved on a project shall be covered by the scheme. However this category of temporary staff will not be covered for the payment to indirect staff.

2.4.6. DIT funded projects and DIT Grant are not covered by this scheme. However receipts to C-MET from parties other than DIT from any transfer of know-how or making available any service will be covered by this scheme. This will be the case even if a DIT funded project has resulted in the creation of that know-how or service which is transferred to an agency and the know-how transfer fee covers all the expenditure incurred by C-MET as per Para 2.3.1 above and there is margin over and above actual expenditure / DIT grant for the project whichever is higher.

2.4.7. Annual disbursements from the Fund will be finalized within 60 days of the audit being completed for a given financial year. Competent authority for approving the disbursement proposal is the Executive Committee.

2.4.8. Revenue from project, which runs into more than one financial year, will be handled on completion of the project.

## 2.5. **PAYMENTS FROM THE FUND**

- 2.5.1. Some of the revenue to a Laboratory may not have a project team directly involved for the purpose of Para 2.4.2 above. In such cases whole of the amount of total savings planned to be paid to the employees will be added to portion of the funds "B" which is to be distributed to all employees.
- 2.5.2. Funds received by the C-MET under common category such as membership fee, royalties, scrap sales etc., will not be considered for Professional Compensation Fund.
- 2.5.3. The maximum Compensation paid to an individual in a financial year should not exceed 30% of his/her total emoluments in that year. For this purpose total emoluments shall be calculated by using the formula: (Basic salary + allowances excluding HRA, CCA, and payments received under clause 4.4 above)
- 2.5.4. Due to the ceiling imposed above some of the funds credited to the Compensation Fund in a year may remain unspent at the end of a financial year. Such funds will revert to C-MET Corpus Fund.

## 2.6. **ACCOUNTS**

- 2.6.1. Consultancy/Developmental work shall be treated as a Deposit work. The accounts for each Project shall be maintained individually for each work and financial progress report/completion report shall be prepared and got approved by the Finance Officer / Director / Head of the Laboratory. On satisfactory completion of the Consultancy Project all the direct expenditure as at Para 2.3.1 above shall be debited to the respective Project Account and credited to the respective heads of accounts of the Laboratory. The distribution for the remaining amount shall be as follows:
  - 2.6.2. 70% to C-MET Corpus Fund
  - 2.6.3. 30% to be distributed to the Staff; 15% by way of providing additional facilities to the staff and 15% for cash payment to the staff of C-MET. 40% of this amount (i.e. 15%) shall be distributed amongst the project team directly involved in the project and the balance 60% shall be distributed equally among all the staff members including the project team. Savings of a project shall be taken into account only if the statement of expenditure duly audited and Completion Certificate duly signed by the Project Coordinator and countersigned by Finance Officer of the Laboratory is received.

## 2.7. **RULES FOR C-MET CORPUS FUND**

70% of the amount credited from the Project savings as at Para 2.6.2. and the charges towards capital at 1.4 under Para 2.3.1 above shall be kept in a Pooled Fund named "C-MET Corpus Fund" for utilisation for the following purpose: -

- i) Infrastructure development
- ii) Bridge the gap between grant in aid from the Govt. and the total Non-Plan expenditure.

Shortfall of income over expenditure in some of the projects due to unforeseen escalations etc.

The amount once credited to the Corpus Fund can be withdrawn only with the approval of the Executive Committee

## 2.8. APPROVAL

The disbursements proposed to be made under the Scheme shall be approved by the Executive Committee. The proposal to the Executive Committee shall include the following:

- i) Details of projects completed during the year giving detailed break up of each project, actual expenditure with respect to original outlay.
- ii) Depreciation charged for the year of the Laboratory and the total amount calculated towards existing facility (1.4 under Para 2.3.1. above)
- iii) Administrative overheads not charged to the project and the manner in which the expenditure is met.
- iv) Total amount proposed to be transferred to Corpus Fund during the year.

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## Chapter 3

### RECRUITMENT PROCEDURE

#### 3.1 Classification of Posts:

All members of the staff of the C-MET, except those paid from contingencies, are classified as under:

	Description of Posts	Classification of Posts
	Post carrying a pay or a scale of pay, with a maximum of not less than Rs 13,500.	Group 'A'
	Post carrying a pay or a scale of pay, with a maximum of not less than Rs 9,000/- but less than Rs 13,500/-.	Group 'B'
	Post carrying a pay or a scale of pay, with a maximum of not less than Rs 4,000/- but less than Rs 9,000.	Group 'C'
	Post carrying a pay or a scale of pay, the maximum of which is Rs 4000/- or less.	Group 'D'

#### 3.2 CREATION OF POSTS

A post, to be created, means a post carrying a definite rate of pay sanctioned without limit of time. Posts in regular scale of pay can be created only if the post is provided for either in SFC / EFC / PIB or when a specific proposal made by the C-MET for creation of a post is approved by the administrative ministry. The following guidelines shall be followed while making proposals for creation of posts:

- 3.2.1. The C-MET shall maintain the ratio between scientists and other staff who are not directly contributing to the R&D efforts, as 100 R&D Scientists/ Engineers: 35 support staff.
- 3.2.2. The C-MET shall make a proper assessment of the research plans for ensuing years; at least on a 10 year perspective, and decide on the optimum number of scientific staff to be on the regular scale of pay who would be supplemented by induction of research personnel on consolidated pay for duration of the project.
- 3.2.3. The number of posts created in regular scale of pay shall be in due consideration to the likely provision of funds that will be made in the budget for years to come.
- 3.2.4. The C-MET shall aim to maintain limited number of staff to provide support functions, both technical and administrative. This would be possible by enlisting the services of specialist agencies for outsourcing support services to the maximum extent possible. Possible areas are:
  - i) Security
  - ii) Sanitation
  - iii) Canteen
  - iv) Horticulture
  - v) Reprography



- vi) Operation & maintenance of sub station, DG sets, AC Plants  
etc
- vii) Equipment maintenance
- viii) Data processing
- ix) Library
- x) Vehicles

3.2.5. The Societies should heavily depend on paperless office concepts. Every official should be provided with a PC working on a LAN so that a high standard of efficiency is ensured. C-MET should identify agencies who are willing to take up the above work on contract basis.

3.2.6. C-MET should set up an Internal work-study unit for laying down norms for particular types of work and also for examining such proposals for staff reorganization or creation of posts. It will be the function of the Internal Work Study Unit-

3.2.6.1. To evolve standards of performance and norms of work relating to jobs peculiar to the C-MET.

3.2.6.2. A total study of the C-MET as whole should be made, which should include inter alia, the posts currently existing, the workload of each post, the effect of implementation of the proposal for creation of new posts on the organizational pattern now and in future;

3.2.6.3. When higher posts are created for a work of a long-term nature, the complement of personal staff should also be simultaneously projected.

3.2.7. The Competent Authority shall sanction posts required to be filled up to conduct the activities of the C-MET from time to time in due consideration to the financial strength of the C-MET. The number of posts created shall be in the ratio of 100: 35 for Scientific posts vis-à-vis number of technical support and administrative posts. The Societies shall endeavor to maintain a lean set up for technical support and administrative services.

### 3.2.8. **Scientists**

C-MET shall have flexibility in maintaining the ratio between Graduates, Post Graduates and Doctorates in Engineering/Science in different disciplines. In exercising this flexibility the C-MET shall maintain higher standards and the total sanctioned strength shall not be exceeded.

### 3.2.9. **Technical**

This would largely consist of trade certificate holders, diploma/degree in Science holders who are engaged to provide technical support services to the C-MET and the Scientists in particular. Staff posted to Library shall also come under this category.

### 3.2.10. **Member Administrative & Finance Staff**

The basic principles for creation of posts in the Administrative & Finance cadre shall consist of one Registrar and one Chief Finance Officer in the Headquarters, will be supported by Administrative Officer and Finance

Officer in the Laboratories to carry out responsibilities assigned to them in these Rules.

The Registrar of the C-MET shall be the Administrative Head of the C-MET and he shall oversee the functions of Finance & Accounts, Purchase & Stores besides General Administration and Establishment Sections. He shall be assisted by one Administrative Officer in the next lower scale and the Chief Finance Officer. As for the strength of the supporting officers, the normal principle shall be that one supporting official in the next lower scale shall be given for each officer and this principle if applied would decide the total strength of administrative officers in the C-MET. There shall be no separate cadres for staff in Administration, Finance, Purchase, Stores, Personnel, etc. and vacancies shall be filled up by considering all the staff coming in the zone of consideration but selection shall purely be on individual merit/seniority.

### 3.3. **QUALIFICATIONS AND EXPERIENCE NORMS FOR RECRUITMENT**

#### 3.3.1. **Scientists**

The qualifications and experience norms for recruitment of Scientists & Engineers shall be as per Recruitment Rules of Chapter 19.

Induction of Scientists & Engineers shall be normally in the scale of pay Rs.6500-10500 to 14300-400-18300. However, an outstanding Scientist/engineer / technologist working in industry and with established reputation, and who has made significant contribution to research could be considered for appointment at higher levels. Such appointment should be made only sparingly and in extremely deserving cases with the approval Vice-Chairman, Governing Council.

#### 3.3.2. **Member Technical Support Staff**

The qualifications and experience norms for recruitment of Member Technical Staff shall be as per Recruitment Rules of Chapter 19.

Induction of Technical staff holding trade certificate shall be normally in the scale of Pay Rs.3050-4590, for diploma holders/degree holders it will be Rs.4500-7000 and for PG degree in Sciences /Bachelor in Engineering it will be Rs.5500-175-9000. There shall be no induction at other levels of Technical Support Staff.

#### 3.3.3. **Administration**

The qualifications and experience norms for recruitment of Registrar, Chief Finance Officer, Administrative Officer and Finance Officer shall be as per Recruitment Rules of Chapter 19.

#### 3.3.4. **Administrative Support**

The qualifications and experience norms for recruitment of Accountant, Personal Assistant and Office Assistant shall be as per recruitment rules.

Induction of Support administration shall be normally in the scale of Pay Rs.3050-75-3950-80-4590. There shall be no induction at other levels unless otherwise provided in the Recruitment Rules of Chapter 19.

**3.4. APPOINTMENT OF JUNIOR RESEARCH FELLOWS / SENIOR RESEARCH FELLOWS / RESEARCH ASSOCIATES**

3.4.1. These positions are to assist the scientists in their research. Junior Research Fellows / Senior Research Fellows and Research Associates shall be appointed at the C-MET on the following terms: -

3.4.2. Qualification: Qualifications that must be possessed by candidates for appointment shall be as follows: -

Designation	Qualifications	Emoluments
Junior Research Fellow	PG degree with 55% in sciences or First Class Graduate degree in engineering disciplines and NET/GATE qualified.	As per norms set by Department of Science and Technology, Government of India
Senior Research Fellow	First Class PG degree in sciences with 2 years experience or First Class Post Graduate degree in engineering disciplines.	As per norms set by Department of Science and Technology, Government of India
Research Associate	PhD in Sciences/ Engineering or PG degree in Engineering Disciplines with 2 years exp	As per norms set by Department of Science and Technology, Government of India

3.4.3. The research staff (JRF/SRF/RA) will be paid a lumpsum amount as stipend as per norms of Government of India communicated through Department of Science and Technology. They shall be allowed to avail 8 days Casual leave and other types of leave shall not be available to them. However, 10 days of leave per year with full pay can be sanctioned on medical grounds for hospitalization and the leave application should be supported by medical certificate. In addition, they will be entitled for medical reimbursement of one month's emoluments in a year on pro-rata basis for themselves and their dependents.

3.4.4. The cadre of JRF/SRF/RA is temporary. All posts of JRF/SRF/RA shall be created against a specific proposal of research / development nature and an estimate of the time period for which the services of the JRF/SRF/RA are needed shall be decided at the time of creation of these temporary positions. After necessary approval, selection shall be made under normal recruitment procedure. The posts of JRF/SRF/RA created under Sponsored Project will be co-terminus with Project duration.

3.4.5. The maximum tenure of engagement of JRF/SRF/ RA shall be for a period of 5 years for JRF and 4 years for SRF/RA with initial appointment for a period of one year. The annual report submitted by research staff shall be sent to a committee constituted by the Executive Director for

evaluation of the performance of the research staff. Based on the recommendation and approval of the CA, the tenure of the research staff shall be extended for one year at a time for the second, third and fourth year. One month's notice is required for termination of the contract.

3.4.6 The selection procedure for appointing research personnel shall be in the same manner as for direct recruitment and shall be very rigorous, comprehensive and wide based so that all the potential research workers in the country are given an opportunity to be tested, in an objective manner, and only those who truly show an aptitude and competence for taking up a research career should be selected for appointment as research fellows.

3.4.7 Similarly, during the oral interview, the candidates should be put through a rigorous interview which is expected to last for about 15 – 30 minutes and should test the candidate for his basic understanding, his knowledge in the subjects relevant to the proposed research programmes, his response to new ideas and his creative abilities and imagination which are important for pursuing a research career.

### 3.5. **INDUCTION OF FACILITATION TRAINEE**

3.5.1. With a view to provide on the job training to job seekers in different trades who might also fulfill the manpower needs of the C-MET there shall be a Scheme for induction of Facilitation Trainees. The demands over changing dimensions of facilitation support in C-MET would require persons with different aptitudes for shorter durations of time on immediate basis. In view of some of the short-term requirements of the C-MET and rapidly changing needs of the job, the C-MET might need to induct facilitation staff, which rapidly aids in the area of the need with specific skill set. There exist a large number of young, dynamic and talented persons who would like to attain short training and experience before getting better occupation in future. The Scheme ensures even a job for them rather than just the training, which they aspire to achieve.

The objective of launching the Facilitation Trainees scheme is to attract fresh potential for adopting new skills and imbibing the unique work culture of the C-MET. This would help them to become the vanguards of the same in other R&D and commercial organizations they chose to join after completion of the training. As a part of the regular work, they will get the opportunity to learn several skills in the respective fields of their work.

#### 3.5.2. **Eligibility, Stipend and Tenure**

The following induction norms for the eligibility and the stipend for the Facilitation Trainees :

Type	Persons with qualifications	Stipend
Trainee Tradesman	First class Trade certificate in respective branch	Rs 3050/-
Trainee Technical/Scientific Assistant	First class diploma in engineering, or BSc in Science/Electronics	Rs 4500/-
Trainee Engineer/Scientist	First class PG degree in Science/ Electronics/ first class Graduate in	Rs 8000/-

	engineering in the appropriate branch with a very good academic record throughout	
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### 3.5.3 Selection of Facilitation Trainees

The procedure for recruitment shall be the same as for direct recruitment but the advertisement shall be released on a regional basis. The period of induction shall normally of one year and could be extended for a further period of one year. The trainees in no case shall be engaged for more than two years and the exception could be made only by the Executive Director of the C-MET for a maximum period of four years in total. The Facilitation trainees shall not be allowed any other allowances beyond the stipend and shall be eligible for 8 days Casual leave in a year pro rata. However, 10 days of leave per year with full pay can be sanctioned on medical grounds for hospitalization and the leave application should be supported by medical certificate.

### 3.6. APPOINTMENT ON CONTRACT:

3.6.1. The C-MET shall maintain limited number of staff to provide support functions both technical and administrative. The C-MET shall heavily depend on paperless office concepts. C-MET shall identify agencies that are willing to take up such work on contract basis. As far as possible services of voluntary agencies viz. for promotion of minority communities, backward classes, women organisations, ex-servicemen's welfare organisation should be enlisted.

3.6.2. **SHORT-TERM ASSIGNMENTS:** Notwithstanding the above, the Executive Director of the C-MET shall be competent to engage a person on contract for sponsored / short-term assignments in the administrative and technical support area. Such persons shall be paid the minimum basic of their respective induction grade as a consolidated remuneration. They shall not be allowed any other allowances beyond the consolidated remuneration and shall be eligible for 8 days Casual leave in a year pro rata. Persons appointed on contract basis will be paid consolidated emoluments. Such engagement shall not be for a period more than 1 year and engagement of same person for periods beyond one year in any case shall not be allowed. The number of persons engaged in this manner at no time shall exceed 20% of the strength of permanent employees in comparable cadre. These short term personnel shall not be directly engaged by the C-MET and should be routed through Manpower Consulting Agencies and preferably through voluntary agencies for promotion of minority communities, backward classes, women organisations, ex-servicemen's welfare organisation etc. Persons engaged in this manner shall not be issued any experience certificate by the officials of the C-MET.

### 3.6.3. SHORT TERM PROJECT STAFF ENGAGEMENT:

The C-MET shall also engage Project staff on contract for sponsored projects. Such persons shall be paid consolidated remuneration. The

procedure for recruitment shall be the same as for direct recruitment but the advertisement shall be released on a regional basis. They shall not be allowed any other allowances beyond the consolidated remuneration and shall be eligible for 8 days Casual leave in a year pro rata. However, 10 days of leave per year with full pay can be sanctioned on medical grounds for hospitalization and the leave application should be supported by medical certificate. Such engagement shall normally be for a period of one year, which is extendable maximum upto the duration of the project. The extension on a year to year basis shall be based on an annual report submitted by the project staff with recommendation of the Project Investigator and on approval by the Competent Authority. One month's notice is required for termination of the contract. The person engaged as project staff shall neither be allowed to take up another assignment on any of the other ongoing projects of the C-MET nor shall he be continued on expiry of the project duration. The consolidated remuneration of Project Staff will be as under:

Persons with qualifications	Remuneration
First class Trade certificate in respective branch	Rs.3050/-
First class diploma in Engineering, or B.Sc with Science/Electronics	Rs.5000/-
First class PG degree in Science/ Electronics/ first class Graduate in engineering in the appropriate branch with a very good academic record throughout	Rs.8000/-

3.6.4 In addition to the consolidated remuneration, the project staff shall be entitled for medical reimbursement of one month's remuneration per year on pro-rata basis for themselves and their dependents.

**3.7. MODE OF RECRUITMENT:**

Recruitment to the various posts shall be made by any of the following methods:

3.7.1. Direct recruitment from the open market through advertisement/Employment Exchange.

3.7.2. Recruitment of specialists on tenure of short-term consultancy or on contract basis.

3.7.3. Recruitment through Campus Interview/ Search-cum-Selection Committees.

3.7.4. On deputation/permanent absorption of persons holding analogous positions in other Govt. organisations.

3.7.5. By Promotion

**3.8. PROCEDURE FOR DIRECT RECRUITMENT:**

The following procedure shall be followed for filling up vacancies under Direct Recruitment: -

**3.8.1. Release of Advertisement**

- 3.8.1.1. All posts in the C-MET including research personnel, Facilitation trainees and Project staff shall normally be filled by advertisement and the authority competent to make appointment to the post shall decide whether a particular post is to be filled by advertisement, by invitation, by circular, by promotion from amongst the members of the staff of the C-MET or by a deputationist. Where a post is to be filled by open recruitment, an advertisement is released to the newspapers in such a way that appropriate regions of the country are covered. A panel of such newspapers is approved by the authority competent to make appointment to the post from time to time. A minimum of 3 to 4 weeks time from the date of appearance of the advertisement should be given for receipt of applications.
- 3.8.1.2. When advertisements are released, copies thereof are simultaneously sent to the Employment Exchange and the recognized organisations of the Scheduled Castes / Scheduled Tribes and of Handicapped Persons, requesting them to sponsor suitable candidates for the vacant positions.
- 3.8.1.3. To reduce expenditure on advertisement, an abridged notification could be released through newspapers with an advice to see complete details on C-MET's website.

**3.8.2. Qualifications and experience:**

The qualifications and experience prescribed are the minimum required for the posts. The prescribed experience should have been obtained after acquiring the prescribed educational qualification. Relaxation in the prescribed educational qualifications and experience can be considered in exceptional circumstances by Executive Director.

A candidate with higher educational qualifications / experience than the minimum prescribed should be considered only for the post for which he / she has applied and not for any other higher posts. Similarly, a candidate who has applied for a specific post should not be considered for a lower post on the grounds that he possesses only lower qualification / experience.

**3.8.3. Age:**

Maximum/Minimum age limit would be as per the Recruitment Rules of Chapter 19 for regular staff, 28 years for JRF, 32 years for SRF and 35 years for RA, short term project staff and facilitation trainees. The crucial date for determining eligibility for being considered would be the last date fixed for receipt of applications. Relaxation in age to SC, ST, OBC, etc. would be given as per instructions issued by Government from time to time. In exceptional cases the Appointing Authority shall have powers to relax the age with reasons to be recorded in writing.

**3.8.4. Application fees:**

Application fee for posts equivalent to Group A including research staff shall be Rs 100/- and Rs 50/- for other categories.

No fee shall be charged from candidates belonging to SC/ST category.

### **3.8.5. Screening Committee:**

Applications received in response to an advertisement and nominations received from the employment exchange will be screened by a screening committee who will verify the applications and satisfy that the conditions regarding age, educational qualifications, experience etc. prescribed are satisfied. Where the applications received are too many and it is not considered practicable to call all candidates for test / interview, the applications will be short-listed and a smaller number will be considered on the recommendations of the screening committee. Possibility of enhancing the advertised standards to limit the number of candidates being called for test / interview shall be clearly indicated in the advertisement. The number of candidates called for written test / interview shall normally be four times the number of vacancies. The screening committee will consist of 2 or more members nominated by the authority competent to make appointment to the post.

The candidates recommended by the screening committee will be called for a written test / skill test and / or interview by the selection committee. In cases where the recruitment rules do not provide for a test, the authority competent to make appointment to the post may order conducting a test when considered necessary.

### **3.8.6. Selection Committee:**

The authority competent to make appointment to the post shall constitute a Selection Committee. The selection shall be made on the basis of personal interview and any other method the Selection Committee may adopt where there is no laid down method. The quorum for meeting of the Selection Committee is five Members including 2 Members from outside. The level of the Members shall be at least two levels above, to which the Selection Committee is being constituted. For JRF/SRF/RA, Facilitation Trainee, Short-term Contract and Project Staff shall be as follows:

- One outside expert of appropriate status as Chairman.
- Two experts in the relevant field of appropriate status.
- Executive Director or his representative

It has to be ensured that one Member of the Selection Committee is from SC/ST. Efforts should also be made to associate a member of minority community and woman.

### **3.8.7. Arranging Written Test for the Candidates:**

- 3.8.7.1. Administration Department shall make arrangements for conducting the written test (if required) to test the application of the knowledge, expected of the persons who apply for the advertised posts and those who qualify the written test may only be interviewed. For technical trades, practical test may also be held besides the written test if so deemed necessary.



- 3.8.7.2. The candidates recommended for interview shall normally be double the number of vacancies proposed to be filled up. The report of the performance of candidates in the tests is made available to the Selection Committee.
- 3.8.7.3. The applicants should be required to submit attested copies of their educational certificates alongwith application and originals should be produced at the time of interview.
- 3.8.7.4. Records of the written test, practical test or interviews held by the Selection Committee, along with the recommendations of the Committees should be preserved in the Administration for at least a period of 2 years or till the recruitment files are retained, whichever is later.

**3.8.8. Proceedings of Selection Committees:**

The Selection Committee constituted by the authority competent to make appointment to the post shall meet on a date fixed by the Chairman of the Committee. A copy of the advertisement and particulars of all the candidates called for interview are forwarded to each member of the Selection Committee. The Selection Committee considers the credentials and interviews the candidates called. The Selection Committee shall give weightage for selection of candidates as follows: -

Test	Written Test	No Written Test
Test	= 60 Marks	-
Interview	= 40 Marks	100 marks
Total	= 100 Marks	100 marks

Note: The qualifying marks for selection will be 70% and not less than 50% in each of the stages given above.

The Selection Committee thereafter makes its recommendations, the names of selected candidates being arranged in the order of merit. The Selection Committee also suggests the starting salary in the grade in each case.

**3.8.9. Fixation of the Salary to be offered**

The starting pay of the employees on their appointment at the C-MET shall normally be at the minimum of the scale of pay. The authority competent to make appointment to the post has the power to fix, on recommendation of the Selection Committee, the initial pay of an incumbent at a stage higher than the minimum of scale in respect of the post, limited to a maximum of five increments. Approval of the Executive Director is to be obtained for sanctioning advance increments in the case of Group C posts.

Where the Selection Committee considers that the starting pay of a candidate selected should be fixed at a stage higher than the minimum, it

shall take into consideration the following factors and shall record detailed reasons for recommending such higher pay, which shall be specifically brought to the notice of the Appointing Authority while seeking approval to the minutes of the Selection:

- The qualifications possessed by the candidate in the relevant field over and above those prescribed for the post or those adopted for short listing the candidates;
- Any specialised knowledge/experience of which the candidate has a documentary evidence and which would be relevant to the duties and responsibilities attached to the post;
- Years of experience in a similar or higher category of work;
- Salary last drawn in the case of those coming from Government or Semi-Government Department/Institutions etc.
- Comparison with the pay drawn by the incumbents in the same grade/post.

While all the above five points should be considered together as a whole, maximum weightage should be given to the comparison with the pay drawn by the incumbents in the same grade/post so that the new appointments do not create imbalance in the salary structure of the existing incumbents in the same post and in the same grade.

### **3.8.10. Reports of Selection Committees**

The reports of the Selection Committee shall be signed by all the members present.

#### **3.8.10.1. Approval of recommendations of Selection Committee**

Recommendations of Selection Committee are approved by the authority competent to make appointment to the post

As regards such recommendations for the posts of which Council is the appointing authority, the Council has authorized its Chairman to approve the recommendations of the Selection Committee and obtain ratification by the Council subsequently. Cases where the recommendations of Selection Committee are not unanimous are to be referred to the Council for decision. For any other case, the Chairman may exercise his discretion whether or not to refer the same to the Council for decision. The recommendations of the Selection Committee approved by the Chairman should be submitted to the Council for ratification in the following meeting.

#### **3.8.11. Offer of Appointment**

Offers of appointment are issued on approval of the recommendations of the Selection Committee. The offer of appointment indicates the salary offered, the rates of allowances, the duration of the appointment and other terms and conditions of service as applicable from time to time, and prescribes the date by which acceptance of offer is to be communicated by the candidate.

A candidate who is offered an appointment in the C-MET should join within three months, if in India; and within six months, if abroad, from the date of the offer. However, the authority competent to make appointment to the post may extend the joining time on request, up to six months from candidates in India; and one year for candidates abroad.

The candidate will be directed to get himself examined for physical fitness by the prescribed Medical authority. On production of a satisfactory certificate of physical fitness, the offer of appointment becomes operative.

### **3.8.12. Oath of Allegiance**

All appointees to the C-MET are required to take an oath of allegiance to the Constitution of India in the prescribed form. Conscientious objectors to oath taking may make a solemn affirmation in the prescribed form given below.

- 3.8.12.1. The oath/affirmation can be taken/made in English or Hindi or in any official regional language with which the employee is conversant.
- 3.8.12.2. Full-time appointees, who are foreign nationals, are also required to take/make an oath/affirmation in the prescribed form.
- 3.8.12.3. The taking of oath should be included in the terms of appointment of persons to the service of the C-MET.
- 3.8.12.4. A record should be maintained of full-time employees who have taken/made the prescribed oath/affirmation.
- 3.8.12.5. The oath/affirmation should be taken/made before the appointing authority or an Officer who may be authorized in this behalf.

### **3.8.13. Validity of Panel/Waitlist**

The recommendations of a Selection Committee will remain valid only for a period of one year from the date of approval by the competent authority. During this period, if a vacancy arises in one of the areas advertised for selection, for any reason including a selected candidate declining the offer or not joining by the prescribed date, the offer could be made to the next candidate on the panel. However, if a candidate is placed on the waiting list against a particular candidate, the waiting list shall automatically lapse on the date the particular candidate joins the C-MET, or one-year limitation, whichever is earlier.

### **3.8.14. Contribution to Travel Expenses:**

#### **3.8.14.1 For Interview**

The candidates called for interview for the post of Director/ Executive Director shall be reimbursed single first class / II AC railway fare both ways at actuals. SC/ST candidates shall also be extended assistance in accordance with Govt. instructions on the subject.

#### **3.8.14.2 For Joining the Post:**

Scientists appointed to posts in the C-MET in the scale of pay Rs 14300-18300 and above will be entitled to reimbursement of actual expenses incurred on traveling by air/rail/bus for self and family and transportation of personal effect from the place (within India only) from which they came over to the C-MET at actuals limited to Rs 10,000/-.

3.8.14.3 Scientists The reimbursement will be allowed subject to the condition that the

undertake to remain with the C-MET for a minimum period of two years. If the Scientist leaves the C-MET before completing service for two years, the amount paid to him will have to be refunded before he is relieved. A condition to this effect shall be incorporated in the offer of appointment.

3.8.14.4 However, those who are joining the C-MET from the Central Government, State Government, Autonomous Bodies, PSUs/Statutory Body, etc., shall be paid TA&DA, transfer incidentals, joining time pay, etc., as in the case of transfer.

### 3.8.15. Medical Examination on First Appointment:

To ensure that only persons, as are physically as well as mentally sound in health, are admitted to service, every new entrant appointed to a post in the C-MET, including short – term appointments, is required to produce a medical certificate of health issued by a competent medical authority as mentioned below except in cases where the appointment is made specifically for a period not exceeding three months.

Employees in the scale of pay Rs. 6500 – 10500 and above	Medical Board
Other posts, viz., posts in pay scales below Rs. 6500 – 10500. Research Personnel, Facilitation Trainees, Project staff etc.,	Civil Surgeon, District Medical Officer or a Medical Officer of equivalent status.

### 3.8.16 Verification of Character and antecedents and caste certificate in respect of SC/ST/OBC & Other reserved categories

The Appointing Authority should satisfy itself that the character and the antecedents and Caste Certificate (if applicable) of the person proposed to be appointed is verified by appropriate authority to render him/her suitable for appointment to the post. However in case of urgency, the Appointing Authority may allow a person to join the post provisionally on production of certificate of good character or the caste which he/she belongs from two Gazetted Officers.

### 3.8.17 Appointment on Deputation:

3.8.17.1 Where it is considered expedient to fill up a post on deputation basis, nominations shall be obtained of prospective candidates holding analogous posts from Govt. organisations initially for a period not more than two years. The period of deputation shall be for a maximum period of four years.

### 3.8.17.2 Pay Fixation:

The deputationist shall have the option to draw pay and allowances drawn in his parent department + deputation allowance @ 10% subject to a maximum of Rs 1000/-, where headquarters is outside the place of posting or 5% of basic pay subject to a maximum of Rs 500/-, where HQrs of the deputationist is same station, or he may opt for C-MET's scale of pay and allowances. Where C-MET's scale of pay is opted the pay will be fixed in such a manner that the basic + DA in both the organisations are almost at the same level.

The C-MET will pay the leave salary and pension contributions to the Govt. of India or any other organization, as the case may be, in respect of persons appointed in the C-MET on Foreign Service terms (Deputation). The rates of such contributions shall be in accordance with the rates prescribed by the Government from time to time.

### 3.8.17.3 Permanent Absorption

With a view to attract experienced and talented persons and to maintain continuity of such employees, the C-MET may offer appointment to employees of Govt. organisations on permanent absorption basis at the time of their initial selection or at a later date while they are on deputation with the C-MET whenever they exercise their option for permanent absorption in the C-MET.

## 3.9 RESERVATIONS AND CONCESSIONS IN APPOINTMENTS

### 3.9.1. Reservation for SCs/STs

**Definition of SC/ST:** - A person should belong to a Caste or a Tribe declared by the Central Government to be a Scheduled Caste (SC) or a Scheduled Tribe (ST) for the area of which he/she is a resident.

Further, a person claiming to be SC should profess either the Hindu or the Sikh or the Buddhist Religion. A person of the Scheduled Tribe may profess any religion. A person not belonging to SC/ST by birth will not be deemed to be a member of SC/ST by virtue of marriage with a person belonging to SC/ST. Similarly; a person belonging to SC/ST by birth will continue to belong to that category even after marriage with a person not belonging to SC/ST. If an SC person converted to a religion other than Hinduism / Sikhism/ Buddhism reconverts himself back to these religions, he will be deemed to have reverted to his original SC status, if he is accepted by the members of that particular caste as one among them.

3.9.2. **Certificate to be produced:** - A person claiming to belong to SC/ST should produce a certificate in the prescribed form signed by the following authorities: -

- i) District Magistrate / Additional District Magistrate / Collector / Deputy Commissioner / Additional Deputy Commissioner / Deputy Collector/ I Class Stipendiary Magistrate / Sub-Divisional

Magistrate / Taluka Magistrate / Executive Magistrate / Extra-Assistant Commissioner.

- ii) Chief Presidency Magistrate / Additional Chief Presidency Magistrate / Presidency Magistrate.
- iii) Revenue Officer not below the rank of Tahsildar. Sub-Divisional Officer of the area where the candidate and/or his family normally resides.

3.9.3. **SC candidate to intimate change of religion:** - Every SC member should immediately inform the appointing authority in the event of any change of his/her religion.

3.9.4. **Reservation in Direct Recruitment:** -

Sl. No	Method of Recruitment	% of reservation / Roster
	Direct Recruitment on All India basis by Open Competition	15% for SC, 7-½ % for ST - 200 point post-based roster.
	Direct Recruitment on All India basis other than by Open Competition	16 2/3 % for SC, 7 1/2 % for ST- 120 point post-based roster
	Direct Recruitment normally attracting candidates from a locality or a region	Percentages applicable to the respective States- 100 point post-based roster

**Note:** In small cadres of upto 13 posts, model rosters followed in Government shall be adopted.

3.9.4.1. Extent of application: -

*Applicable to all appointments viz. regular scale of pay, research personnel, Project staff, facilitation trainees except casual appointments and consultants. Will also apply to Scientific / Technical personnel in respect of posts up to and including lowest grade equivalent to Group 'A'.*

Not applicable to posts filled by deputation. But eligible SC/ST candidates should be duly considered; if the number of posts is fairly substantial, a fair percentage should be filled by SC/ST subject to availability.

3.9.4.2. **Reservations in Promotions:** - The percentage of reservations in promotions wherever applicable are the same as for direct recruitment on All India basis by open competition. Reservations are applicable for promotion in all grades and services in which the element of direct recruitment, if any, does not exceed 75%.

3.9.4.3. **Relaxations/Concessions admissible to SC/ST in direct recruitment.**

- (i) **Age:** - Maximum age-limit up to five years, for all posts.
- (ii) **Minimum standard in Examination/interview:** - If adequate number of SC/ST candidates satisfying the minimum standard is not

available, short- fall will be adjusted by relaxing the minimum standard, provided they are not considered unsuitable. There will be no relaxation in qualification and/or minimum number of marks /grade.

- (iii) *Less than minimum standard:* - In the case of non-technical and quasi-technical Groups 'C' and 'D' filled by direct recruitment instead of through written examination, if SC/ST candidates are not available even under relaxed standards, shortfall will be adjusted by appointment of the best among the remaining SC/ST candidates with minimum educational qualifications.
- (iv) *Exemption from fee:* - Candidates are fully exempted from fees for admission to any examination for recruitment/selection.
- (v) *Separate interviews:* - For direct recruitment against reserved vacancies, separate interviews will be held for SC/ST candidates so that they are not adjudged along with general candidates.

#### 3.9.4.3. **Relaxations/Concessions in promotions: -**

- (i) *Age:* - Where an upper age limit not exceeding 50 years is prescribed for promotion, it should be relaxed by five years.
- (ii) *Departmental Competitive Examination:* - SC/ST candidates who have not acquired the general qualifying standard should also be considered for promotion, if they are not considered unfit for such promotion, by relaxing the qualifying standards in their favour.
- (iii) *Departmental qualifying examination:* - Suitable relaxation in the qualifying standard in such examinations should be made in the case of SC/ST candidates.

3.9.5. **Liaison Officer** - An Officer in post equivalent in rank of Deputy Secretary in Government shall be nominated by the C-MET to ensure compliance of the reservation orders issued in favour of SCs/STs, to ensure prompt disposal of grievances and to scrutinize and consolidate statistical data. Liaison Officers are also to be nominated in the Units / offices with staff strength over 50.

#### 3.9.6. **Reservations for Socially and Educationally Backward Classes (OBCs)**

**Definition:** - OBCs for purposes of reservation would comprise castes and communities, which are commonly mentioned in both the lists in the Mandal Commission Report and the State Governments ' lists. A list of such common categories has been brought out by the Ministry of Welfare. However, from this list, certain persons/sections will be excluded. The rest will be entitled for reservation.

**Certificate:** - Any candidate claiming to belong to the OBC should obtain a certificate in the prescribed form signed by any of the specified authorities. No other certificate will be accepted. The authority should also

certify that the candidate does not belong to anyone of the Creamy Layers.

**Reservations only in Direct recruitment:** - 27% in all direct appointments upto and including lowest grade of Group A are reserved for OBCs. No reservation in promotions.

**EXEMPTIONS:** - Scientific/technical posts for conducting, organizing, guiding and directing research, which are above the lowest grade of Group. A' are exempted from the purview of reservations.

### 3.10. GUIDELINES FOR RECRUITMENT OF CASUAL LABORERS

Casual laborers as a rule should not be engaged by the C-MET. In exceptional cases, casual laborers may be engaged for carrying out emergent work. Casual laborers should not be engaged for work of regular nature, but only for work of casual or seasonal or intermittent nature or not of full-time nature, for which regular posts cannot be created. The casual laborers shall be paid the minimum wage as notified by the State Government / UT as per the Minimum wages Act, 1948. There shall be a complete ban on engagement of casual workers for duties of posts equivalent to Group C. Payment to casual laborers shall be regulated as follows:

**Weekly off** – One paid weekly off after six days of continuous work.

**National Holiday-** Daily wage is admissible for a National Holiday falling on a working day for them.

**No payment for other days of absence** – Except on weekly off days and a National holiday, no payment is admissible when duty is not performed.

### 3.11. ENGAGEMENT OF CONSULTANTS:

The C-MET may engage Consultants in exceptional circumstances and on merits of each case. Various types of engagements are as follows: -

#### 3.11.1 Part-time Visiting Scientist / Specialist / Expert:

For various reasons including non-availability of C-MET's own staff in a given area, such appointments are made for a specified period of time for carrying out a specific assignment. Part-time visiting Scientist / Specialist / Expert are paid an honorarium for the assignment in accordance with guidelines approved by the Council and are not deemed as regular employees of the C-MET.

#### 3.11.2 Whole-time Visiting Scientist / Specialist / Expert:

Distinguished research workers and specialists permanently attached to other institutions may be invited to serve as whole-time Visiting Scientist / Specialist / Expert. During their tenure at the C-MET, their duties and privileges are the same as that of the permanent employees of the C-MET at comparable levels. Appointments are made up to a maximum of



2 years on a level-to-level basis with the approval of the competent authority.

### 3.11.3. Honorary Visiting Scientist / Specialist / Expert

Eminent and distinguished Scientists/ engineers working in industry and research institutions may be invited to interact with the C-MET in the capacity of Honorary Visiting Scientist / Specialist / Expert on a part-time basis. Such appointments are made for tenure of 2 years, extendable for further periods of 2 years at a time, with the approval of the Vice-Chairman, Governing Council on the recommendations of the Executive Director of the C-MET. Honorary Visiting Scientist / Specialist / Expert are expected to contribute to scientific work at the C-MET for which they may be given an honorarium at rates, prescribed by the Committee from time to time. In addition to the honorarium the C-MET bears the traveling/conveyance expenses in connection with their visit to the C-MET. The Criteria for appointment of an Honorary Visiting Scientist / Specialist / Expert is as under:

- He should have good academic qualifications;
- He should have held a responsible position in a Research Organisation or an eminent position in industry with active participation in R & D work;
- He should be actively engaged in the profession indicative of interest in research work.

### 3.11.4. Appointment of non-Indians

The appointment of non-Indians should be made only in very exceptional circumstances and then also only on contract for the minimum period necessary. Whenever it is proposed to appointment of non-Indians, suitable steps should be taken simultaneously to train Indians to fill such posts. The orders on the subject issued by the Central Government from time to time setting out the general policy in this regard will have to be followed. It is also necessary to examine from the security point of view whether the non-Indian is suitable for such appointment. Non-Indians have to take an Oath of Allegiance before they join. The Oath should state the name of the candidate, nationality, and solemnly swear that they will be faithful to India and to the Constitution of India for the duration of their service. The Oath should also affirm that the candidate would carry out the duties of his office loyally, honestly and impartially. Previous permission from the administrative ministry and local police authorities is essential.

### 3.11.5. Appointment of expatriate Indians

Expatriate Indians may be appointed on contract basis if their services are required. These persons may be paid lump sum cash emoluments.

### 3.11.6. Broad guidelines on terms and conditions of appointment are as follows:

Criteria and limitations: -

- 3.11.6.1. Consultants may be engaged to undertake specific jobs of a specialized nature or for attending to specific and time-bound jobs like preparation of Project Reports, etc., and not for routine day-to-day work. In exceptional cases where a consultant is engaged for regular work, the post earmarked for such work should be kept vacant till the work is completed.
- 3.11.6.2. Consultants can be engaged on full-time or part-time basis. Full-time Consultants will not be allowed to take up any other assignments during the period of consultancy. No such restriction for part-time Consultants.
- 3.11.6.3. Strength of Consultants should be restricted to 5% of the total number of posts of the C-MET.
- 3.11.6.4. Number of retired employees should not exceed 2% at any time. Proposals for engagement beyond this limit in exceptional cases should be submitted for approval of the Vice-Chairman of the Governing Council.
- 3.11.6.5. Consultants shall be engaged for a maximum period of two years and if extension beyond is inescapable, proposal shall be put up for consideration of the Vice-Chairman of the Governing Council.
- 3.11.6.6. Age-limit: - Up to a maximum of 65 years for meritorious scientists / specialists and 62 years for others.
- 3.11.6.7. Fee: -
- Consolidated fee will be decided in each case by the Executive Director on the recommendations of Director in consultation with the Registrar and Chief Finance Officer after taking into account all the relevant factors, including the level of the post last held subject to the ceilings of Rs.26,000/- p.m. for Full time and Rs.13, 000/- p.m. for Part-time experts.
- 3.11.6.8. DA/CCA/HRA or any other relief not admissible in addition.
- 3.11.6.9. Fee should be fixed at an appropriate amount and not routinely at the maximum.
- 3.11.6.10. Fee plus pension should not exceed last pay drawn for full time consultants and for part-time consultants. The fee should not exceed 50% of last pay drawn. Approval of the Vice-Chairman, Governing Council is necessary if fee is proposed higher than these limits.
- 3.11.6.11. Payment of fee on a lumpsum basis or in 2 or 3 installments can also be considered, keeping in view the quantum of work handled.
- 3.11.6.12. Consultants on full time shall be allowed Casual leave only
- 3.11.6.13. T.A./D.A: - As per normal rules applicable to any serving officer of an equivalent rank in the C-MET.
- 3.11.6.14. Telephone Facilities: - Not entitled.
- 3.11.6.15. Transport: - Not entitled. However, reimbursement of conveyance charges allowed on the same terms and conditions admissible to other employees

of equivalent rank. Use of staff car for private purposes and also for journeys between residence and office not permissible.

3.11.6.16. Half-yearly Return: - Details of the Consultants employed in the C-MET shall be reported to the Governing Council for their review.

**3.12. INTERPRETATION**

Persons already engaged by the C-MET shall not automatically be offered revised terms given above for any type of employment. They would be at liberty to respond to advertisements that may be released in the future and there shall be no special consideration on prescribed criteria as regards age, qualifications etc and the standards fixed for selection. In the event of non-selection they shall continue on existing terms till the date of present engagement and their period shall not be extended under any circumstances. Executive Director of the C-MET may however consider exceptions.

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## Chapter 4

### PERSONNEL – SERVICE MATTERS

- 4.1. **PROBATION ON APPOINTMENT-** General Principles
- 4.1.1. The objects of placing a fresh appointee on probation is to make a close watch on the performance during the period of probation so that at the end of probation, an overall assessment could be made to decide whether or not to retain him in service. A rigorous screening of performance during the probation period should be made and there should be no hesitation to discharge if the work of the officer during probation has not been satisfactory. Probation should not be treated as a formality and the general guidelines to review performance during the probation and the circumstances under which to discharge probationers should be systematically and vigorously followed so that the necessity of dispensing with the services of staff members at later stages may arise only rarely.
- 4.1.2. Passing the probationary period should be an essential and important part of the criterion for confirmation. There should be a very careful assessment of the outlook, character and aptitude for the kind of work that has to be done in the service before a probationer is confirmed, and only those persons who possess qualities of mind and constructive outlook needed in the particular service should only be confirmed.
- 4.1.3. The performance report during the probationary period should be considered by a duly constituted Committee of senior officials for determining whether the probationer concerned is fit to be confirmed in service. For this purpose, separate forms of report on the probationer, which should be distinct from usual confidential report forms shall be devised. The probation reports are, written to help the supervising officer to concentrate on the special needs of probation and to decide whether the work and conduct of the officer during the period of probation or the extended period of probation are satisfactory enough to justify his further retention in service or post.
- 4.1.4. The period of probation in all categories shall be two years. While the normal probation may certainly be extended in suitable cases, it is not desirable that a staff member should be kept on probation for years. Therefore, save for exceptional reasons, probation should not be extended for more than a year at a time and no staff member should be kept on probation for more than double the normal period.
- 4.1.5. The decision whether a staff member should be confirmed or his probation extended should be taken well before the expiry of the initial probationary period, that is ordinarily before six to eight weeks, so that the staff member is given a communication before expiry of period of probation together with the reasons in case of extension. A probationer who is not making satisfactory progress or who shows himself to be inadequate for the service in any way should be informed of his shortcomings periodically so that he can make special efforts at self-improvement.
- 4.1.6. If during the period of probation or any extension thereof, as the case may be. It is concluded that an officer is not fit for permanent appointment; such persons should be discharged immediately and in no case later than the date of expiry of the period of probation.

4.1.7. Probation period should not to be extended as a matter of routine. In case an official is considered unfit for the post on which he is placed on probation, his termination should be considered. Cases of probation of officials should be reviewed every six months. In case, the result of review of performance of an official is found indifferent, he should be warned of the consequences, i.e., termination of his services. Such a warning should be issued at least six months in advance after which the performance of the official concerned should be continuously kept under observation. It may be emphasized that after entry by an official in a grade, the stress is 'on Probation' and not on confirmation.

## 4.2. **CONFIRMATION**

4.2.1. Confirmation in the grade to which initially recruited. In case of officials placed under probation a duly constituted Committee shall meet and make an overall assessment of the performance of the official during the period of probation. Such an assessment shall be made at least six to eight weeks before the date of expiry of period of probation.

4.2.2. Eligibility for confirmation. - Before confirming a staff member on probation, the Committee should satisfy itself-

4.2.2.1. that the person concerned is educationally qualified (unless the educational qualifications were specifically relaxed in his case by the competent authority) or he belonged to a category of persons in whose case the prescribed educational qualifications stood relaxed at the time of his initial appointment.

4.2.2.2. that the person satisfied the condition of the age-limit prescribed in the recruitment rules at the time of his initial appointment unless he was exempted from the condition to the extent provided in the instructions or the condition was specifically relaxed in his case by the competent authority under the relevant instructions

4.2.2.3. that he has been examined by appropriate medical authority and found fit, wherever necessary.

4.2.2.4. that he is qualified for confirmation under the relevant recruitment rules and passed prescribed tests, if any, before confirmation.

4.2.3. Suitability of persons for confirmation or denial of confirmation based on assessment of the work done by the Officer

4.2.3.1. Before confirming a person, integrity clearance should always be obtained from the vigilance unit of C-MET.

4.2.3.2. In the case of confirmation, the DPC should not determine the relative merit of the officer but it should assess the officer as 'Fit' or 'Not yet fit' for confirmation on the basis of their performance in the post as assessed with reference to their record of service.

4.2.3.3. Where probation is prescribed, the appointing authority will on completion of the prescribed period of probation assess the work and conduct of the officer himself besides the recommendations of the Committee and in case the conclusion is that the officer is fit to hold the post, he will pass an order declaring that the person concerned has successfully completed the probation. If the appointing authority considers that the work of the officer has not been satisfactory or

needs to be watched for some more time, the period of probation may be extended for periods, which shall not extend beyond six months at a time.

#### 4.3. **SENIORITY**

Seniority of Direct Recruits, Promotees, Absorbees, etc., shall be determined as per Government of India orders and instructions.

#### 4.4. **SERVICE BOOK**

4.4.1. **Service Book maintenance:** - Necessary for all staff who have retirement benefits. The Service Book will be opened from the date of the first appointment in the prescribed form.

4.4.2. **Custody:** - It should be kept in the custody of the Head of Office concerned. On transfer of the official to another office, the Service Book will also be transferred. This applies also to the officials joining a new office after technical resignation.

4.4.3. **Not to be returned to the official:** - Service Book will remain in the custody of Administrative Officer/Head of Office even after resignation, retirement, etc., of the official and not to be returned to him.

4.4.4. **Entries and Attestation:** - Every step in official's career should be recorded and each entry attested by the Head of Office who will ensure that the entries are correct and also that there is no erasure, overwriting, etc. Entries/ attestation in the Service Book of the Head of Office will be made by next higher authority. The Head of Office may also authorize a junior officer to attest Service Book entries on his behalf. In such cases, entries/attestation in the Service Book of such authorized officer will be made by the Head of Office.

#### 4.4.5. **Certain Special Entries:** -

4.4.5.1. **Suspension:** - Period of every suspension and other interruption of service should be entered with full details of its duration, reference to Order, etc. Entry should be made across the page and duly attested.

4.4.5.2. **Reduction to a lower post:** - Reason for reduction should be briefly recorded.

4.4.5.3. **Technical resignation:** - Against the entry of a technical resignation, it should be clearly indicated that the retirement benefit(s) are admissible. No separate orders are required in this regard. However, reference to the Order will be given together with the entry for relief of the official.

4.4.5.4. **CPF account number:** - To be entered on the right hand top of Page 1 by means of a rubber stamp as soon as the official is admitted to CPF.

4.4.5.5. **Home Town:** - Declaration submitted under LTC Scheme to be kept in Service Book.

4.4.6. **Need for proper maintenance of Service Book:** - Proper maintenance of Service Book is necessary to eliminate possible delay in authorization/ payment of retirement benefits. Orders of Competent Authority will be obtained in cases of breaks in service, etc., invariably at the same

time as the occasion arises and noted in Service Book. In the case of EOL, it should be specified if it is with MC for prosecution of studies, etc

- 4.4.7. Service Book to be shown to the official every year: - Service Book is required to be shown to the official every year and his signature obtained. The Employee of C-MET will ensure that his services have duly been verified and certified as such, before affixing his signature. Signature of official in Foreign Service will be obtained after the Accounts officer has made necessary entries connected with Foreign Service. Administrative Officer will furnish a certificate to the next higher authority every year that this requirement, i.e., showing the Service Book to the official and obtaining his signature therein has been compiled within respect of the previous financial year in all cases.
- 4.4.8. Practical guidelines on the maintenance of Service Book: - Instructions /guidelines contained on the inner cover pages of the printed Service Book will be followed. In addition, some practical guidelines are given below:
- 4.4.8.1. Opening of Service Book: - Name to be written both in English and in Hindi on the outer cover. Reference to the original documents verified to be made for (a) Date of birth, (b) Educational qualifications, (c) Technical Qualifications, and (d) Caste Certificates for SC/ST/OBCs.
- 4.4.8.2. Permanent home address- To be maintained in Column 11 as declared in the Attestation Forms. (This is different from Home Town Declaration under LTC Rules).
- 4.4.8.3. Opening entries in Part IV: - In Column 2, date of appointment with clear indication 'forenoon' or 'afternoon' to be entered. In Column 4 designation, scale of pay and name of office to be entered. Pay (normally minimum of scale for new entrants) to be maintained in Column 6. Entries in Column 5 are to be made only after the official is confirmed. In Column 7, reference to appointment order should be given. Attestation to be made in Column 8.
- 4.4.8.4. Entries in Columns 2 & 3: - Entry in Column 3 against entry already made in Column 2 will arise on the grant of annual increment or relief on transfer, etc. If entry in Column 3 is for annual increments, simultaneous entry under Column 2 as next entry to be made. (Example: for increment on 1<sup>st</sup> January, entry in Column 3 will be 31<sup>st</sup> December and in Column 2 as next entry will be 1<sup>st</sup> January with the new pay shown in Column 6 or 5, as the case may be). Same principle followed for promotions/revisions, etc.
- 4.4.8.5. Leave entries: - In the new form of Service Book; leave entries also to be made under Column 7. Entries to be as brief as possible to utilize minimum space. In the case of EOL indication whether 'with MC' or 'without MC', etc., to be clearly made.
- 4.4.8.6. Special kinds of Leave: - Maternity Leave, Study leave, etc., which do not affect leave account to be entered in the remarks Column (Column 11).
- 4.4.8.7. Entries in the body of the Service Book: - Important events, e.g., suspension, reversion as a penalty, confirmation, termination of probation, fixation of pay in revised scale, stepping up of pay etc., to

be entered in the body of the Service Book giving reference to authority.

- 4.4.8.8. Stock of Service Books and periodical verification: - For safe custody of Service Book, maintenance of 'Register of Service Books' is necessary. Entries should be made in this register as and when new Service Books are opened or received from other offices, etc., and when they are sent to other offices. Service Books of officials who have retired or otherwise ceased to be in service should be retained for at least three years. Such cases may be entered in a separate register or on separate pages in the same register. Stock of Service Books should be verified annually and certified.

#### 4.5. **NOMINATIONS FOR DIFFERENT PURPOSES**

- 4.5.1. What is nomination? – Nomination is a legal document or declaration made by a person conferring on the person(s) mentioned therein the right to receive any amount standing to his credit in any Fund, Account or any entitlement they may become due in the event of his death. Such a nomination makes settlement of claims on the death easy and saves the legal heir(s) the delay, trouble and expense of obtaining legal title to the sums payable.

- 4.5.2. The facility of exercising nomination is available in the following cases: -

- i) Death/Retirement Gratuity.
- ii) Contributory Provident Fund Account.

- 4.5.2.1. Nomination for Death/Retirement Gratuity - Every employee on his initial appointment should make a nomination in the prescribed form conferring on one or more persons the right to receive Gratuity in the event of his death, while in service or after retirement before receiving the amount of Retirement Gratuity. If at the time of making the nomination, the employee has a family, the nomination shall be in favour of one or more members of his family.

For this purpose 'family', means-

(1) **First Category**

- a) wife or wives including judicially separated wife or wives in the case of male Government servant.
- b) husband, including judicially separated husband, in the case of a female Government servant,
- c) sons including stepsons and adopted sons,
- d) Unmarried daughters including stepdaughters and adopted daughters,

(2) **Second Category**

- e) widowed daughters including stepdaughters and adopted daughters,
- f) Father / Mother – including adoptive parents in the case of individuals whose personal law permits adopting.
- g) Brothers below the age of eighteen years including stepbrothers,



- h) unmarried sisters and widowed sisters including stepsisters,
- i) married daughters, and
- j) Children of a pre-deceased son.

An employee who has no 'family' at the time of making the nomination may nominate any person or persons, or a body of individuals, whether incorporated or not. When the employee acquires a family member subsequently the nomination made in favour of any person(s)/body other than a member of his family shall become invalid automatically, and the employee has to furnish a fresh nomination in favour of a member of his family. The employee may specify the person(s) to whom the right conferred on nominee(s) shall pass in the event of death of the nominee(s). He may also provide in the nomination the contingency on the happening of which the nomination will become invalid. In such a case he should furnish a fresh nomination without delay on the occurrence of the specified contingency.

#### 4.5.2.2. Nomination for /Contributory Provident Fund/ Employees' Group Insurance Scheme: -

An employee at the time of joining the Contributory Provident Fund, shall send to the Accounts Officer a nomination in the prescribed form conferring on one or more persons the right to receive the amount that may stand to his credit in the Fund in the event of his death, before that amount has become payable or having become payable has not been paid. Similarly an employee at the time of becoming a member of the Group Insurance Scheme shall furnish to the Administration Department a nomination in the prescribed form conferring on one or more persons the right to receive the benefits payable under the scheme in the event of his death.

4.5.3. The employee may, at any time, cancel a nomination already furnished by him, by sending a notice in writing to the Administration Department. He should send a fresh nomination along with such notice.

#### 4.6. **DATE OF BIRTH AND ITS SUBSEQUENT ALTERATION**

4.6.1. **Declaration of Date of Birth** - Every new entrant to service of C-MET should declare his date of birth by the Christian era at the time of initial appointment with documentary evidence, viz., Matriculation Certificate, Municipal Birth Certificate.

4.6.2. In the absence of such proof, he may declare approximate age or year or month and year of birth; assumed date of birth will be arrived at as under:

4.6.2.1. If the approximate age only is declared, the number of years representing the age declared to be deducted and the assumed date arrived at.

4.6.2.2. If the year of birth only is declared, assumed date will be 1<sup>st</sup> July of the year.

4.6.2.3. If the month and the year are declared, assumed date will be 16<sup>th</sup> of that month of the year.

4.6.3. **Entry of Date of Birth in Service Records-** The actual date or assumed Date of Birth determined as above will be recorded in the Service Book or other Service Records. Once entered, it cannot be altered, without prior order of Director/Executive Director, except in the case of a clerical error.

4.6.4. **Subsequent alteration of Date of Birth-** An alteration of date of birth can be made, with the sanction of the appointment authority, if-

4.6.4.1. an employee makes a request in this regard within five years of his entry into service;

4.6.4.2. it is clearly established that a genuine bona fide mistake had occurred; and the date of birth so altered would not make him ineligible to appear in any School or University or UPSC examination in which he had appeared, or for entry into service on the date on which he first appeared at such examination or on the date of entry into service.

4.6.5. **Belated claims for alteration in Date of Birth to be rejected-** Government policy regarding rejection of belated claim for alteration in date of birth is reinforced by the Apex Court judgments in two cases. It will not be appropriate to consider any request for alteration in date of birth if the conditions stipulated above are not strictly fulfilled.

#### 4.7. **CHANGE OF NAME**

4.7.1. **Addition/deletion or change in name/surname** - If an employee wishes to adopt a new name or effect any modification in his/her existing name, he/she should first execute a Deed in the prescribed form.

4.7.2. After execution of the Deed, the Employee of C-MET should have the change of name published in a prominent local newspaper as well as in the Gazette of India at own expense. On the submission of copy of Deed, Advertisement and Gazette Notification, change of name will be entered in the service Records.

4.7.3. **Addition/change in surname on account of marriage/remarriage of a female Government employee** - No Deed is necessary. Only intimation of her marriage, particulars of the husband and request for change in her surname should be submitted to the office for making necessary changes in the Service Records.

4.7.4. **Deletion of surname or reversion to maiden name on divorce/separation or death of the husband of female government employee.** - Change may be permitted if the female employee gives an intimation regarding change in marital status and a formal request for reversion to her maiden name.

#### 4.8. **FORWARDING OF APPLICATION FOR OTHER EMPLOYMENT**

4.8.1. **General Principles: - Applications** from employees will be forwarded as a rule except in cases where it is required to be withheld in the interest of the work of C-MET. Ordinarily, an employee including scientific/technical personnel is permitted to apply for an outside post up to four times in a year excluding applications to UPSC/**SSC/State**

**PSCs.** Applications not in response to advertisements or circulars will not be forwarded to the employer.

4.8.2. Applications for appointment in the same or other departments - Applications for Appointment in the same or other societies and the administrative ministry can be forwarded; and in the event of their appointment, lien will be retained for a period of two years, which may be extended by one more year, if there is delay in Confirmation. Thereafter, they should either revert to parent department or resign. An undertaking to this effect will be taken from the applicant while forwarding applications.

4.8.3. Applications for appointment in PSUs - Applications for Appointments in Public Sector Undertakings, incorporated or not, wholly or substantially owned by the Central/State Government and in Autonomous, semi-Government Organizations may be forwarded and their lien retained for two years or till their permanent absorption. Undertaking will be obtained of acceptance of the following condition before forwarding applications: -

- i) Leave salary/pension contribution will be paid to C-MET by the organization or the employee of C-MET himself.
- ii) Pay allowed to him in the organization should neither be less than the minimum of scale of post in the PSU nor shall it exceed the maximum of that scale.
- iii) Before permanent absorption, the organization concerned should give prior intimation to the parent office so that resignation of the employee could be accepted before absorption.

4.8.4. **Application to UPSC/SSC/State PSCs-** Applications for posts advertised by UPSC/SSC/ **State PSCs** can be sent direct by the employee under intimation to C-MET giving details of the examinations/post applied for and requesting the Director/Executive Director to communicate the permission to the Commission directly. If the appointing authority considers it necessary to withhold permission, UPSC will be intimated accordingly within forty-five days of the closing date for receipt of applications by UPSC. If no intimation is received by UPSC within this time permission will be presumed.

4.8.5. **Release on selection by UPSC/SSC/PSCs-** Once an application is forwarded to UPSC/SSC/**State PSCs**, the release in the event of selection should be as a matter of rule, except under special circumstances where relief may not be possible. In such cases, the fact should be communicated immediately to the commission as well as to the employee.

4.8.6. **Applications from employees under disciplinary proceedings-** Application for appointment, by direct recruitment, deputation or absorption will not be considered/forwarded, if-

- i) The employee is under suspension; or
- ii) Disciplinary proceedings are pending against him and a charge sheet has been issued; or

- iii) Sanction for prosecution, where necessary, has been accorded by the Competent Authority; or
- iv) Where a prosecution is not necessary, a charge sheet has been filed in a Court of Law against him for criminal prosecution.

When the conduct of an Employee of C-MET is under investigation, but the investigation has not reached the stage of issue of charge-sheet or sanction for criminal prosecution in a Court, his application may be forwarded with brief comments on the nature of allegations. It should be made clear that, in the event of actual selection, he would not be released for taking the new appointment, if by that time charge sheet is issued/filed in a Court of Law. The above procedure is applicable for applications forwarded to UPSC, **SSC and State PSCs** also.

#### 4.8.7. **Registration with Employment Exchange-**

May be allowed to register with the Employment Exchanges, only if the registration is for a higher post. In case of selection by government Departments/PSUs, benefit of retention of lien for two years shall be allowed. After reversion to parent department, the employee will not be given a 'No Objection' certificate for at least two years.

4.8.8. **Application for employment in private or industrial firms-** The employee is required either to resign or retire before applying for a post in private sector. He may submit resignation/voluntary retirement notice in case he is eligible, and ask for permission to apply for employment in the private sector pending the acceptance of resignation or expiry of the notice of retirement, as the case may be. Permission may be granted, if his retention in service is not necessary in the public interest. There is no question of forwarding application for a private employment. While permission is given to persons proceeding on voluntary retirement, it should be made clear that such permission should not be taken as permission for commercial employment after retirement.

4.8.9. Applications for employment of employees in the regular scale of pay shall only be forwarded by C-MET. Temporary staff viz. research personnel, trainees etc are free to apply for outside posts direct and their applications shall not be forwarded by C-MET.

4.8.10. **No Objection Certificate** – Employees in the regular scale of pay are expected to apply for outside employment through proper channel. If they apply direct, No Objection Certificate as a rule shall not be issued by C-MET.

4.8.11 **Authority for forwarding of application for outside employment and deputation:**

**Executive Director: For all categories of employees for forwarding the applications for outside employment; and for deputations all categories (except Director and Registrar).**

**Director of the lab : For all categories of employees for forwarding applications for outside employment (except Group A Officers, AO, FO and ET-I S&T Officers).**

4.9. **QUITTING SERVICE –**

4.9.1. **Voluntary Retirement** by employees with retirement benefits

4.9.1.1. **An employee with retirement benefits has the right to retire** and get retirement benefits by giving three months' notice to the Appointing Authority-

(i) After attaining the age of 50 years:  
Groups 'A' and 'B' Officers who had entered service before attaining the age of 35 years.

(ii) After attaining the age of 55 years:  
Groups 'A' and 'B' Officers other than (i) above;  
All Group 'C' employees;

Group 'D' employees who had entered service after 23-7-1966.

- (iii) On completion of 30 years' qualifying service:  
All employees.

Retirement becomes effective on the expiry of notice period, without awaiting appointing authority's approval, unless the official is under suspension.

- 4.9.1.2. **Employees have the option to retire voluntarily** on completion of 20 years' qualifying service by giving three months' notice.

Retirement will take effect on expiry of notice period, unless before expiry thereof, permission for retirement is refused by the Appointing Authority.

- 4.9.1.3. **Weightage up to five years** in cases 4.9.1.1. and 4.9.1.2. above weightage up to five years will be added to the qualifying service of the official, provided that-

- i) the total qualifying service including the weightage does not exceed thirty-three years;
- ii) the period does not go beyond the date of normal superannuation; and
- iii) the weightage is used only for the purpose of reckoning qualifying service for gratuity and does not confer any other benefit like notional increase in pay, etc.

- 4.9.1.4. Notice can be withdrawn with the permission of the Appointing Authority before the intended date of retirement.

- 4.9.1.5. The Appointing Authority, at its discretion can accept a notice of less than three months; but commutation of pension can be applied for only after the expiry of normal notice period of three months.

#### 4.9.2. **Premature Retirement**

Premature retirement is distinct from (i) compulsory retirement ordered as penalty, and (ii) voluntary retirement.

- 4.9.2.1. Conditions – The Appointing Authority has the absolute right to retire an employee from service if it considers necessary to do so in the interest of C-MET by giving him notice of not less than three months in writing or pay and allowances (basic + DA) in lieu thereof. A special review of performance of every employee shall be conducted when he/she attains the age of 50 years, 55 years, and 58 years to assess their suitability for continued service. The age of superannuation is dependent on decision that may be taken by the competent authority from time to time in that respect.

- 4.9.2.2. Restrictions – The power should NOT be exercised-

- i) to retire an employee on grounds of misconduct or as a short-cut to avoid formal disciplinary proceedings; or

- ii) for reduction of surplus staff or for effecting general economy without following the instructions relating to retrenchment.

4.9.2.3. Appeal - An employee served with a notice/order of premature retirement may represent within three weeks from the date of service of such a notice/ order of premature retirement for consideration by the authority next higher to the appointing authority.

4.9.2.4. Premature retirement benefits – Full retirement benefits but weightage in qualifying service is not admissible.

#### **4.10. RESIGNATION, REMOVAL AND DISMISSAL**

4.10.1. Resignation

4.10.1.1. Resignation should be clear and unconditional. It should be submitted to the Appointing Authority in respect of the service or post in question who is competent to accept it.

4.10.1.2. Resignation from service will generally be accepted straightaway.

Exceptions: -

i) When the officer concerned is engaged on work of importance and alternative arrangements for filling up the post may take time.

ii) Officials against whom inquiry/investigation is pending (whether under suspension or not).

iii) In cases covered by (i), resignation should be accepted only when alternative arrangements have been made.

iv) In cases covered by (ii), resignation will not be accepted if it is in the interest of C-MET to pursue the disciplinary case. The Competent Authority may, however, accept the resignation: -

- if the case does not involve moral turpitude and public claims, or
- if the available evidence does not have a base strong enough to lead eventually to dismissal or removal from service, or
- if further pursuit of the case may get so protracted as to render acceptance of resignation cheaper for the exchequer.

Acceptance of resignation in cases at (ii) above is subject to prior approval of the Vice-Chairman, Governing Council in respect of officers holding posts equivalent to Groups 'A' and Executive Director in respect of others

4.10.1.3. In all cases of acceptance of resignation, prior vigilance clearance from the Competent Authority is mandatory and this clearance should be accorded expeditiously.

4.10.1.4. Resignation should not be accepted until all the departmental dues are fully adjusted.

- 4.10.1.5. The accepting authority will decide the date from which the resignation should become effective.
- 4.10.1.6. A resignation becomes effective not merely when it is accepted by the authority concerned, but only when the officer is actually relieved of his duties.
- 4.10.1.7. An official quitting his post before receiving intimation of acceptance of his resignation is liable to be proceeded against both legally and departmentally.
- 4.10.1.8. A Employee of C-MET quitting service on superannuation or retirement after putting in minimum 5 years service shall be paid

- **GRATUITY-**

Length of Service	Gratuity
Less than 5 years	Nil
5 Years and above	1/4 <sup>th</sup> of emoluments for each completed six monthly period of qualifying service, subject to a maximum of 16-1/2 times the emoluments. Subject to maximum ceiling as fixed by Government of India from time to time.

- Encashment of earned leave – Encashment of earned leave at credit on the date of superannuation/retirement shall be subject to a maximum of 300 days excluding the number of days for which encashment was availed along with LTC as admissible.
- 4.10.1.9. When a Employee of C-MET applies for post in the same or another C-MET through proper channel and on selection he is asked to resign the previous post for administrative reasons-
- (i) the resignation will be treated as a “Technical formality”;
  - (ii) the benefit of past service, if otherwise admissible under the rules, will be allowed for purposes of fixation of pay in the new post;
  - (iii) leave at credit will be carried forward; and
  - (iv) the past service will be counted for pension / retirement benefits to the same extent it would, but for the resignation.

An Employee of C-MET who had applied for a post elsewhere before joining Government service, should intimate the details of such application as soon as he joins service to qualify for the above benefits.

- 4.10.1.10. An Employee of C-MET selected for a post in a Central Public Sector Enterprise/Central Autonomous Body will be released after obtaining and accepting his resignation from service of C-MET. Such a resignation will not entail forfeiture of service for purposes of retirement/terminal benefits. In such cases, the Employee of C-MET shall be deemed to have retired from service from the date of such resignation and he will be eligible to retirement/terminal benefits



admissible under the relevant rules applicable to him, in his parent organization.

4.10.1.11. Withdrawal of resignation in the following circumstances: -

- (i) Before acceptance – The resignation will be deemed to have been automatically withdrawn and there is no question of accepting the resignation.
- (ii) After acceptance, but before relief – Withdrawal should normally be accepted. If rejected, grounds for such rejection should be recorded and intimated to the Employee of C-MET.
- (iii) After relief (i.e., after it became effective). The Appointing Authority may permit withdrawal in the case of permanent employees subject to the following conditions: -
  - Availability of the vacated post or other comparable post.
  - The resignation was tendered by the Employee of C-MET for some compelling reasons, which did not involve any reflection on his integrity, efficiency or conduct.
  - The request for withdrawal has been made as a result of material change in the circumstances, which originally compelled him to tender the resignation.
  - The resignation was not tendered with a view to take up an appointment in a private commercial company or under a corporation, company, body, controlled or financed by the Government.
  - The period of absence from duty between relief on resignation and resumption of duty is not more than 90 days.

In other cases, the withdrawal of resignation, which has become effective, can be accepted only with the sanction of the Executive Committee.

4.10.2. **Termination of Service** – The services of an Employee of C-MET may be terminated at any time by a notice of three months on either side by the Employee of C-MET or the Appointing Authority. The Appointing Authority has also the option to pay the Employee of C-MET his pay and allowance for the period of three months or for the period by which such notice falls short of three months and terminate his services immediately.

Executive Director may review cases of termination – The Executive Director may, on its own motion or otherwise, re-open such cases and order-

- (i) Confirming the action taken by the Appointing Authority, or
- (ii) withdrawing the notice; or

- (iii) reinstating the employee in service, or
- (iv) making such other order in the case as it may consider proper.

4.10.2.1. **Terminal gratuity** – An Employee of C-MET who is discharged from service is eligible for payment of terminal gratuity as per Govt of India rules issued from time to time; and encashment of Earned Leave.

<b>Length of Service</b>	<b>Terminal Gratuity</b>
Less than 5 years	Nil
5 Years and above, but less than 10 years	½ a month's pay for each completed year of service.
10 years and above	One month's pay for each completed year of service, subject to a maximum of Rs. 15,000 or 15 months' pay, whichever is less.

4.10.2.2. Encashment of earned leave – Encashment of earned leave at credit on the date of termination of service subject to maximum for 300 days including the number of days for which encashment was availed along with LTC as admissible.

#### **4.10.3. Removal/Dismissal**

4.10.3.1. **Removal/Dismissal** from service of an Employee of C-MET are the major penalties, which can be imposed upon an Employee of C-MET by the Competent Authority for good and sufficient reasons, after observing the procedure prescribed in the CCS(CCA) Rules applicable to employees of the Government of India. The penalty 'removal from service' is not a disqualification for future employment under C-MET whereas 'dismissal from service' shall ordinarily be a disqualification for such employment.

4.10.3.2. **Forfeiture of past service** – An Employee of C-MET removed or dismissed from service shall forfeit his past service and shall not be entitled to pension/gratuity / retirement benefits.

4.10.3.3. **Compassionate Allowance** – If the case of the Employee of C-MET who is removed or dismissed from service is deserving of special consideration, the authority competent to remove or dismiss him from service may sanction a compassionate allowance not exceeding two-thirds of pension or gratuity in case of employees with pensionary benefits or CPF + Gratuity + cash equivalent of leave balance in respect of others which would have been admissible to him if had he retired in normal circumstances.

#### **4.11. RETIREMENT**

##### **4.11.1. Timely Payment for Retirement Benefits**

The employee shall make sure that nominations for Retirement/ Death Gratuity, CPF, Group Insurance Scheme etc and list of family members are properly filed with Administration. Employees should also check whether the nominations filed have become invalid or would require to be cancelled and fresh nominations made because of changes in the family, e.g., birth, death, divorce, etc.

##### **4.11.2. General Provisions**

Retirement is effective from the afternoon of the last day of the month in which age of superannuation is attained.

Exception. - An employee whose birth date is the first of the month shall retire on the afternoon of the last day of the preceding month.

The day of retirement on superannuation will be deemed as a working day.

4.11.3. Other cases of retirement: - In case of premature/voluntary retirement, the day of retirement will be treated as a 'non-working day'; in all other cases it will be a working day.

4.11.4. Relinquishment of charge on a Holiday: - The Employee of C-MET retiring on superannuation should formally relinquish charge of office on the afternoon of that day itself even if it happens to be closed holiday. The cash, stores, etc., may be made over by the retiring officer on the close of the previous working day. The actual relinquishment of charge of office shall be made in the prescribed form on the last day of service for which the physical presence of the officer in the office need not be insisted.

4.11.5. Regulation of claims on retirement benefits: Retirement benefits will be regulated on the basis of the rules in force on the date on which the employee ceases to be in service due to retirement or death.

4.11.6. Right to withhold retirement benefits: The Executive Director has the right to withhold retirement benefits or a part thereof. He can also order recovery from retirement benefits, the whole or part of any pecuniary loss caused to C-MET, if in any departmental or judicial proceedings, the employee is found guilty of grave misconduct or negligence during the period of his service, including re-employment after retirement.

#### 4.12. **Immediate relief to the family of an employee who dies while in service**

4.12.1. Immediate relief: - If an employee dies while in service, his family will be eligible for immediate monetary relief of three month's pay or Rs.8000/-, whichever is less in the form of an advance.

4.12.2. Timely payment: - Sanctioned immediately by the Administrative Officer on the advise of the officer under whom the deceased official was last working and payment made expeditiously either from imprests or from other sources or by drawing money from the Bank. No formal application from the bereaved family is necessary.

4.12.3. Payable to the person(s), in the same manner as payment of death gratuity, or the balance in the Contributory Provident Fund Account, if the deceased was a subscriber to the CPF.

4.12.4. Undertaking to be obtained: - Before making the payment, a separate undertaking should be obtained from each person to whom the payment is made that he/she agrees to the amount of advance being recoverable from any amounts payable to the family due to the death of the employee.

4.12.5. Adjustment of the Advance: - The advance should be adjusted within six months against the arrears of pay and allowances, leave salary, death

gratuity, balance in Contributory Provident Fund or any other payment due in respect of the deceased official.

**4.12.6. Ex-gratia lumpsum compensation on death while on duty – The families of C-MET employees who die in harness in the performance of their bonafide official duties under various circumstances, shall be paid ex-gratia lump sum compensation as per provision contained in CCS (Pension) Rules, 1972.**

**4.13. COMPASSIONATE APPOINTMENTS OF DEPENDANTS**

4.13.1. Applicable to a dependent family member of: -

- i) an employee who dies in service (including death by suicide);
- ii) is retired on medical grounds before attaining the age of 55 years

Dependent family member means (a) spouse; (b) son/daughter (including adopted son/adopted daughter) and (c) brother or sister in the case of unmarried employee at the time of his death in harness/retirement on medical grounds, as the case may be.

4.13.2. In the case of a missing employee: - Compassionate appointment can be considered after two years from the date of missing-

- i) if FIR has been filed and the missing official is not traceable;
- ii) if he had at least two years to retire;
- iii) if he is not suspected to have committed fraud/joined terrorist organization/ gone abroad;
- iv) if the Competent Authority feels that the case is genuine; and
- v) Decision is to be taken at the level of Executive Director of C-MET.

Concession of compassionate appointment is admissible to one dependant only.

**EXCEPTIONS. –**

- (1) In exceptional circumstances, with the prior approval of the Executive Director, the appointment on compassionate grounds may be considered even when there is an earning member in the family of the deceased.
- (2) If the deceased was unmarried, one of the dependent brothers/ sisters will be eligible for consideration, on giving an undertaking that he/she will look after the other family members who were dependent on the deceased employee.

4.13.3. **Posts to which appointment made.** - Only in Group 'D' and Group 'C' posts.

4.13.4. **Appointing Authority:** - Executive Director of C-MET.

4.13.5. **Conditions:** -

- (i) Compassionate appointment can be made only against the direct recruitment quota and
- (ii) Applicants should fulfill all eligibility conditions in Recruitment Rules.

4.13.6. **Other Provisions: -**

- 4.13.6.1. Widow in appointment after re-marriage: -There is no bar against a widow appointed on compassionate grounds continuing in the appointment after re-marriage.
- 4.13.6.2. Dependant of Group 'D' deceased considered for Group 'C' also: - The appointment of the family member of a deceased Group 'D' employee need not be restricted to a Group 'D' post. Such a member, if qualified can be appointed to a Group 'C' post also.
- 4.13.6.3. No consideration for change in post: - Once the compassionate appointment is made, request for a change in the post, on compassionate grounds will not be entertained. The appointee will be treated like his colleagues for career advancement in the normal course
- 4.13.6.4. Compassionate appointments can be made only against direct recruitment quota.
- 4.13.6.5. Applicants for compassionate appointment should be appointed only if they are eligible and suitable for the post in all respects under the provisions of the relevant Recruitment Rules.
- 4.13.6.6. Societies are, however, competent to relax temporarily educational qualifications in the case of appointment at the lowest level, i.e., Group 'D' or LDC post, in exceptional circumstances where the condition of the family is very hard. Such relaxation will be permitted up to a period of two years beyond which no relaxation of educational qualification will be admissible and the services of the persons concerned if still unqualified, are liable to be terminated.
- 4.13.6.7. Where a widow is appointed on compassionate ground to a Group 'D' post, she will be exempted from the requirements of educational qualifications, provided the duties of the post can be satisfactorily performed without having the educational qualification of Middle standard prescribed in the Recruitment. Rules.
- 4.13.6.8. In deserving cases even where there is an earning member in the family, a widow/ son/ daughter of the deceased employee, leaving his family in distress may be considered for appointment with the prior approval of the Vice-Chairman, Governing Council concerned who, before approving the appointment, will satisfy himself that the grant of concession is justified having regard to the number of dependants, the assets and liabilities left by the deceased employee, the income of the earning member as also his liabilities including the fact that the earning member is residing with the family of the deceased employee and whether he should not be a source of support to the other members of the family. In all such cases, extreme caution has to be observed in ascertaining the economic distress of the members of the family of the deceased so that the facility of appointment on compassionate ground is not circumvented and misused by making grounds that the member of the family already employed is not supporting the family.
- 4.13.6.9. A person selected for appointment on compassionate grounds should be adjusted in the recruitment roster against the appropriate category, viz., SC/ST/OBC/General category depending upon the category to

which he belongs. For example, if he belongs to SC, he will be adjusted against the SC reservation point, if he is ST / OBC he will be adjusted against ST / OBC point and if he belongs to General category, he will be adjusted against the vacancy point meant for General category and so on.

4.13.6.10. Requests for compassionate appointment consequent on death or retirement on medical grounds of Group 'D' staff may be considered with greater sympathy, by applying relaxed standards depending on facts and circumstances of the case.

4.13.6.11. Belated requests for compassionate appointments – C-MET can also consider the requests for compassionate appointment even where the death took place long ago, say, five years or so. While considering such belated requests it should be kept in view that the concept of compassionate appointment is largely related to the need for immediate assistance to the family on the passing away of the employee in harness. The very fact that the family has been able to manage somehow all these years should normally be adequate proof to show that the family had some dependable means of subsistence. Therefore, examination of such cases calls for a great deal of circumspection. The decision in those cases may be taken at the level of Executive Director only.

4.13.6.12. Widow appointed on compassionate grounds getting remarried - A widow appointed on compassionate grounds will be allowed to continue in service even after remarriage.

4.13.6.13. A Selective approach

- i. The appointments made on grounds of compassion should be done in such a way that persons appointed to the post do have the essential educational and technical qualifications and experience required for the post consistent with the requirements of maintenance of efficiency of administration.
- ii. It is not the intention to restrict employment of widow/son/daughter of deceased Group 'D' employee to a Group 'D' post only.
- iii. As such, a widow/son/daughter of deceased employee can be appointed to a Group 'C' post for which he is educationally qualified, provided a vacancy in Group 'C' exists.
- iv. As the appointments have to be cleared at the level of the Executive Director and as all the vacancies are to be pooled for compassionate appointment, it may be ensured that units get an equitable share in the compassionate appointments.

4.13.6.14. The scheme of compassionate appointments was conceived by the Government as far back as 1958. Since then a number of welfare measures have been introduced by the Government, which have made a significant difference in the financial position of the families of employees dying in harness. The benefits received by the family under these schemes may be kept in view while considering cases of compassionate appointment.

4.13.7. **Relaxations:** -

4.13.7.1. Age: -Maximum age-limit may be relaxed wherever necessary, but no relaxation is permissible in the minimum limit of 18 years. If the ward is below 18 years of age at the time of death of the employee and if

he alone is available for employment, he should apply as soon as he attains 18 years.

- 4.13.7.2. **Qualifications:** - For Group 'D' post and administrative support positions, qualifications may be temporarily relaxed by C-MET subject to the condition that such relaxation will be permitted up to two years only. The appointee should get qualified within this period as otherwise his services are liable to be terminated. Widow appointed to a Group 'D' post will be exempted from the prescribed educational qualifications, if the duties can be performed satisfactorily.
- 4.13.7.3. **Procedure:** - Procedure laid down in the recruitment rules shall be relaxed. Compassionate appointments are exempted from ban orders on filling up of vacant posts.
- 4.13.7.4. **Limitations:** - Compassionate appointments can be made only up to 5% of direct recruitment vacancies. No compassionate appointment can be made if there is no vacancy.
- 4.13.7.5. **Procedure for appointment:** -The Head of the Laboratory shall make a proposal in the prescribed form containing all particulars of the candidate and the specific relaxation required in age, qualifications, etc. The proposal will include all the circumstances of the family, the retirement benefits received viz. CPF, gratuity etc, the existence of any earning member in the family on the one hand and on the other, size of the family, ages of children, essential needs, liabilities and the financial condition of the family. Financial benefits received need not necessarily be a ground for rejecting the proposal vis-à-vis other adverse factors urging acceptance. The Executive Director shall be the competent authority to decide on the proposal.
- 4.14. **SPECIAL VOLUNTARY RETIREMENT SCHEME FOR SURPLUS EMPLOYEES-** Details of the Scheme
- 4.14.1. **Eligibility** – All permanent employees of C-MET in the regular scale of pay, irrespective of their age and qualifying service, who are declared surplus can opt to retire under this scheme.
- 4.14.2. **Entitlements** – An optee is entitled for retirement benefits, Encashment of Earned Leave, T.A. as on retirement for self and family for settling anywhere in India and in addition-
- 4.14.3. Weightage of five years to the qualifying service under CCS (Pension) Rules if he had rendered a minimum of 4 years qualifying service on the date he is declared surplus. The qualifying service after taking into account the aforesaid weightage should not be more than the service he would have rendered had he retired on the date of superannuation and should not exceed 33 years. In case of employees whose services are non – pensionery the weightage of 5 years shall be given for calculation of gratuity.
- 4.14.4. An ex-gratia amount equal to basic pay, **DP and D.A.** for the number of years of actual service rendered at 35 days for each completed year of service and at 25 days for each remaining year reckoned up to the date on which he would retire on superannuation. For any part of a year, the number of days for ex gratia amount will be worked out on the basis of 365 days in a year.
- 4.14.5. **Conditions:** -

- 4.14.5.1. Total number of years to be counted for payment of ex gratia will not exceed 33 years.
- 4.14.5.2. No weightage of additional service will be given for calculation of ex gratia.
- 4.14.5.3. The ex-gratia will be subject to a minimum of Rs. 25,000 or 250 days' emoluments, whichever is higher.
- 4.14.5.4. The ex-gratia amount should not exceed the sum of basic pay, **DP plus** D.A. that the employee would draw at the prevailing level for the balance of the period of service left before superannuation.
- 4.14.5.5. The ex gratia amount will be paid in lumpsum and will be exempt from Income Tax up to a maximum of Rs. 5 Lakhs.
- 4.14.5.6. The employee shall be extended TA/DA as on retirement for self and family for settling anywhere in India as per Traveling Allowance Rules;
- 4.14.5.7. The post vacated by the employee opting for Voluntary Retirement would stand abolished from the date of his/her Voluntary Retirement.

4.15. **ACTIVITIES REQUIRING PERMISSION/SANCTION**

- 4.15.1. Prior permission/sanction of the prescribed authority is necessary-
  - 4.15.1.1. To join educational institution or course of studies for University degree.
  - 4.15.1.2. To join Civil Defence Service.
  - 4.15.1.3. To enroll as member of St. John ambulance Brigade
  - 4.15.1.4. To join Territorial Army.
  - 4.15.1.5. To join Home Guards Organization.
  - 4.15.1.6. To join foreign language classes conducted by Indo-Foreign Cultural Organization.
  - 4.15.1.7. To own wholly or in part or conduct or participate in the editing or management of any newspaper or other periodical publication or electronic media.
  - 4.15.1.8. To give evidence in connection with any enquiry conducted by any person, committee or authority.

Exception-

- (i) Giving evidence at an enquiry before an authority appointed by Government, Parliament or a State Legislature; or
- (ii) Giving evidence in any judicial enquiry; or
- (iii) Giving evidence at any departmental enquiry ordered by authorities subordinate to the Government.



- 4.15.1.9. To ask for or accept contributions to or otherwise associate himself in the raising of any funds or other collections in cash or in kind in pursuance of any object whatsoever.
- 4.15.1.10. To accept gifts from near relatives and personal friends, when the value exceeds prescribed limits.
- 4.15.1.11. To accept membership of Book Clubs run by Foreign Agencies.
- 4.15.1.12. To receive any complimentary or valedictory address or accept any testimonial or attend any meeting or entertainment held in his honor or in the honor of any other Employee of C-MET.
- Exception: -
- i) To take part in informal farewell entertainment held on occasions like retirement or transfer.
  - ii) To attend and speak at functions and ceremonies performed by others in respect of purely non-political or cultural institutions.
- 4.15.1.13. To engage directly or indirectly in any trade or business, or hold an elective office, or canvass for a candidate for an elective office, in any body, or canvass in support of any business of insurance agency, commission agency, etc., owned or managed by any member of his family
- 4.15.1.14. To accept fee for work done for any private or public body or person.
- 4.15.1.15. Acceptance of a part-time lectureship in an educational institution, which is in the nature of a regular remunerative occupation.
- 4.15.1.16. To enroll himself as an Advocate with the Bar Association (subject to the condition that the Employee of C-MET does not engage him self in the legal profession so long as he continues in Government service). To accept remuneration for services rendered regularly to co-operative societies.
- 4.15.1.17. To undertake medical practice during spare time on purely charitable basis, if registered as a practitioner in any system of medicine
- 4.15.1.18. To enter into negotiations with private firms to secure commercial employment even while in service
- 4.15.1.19. To acquire or dispose of any immovable property either directly or through Power of Attorney by lease, mortgage, purchase, sale, gift or otherwise either in his own name or in the name of any member of his family, if the above transaction is with a person having official dealings with the Employee of C-MET.
- 4.15.1.20. To enter into transactions in movable property, if its value exceeds prescribed limits and if the transaction is with a person having official dealings with the Employee of C-MET.
- 4.15.1.21. To acquire by purchase, mortgage, lease, gift or otherwise, either in his own name or in the name of any member of his family any immovable property situated outside India.

- 4.15.1.22. To dispose of, by sale, mortgage, gift or otherwise or grant any lease in respect of any immovable property situated outside India which was acquired or held by him either in his own name or in the name of any member of his family.
- 4.15.1.23. To enter into any transaction with any foreigner, foreign Government, foreign organization or concern-
- (i) For the acquisition, by purchase, mortgage, lease, gift or otherwise, either in his own name or in the name of any member of his family of any immovable property.
  - (ii) For the disposal of, by sale, mortgage, gift or otherwise, or the grant of any lease in respect of immovable property which was acquired or is held by him either in his own name or in the name of any member of his family.
- 4.15.1.24. To have recourse to any Court or to the press for the vindication of any official act which has been the subject-matter of adverse criticism or an attack of a defamatory character
- 4.15.1.25. To stay with Foreign Diplomats and foreign nationals abroad.
- 4.15.1.26. To be members of or actively participate in the activities of Indo-Foreign Cultural Organizations.
- 4.15.1.27. If the permission sought for is not refused within 30 days, an Employee of C-MET is free to assume that the permission sought for has been granted.

#### **4.15.2. Activities not requiring permission/sanction**

In the following cases, permission of the prescribed authority is not necessary: -

- 4.15.2.1. To seek redress in Courts of Law of grievances arising out of employment or conditions of service.
- 4.15.2.2. To participate during spare time in "Shramdhan" organized by Government Departments or Bharat Sewak Samaj.
- 4.15.2.3. To become members of Samyuktha Sadachar Samithi.
- 4.15.2.4. To publish a book himself or through a publisher, in the bona fide discharge of his duties
- 4.15.2.5. To submit Memoranda before Pay Commissions by individual Employee of the Societies in their individual capacity (individual grievances should not be put to the Commission).
- 4.15.2.6. To participate in Flag Day Collections on a voluntary basis.
- 4.15.2.7. To participate in the fund raising efforts of the "National Foundation for Communal Harmony".
- 4.15.2.8. To undertake honorary work of a social or charitable nature.
- 4.15.2.9. To undertake occasional work of a literary, artistic or scientific character.

4.15.2.10. To participate in sports activities as an amateur.

4.15.2.11. To take part in the registration, promotion or management (not involving the holding of an elective office) of a literary, scientific or charitable society or of a club or similar organization or a co-operative society substantially for the benefit of Employee of the Societies.

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## Chapter 5

### PAY

#### 5.1. PAY SCALES

##### 5.1.1. MEMBER SCIENTIFIC & TECHNICAL STAFF (Scientists / Engineers)

GRADE	SCALE OF PAY (in Rs.)
ET I	6500-200-10500
ET II	8000-275-13500
ET III	10000-325-15200
ET IV	12000-375-16500
ET V	14300-400-18300
ET VI	16400-450-20000
ET VII	18400-500-22400
ET VIII	22400-525-24500

ET stands for Executive Technical

##### 5.1.2. MEMBER TECHNICAL SUPPORT STAFF

ST I	3050-75-3950-80-4590
ST II	4000-100-6000
ST III	4500-125-7000
ST IV	5500-175-9000
ST V	6500-200-10500
ST VI	8000-275-13500
ST VII	10000-325-15200

ST stands for Support Technical Staff

##### 5.1.3. MEMBER ADMINISTRATIVE STAFF (EXECUTIVES)

EA I	6500-200-10500 (Functional Scale)
EA II	8000-275-13500
EA III	10000-325-15200
EA IV	12000-375-16500
EA V	14300-400-18300

EA stands for Executive Administration

##### 5.1.4. MEMBER ADMINISTRATIVE SUPPORT STAFF

SA I	2550-55-2660-60-3200
SA II	2610-60-3150-65-3540
SA III	3050-75-3950-80-4590
SA IV	4000-100-6000
SA V	4500-125-7000
SA VI	5500-175-9000

SA stands for Support Staff Administration

## 5.2. **FIXATION OF PAY**

As per FR and the orders issued there under by the Government of India for its employees.

## 5.3. **INCREMENTS**

As per FR and the orders issued there under by the Government of India for its employees.

## 5.4. **ADVANCE INCREMENTS**

As per FR and the orders issued there under by the Government of India for its employees.

## 5.5. **STAGNATION INCREMENTS**

As per FR and the orders issued there under by the Government of India for its employees.

## 5.6. **INCENTIVES FOR PROMOTING SMALL FAMILY NORMS**

5.6.1 A special increment in the form of Personal Pay may be granted to those undergoing sterilization operations and is regulated as per the orders of Government of India for its employees.

5.6.2 **Not admissible to casual labourers with temporary status** – The benefit is not admissible to casual labourers with temporary status.

## 5.7. **ATTACHMENT FOR DEBT AND MAINTENANCE**

The extent to which pay and allowances of an employee are exempt from Court attachment is subject to the conditions issued by the Government of India in this respect for its employees

## 5.8. **RETIREMENT BENEFITS:**

The employees of C-MET shall be provided with CPF & Gratuity benefits and the services shall not be pensionary.

## 5.9. **GRATUITY**

Employees of the C-MET shall be eligible for Retirement / Death Gratuity as per Rule 50 of CCS Pension Rules of Government of India as amended from time to time thereon shall be applicable mutatis and mutandis.

## 5.10. **CPF**

5.10.1. Employees of C-MET shall be admitted to Contributory Provident Fund under the Employees' Provident Fund Act, 1952 where the employee shall contribute a minimum amount as prescribed by the Law and a like amount shall be contributed by C-MET as Employer contribution.

(or)

5.10.2. C-MET shall have the option to create a Provident Fund Trust managed by itself, features of which shall broadly be the same as provided for under Central Govt. Rules. These are;

- 5.10.2. 1. A minimum of 10% of pay will be deducted every month from the salary of each employee as contribution to the provident fund.
- 5.10.2. 2 A matching contribution equal to the sum mentioned above will be made by C-MET in respect of each employee.
- 5.10.2. 3. Employees may contribute any additional amount voluntarily to the Provident Fund. However, the contribution by C-MET will be limited to the amount mentioned above.
- 5.10.2. 4. Interest will be allowed on the total amount at the rates applicable from time to time.
- 5.10.2. 5. If an employee was a member of a recognized provident fund scheme and has withdrawn from it on joining C-MET on regular basis, he will start contributing to C-MET's Provident Fund scheme from the date of his joining the service of C-MET.
- 5.10.2. 6. If an employee was not a member of any recognized Provident Fund Scheme previously, he will start contributing to C-MET's Provident Fund Scheme on completion of the specified period of probation or after a continuous service for a period of six months in C-MET, whichever is earlier.
- 5.10.2.7. Employees of C-MET in the regular scale of pay shall only be admitted to the CPF of C-MET.

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## Chapter 6

### ALLOWANCES, FEE & HONOURARIUM, CEA AND ADVANCES

#### 6.1. ALLOWANCES:

Allowances like City Compensatory Allowance (CCA), Dearness Pay (DP), Dearness Allowance (DA), House Rent Allowance (HRA), Transport Allowance etc shall be as available under Govt. of India orders issued from time to time.

##### 6.1.1. Dearness Pay and Dearness Allowance

Dearness Pay (DP) and Dearness Allowance (DA) shall be paid to employees of C-MET as available under Govt. of India orders issued from time to time for its employees.

##### 6.1.2. H.R.A. and C.C.A.

HRA and CCA shall be paid to employees of C-MET as available under Government of India orders issued from time to time for its employees working in the locality.

##### 6.1.3. Transport Allowance

Transport Allowance shall be paid to employees of C-MET as available under Government of India orders issued from time to time for its employees working in the locality.

##### 6.1.4. Washing Allowance

6.1.4.1. Admissibility – Common categories of Group ‘C’ and Group ‘D’ employees who have been supplied with uniforms.

6.1.4.2. Rate – Rs. 30 per month.

6.1.4.3. No deduction during leave – No deduction, whatsoever, of Washing Allowance, need be made for the period of any leave taken by the employee.

6.1.4.4. Undertaking – Staff who is supplied uniforms / granted Washing Allowance should furnish an undertaking that they will report for duty in the uniforms supplied to them. In the event of non-receipt of undertaking, further supply of uniforms / payment of Washing Allowance to be stopped.

##### 6.1.5. Cash Handling Allowance to Cashiers

6.1.5.1. Power of Sanction – Director/ Executive Director of C-MET may at their discretion appoint Member Support Staff Administration to perform the duties of Cashiers. An allowance is admissible to such person at rates given below.

6.1.5.2. Conditions –



- 6.1.5.2.1. The amount of allowance will depend on the average amount of monthly cash disbursed, excluding payments by cheques. The amount of receipts should not be taken into account.
- 6.1.5.2.2. The allowance should be reviewed every financial year and sanctioned on the basis of the average amount of disbursements during the previous financial year.
- 6.1.5.2.3. Every official appointed to work as Cashier, unless he is exempted by a Competent Authority, should furnish security of the required amount.
- 6.1.5.2.4. The allowance will be granted from the date of appointment as Cashier or from the date risk is covered through one of the acceptable forms of security, whichever is later.
- 6.1.5.2.5. Only one official should be allowed the allowance in an Office/ Laboratory.
- 6.1.5.2.6. The allowance is not admissible to the staff for whom cash handling is part and parcel of the duties assigned.
- 6.1.5.3. **Rates of allowance** – The following will be the rates of allowance to be adopted: -

Amount of average monthly cash disbursed	Rate per month (Rs)
Up to Rs. 50,000	75
Over Rs. 50,000 and up to Rs. 2,00,000	150
Over Rs. 2,00,000 and up to Rs. 5,00,000	200
Over Rs. 5,00,000 and up to Rs. 10,00,000	250
Over Rs. 10,00,000	300

#### 6.1.6 **Children's Educational Allowance**

The employees are eligible for Children's Educational Allowance as per norms of Government of India.

#### 6.1.7 **Reimbursement for Newspapers / Periodicals**

Employees of C-MET shall be eligible for reimbursement of expenditure incurred on procurement of newspapers / periodicals at residence @ Rs 200/- p.m. to Executives and @ Rs 100/- p.m. to Support Staff. Reimbursement for Director / Executive Directors in the scale of pay Rs.18400-500-22400 and above shall be eligible for Rs. 500/- per month. Reimbursement shall be on production of bills on quarterly basis.

#### 6.1.8 **Canteen Facility**

The staff of C-MET shall be provided subsidized canteen facility where the employees would be provided 75% subsidy on meals and 50% subsidy on tea / snacks. Those who are not provided canteen facility shall be paid @ Rs 30/- per day where the employee is posted at A1 and A class cities and @ Rs 25/- per day in other places for each day of

presence in the office on working days or declared as working day for all or particular section of employees.

**6.1.9 Children Book Allowance**

The employees are eligible for reimbursement of expenditure on purchase of textbooks purchased for their children, for maximum of two children, subject to maximum of Rs.500/- per annum upto 10<sup>th</sup> class (including LKG/UKG) and Rs.1000/- above 10<sup>th</sup> class and upto Degree level. The reimbursement shall be allowed at any time during the academic year in which the expenditure actually incurred, on production of bills.

**6.1.10 Festival Advance and Bicycle Advance**

Festival advance and Bicycle advance will be paid to the employees of the C-MET as per Government of India norms.

**6.1.11 Advances viz House Building Advance, PC Advance, etc.**

These will be as per Central Government Rules provided specific budget provision is available. Alternatively, interest subsidy to the employees shall be allowed, who have taken loan under Government recognized schemes/financial institutions. The interest subsidy shall be the difference in interest rate in Government and the rate at which employees has taken the loan.

**6.1.11.2. Interest Subsidy Scheme for House Building Advance, Car / Scooter / PC advance etc**

C-MET shall not normally sanction loans to the employees for various purposes and instead a scheme for reimbursement of interest subsidy shall be available. Employees may avail loans for various purposes from public financial institutions and the type of loans to which subsidy would be available are given below:

**6.1.11.2.1. Objective**

The objective of this Scheme is to provide relief to the employees of C-MET on the interest burden on various types of loans taken by them from Government / Govt. approved financial Institutions.

**6.1.11.2.2. Eligibility & Extent of Subsidy**

The type of loans to which subsidy would be available and the extent of loan amount against each are given below:

Type of advance	Max. loan amount on which subsidy allowed.	Eligibility	Max. Period to which subsidy payable
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Car	Rs.1,80,000/- or 11 months' basic plus DP whichever is higher.	Regular Employees drawing basic pay + DP of Rs 10,500/- p.m. or more	120 months
Two Wheelers	Rs 30,000/- or 6 months' basic + DP whichever is higher.	Regular Employees drawing basic pay + DP of Rs 4,600/- or more 10,500/- p.m. or more	70 months
Computer	40,000/-	Regular Employees drawing basic pay+ DP of Rs 10,500/- p.m. or more	60 months
House Building Advance	50 times basic or Rs 7.5 lacs. Max. Limit Rs 1.8 lacs for enlarging existing house.	Regular Employees with at least 5 year's service in C-MET	240 months

#### 6.1.11.2.3. **Other Conditions**

- 6.1.11.2.3.1. In order to qualify for applying for this subsidy, the applicant should satisfy the following conditions:
- 6.1.11.2.3.2. He/She should be a regular employee of C-MET with a minimum continuous service of 5 years for House Building loan and 1 year for other loans. Where an employee joined C-MET on permanent absorption basis from another organization having House Building Advance facility, the minimum service condition will not apply.
- 6.1.11.2.3.3. The facility for House Building Advance, Car / Scooter / Cycle Advance, PC advance can be availed of only once during the entire service period of an employee. Interest subsidy for first loan sanctioned by the financial institution will only be given.
- 6.1.11.2.3.4. The interest subsidy will be admissible only for the loans availed from Government / Government approved financial institutions.
- 6.1.11.2.3.5. If husband and wife are employees of C-MET, only one of them can avail the facility for each type of loan. Basic pay of applicant alone will be the limit.
- 6.1.11.2.3.6. In case of housing loans, the scheme is applicable for loans taken for self-occupied residential units only. Any deviation from this will be allowed only with the sanction of the Executive Director. Subsidy will be allowed where the property has clear title in favour of the employee or jointly by the employee with his/her spouse. Neither the applicant nor dependent should already own a house within the HQrs of the applicant. Applications for reimbursement of interest subsidy on loan taken for construction of second house in the same place is not considered even if the first house was constructed or bought without availing any concessions.

- 6.1.11.2.3.7. A loan becomes eligible for consideration under interest subsidy only if no other form of subsidy or interest concessions are availed from any other source either Govt. or private. Where spouse has obtained concessional loan / interest subsidy from other sources like Bank, Central Government / State Government or any other agency, request for interest subsidy from C-MET will not be entertained. Extent of subsidy allowed (% age) in the first instance shall remain fixed throughout the repayment period unless financial institution who sanctioned the loan revises the interest rate.
- 6.2.11.2.3.8. The subsidy will be disbursed in one installment during the year normally in the month of May. The Laboratory will publish a notice in this regard inviting applications for grant of subsidy during April every year and the employees should submit their applications in the prescribed format.
- 6.1.11.2.3.9. The C-MET will play an active role as a facilitator to enable the employees to avail the loan facility from Government / Government approved financial institutions.
- 6.1.11.2.3.10. The amount of subsidy shall be the difference in interest rates for a particular type of loan in the central Govt. and the rate at which public financial institutions extends the loan facility. The Executive Director shall at the end of the financial year notify the rate at which interest subsidy would be paid for various types of loans for the previous year. Payment of subsidy will depend on availability of separately earmarked funds for expenditure in each year's approved budget.

## 6.2 **ADDITIONAL BENEFITS**

Employees of C-MET shall be extended the following additional benefits which are either an improvement over the existing facility available in the Central Government or newly introduced as additional benefits to the employees of C-MET on the understanding that C-MET would generate its own resources to meet the expenditure and funds allocated by the Administrative Ministry shall not be utilized for the purpose:

### 6.2.1. **Reimbursement of Credit Card Membership Fee**

Employees of C-MET in the scale of pay Rs 12000-375-16500, AOs & FOs shall be reimbursed membership fee limited to one credit card per person and Rs 500/- per annum. The official availing the facility shall not be eligible for TA advance. Fee in respect of Add on cards shall not be reimbursed.

### 6.2.2. **Reimbursement for purchase of Scientific Books**

The Scientists/Engineers in the grade of ET-III and above shall be eligible for reimbursement of Scientific & Technical books relevant to their area of research, subject to a maximum of Rs.2000/- in a year. The condition for grant of reimbursement: will be (a) Not more than four claims shall be submitted for one calendar year; (b) Not admissible during probation period; (c) Proportionate reimbursement to those retiring during the middle of the year and (d) Not admissible during notice period other than voluntary retirement/superannuation. The officer shall return these books to the office at the time of leaving the organization.

### 6.2.3. **Multi Functional Allowance**

This allowance is admissible to those Support Staff Admn of C-MET, who perform multi-functional duties. It is granted upon a certification given by the Director/Registrar and will be continued until a specific order from the Director/Registrar concerned for dis-continuance of the same. This allowance is not admissible when the staff is under probation. The rate of the allowance is as under.

Pay Scale	Rate per month (Rs.)
Rs.2550-3200	50.00
Rs.2610-3540	75.00
Rs.3050-4590	100.00
Rs.4000-6000	125.00
Rs.4500-7000	150.00
Rs.5500-9000	175.00

### 6.3. **OTHER PROVISIONS**

#### 6.3.1. **Leased Accommodation facility:**

6.3.1.1. 'Leased Accommodation' facility shall be extended to staff in the scale of pay 12000-375-16500 and above at the discretion of the Director / Executive Director as per the following procedure.

6.3.1.2. The 'Leased accommodation' facility shall be allowed broadly in accordance with the instructions issued by Government from time to time. Guidelines for hiring of residential accommodation on lease in respect of officers of C-MET are as follows: -

6.3.1.2.1. The maximum limit up to which the accommodation can be hired in A-1 class cities should not be more than 50% of the minimum pay plus DP of the pay scale of the officer concerned.

6.3.1.2.2. The maximum limit up to which the accommodation can be hired in A-class cities should not be more than 40% of the minimum pay plus DP of the pay scale of the officer concerned.

- 6.3.1.2.3. For other places, the rent payable for hiring residential accommodation should not exceed 10% of the pay plus DP of the officer concerned plus the house rent allowance admissible at the respective station of posting at Central Government rates plus a margin of 5%.
- 6.3.1.2.4. Regarding maximum area including servant quarter, garage, the area ceiling shall be 1400 sq.ft.
- 6.3.1.2.5. License Fee @ 10% of the pay plus DP shall be recovered where accommodation is hired and provided by C-MET.
- 6.3.1.2.6. The prescribed limit in respect of area is the maximum ceilings permissible and do not automatically enable relaxation of monetary limits prescribed above in case accommodation of the prescribed area are not available within the corresponding monetary limits.
- 6.3.1.2.7. Self-lease is permitted.
- 6.3.1.2.8. The 'Leased accommodation' facility to the Executive Director shall be allowed in accordance with the instructions issued by the Government from time to time.

#### 6.4. **FEE AND HONORARIUM**

##### 6.4.1. **Fee**

- 6.4.1.1. Definition-Any remuneration for work or service rendered, received by an employee of C-MET from a source other than the funds of C-MET is termed as 'Fee'.

Income from the property, dividends, interests on securities, income from literary, cultural, artistic, scientific or technological efforts, participation in sports activities as amateur do not come under the purview of the term 'fee'.

- 6.4.1.2. Permission necessary – Employee of C-MET should obtain prior permission of the Competent Authority for undertaking the work or service and also for acceptance of fee, i.e., remuneration for such work or service. Failure to obtain such permission would amount to breach of Conduct Rules.

- 6.4.1.3. Share of the fee payable to C-MET-

Fee Received	Share to be credited to C-MET
Up to Rs. 1,500	Nil.
Above Rs. 1,500	One third of the fee in excess of Rs. 1,500.

Recurring and non-recurring fees should be dealt with separately. The above limit should be applied in each individual case in respect of non-recurring fee and for recurring fee; the limit should be applied to total fee received in a financial year. The Competent Authority may, however,

grant permission exempting the employee from payment of share to C-MET.

6.4.1.5. Items of 'Fees' subject to payment of share to C-MET-

6.4.1.5.1. Sale proceeds or royalties on a book, which is a mere compilation of Government rules, regulations and procedures. However, requirement of  $\frac{1}{3}$ <sup>rd</sup> deduction can be relaxed, by the Executive Director after satisfying himself that "such a book is not a mere compilation of Government / C-MET rules, regulations and procedures but it reveals the author's scholarly study of the subject";

6.4.1.5.2. Fees received to perform, with permission, clerical, administrative or technical work of an occasional or casual nature for a private body including a private body engaged in literary, cultural, artistic, scientific, charitable or sports activities as also co-operative societies and other registered societies;

6.4.1.5.3. Income received for publishing a book contributing an article on subjects other than literary, cultural, technological and scientific subjects (including management sciences);

6.4.1.5.4. Income received for exploitation of a patent taken out without permission.

6.4.1.5.5. Items of 'Fees' not subject to payment of share to C-MET

- i) Scholarship or stipend received during study leave for prosecuting a course of study or receiving specialized training in professional or technical subject.
- ii) Writing reports, papers or study reports on selected subjects for International Bodies like UNO, UNESCO, etc.
- iii) Fees received from recognized Universities and other Statutory Bodies, Public Sector Undertaking, etc.
- iv) Income derived from exploitation of patent for invention taken out with permission.
- v) When the work is undertaken by C-MET and payment is made to the Employee of C-MET assigned for the work.

6.4.2. **Honorarium**

6.4.2.1. Definition – Remuneration for special work of an occasional or intermittent character paid to an employee from the Fund of C-MET.

6.4.2.2. Prior sanction necessary – Prior sanction of the Competent Authority is necessary before the work is undertaken. Amount of remuneration to be settled in advance.

6.4.2.3. Not admissible –

- i) For any temporary increase in work, e.g., due to holding meetings/conferences, etc., or for attending to duties of another post in addition to normal duties.
- ii) For work connected with setting up of companies/corporations, etc.
- iii) If OTA has been paid for the particular work.

- iv) For contribution of articles or broadcast of talks as a part of the normal duties.

6.4.2.4. Honorarium admissible for specific cases-

6.4.2.4.1. For performing duties of Driver-

- Group 'D' staff to work as Staff Car Driver Rs. 4 per day.
- Group 'D' staff to work as Dispatch Rider/Scooter Driver Rs. 2 per day.

6.4.2.4.2. For translation – From regional language to English/Hindi and vice versa

- For ordinary material Rs. 40 per thousand words  
For the version in which translation is rendered.
- For technical material - Rs. 45 per thousands words.  
(Including work of translation of Codes and Manuals)

6.4.2.4.3. For part-time Inquiry/Presenting Officers in disciplinary cases:

6.4.2.4.3.1. Serving Employee of C-MET:

- |                     |  |
|---------------------|--|
| Inquiry Officers    | A minimum of Rs.1000/- and a maximum Of Rs.2000/-            |
| Presenting Officers | A minimum of Rs. 500 and a Maximum of Rs. 1,000 per inquiry. |

6.4.2.4.3.2. Retired Employee of C-MET/ Government :

- |                  |   |
|------------------|---|
| Inquiry Officers | A lumpsum remuneration of Rs. 5,000 per Inquiry report with an additional Rs. 1,000 for every additional charged officer where more than one charged officer is involved. |
|------------------|---|

Conditions-

- The Competent Authority should exercise its utmost care in the matter of grant of honorarium and may do so only in absolutely deserving case.
- The number of disciplinary cases should be restricted to 10 cases in a year with not more than 2 cases at a time for serving Employee of C-MET. For retired Employees, it should be restricted to 20 cases in a year and 4 cases at a time.
- Before payment is made, all case records and Inquiry report should be handed over to the Disciplinary authority by Inquiry/Presenting Officer.

6.4.2.4.4. For delivering lectures in Hindi workshops-



a)	For a guest lecturer/Central Government Officers/Employees, per hour	Rs. 240
b)	Maximum for a lecturer in a workshop	Rs. 2,400
c)	Maximum for all lecturers in one workshop	Rs. 7,200

**6.4.2.4.5. Honorarium for attending Meetings:**

Non-official members invited to attend GC / SC / EC meetings of C-MET shall be paid honorarium at rates as follows: -

- Governing Council Rs. 1,500/-
- Steering Committee Rs. 1,500/-
- Executive Committee Rs. 1,000/-
- Any sub-committee of GC/SC/EC Rs. 750/-

The members shall also be reimbursed TA / DA as per their claims and the provisions of TA/ DA rules of C-MET shall not apply in their case. Official members claiming TA/DA from C-MET may be paid honorarium as above in place of Daily Allowance.

**For others (including Govt. officials)**

Invitees (including Members from Government Department but excluding staff of the C-MET) to Selection Committee/ Departmental Promotion Committee/ Screening Committee/ Probation Clearance Committee/Tender Evaluation Committee/ Negotiating Committee shall be paid honorarium in consideration to the duration of the meeting @ Rs. 1000/- for Full Day and Rs. 500/- Half Day

**6.4.2.4.6. Honorarium to be paid to the Annual Foundation Lecturer**

The Distinguished Scientist delivering the Annual Foundation Day Lecture at C-MET will be paid Rs.5000/- as honorarium.

**6.4.2.4.7. Honorarium to be paid to External Expert for delivering Invited Lecture**

An outside expert delivering lecture of Scientific and Technical nature on special occasion(s) shall be paid Rs.500/- per lecture.

**6.4.2.4.8. Honorarium for Conducting Written/Practical Test**

Staff of C-MET/outside expert who undertakes the responsibility to conduct written test for recruitment or departmental promotion shall be paid honorarium as follows:

For setting Question Paper –

- For Group A & B staff - Rs. 500/-

- For Group C staff - Rs.350/-

For evaluation answer paper/conducting Practical Test –

- For Group A & B staff - Rs. 500/-
- For Group C staff - Rs.350/-

#### 6.4.2.4.9. Honorarium for in house training

Staff of C-MET, excluding those who are assigned the responsibility, who takes classes for in house training shall be paid honorarium from Rs 60/- to Rs.100/- per lecture of 75 minutes duration for in-house training. The payment of honorarium shall be regulated as follows:

- Rate per lecture is linked to duration of lecture i.e. 75 minutes or more and number of trainees being around 30.
- The rate will go down from Rs.100/- to Rs.60/- and to Rs. 40/- if number of trainees is less than 20 and less than 10 respectively.
- Same lecturer should take lecture on same or connected subjects in a course but must not be repeated for more than one course in a year
- Total honorarium to one lecturer for lectures given should not exceed Rs. 2500/- per annum.
- The lectures should be in connection with in house training programmes for improvement in quality of work, of any category in Group B, C, or D.

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## Chapter 7

### LEAVE

#### GENERAL PRINCIPLES

Leave cannot be claimed as a matter of right. The leave sanctioning authority may refuse or revoke leave of any kind. Leave of one kind taken earlier cannot be converted into leave of a different kind at a later date unless there are compelling reasons to do so. No leave of any kind can be granted for a continuous period exceeding five years except with the sanction of Chairman of the Council. An official on leave should not take up any service or employment elsewhere without obtaining the prior sanction of the Chairman of the Council. Leave sanctioning authority may secure second medical opinion, if it considers necessary. Overstay of leave without proper sanction will be debited against the HPL account of the employee to the extent HPL is due and the excess treated as EOL. No leave salary is admissible for the entire period of overstay and the period of such overstay will not count for increment, leave and retirement benefits. Willful absence from duty after the expiry of leave renders an employee liable to disciplinary action. Leave shall be sanctioned only where prior sanction is requested and application for leave after availing shall be entertained only on medical grounds like involving accidents and major ailments like TB, Cancer, Heart diseases, AIDS etc., and also during civil commotion, disruption of rail/bus services due to natural calamities etc.,

#### 7.1. EARNED LEAVE

- 7.1.1. The credit will be afforded in advance at a uniform rate of 15 days on 1<sup>st</sup> of January and 1<sup>st</sup> of July every year. The credit to be afforded will be reduced by 1/10<sup>th</sup> extraordinary leave availed and / or period of dies non during the previous half – year, subject to a maximum of 15 days and to the extent of such credit only. Earned Leave can be accumulated up to 300 days.
- 7.1.2. While limiting the maximum of 300 days, further advance credit of 15 days on 1<sup>st</sup> Jan / 1<sup>st</sup> July will be kept separately and set off against the EL availed of during that half year ending 30<sup>th</sup> June / 31<sup>st</sup> December. However, if the leave availed is less than 15 days, the **remaining leave** will be credited to the leave account subject to the ceiling of 300 days, at the close of the half year.
- 7.1.3. The credit for the half-year in which an employee is appointed will be afforded at the rate of 2 1/2 days for each completed calendar month of service, which he is likely to render in the calendar half-year in which he is appointed.
- 7.1.4. The credit for half-year in which an employee of C-MET is due to retire or resigns from the service will be afforded at the rate of 2 ½ days for each completed calendar month in that half year up to the date of retirement / resignation.
- 7.1.5. The credit for the half year in which an employee of C-MET is removed / dismissed from service or dies in service, will be afforded at the rate of 2 ½ days per completed calendar month up to the end of the calendar month preceding the calendar month in which he is removed / dismissed / dies.

7.1.6. If an employee, retires / resigns / is removed / is dismissed / dies in the middle of a calendar year, the earned leave credited should be reduced at the rate of  $\frac{1}{10}$ <sup>th</sup> of any extraordinary leave taken in that half – year and the leave account regularized. While affording credit, fraction of a day should be rounded off to the nearest day e.g. 7  $\frac{1}{2}$  days to be rounded as 8 days.

7.1.7. Earned leave can be availed up to 180 days at a time but cannot be availed for more than 4 occasions during a calendar year. Exception to this rule can be exercised by the leave sanctioning authority in rare circumstances. A report of such exemptions granted exceeding 4 times a year shall be furnished to the Registrar in the beginning of the succeeding calendar year. EL may be taken up to 300 days as leave preparatory to retirement.

## 7.2. **HALF PAY LEAVE**

7.2.1. Calculated at 20 days for each completed year of service. Service includes periods of duty and leave including extraordinary leave with or without medical certificate, but does not include periods of suspension treated as dies non, overstays of leave / joining time unless otherwise regularized.

7.2.2. Half pay leave is credited in advance at the rate of 10 days on the 1<sup>st</sup> of January and 1<sup>st</sup> of July every year. The advance credit for the half – year in which an employee is appointed will be at the rate of  $\frac{5}{3}$  days for each completed calendar month of service he is likely to render in the half year in which he is appointed.

7.2.3. The half pay leave to be credited every half – year will be reduced at the rate of  $\frac{1}{18}$ <sup>th</sup> of the period of dies non / suspension treated as dies non, during the preceding half year, subject to a maximum of ten days.

7.2.4. The credit for the half – year in which an employee is due to retire / resigns will be afforded at the rate of  $\frac{5}{3}$  days for each completed calendar month of service in that half – year up to the date of retirement / resignation.

7.2.5. The credit for the half – year in which an employee is removed / dismissed from service or dies in service will be afforded at the rate of  $\frac{5}{3}$  days per completed calendar month up to the end of the calendar month proceeding the last calendar month of service.

7.2.6. Half pay leave can be availed either with or without medical certificate. While affording credit, fraction shall be rounded off to the nearest day.

7.2.7. Half pay leave can be converted into full pay leave by taking it as ‘commuted leave’ if the leave applied for is on medical certificate. While affording credit of half pay leave, fraction of a day shall be rounded off to the nearest day.

## 7.3. **COMMUTED LEAVE**

7.3.1. Commuted leave not exceeding half the amount of half pay leave due can be taken on medical certificate.

7.3.2. Commuted leave can be taken without medical certificate-

- Up to a maximum of 90 days in the entire service is utilized for an approved course of study certified to be in interest of C-MET.
- Up to a maximum of 60 days by a female Employee of C-MET if it is in continuation of maternity leave.
- Up to a maximum of 60 days by a female Government with less than two living children if she adopts a child less than one year old.

7.3.3. Commuted leave can be granted only when the leave sanctioning authority is satisfied that there is a reasonable prospect of the employee returning to duty on its expiry. So it cannot be granted as leave preparatory to retirement.

7.3.4. If commuted leave is taken, twice the number of days availed should be debited in the half pay leave account.

7.3.5. Where an employee of C-MET granted commuted leave quits service voluntarily without returning to duty, the commuted leave shall be treated as half pay leave and the excess leave salary recovered. If the retirement is by reason of ill health incapacitating him for further service or in the event of death, recovery should not be made.

7.3.6. Commuted leave may be granted at the request of the Employee of C-MET even when earned leave is available.

7.3.7. Employees availing leave on medical ground should produce fitness certificate at the time of joining duty. Otherwise, he/she will not be allowed to join duty.

#### 7.4. **EXTRAORDINARY LEAVE**

7.4.1. Extraordinary leave (without pay and allowances) is granted to an employee in special circumstances normally on medical grounds when no other leave is admissible. EOL may also be granted to regularize periods of absence without leave retrospectively.

7.4.2. No leave of any kind can be granted to an employee of C-MET for a continuous period exceeding five years. Subject to this limitation, any amount of EOL may be sanctioned to an Employee of C-MET. The limit on any one occasion is-

7.4.2.1. All Officials-Up to 3 months with or without medical certificate.

7.4.2.2. Officials with a minimum of one-year continuous service- Up to 6 months with medical certificate for common ailments.

7.4.2.3. Up to 18 months with medical certificate for Cancer, mental illness, pulmonary tuberculosis or pleurisy of tubercular origin, tuberculosis of any part of the body and leprosy.

7.4.2.4. Officials with three or more year's continuous service-Up to 24 months, where the leave is required for the purpose of prosecuting studies certified to be in public interest.

7.4.2.5. Officials belonging to Scheduled Castes/Scheduled Tribes- Competent authority may grant leave exceeding three months for attending the

pre-examination training course at the centers notified by the Government from time to time.

- 7.4.3. Two spells of extraordinary leave, intervened by any other kind of leave, should be treated as one continuous spell for the purpose of applying the maximum limit.

#### 7.5. **MATERNITY LEAVE**

Granted to female employees –

- 7.5.1. Confinement: 135 days- Admissible only to employees with less than two surviving children.
- 7.5.2. Miscarriage/ abortion (induced or otherwise): Total of 45 days in the entire service. Admissible irrespective of number of surviving children. Application to be supported by a certificate from a registered medical practitioner.
- 7.5.3. The leave is not debited to the leave account. It is granted on full pay. It may be combined with leave of any other kind. It counts as service for increments. Any leave (including commuted leave up to 60 days and leave not due) may be taken without medical certificate up to one year in continuation. Counts as service for increments. Counts as service for retirement benefits. In case of Officials in case of whom the provisions of Employees' State Insurance Act apply, the leave salary will be reduced by the benefit admissible under the Act for the corresponding Period. Not admissible for 'threatened abortion'.

#### 7.6. **PATERNITY LEAVE**

**Eligibility:** Male Employee of C-MET with less than two surviving children.

**Duration:** Fifteen days during wife's confinement.

**Leave salary:** Equal to last pay drawn.

Not to be debited to the leave account. May be combined with any other kind of leave except casual leave. Not to be refused normally. To be applied up to fifteen days before or up to six months from date of delivery.

#### 7.7. **SPECIAL DISABILITY LEAVE**

- 7.7.1. Admissible to all employees -

7.7.1.1. When disabled by injury intentionally or accidentally inflicted or caused in, or in consequence of the due performance of official duties or in consequence of official position.

7.7.1.2. When disabled by illness incurred in the performance of any particular duty, which has the effect of increasing liability to illness or injury beyond the ordinary risk attaching to the civil post held, under the same conditions.

7.7.2. The disability, under 7.7.1.1.above, should have manifested within three months of the occurrence to which it is attributed and the person disabled had acted with due promptitude in bringing it to notice. The

leave sanctioning authority, if satisfied as to the cause of the disability, may relax the condition and grant leave in cases where disability has manifested more than three months after the occurrence of its cause.

- 7.7.3. It may be granted more than once if the disability is aggravated or recurs in similar circumstances at a later date, but the maximum leave in consequence of any one disability should not exceed 24 months.
- 7.7.4. It may be combined with any other kind of leave. It will not be debited to the leave account.
- 7.7.5. The leave salary for the first 120 days will be the pay last drawn and for the remaining period it will be equal to leave salary during half pay leave. In such cases, beyond the first 120 days, the official may take half pay leave (at his credit) for another 120 days along with the special disability leave simultaneously and get leave salary equal to that on earned leave. The half pay leave so taken will be debited to his leave account.
- 7.7.6. If the official is entitled to any benefit under the Workmen's Compensation Act or the Employees' State Insurance Act, the amount of leave salary will be reduced by the amount of benefit payable under the above Act.
- 7.7.7. The disability should be certified by an Authorized Medical Attendant to be directly due to the performance of the particular duty.
- 7.7.8. The period of leave will be as certified by an Authorized Medical Attendant subject to a maximum of 24 months.
- 7.7.9. Appointing authorities are competent to sanction Special Disability Leave.

7.8. **HOSPITAL LEAVE**

- 7.8.1. Admissible to such employees whose duties involve handling of dangerous machinery, explosive materials, poisonous drugs and the like, or performance of hazardous tasks; while under medical treatment in a hospital or otherwise, for illness or injury directly due to risks incurred in the course of official duties.
- 7.8.2. Medical Certificate from an Authorized Medical Attendant is necessary for the grant of this leave.
- 7.8.3. May be granted for such period as the authority granting the leave may consider it necessary.
- 7.8.4. May be combined with any other kind of leave due and admissible, provided the total period of leave does not exceed 28 months.
- 7.8.5. Leave salary for the first 120 days will be the pay last drawn and for remaining period, it will be equal to leave salary during half pay leave.
- 7.8.6. If the official is entitled to any benefit under the Workmen's Compensation Act or the Employees' State Insurance Act, the amount of leave salary will be reduced by the amount of benefit payable under the above Acts.
- 7.8.7. Hospital leave will not be debited to the leave account.

7.8.8. The facility of getting full pay after the first 120 days also by taking half pay leave simultaneously, as in the case of special disability leave, is not applicable to hospital leave.



7.9. **LEAVE SALARY**

**During earned leave and commuted leave** - Equal to pay drawn immediately before proceeding on leave.

**During half pay leave** – Equal to half the amount of leave salary on earned leave.

**Extraordinary leave.** – Not entitled to any leave salary.

7.10. **ENCASHMENT OF LEAVE**

7.10.1. **Leave Encashment while in Service**

Employees of C-MET shall be extended facilities of encashment of earned leave to a maximum of leave that accrues to his credit once in a year subject to the condition that the period of leave encashed at a time shall not be less than 10 days and not more than 50% of leave in credit. The period of encashment shall be in full days, and an employee who has been allowed encashment benefit will be eligible for encashment benefit for the subsequent time only after a lapse of 12 months from the date of sanction of the last encashment.

7.10.2. **Encashment of Earned Leave on Other Occasions**

The authority competent to sanction leave should automatically grant lumpsum cash equivalent of leave salary admissible for the number of days of earned leave at the credit of the employee on the last day of his service, subject to a maximum of 300 days.

- 7.10.2.1. On retirement after attaining the age of superannuation;
- 7.10.2.2. When the service is extended in public interest beyond superannuation, after extension;
- 7.10.2.3. When an employee retires on superannuation while under suspension or while disciplinary or criminal proceedings are pending against him, the whole or part of cash equivalent of leave salary may be withheld to meet recoveries from him possibly arising on conclusion of the proceedings. On conclusion of the proceedings, payment may be released after adjustment of dues to C-MET, if any;
- 7.10.2.4. On termination of service by notice/payment of pay and allowances in lieu of notice or otherwise in accordance with the terms and conditions of his appointment;
- 7.10.2.5. When an employee is invalidated from service on medical grounds;
- 7.10.2.6. When an employee resigns or quits service on his own accord, provided he has served C-MET for minimum period of 5 years on the date of cessation from service;
- 7.10.2.7. On premature retirement.
- 7.10.2.8. On voluntary retirement.
- 7.10.2.9. On compulsory retirement as a measure of penalty when no reduction in retirement benefits is ordered.

7.10.3. **Encashment of Half Pay Leave:** - Officials covered by 7.10.2.1 to 7.10.2.9 above will be entitled also to cash equivalent of half pay leave at their credit. Encashment of earned leave up to 300 days should, as usual, be allowed in their cases, even if the period goes beyond their normal date of superannuation. If, however, the benefit of encashment of half pay leave is also availed of, the period of HPL plus EL should not extend beyond their normal date of superannuation. This restriction is not applicable to those retiring on superannuation.

7.10.4. **Death while in Service:** - If an employee dies while in service, the cash equivalent of leave salary for earned leave and half pay leave due and admissible to the deceased on the date immediately following the date of death will be paid to his family. The cash equivalent for earned leave will be restricted to 300 days.

7.10.5. **Benefit of Increment during Leave:** - If an employee of C-MET dies while on any kind of leave for which leave salary is payable and an increment falls due during the leave period, the difference between the amount of cash equivalent based on the actual pay drawn immediately before proceeding on leave and the cash equivalent which would have been admissible, if the benefit of the increment falling due during currency of that leave period was allowed from its due date will be paid as ex gratia payment to be sanctioned by the appointing authority.

7.10.6. **Amount Payable:** -The lumpsum will consist of (i) leave salary and (ii) DA (for the first 300 days only). It will not include HRA/CCA/Special Increment granted for promoting small family norm.

7.10.7. **To whom payable:**-On death of an employee of C-MET while in service or after retirement or quitting service but before actual receipt of cash equivalent of leave salary, the cash equivalent of leave salary shall be payable to a member of his family in the following order of preference:

-

- i) Widow or the eldest surviving widow (with reference to the date of marriage) or husband;
- ii) The eldest surviving son or an adopted son;
- iii) The eldest surviving unmarried daughter;
- iv) The eldest surviving widowed daughter;
- v) The father;
- vi) The mother;
- vii) The eldest surviving brother below the age of 18 years;
- viii) The eldest surviving unmarried sister;
- ix) The eldest surviving widowed sister;
- x) The eldest surviving married daughter; and
- xi) The eldest child of the eldest predeceased son.

The amount is payable to a member, only if member of the preceding category is not available.

## 7.11. **CASUAL LEAVE**

7.11.1. Casual leave is not a recognized form of leave. An official on casual leave is not treated as absent from duty and his pay is not intermitted. Entitlement (per calendar year) – 8 days

7.11.2. Casual leave can be combined with vacation but not with any other kind of leave. It cannot be combined with joining time. Sundays and Holidays falling during a period of casual leave are not counted as part of casual leave. Sundays/ public holidays/ restricted holidays/ weekly offs can be prefixed/ suffixed to casual leave. Casual leave can be taken while on tour, but no daily allowance will be admissible for the period. Casual leave can be taken for half-day also. Essentially intended for short periods, it should not normally be granted for more than 5 days at any one time, except under special circumstances. Officials joining during the middle of a year may avail casual leave proportionately

7.11.3. **Half-day's Casual Leave:** - Employees who have got some urgent work but do not require one day's leave can avail of half-day's Casual Leave. The dividing line will be the lunch break. If the leave is for the forenoon, the official can attend office immediately after the lunch break and if it is for the afternoon, can leave office at the commencement of the lunch break. Casual Leave cannot be granted for less than Half Day.

7.11.4. **Late attendance:** -Half day's Casual Leave should be debited to the Casual Leave account for each late attendance. However, late attendance up to an hour for not more than two occasions in a month can be condoned by the Competent Authority, if convinced that it is due to unavoidable reasons.

## 7.12. LEAVE ADVANCE

An employee of C-MET proceeding on leave for a period not less than thirty days (30) may be allowed an advance not exceeding the leave salary including allowances, for the first 30 days of leave after deducting the recoveries e.g. Income Tax, PF subscription, recovery of advances, house rent, recovery of other advances etc.

**Recovery of the advance:** - To be recovered in full from the leave salary bill. Balance, if any, will be recovered from the next month's pay or leave salary .If the period of leave falls in two months, the advance will be adjusted in two installments, viz., a part of the advance will be adjusted in the first month to the extent of leave salary drawn and the balance in the next bill.

## 7.13. HOLIDAYS

7.13.1. C-MET shall observe 17 holidays in a calendar year.

7.13.1.1. Fixed holidays: - Of these 17 holidays, following 14 holidays will be compulsorily observed in all the offices / Laboratories throughout India: -

- i) Republic Day
- ii) Independence Day
- iii) Mahatma Gandhi's Birthday
- iv) Buddha Purnima
- v) Christmas Day
- vi) Diwali
- vii) Dussehra (Vijaya Dasami)
- viii) Good Friday
- ix) Guru Nanak's Birthday
- x) Idu'l Fitr

- xi) Idu'l Zuha(Bakrid)
- xii) Mahavir Jayanti
- xiii) Muharram
- xiv) Prophet Mohammed's Birthday

7.13.1.2. **Remaining three holidays:** - The Employee's Co-ordination Committee in the State Capital shall decide the three holidays, if necessary, in consultation with other Co-ordination Committees functioning in the same state, and then notify the same. The list so notified will apply uniformly to the Offices / Laboratories in the State and any change thereafter can be made only with the prior approval of the Executive Director.

The holidays should be decided on the basis of local importance of the occasions out of the following festive occasions: -

- i) An additional day for Dussehra
- ii) Holi
- iii) Janmashtami
- iv) Ramanavami
- v) Maha Shivaratri
- vi) Ganesh Chaturthi / Vinayak Chaturthi
- vii) Makarasankranti
- viii) Rath Yathra
- ix) Onam
- x) Pongal
- xi) Sripanchami/Vasant Panchami
- xii) Vishu/Vaisaki/Vaisakhadi/Bahag/Bihu/Meshadi/Ugadi/Chaitra Sukladi/Cheti Chand/Gudi Padava/ 1<sup>st</sup> Nabaratra/Nauraj

Change in date of Muslim Holidays: - Any change in the date of Holiday in respect of Idu'l Fitr, Idu'l Zuha and Muharram depending upon sighting of the Moon, would be notified by-

- (i) the Ministry of Personnel and Training, for offices in Delhi/New Delhi; and
- (ii) the CGE Welfare Co-ordination Committees or the Heads of Laboratories / Offices (where such Committees are not functioning) based on the decision of the concerned State Government/ Union Territories.
- (iii) If the change has to be notified at a very short notice, it could be announced through AIR/TV/Newspaper and the offices / Laboratory may take action accordingly without waiting for formal orders about the change of date

Diwali (Deepavali),-The date may be changed to the date of holiday declared by the concerned State Government

7.13.2. **Restricted holidays:** -Two restricted holidays may be availed from a list drawn up each year to include occasions of local importance in addition to the occasions left out in the 12 optional holidays listed above.

7.15. **Special Casual Leave for other purposes**

7.15.1. **In Sports Events. –**

- 7.15.1.1. Admissible up to a maximum of 30 days in a calendar year for attending:
- i) Coaching or training camps under Rajkumari Amrit Kaur Coaching Scheme or similar All India coaching or training schemes;
  - ii) Coaching or training camps at the National Institute of Sports, Patiala;
  - iii) Coaching camps in sports organized by National Sports Federation/Sports Boards recognized by Government (Department of Youth Affairs and Sports);
- 7.15.1.2. Technical officials concerned with the administration of events (i) to (iii) above and also mountaineering/trekking expeditions will be given the facility of Special Casual Leave.
- 7.15.1.3. Up to a maximum of 10 days in anyone year for participating in inter-Laboratory tournaments and sporting events organized outside the HQrs of the employee by C-MET.
- 7.15.1.4. Period in excess of 30/10 days in a year will be treated as a regular leave.
- 7.15.2. In Cultural Activities: -
- 7.15.2.1. Admissible to employees taking part in cultural activities like dance, drama, music, poetic symposium, etc., of an All India, or Inter-State character organized by or on behalf of the Government of India or on its behalf subject to the overall limit of 30 days in one calendar year.
- 7.15.2.2. Admissible to employees participating in dancing and singing competitions at Regional, National or International level, organized by Government of India/ Government-sponsored Bodies, i.e., Institutions and Organizations which are substantially controlled by Government and receive substantial assistance from the Government in the form of grant-in-aid, subject to a maximum of 15 days in a calendar year.
- 7.15.3. **Mountaineering/Trekking Expeditions:** - Admissible for participating in mountaineering/trekking expeditions approved by the Indian Mountaineering Foundation or organized by Youth Hostels Association of India, up to a maximum of 30 days in one calendar year and subject to the overall limit of 30 days for one calendar year for participation in sporting events: -
- 7.15.4. **For Family Planning:**
- 7.15.4.1. *Male employee:*
- (i) Maximum of 6 working days admissible for vasectomy operation. If he undergoes the said operation for a second time due to failure of the first, another six days will be admissible on the production of medical certificate.
  - (ii) Maximum of 21 days for undergoing decimalization operation.

- (iii) Maximum of 7 days if his wife undergoes tubectomy, laparoscopy or salpingectomy operation. The leave should follow the date of operation.

7.15.4.2. *Female employee:*

- (i) Maximum of 14 days admissible for tubectomy / laparoscopy. If she undergoes the operation for a second time due to failure of the first, maximum of 14 days will be admissible for the second time.
- (ii) Maximum of 14 days admissible for salpingectomy operation after Medical Termination of Pregnancy (MTP).
- (iii) Admissible for one day on the day of IUCD/IUD insertion/ re-insertion.
- (iv) Maximum of 21 days admissible for undergoing recanalization operation.
- (v) Admissible for one day on the day of operation when her husband undergoes vasectomy operation.

Extension / Additional Special Casual Leave is admissible for the period of hospitalization if the concerned employee is hospitalized on account of post-operational complications.

7.15.4.3. Additional Special Casual Leave for 7 days in case of vasectomy operation and 14 days in case of tubectomy operation is admissible if the employee does not remain hospitalized after sterilization operation but is not fit to resume duty.

7.15.4.4. The benefit of Special CL for family planning is admissible to regular employees only.

7.15.4.5. Special Casual Leave is admissible to an employee donating blood to a patient or recognized blood bank on working day (for that day only).

7.16. **CLOSURE OF OFFICES IN THE EVENT OF DEATH OF DIGNITARIES**

7.16.1. President: - In the event of death of the President-

- all offices will be closed throughout India on the day on which death occurs; and
- on the day of the funeral all offices will be closed at the place where the funeral takes place; and

7.16.2. Prime Minister: - In the event of death of the Prime Minister, all offices will be closed throughout India on the day of death and also on the day of funeral.

7.16.3. Special Instructions

On receipt of intimation of the death of the President or Prime Minister, the Home Ministry will inform the Central Ministries, Departments and State Governments. The All India Radio and Doordarshan will also make an announcement. Offices can be closed

as soon as intimation is received from the Department / Ministry or over All India Radio / Doordarshan, whichever is earlier. If intimation of the death is received after office hours, offices will be closed on the following day, if it is otherwise a working day. If intimation is received during office hours in the afternoon, offices will be closed for the rest of the day; but if it is not possible to close the offices for more than three hours on the day, offices will be closed on the following day also (if it is otherwise a working day) on the instructions of the Home Ministry.

7.17. **HOLIDAYS ON THE DAYS OF POLLING**

7.17.1. General Elections / By-Elections: - When a holiday is declared by the State Government, offices can be closed in the area / constituency in accordance with the practice adopted by the State Government.

7.17.2. Election to State Assemblies

Employees may be given facilities to cast their votes. In order to provide facilities to them who reside at a place where the date of polling is different from that at the place where their office is situated and where the day of poll at the place of residence is not a public or closed holiday, they should be given one day's special casual leave to enable them to exercise franchise.

7.17.3. Facilities for officials on election duty

Officials placed on election duty may be permitted to absent themselves from office on polling days and also on the days required for journeys necessary to perform such election duty.

7.18. **ACCEPTANCE OF SERVICE OR EMPLOYMENT WHILE ON LEAVE**

7.18.1. An employee of C-MET while on leave, including leave preparatory to retirement shall not take up any service or employment elsewhere, including the setting up of a private professional practice as accountant, consultant or legal or medical practitioner, without obtaining the previous sanction of the appointing authority.

7.18.2. No employee of C-MET while on leave, other than leave preparatory to retirement shall ordinarily be permitted to take up any other service or employment.

7.18.3. If grant of such permission is considered desirable in any exceptional case, the employee of C-MET may be required to resign his appointment before taking up any other service or employment.

7.18.4. Medical Certificate

An application for leave on medical certificate made by an employee shall be accompanied by a medical certificate given by a registered Ayurvedic, Unani or Homeopathic medical practitioner or by a registered Dentist in case of dental ailments. Where the duration of leave is more than 3 days on an occasion, a fitness certificate should be produced at the time of re-joining duty. The leave sanctioning authority, in case of doubt, may write, under intimation to the applicant, for second medical opinion to a Medical Officer not below the rank of a Civil Surgeon or Staff Surgeon to have the applicant

medically examined. The Medical Officer will direct the official concerned either to appear before him or before a Medical Board, at a particular date, time and place. The medical certificate does not in itself confer upon the employee concerned any right to leave. Leave shall not be granted in any case in which there appears to be no reasonable prospect that the employee concerned will ever be fit to resume his duties.

7.19. **COMBINATION OF HOLIDAYS WITH LEAVE**

7.19.1. When the day, immediately preceding the day on which an employee of C-MET takes leave begins or immediately following the day on which his leave expires, is a holiday or one of series of holidays, the employee of C-MET shall be deemed to have been permitted (except in cases where for administrative reasons permission for prefixing/suffixing holidays to leave specifically withheld) to leave his station at the close of the day before, or return to it on the day following such holiday or series of holidays.

7.19.2. The above provision should not be over stretched where an employee makes it a practice to attend office only on the last or first working day of a week and draws pay and allowances for the weekly off days preceding or following the leave taken for a day. Where an employee avails leave for a single day on the last or first working day of a week for more than one occasion in a month, the entitlement for pay and allowances for weekly off days shall be regulated by allowing pay and allowances for weekly off days calculated at 8/22 of days the employee has actually attended office.

7.19.3. Unless the authority competent to grant leave in any case otherwise directs-

- i) if holidays are prefixed to leave, the leave and any consequent rearrangement of pay and allowances take effect from the day after the holidays; and
- ii) if holidays are suffixed to leave, the leave is treated as having terminated and any consequent rearrangement of pay and allowances takes effect from the day on which the leave would have ended if holidays had not been suffixed.

NOTE: - A compensatory leave granted in lieu of duty performed by an employee of C-MET on Sunday or a holiday for a full day may be treated as a holiday for the above purpose.

7.20. **ABSENCE AFTER EXPIRY OF LEAVE**

7.20.1. Unless the authority competent to grant leave extends the leave, an employee of C-MET who remains absent after the end of leave is entitled to no leave salary for the period of such absence and that period shall be debited against his leave account as though it were half-pay leave, to the extent such leave is due, the period in excess of such leave due being treated as extraordinary leave.

7.20.2. Willful absence from duty after the expiry of leave renders an employee of C-MET liable to disciplinary action.

7.20.2.1. **Treatment of willful absence from duty not recognized:** - Willful absence from duty, even though not covered by grant of leave does



not entail loss of lien The period of absence not covered by grant of leave shall have to be treated as "*dies non*" for all purposes, viz., increment, leave and gratuity. Such absence without leave where it stands singly and not in continuation of any authorized leave of absence will constitute an interruption of service for the purpose of gratuity and the entire past service will stand forfeited.

7.20.2.2. **Action for overstays of leave: -** The disciplinary authority *should* take appropriate disciplinary action for unauthorized absence from duty or Overstay of leave even for one day, treating it as misconduct, if the facts and circumstances of the case warrant such an action.

7.20.2.3. **Action for unauthorized absence from duty or overstays of leave: -**

7.20.2.3.1. When an employee of C-MET asks for leave in excess of the limits prescribed and if the circumstances are exceptional, a decision could be taken by the leave sanctioning authority to grant further leave in excess of the limits.

7.20.2.3.2. When an employee of C-MET applies for leave beyond the prescribed limit of extraordinary leave and the leave sanctioning authority is not satisfied with the genuineness of the grounds on which further leave has been asked for, nor does it consider the grounds as exceptional, the leave cannot be granted. In such a case the An employee of C-MET should be asked to rejoin duty within a specified date failing which he would render himself liable for disciplinary action. Disobedience of orders to rejoin duty within the specified period would afford good and sufficient reasons for initiating disciplinary action. If he rejoins duty by the stipulated date, he may be taken back to service and the period of absence not covered by leave be treated as overstays of leave and dealt with in accordance with the orders regarding regularization of overstays of leave.

7.20.2.3.3. If the employee of C-MET does not join duty by the stipulated date it would be open to the disciplinary authority to institute disciplinary proceedings against him. If during the course of disciplinary proceedings he comes for rejoining duty, he should be allowed to do so without prejudice to the disciplinary action already initiated against him (unless he is placed under suspension) and the disciplinary action concluded as quickly as possible. The question of regularization of the period of overstays of leave be left over for consideration till the finalization of the disciplinary proceedings.

7.20.2.3.4. If an employee of C-MET absents himself abruptly or applies for leave which is refused in the exigencies of service and still he happens to absent himself from duty, he could be told of the consequences, viz., that the entire period of absence would be treated as unauthorized entailing loss of pay for the period in question, thereby resulting in break in service. If however, he reports for duty before or after initiation of disciplinary proceedings, he may be taken back for duty because he has not been placed under suspension. The disciplinary action may be concluded and the period of absence treated as unauthorized resulting in loss in pay and allowances for the period of absence and thus a break in service. The question whether the break should be condoned or not and treated as *dies non* should be considered only after conclusion of disciplinary proceedings and that too after the employee of C-MET represents in this regard.

7.20.2.4. It is made clear that an employee of C-MET who remains absent unauthorisedly without proper permission should be proceeded against immediately and this should not be put off till the absence exceeds the limit prescribed. However, the disciplinary authority should consider the grounds adduced by the employee of C-MET his unauthorized absence before initiating disciplinary proceedings. If the disciplinary authority is satisfied that the grounds adduced for unauthorized absence are justified, the leave of the kind applied for and due and admissible may be granted to him.

7.21. Officers at various levels shall be competent to sanction leave as indicated in the Delegation of Powers.

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## Chapter 8

### MEDICAL FACILITIES

#### 8.1. MEDICAL REIMBURSEMENT SCHEME

C-MET shall follow a Medical Reimbursement Scheme as given below:

8.1.1. Employees of C-MET and the members of their families, including dependents shall be eligible for Medical re-imburement. Each employee shall be entitled for re-imburement per annum to the extent of one month's emoluments (Basic Pay +DP+DA) as on 1st April.

8.1.1.1 **In case a person joins in between during the financial year, the medical reimbursement will be limited to the proportionate amount of Basic Pay + DP + DA to the length of service rendered during the year.**

8.1.2. The employees of C-MET may also opt for Medi-claim Policy for self and eligible dependents. Re-imburement of premium will, however, be restricted to the ceiling mentioned in para 8.1.1.

8.1.3. Consultancy fee, hospitalization charges and **cost of medicines** cost with all special charges like surgery, dental treatment, diagnostic tests, etc., will be reimbursed only on the production of prescription and bills. Treatment can be taken in Government Hospitals, Government recognized private hospitals and Authorized Medical Attendants so authorized by C-MET for its employees.

8.1.4. In case of illness of serious nature necessitating inpatient treatment in State/Central Government recognized hospitals or approved specialized hospitals for Central/State Government employees or so recognized by C-MET for its employees or in unrecognized hospital (for emergency only), re-imburement beyond eligibility limit may be permitted by Executive Director as per CS (MA) Rules of Government of India on the basis of the recommendations of the Executive Committee on the merit of each case. Re-imburement will be restricted as per CS(MA) Rules/**CGHS rates.**

8.1.5. **Definition of Emergency :** Emergency means “cases involving accidents and serious nature of diseases, etc. ”, the person/persons on the spot may use their discretion for taking the patient for treatment in a private hospital in case no Govt. or recognized hospital is available nearer than the private hospital. Executive Director shall be the Competent Authority to provisionally admit the medical claims undertaken in a non-notified (private) hospital in emergency. However, the concerned Director of the Laboratory shall certify and justify that it was a real emergency necessitating admission in a private hospital. In case of doubt Director/AO shall refer the matter to CMO of the District (in case other than place of duty) to verify the genuineness of the claim of the official.

## 8.2. **BENEFICIARIES**

The Medical Reimbursement Scheme will be applicable to all regular employees of C-MET. The employees can avail the benefits under these rules in respect of themselves and their families.

- 8.2.1. Family: - 'Family', for the purpose of these rules, includes the employee's wife or husband as the case may be and in addition parents, unmarried sisters, widowed sisters, widowed daughters, minor brothers, children (including adopted children) and step children wholly dependent and ordinarily residing with the employee. Female employees have the choice to either include their parents or their parents-in-law, subject to the fulfillment of the other conditions of dependency.

Note 1: Members of the family (other than one spouse) whose income is less than Rs.1500 P.M. are treated as dependants. Parents residing with the rest of the family members in a station other than the employee's headquarters are also eligible for reimbursement. In the case of pensioners, the original pension (before commutation), pension equivalent of DCRG benefit and exclusive of the relief on pension sanctioned after December, 1995, should be taken into account.

Note 2: Children of the employee will be eligible to avail the benefits subject to the following conditions.

Son: - Till he attains the age of 25 years or starts earning whichever is earlier.

Daughter: - Till she gets married or starts earning whichever is earlier. Children suffering from any permanent mental or physical disability will be eligible to avail the benefits irrespective of age limit.

Note 3: Other conditions on dependency as per CS (MA) Rules as amended from time to time will apply mutatis mutandis.

- 8.2.1. The beneficiary should be normally residing with the employee provided in the case of spouse or children this condition does not apply. In the case of other beneficiaries, they should at least reside with the employee or with the spouse or children. No person who is receiving or is eligible to receive medical aid, facility, cash subsidy, cash allowance or reimbursement for medical care from any source other than the Scheme such as, the Railways, CGHS/ Commercial Organizations / Public Sector Undertakings / State Govt. etc. shall be admitted to the Scheme.

- 8.2.2. It shall be the responsibility of the employee concerned to inform the Administration as soon as their sons /daughters, parents or other dependants become ineligible for the benefits of the Scheme so that their names can be deleted from the list of beneficiaries.

## 8.3. **AUTHORISED MEDICAL ATTENDANT**

Under the Scheme, beneficiaries are required to consult and receive medical attendance and treatment from Authorised Medical Officers appointed in their area to whom they have been assigned for consultation / treatment. C-MET will appoint sufficient number of private medical practitioners as Authorised Medical Attendants (AMA). An employee can

choose to consult any AMA appointed by C-MET. **For the purpose of AMA in addition to C-MET appointed AMAs, Government Doctors (both State/Central) will also be AMAs for C-MET employees and their families.**

#### 8.4. **RECOGNIZED HOSPITALS / NURSING HOMES**

8.4.1. Employees and their families are also permitted to go to Govt. Hospitals / Central Govt. recognized Private hospitals for medical attention and treatment as outdoor and indoor patients in addition to the recognized Hospitals / Nursing Homes recognized under the Scheme. The charges levied by these hospitals may be reimbursed after production of bills and the doctor's certificate subject to condition in para 8.1.1. to 8.1.4.

8.4.2. A few Hospitals shall be appointed by C-MET under the Scheme. Once a beneficiary is admitted in a recognized Hospital / Nursing Home, he will be entitled to receive treatment from the Specialists attached to that Hospital / Nursing Home.

8.4.3. **Specialist Treatment:** Under the Scheme some of the reputed hospitals/institutions outside the headquarters of the employee, as notified by Ministry of Health & Family Welfare, Government of India from time to time, are recognized for specialized treatment and the cost of treatment in such hospitals/ institutions as fixed from time to time will be borne by C-MET.

Referral to these hospitals / institutions for specialized treatment shall be made as recommended by the AMA with special approval by the Executive Director, provided facilities for such specialized treatment are not available in the place of posting of the employee.

8.4.4 **The expenditure incurred for hospitalization in emergency cases and for specialized treatment shall be over and above Basic Pay + DP + DA to be sanctioned by EC on a case to case basis.**

#### 8.5. **POST RETIREMENT MEDICAL ASSISTANCE FUND**

To mitigate hardship that may be caused to employees on retirement to meet rising cost of medical aid, C-MET shall create a **Post retirement medical assistance fund** to extend financial assistance to Retired employees of C-MET to meet hospitalisation expenses. The salient features of the scheme shall be as follows: -

8.5.1. The monthly contribution by the employees to the medical assistance fund shall be @ 1% of basic pay subject to a minimum of **Rs 50/-** and a maximum of **Rs 200/-**. This contribution need be paid from the year the employee attains 45 years of age.

8.5.2. C-MET would contribute 25% of the amount **unspent** towards medical reimbursement against one month's basic + DP+ DA of all regular staff calculated at the beginning of the year **pertaining to the previous**

**financial year.**

- 8.5.3. For continuation of the medical facility under the medical assistance fund on retirement, he/she should register afresh and continue to pay the annual contribution in advance at the prescribed rates at the beginning of the financial year. The rate of contribution is 1% of the basic pay last drawn subject to a minimum of **Rs.50/-** and maximum of **Rs.200/-** p.m.
- 8.5.4. The employee should have contributed to the Fund for a minimum period of 5 years before retirement.
- 8.5.5. The employee should have retired from service on attaining normal retirement age/premature retirement on medical grounds. Employees leaving the services on resignation, **dismissal/ removal from service** shall not be extended the benefit.
- 8.5.6. The medical assistance fund shall be administered by the members of the Joint council
- 8.5.7. The financial assistance shall be broadly in line with the reimbursement scheme **for regular employees** but the extent of financial assistance shall be decided by the Joint Council administering the fund dependent on the size of the fund.
- 8.5.8. Wherever C-MET makes arrangements with Hospitals to charge for services at rates approved by Govt., attempt should be made to make available same rates for retired employees as well.
- 8.5.9. In the case of retired employees and their families, they can stay any place away from the headquarters
- 8.5.10. No traveling allowance will be paid for the journey between the place of settlement and the headquarters for any medical treatment.
- 8.5.11. The employee shall have the option to join or not to join in the Scheme.

**8.6 Misuse of medical reimbursement scheme : The misuse of medical reimbursement scheme shall be dealt with as per provisions contained under CS(MA) Rules.**

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## Chapter 9

### TRAVELLING ALLOWANCE / LTC RULES

#### 9.1. TA ON TOUR

TA on tour is from duty point/residence/headquarters to the duty point at the destination and vice-versa. It comprises:

- Fare for journey by rail, road, air and steamer
- Road mileage for journey otherwise than by public transport and
- DA for the entire period of absence from HQ including the journey period

The eligibility for traveling by specific class of accommodation and the rate of daily allowance is decided with reference to the pay of the employee. The grading of employees for journey is according to the pay as follows:

#### 9.1.1. Entitlements for Travel by Rail:

Pay Range (Basic pay+NPA+ Stagnation increment)	Shatabdi Express	Rajdhani Express	Other Trains
Rs. 16400 and above	Executive Class	AC First Class	AC First Class
Rs. 8000 to Rs. 16399	AC Chair Car	AC 2-tier	AC 2-tier
Rs. 6500 to Rs. 7999	-do-	AC Chair Car*	First Class/ AC 3-tier/ AC Chair Car
Rs. 4100 to Rs. 6499	-do-	-do-*	-do-
Below Rs. 4100	-do-	-do-*	Sleeper Class

Those entitled to travel by First Class/ AC 3-tier/ AC Chair Car may travel on tour/ transfer by AC 2-tier, if any of the trains connecting the originating and destination stations by the direct shortest route do not provide for any of the three classes.

When journey is performed by longer route by rail, partly by lower class and partly by the entitled class, the claim is to be regulated on proportionate basis, by calculating mileage allowance for different modes/ classes by the shortest route in the ratio of the distance covered by such modes by the longer route actually used.

#### 9.1.2. Entitlements for Travel by Road:

Pay	Entitlements
Rs. 16400 and above	AC Taxi/ Car/ any bus including AC bus
Rs. 8000 - Rs. 16399	Taxi/ Car/ any bus including AC bus except AC taxi
Rs. 6500 - Rs. 7999	Taxi/ Autorikshaw/ Scooter/ Moped/ any bus except AC bus.
Rs. 4100 - Rs. 6499	Autorikshaw/ Scooter/ Moped/ any bus except AC bus
Below Rs. 4100	Autorikshaw/ Scooter/Moped/ Ordinary bus

It is not necessary that the Car/ Scooter/ Moped should have been registered in the name of the staff member. The claim for taxi / auto rikshaw shall be regulated in accordance with the rates fixed by the State Transport Department.

**9.1.3. Entitlement for Journey by Air**

9.1.3.1. All those who are in receipt of basic pay of Rs. 16,400 and above are entitled to travel by Air.

9.1.3.2. Those drawing basic pay of Rs.12,300/- and above may also travel by air if the distance involved is more than 500 km and the journey cannot be performed overnight (ordinarily covered between 6 p.m. and 8 a.m.) by direct train/ direct slip coach service with approval of the authority competent to authorise the tour.

9.1.3.3. In all other cases specific approval of the Executive Director shall be required with justifications.

9.1.3.4. The entitled class of accommodation for travel by air is Economy/ Standard Class.

**9.1.4. Entitlement for Journeys by Sea or by River Steamer**

Pay Range Officers drawing pay	A & N islands and Lakshadweep Islands (Shipping Corp. of India)	Others
Rs. 8,000 and above	Deluxe Class	Highest class.
Rs. 6,500 to Rs 7,999	First/" A " Cabin Class	If there be two classes only on the steamer, the lower class.
Rs. 4,100 to Rs. 6,499	Second/ "B" Cabin Class	If there be two classes only, the lower class. If there be three classes, the middle or second class. If there be four classes, the third class.
Below Rs. 4, 100	Bunk Class	The lowest class.

**9.1.5. Daily Allowance**

9.1.5.1. Absence from headquarters will be calculated on calendar day basis i.e., from mid-night to mid-night and DA for each day will be as follows:

Absence not exceeding six hours	Nil
Absence exceeding six hours but not exceeding 12 hours	70%
Absence exceeding 12 hours	100%

9.1.5.2. If free Boarding and/or lodging are provided, the entitlement to DA will be as follows:



Free Boarding and lodging	25% of DA
Free boarding alone	50% of DA
Free lodging alone	75% of DA

DA for journey period will be at the ordinary rate.

#### 9.1.5.3. Rates of Daily Allowance

The entitlements for DA and accommodation charges at various locations shall be as shown below:

Pay Range (Rs.)	A1 Class Cities (Rs.)	A Class Cities (Rs.)	B1 Class Cities (Rs.)	Other Localities (Rs.)
16400 and above	260	210	170	135
8000 to 16399	230	185	150	120
6500 to 7999	200	160	130	105
4100 to 6499	170	135	110	90
Below 4100	105	85	70	55
<b>Lodging charges for Stay in Hotels (in addition to DA as above)</b>				
16400 and above *	2000	1500	1000	750
8000 to 16399	1500	1000	750	500
6500 to 7999	1000	750	500	400
Others	750	500	400	300

Note: Lodging charges shall be enhanced by 50% of the rates given above in respect of Directors / Executive Director in the scale of pay Rs 18400-500-22400 or above.

9.1.5.4. All members are expected to stay in C-MET's guesthouse where this facility exists. If the employee makes alternate arrangements even when accommodation was available in the Guest House, the lodging charges shall be limited to one third of limits prescribed above.

#### 9.1.6. **Expenditure on Local Journey while on Tour**

Expenditure on local journeys at the station of halt shall be reimbursed if it exceeds 10% of ordinary DA applicable to the place of halt limited to two DA per day of halt.

#### 9.1.7. **Procedure**

The tour approval obtained from the competent authority contains sanction of TA advance also. Based on this sanction Finance will pay advance to the Official proceeding on tour. The Officer on completion of journey will prefer a final TA claim enclosing the air ticket in respect of the journey, hotel bills where claimed, used rail tickets, etc., based on which the claim will be finally admitted by Finance.

In case of officers not eligible to travel by air, prior approval of the competent authority should be obtained.



## 9.2. T .A. FOR LOCAL JOURNEYS

- 9.2.1. Local Journeys mean journeys on duty on any day beyond 8 km from the duty point at Headquarters and within the limits of suburban or other Municipalities, Notified Areas or Cantonments contiguous to the Municipality/Corporation of the Town or City in which the duty point is located. Journeys performed within the limits of an Urban Agglomeration within which the employee's headquarter is located will also be treated as 'local journeys'.
- 9.2.2. T .A. for local journeys: Mileage allowance for the journeys performed on all the days spent on temporary duty and in addition 50% of the admissible D.A. Option is available either to claim reimbursement of conveyance hire charges under Delegation of Financial Powers Rules or to claim normal T.A. as above.
- 9.2.3. T.A. for a local journey is admissible if the temporary place of duty is beyond 8 km from the normal place of duty, irrespective of whether the journey is performed from residence or from the normal place of duty.
- 9.2.4. Local journeys should normally be performed in the same way as journey to duty point, i.e., by bus, local trains or own conveyance. Where travel by special means like taxi, scooter, etc., is considered necessary, prior permission of superior authority is necessary .If more than one official is deputed for duty at the same point, they should, as far as possible, travel together by sharing the hire charges of the taxi or scooter or other conveyance, if necessary, by assembling at the normal duty point.
- 9.2.5. For journeys to temporary duty point within a distance of eight kilometers from the residence, if performed by public conveyances, such as bus, local trains, trams and ferries, fares paid will be reimbursed. In case of travel by 'White line buses' plying in Delhi/New Delhi, reimbursement will be made on production of tickets. If such journeys are performed by taxi/auto rickshaw/own car/scooter, no mileage allowance is admissible.
- 9.2.6. The bus/rail fare/mileage allowance for local journeys should be based on the actual distance traveled or the distance between the normal duty point and temporary duty point, whichever is less.
- 9.2.7. If provided with conveyance free of charge, D.A. only will be admissible.
- 9.2.8. D.A. for 'local journeys' will be admissible only at the ordinary rates. The special rates of D.A. prescribed in respect of certain expensive cities are not applicable to officers having headquarters in those cities and performing local journeys.
- 9.2.9. **180 days limit:** -An official required to perform duty at a temporary duty point, will be paid D.A. for the first 180 days only. Beyond 180 days, no D.A. will be admissible.

## 9.3. T.A. WHEN DEPUTED FOR TRAINING

- 9.3.1. An employee deputed to undergo a course of training in India (refresher / in-service/pre-promotional) is entitled to draw T.A. and D.A. as on tour as follows: -

*When boarding and lodging not provided-*

First 180 days: Full D.A.  
Beyond 180 days: Nil

*Training Institutes where boarding and lodging facilities exist (including mess run on co-operative basis at the training centre)-*

First 30 days: Full D.A.  
Next 150 days: Half D.A.  
Beyond 180 days: Nil

- 9.3.2. If the training exceeds 180 days, option to draw either T.A. as on transfer or tour T.A. plus D.A. for the first 180 days is available.
- 9.3.3. If theoretical training and practical training are given in two different stations, D.A. in the second station will commence afresh irrespective of whether D.A. was drawn for 180 days or less in the first station. If both theoretical and practical trainings are at the same station, D.A. will be admissible for the first 180 days only.
- 9.3.4. An employee on training at a particular station going on tour to another station will be entitled to draw D.A. at full rate for stay in the touring station, but this period will also be taken into account for computing 180 days of halt at the training station.
- 9.3.5. No T.A./D.A. is admissible for training at the headquarters irrespective of the distance between normal duty point and the training centre.
- 9.3.6. An employee drawing D.A. during training will be entitled to draw HRA and CCA only at the rates admissible at his headquarters from where he has been deputed to the training. Even beyond 180 days when no D.A. is admissible, the HRA and CCA will be admissible only at the rates admissible at his headquarters.

**9.4. T.A. ON TEMPORARY TRANSFER**

- 9.4.1. In all cases of transfers for short periods not exceeding 180 days, the journeys from headquarters to the station of deputation and back will be treated as on tour and D.A. granted for the first 180 days only.
- 9.4.2. Joining time is not admissible. Only actual transit time as for tour allowed.
- 9.4.3. No advance of pay is admissible.
- 9.4.4. If a transfer originally made for a period more than 180 days is reduced to 180 days or less later, the T.A. claim originally allowed should not be changed to the disadvantage of the official.
- 9.4.5. If a temporary transfer originally made for a period of 180 days or less is later extended beyond 180 days, the T.A. already drawn shall be adjusted in the transfer T.A. claim; but D.A. is admissible up to the date of issue of the revised orders.

9.5. **T .A. ON TRANSFER**

9.5.1. **Transfer** means the movement of an employee from headquarter / one station in which he is employed to another such station, either to take up the duties of a new post, or in consequence of a change of his headquarters.

9.5.2. **Admissibility:** -Admissible only if the transfer is in the interest of C-MET and not at one's own request.

9.5.3. **Transfer T .A. entitlement:** -

9.5.3.1. Transfer T .A. comprises of the following elements: -

- (i) a composite transfer grant equal to one month's basic pay;
- (ii) actual fares for self and family for journey by rail/steamer/air;
- (iii) road mileage for journey by road between places not connected by rail;
- (iv) cost of transportation of personal effects from residence to residence; and
- (v) cost of transportation of conveyance possessed by the employee.

9.5.3.2. While the grade of the employee is determined with reference to the facts on the date of his transfer, the number of fares admissible is to be determined with reference to the facts on the date of journey. No traveling allowance is admissible for any member added to the family after the date of transfer.

9.5.3.3. In addition to the above, the employee will be entitled for an additional fare by the entitled class for self for both onward and return journeys, if he has to leave his family behind due to non-availability of Government accommodation at the new place of posting.

9.5.3.4. An employee whose family does not accompany him to the new station while joining on transfer, has an option to claim for him

- either* for the first journey undertaken to join the new post
- or* for the journey subsequently undertaken along with family members.

9.5.4. **At the Same Station-**

9.5.4.1. No T.A. if no change of residence is involved.

9.5.4.2. If there is compulsory change of residence solely due to the transfer-

- (a) Actual cost of conveyance for self and family limited to the road mileage and actual cost of transportation of personal effects admissible subject to the prescribed limits and

(b) Composite Transfer Grant equal to one-third of basic pay.

9.5.5. **Between two stations within a short distance not more than 20 km: -**

9.5.5.1. No T.A. if no change of residence is involved

9.5.5.2. If change of residence is involved-

(a) Full Transfer T .A. will be allowed and

(b) Composite transfer grant equal to one-third of basic pay.

9.5.6. **Definition of family: -Family includes-**

9.5.6.1. Spouse residing with the employee. (Need not be dependent). Only one wife is included in the term 'family'.

9.5.6.2. Legitimate children and stepchildren, residing with and wholly de- pendent. Children include major sons, legally adopted children and widowed daughters, residing with and wholly dependent. Restricted to two children with effect from 1st January 1999. However, this restriction does not apply to existing employees with more than two children including those born up to 31-12-1998. Does not apply also to employees with no/one child on 31-12-1998 but next confinement resulting in multiple births thereby increasing the number to more than two.

9.5.6.3. Married daughter, if divorced, abandoned or separated from her husband and residing with and financially dependent on the parent.

9.5.6.4. Parents, stepmother, unmarried sisters and minor brothers residing with and wholly dependent. (Major brothers are not included).

9.5.6.5. Widowed sisters residing with and wholly dependent (provided their father is either not alive or is himself wholly dependent on the employee)

9.5.6.6. EXPLANATION: -

9.5.6.6.1. In the case of wife/husband, the necessary condition is-'residing with'. Other members of the family should satisfy both conditions-'residing with' and 'wholly dependent'.

9.5.6.6.2. **Children** studying in educational institutions away from their parents at the time of transfer but joining their parents at the time of vacation are treated as members of family subject to other conditions for drawal of T.A.

9.5.6.6.3. **Wards:** - Children taken as wards by the employee under the "Guardians and Wards Act, 1890" will be treated as employee's children if the employee treats the ward as member of the family and through a special will gives the ward the same status as that of natural children.

9.5.6.6.4. **Definition of dependant:** - Any family member whose income from all sources, including pension (inclusive of pension equivalent of DCRG, but excluding Dearness Relief) does not exceed Rs. 1,500 p.m., is deemed to be wholly dependent on the employee. Children getting stipend,

scholarship, etc., in excess of Rs. 1,500 p.m. are not considered as dependants.

9.5.7. **For journeys by Rail/Road/Air/Steamer** entitlement will be as for journeys on tour.

9.5.8. **By road between places not connected by rail:** - For journey by public bus, actual bus fare for self and each member of family is admissible and if the journey is performed otherwise than by public bus, mileage allowance at the appropriate rate will be admissible as follows: -

9.5.8.1. One mileage for self/self and one additional member;

9.5.8.2. Two mileages if two members of family accompany;

9.5.8.3. Three mileages if more than two members of family accompany.

9.5.9. **By road between places connected by rail:** - Road mileage limited to rail mileage by the entitled class.

Option to family -The family may travel-

(i) from the old headquarters to the new headquarters; or

(ii) from any other station to the new headquarters; or

(iii) from the old headquarters to any other station.

But the claim will be restricted to that admissible from the old to the new headquarters

9.5.10. **Time Limit:** - The members of the family should perform the journey not earlier than one month prior to the date of relief at the old station or within six months of his taking over charge at the new station. This time Limit can be extended in deserving cases by Head of Department.

9.5.11. *Entitlements at a glance*

Basic pay + NPA + Stagnation Increment Composite Transfer Grant		Personal effects		
		By train/steamer	Rate per km for transport by road	
			Maximum	'A-1', 'A' and 'B-1' cities
(1)	(2)	(3)	(4)	(5)
Rs.16, 400 & above	Equal to one Month's basic Pay +NPA +SI	Full four-wheeler wagon, or 6,000 kg by goods train, or one Double container	Rs. P. 30.00	Rs. P. 18.00
Rs. 8,000 to 16,399	Equal to one month's basic pay + NPA +	Full four-wheeler Wagon, or 6000	30.00	18.00

	SI	kg by goods train, or one Single Container		
Rs. 6,500 to 7,999	-do-	3,000 kg	15.00	9.00
Rs. 4,100 to 6,499	-do-	1,500 kg	7.60	4.60
Rs. 3,350 to 4,099	-do-	1,500 kg	7.60	4.60
Below Rs. 3,350	-do-	1,000 kg	6.00	4.00

Personal effects should be transported by goods train between places connected by rail. If transported by road, the actual expenditure or 1 ¼ times of the amount admissible for transport by goods train for the maximum admissible quantity, whichever is less, will be admissible.

The higher rate of road mileage is admissible for transport of personal effects between one place and another within the limits of 'A-1', 'A' or 'B-I', Class cities.

The lower rate of road mileage is admissible for transport of personal effects between stations not connected by rail.

**9.5.12. Transport of Conveyance: -**

9.5.12.1. The possession of the conveyance (either at the old or at the new station) need not be in public interest.

Basic Pay + NPA+SI	Authorized Scale
Rs.6, 500 and above	One motor car or one motor cycle/scooter
Below Rs.6, 500	One motorcycle /scooter/moped or one bicycle.

**9.5.12.2. Transport by Rail:**

9.5.12.2.1. By Passenger: Actual freight charged by the Railway.

9.5.12.2.2. By Goods: Cost of packing, cost of transporting the packed car, motor cycle to and from the goods-shed, cost of crating the car, loading and unloading charges, cost of ropes, etc., are all reimbursable. Claim to be limited to the amount under (9.5.12.2.1.) above.

9.5.12.2.3. One Second Class fare by the shortest route between the stations from and to which the car is actually transported by rail can be drawn for a Chauffeur or Cleaner.

**9.5.12.3. Transport by Road**

9.5.12.3.1. Car/scooter or motor cycle/moped

Mode of transportation	Between places connected by rail.	Between places not connected by rail.
When the conveyance is sent loaded on a truck	Actual expenses/ amount at the prescribed rate */ cost of transportation by passenger	Actual expenses are limited to the



	train, whichever is the least.	amount at the prescribed rate*.
When the conveyance is sent under its own propulsion.	Amount at the prescribed rate * limited to cost of transportation by passenger train.	Amount at the prescribed rate*.
* <i>Prescribed rate</i> : -The rate prescribed for journey by taxi/auto rickshaw, as the case may be, by the Director of Transport at the starting point		

NOTE. When the conveyance is sent under its own propulsion, the employee /members of family traveling in the car will not be entitled to separate fare by air/rail/road mileage. Separate air/rail/road mileage will be admissible for the employee and/or members of family if they travel otherwise than by the conveyance being transported under its own propulsion.

9.5.12.3.2. **Bicycle**: - Between the places connected by rail, actual cost of transportation limited to the freight charges by passenger train; between places not connected by rail, mileage at the rate of 60 P. per km

## 9.6. T.A. ON RETIREMENT

9.6.1. **Entitlements**: - *When the retired employee settles down in a station other than the last station of duty*: - Same as on transfer including lumpsum Composite Transfer Grant. Travel by air is also admissible.

The retired employee and family may travel from the last headquarters to the declared Hometown, or to any other selected place of residence where he wishes to settle.

When the person settles down in the last station of duty but with change of residence or at a place not exceeding 20 km: -

Self and family	Actual cost of conveyance not exceeding the road mileage allowance admissible for transfer.
Personal effects	Actual cost of transportation not exceeding the amount admissible for transfer.
Transportation of Conveyance	An allowance at the rates prescribed by the Director of Transport for journey by taxi/ auto rickshaw, as the case may be. Where the above allowance is claimed, no mileage will be admissible for self. If the family also travels by the same conveyance, they will also not be entitled to mileage allowance.
Composite Transfer Grant	Amount equal to one-third of his Basic pay

NOTE: The last station of duty means and includes the areas falling within the Urban Agglomeration of such station.

9.6.2. **T.A. not admissible on Resignation, Dismissal, etc**: -The concession is admissible only to persons who retire on retiring pension or on superannuation, invalid or compensation pension. It is not admissible to

employees who quit service by resignation or who may be dismissed or removed from service. The concession is also not admissible to persons who are compulsorily retired as a measure of punishment.

9.6.3. **Time Limit:** - The concession should be availed by the employee during leave preparatory to retirement or within one year of the date of his retirement.

9.6.4. **Advances:** - Advances may be sanctioned only when the journey is performed during leave preparatory to retirement. Advance will be limited to the amount to which the employee may be entitled under the rules, and will be adjusted in full on submission of the T.A. Bill. No advance is admissible when the journey is performed after retirement

## 9.7. **T.A. TO THE FAMILY OF A DECEASED EMPLOYEE**

9.7.1. **Entitlements:** - Same as for retirement.

9.7.2. The family of an employee who dies in service may travel from the last headquarters of the employee to the Hometown, or to any other selected place of residence where the family wishes to settle down.

9.7.3. If at the time of the death of the employee any member of his family happens to be at a station other than his headquarters, such member may travel from that station to the Hometown or selected place of residence. But the claim will be restricted to what is admissible from the last headquarters to the Hometown or selected place of residence, as the case may be.

9.7.4. If any member of the employee's family proceeds from the last headquarters to a place other than the selected place of residence, the claim will be restricted to what is admissible from the last headquarters to the selected place of residence.

9.7.5. The journey should be completed within one year after the date of death.

9.7.6. The concession is not admissible to families of (a) Employees who die while on leave preparatory to retirement; and Retired employees who are re-employed.

9.7.7. **Advance of T .A:** - (a) Amount - Limited to three- fourths of the probable amount of traveling expenses admissible under the rules.

9.7.8. **Conditions:** - (1) Only one member of the family can receive on behalf of all. (2) Only one advance is admissible. (3) Surety of a permanent employee of comparable or higher status is necessary. (4) An undertaking from the person receiving the advance to abide by the conditions for recovery is also necessary.

9.7.9. **Recovery:** - (1) Account should be rendered within one month of the completion of the journey if the family travels in one batch. (2) If the family travels in more than one batch, account to be rendered within one month of completion of the journey by the last batch. (3) In any case, the journeys should be completed within one year and account rendered within one month thereof. Otherwise, the amount should be refunded.

9.8. **ADVANCE OF T.A. ON TOUR**

9.8.1. **Amount:** - (1) An amount sufficient to cover the official's personal traveling expenses for a month, viz., daily allowance, road/rail/air fares, for journeys both ways. (2) In the case of prolonged tour in the interior, to places difficult of access, an amount sufficient to cover daily allowance, road/rail/air fares and contingent charges such as for the hire of conveyance, conveyance of records, tents, etc., for six weeks.

9.8.2. **Eligibility:** -All cases where T.A. is admissible as for a journey on tour.

9.8.3. **Conditions:** -The advance should be adjusted within fifteen days of completion of the tour/rejoining duty if gone on leave immediately on completion of tour. A second advance cannot be sanctioned until an account has been given of the first except when a second journey is required to be undertaken soon after the completion of the first leaving no time for the employee to prefer his T.A. Bill in respect of the first advance.

9.8.4. **Recovery:** -By adjustment from the T.A. Bill submitted after completion of the journey

9.9. **ADVANCE OF PAY AND T.A. ON TRANSFER**

9.9.1. **Amount.**

9.9.1.1. One month's pay in cases of normal transfer.

9.9.1.2. Two months' pay if the transfer is due to shift of headquarters as a result of policy decision.

9.9.1.3. Advance of pay can be taken at the new station, if so desired.

9.9.1.4. In addition, advance of T.A. as admissible under the rules, for self and family. This can be drawn either in one installment or separately for self and family in two installments.

9.9.2. **Eligibility**

9.9.2.1. Employees under orders of transfer, including those on leave.

9.9.2.2. Employees proceeding on Foreign Service in India or on reversion from such service.

9.9.2.3. Not admissible when the transfer is at official's request and not in public interest.

9.9.2.4. Not admissible when the transfer is within the same station.

9.9.3. **Recovery**

9.9.3.1. Advance of pay of one-month -In not more than 3 installments.

9.9.3.2. Advance of pay of two months -In 24 installments.

- 9.9.3.3. Monthly rate of recovery should be in whole rupees, the balance being recovered in the last installment.
- 9.9.3.4. Should commence from the month in which the official draws a full month's pay and/or leave salary after joining new appointment.
- 9.9.3.5. Advance of T .A. should be recovered in full from the T .A. Bill

9.10. **TOURS ABROAD**

- 9.10.1. Cases of Foreign tours/visits in regard of Executive Director / Director / Head of Laboratory in the grade Rs.18,400-450-22,400 and above will require the approval of Chairman, Governing Council and such visits by other officers of C-MET including Head of the Laboratories will require the approval of the Executive Committee.
- 9.10.2. TA/DA on foreign visit shall be applicable as per Government orders. However, hotel charges will be paid on actual basis or as per the entitlement as fixed by Indian Embassies in the respective countries for equivalent grade officers in government, since such facility may not be available to them from concerned embassies of the government. To avoid inconvenience to ascertain entitlement as fixed by Indian Embassies. Hotel charges shall be same as the rate of daily allowance for the respective countries. The rates of Daily Allowance are the same throughout a country.
- 9.10.3. Full Daily Allowance shall be applicable up to 14 days, 75% of Full Daily Allowance for the next 14 days, and 60% of full Daily Allowance thereafter in case of long tours/Temporary duties including long term training, deputation etc.
- 9.10.4. The rates of Daily Allowance fixed for various grades of officers do not include any element towards cost of transport for official journeys. Accordingly, the actual cost of taxi or conveyance hired for trips on duty, which is considered necessary and reasonable to the controlling authority, will be reimbursed to the officers subject to specific provision of funds in the sanction order sanctioning the deputation/delegation.
- 9.10.5. Where the officer makes his own arrangements for accommodation or where accommodation alone is provided free, he shall be granted Daily Allowance only at the rate prescribed for his Grade.
- 9.10.6. Hotel entitlement of officers going abroad or non-representational visits such as training courses on seminars shall be equal to half DA under normal entitlement.
- 9.10.7. Where an officer is treated as State Guest and is provided all meals free of cost, only 25% of the daily allowance rates shall be admissible. Where the hotel charges include breakfast charges, the Daily Allowance shall be reduced by 10%.
- 9.10.8. In the case of countries, where local currencies are freely convertible, the equivalent amount of prescribed Daily Allowance in US Dollars for the country concerned may be paid in the local currency. The local currency equivalent may be arrived at via Rupee, by using the official rates of exchange fixed by the Ministry from time to time. In the case of Missions

where local currencies are not freely convertible, the prescribed Daily Allowance for the country concerned may be paid in US Dollars.

9.10.9. Visa Fees will be reimbursed by C-MET. If there is any sponsoring agency then the sponsoring agency has to reimburse the cost of Visa Fees.

9.10.10. Travel Class - Members shall travel by Economy Class. Members shall be allowed to make intercity travel abroad by appropriate train/bus service as admissible. The foreign currency requirement admissible against D.A. Accommodation, Intercity travel, etc will be collected by the member prior to his/her departure.

9.10.11. Medical Insurance - All the members undertaking foreign tour will be entitled to reimbursement against medical insurance. Members will be able to claim this amount at the time of settling their foreign tour claim.

9.10.12. D.A & Accommodation charges will be calculated for the number of nights spent in the foreign country. One additional DA (excluding hotel charges) shall be allowed towards to & fro journey time.

## 9.11. **LEAVE TRAVEL CONCESSION**

### 9.11.1. Eligibility

9.11.1.1. Any employee with one year of continuous service on the date of journey performed by him/his family is eligible.

*Example:* - An official appointed on 31-12-2002 will be eligible for the two-year block 2002-03, but those appointed on or after 1-1-2003, will not be eligible for that block.

9.11.1.2. Employees of C-MET whose spouses are working in Indian Railways/National Airlines are not eligible for LTC.

9.11.1.3. Period of unauthorized absence, declared so under rules, will be treated as break in service for calculating the continuous period of service, unless the break is condoned by the Competent Authority.

9.11.1.4. If an official is under suspension, the concession is admissible only to his family members.

9.11.1.5. When both the husband and wife are Employees of C-MET / either of them is a Central Government employee -

9.11.1.5.1. they can declare separate Home towns independently;

9.11.1.5.2. they can claim LTC for their respective families, viz., while the husband can claim for his parents/minor brothers/sisters, the wife can avail for her parents/minor brothers/sisters;

9.11.1.5.3. either of the parents can claim the concession for the children in a particular block;

9.11.1.5.4. the husband/wife who avails LTC as a member of the family of the spouse, cannot claim independently for SELF.

9.11.1.6. *'Family' means-*

9.11.1.6.1. the wife or husband of the Employee of C-MET and two surviving unmarried children or stepchildren wholly dependent on the Employee of C-MET, irrespective of whether they are residing with the Employee of C-MET or not;

9.11.1.6.2. married daughters divorced, abandoned or separated from their husbands and widowed daughters and are residing with the Employee of C-MET and wholly dependent on the Employee of C-MET.

9.11.1.6.3. Parents and/or stepmother residing with and wholly dependent on the Employee of C-MET;

9.11.1.6.4. Unmarried minor brothers as well as unmarried, divorced, abandoned, separated from their husbands or widowed sisters residing with and wholly dependent on the Employee of C-MET, provided their parents are either not alive or are themselves wholly dependent on the Employee of C-MET.

9.11.1.6.5. EXPLANATIONS: -

9.11.1.6.5.1. The restriction of the concession to only two surviving children or stepchildren shall not be applicable in respect of (i) those employees who already have more than two children prior to 20-10-1998; (ii) where the number of children exceeds two as a result of second child birth resulting in multiple births.

9.11.1.6.5.2. Only one wife is included in the term "Family" for LTC Rules. However, if an Employee of C-MET has two legally wedded wives and the second marriage is with the specific permission of the Government, the second wife shall also be included in the definition of "Family".

9.11.1.6.5.3. It is not necessary for the spouse and children to reside with the Employee of C-MET so as to be eligible for the concession. The concession in their cases shall, however, be restricted to the actual distance traveled or the distance between the headquarters of the Employee of C-MET and the Home town/place of visit, whichever is less.

9.11.1.6.5.4. Children of divorced, abandoned, separated from their husbands or widowed sisters are not included in the term "Family".

9.11.1.6.5.5. A member of the family whose income from all sources, including stipend, or pension, temporary increase in pension but excluding Dearness Relief does not exceed Rs. 1,500 p.m. is deemed to be wholly dependent on the Employee of C-MET. As and when Government of India issues any changes in this income limit it will be applicable mutatis mutadis.

9.11.1.6.5.6. Husband and wife is one unit for purpose of LTC and hence the condition of dependency is not applicable.

9.11.2. **Salient Points**

- 9.11.2.1. Concession can be availed of for self and family separately on different occasions, even in different calendar years of the same block.
- 9.11.2.2. Family can travel in one or more group; but each group should complete its return journey within six months from the date of its outward journey.
- 9.11.2.3. Circular tour tickets can be availed of in conjunction with the concession.
- 9.11.2.4. Can be availed of during any leave including study leave, casual leave and special casual leave.
- 9.11.2.5. While on study leave, the entitlement will be as under:

*Family staying with Employee of C-MET.*

From place of study to Hometown limited to admissibility from head quarters to Hometown.

- 9.11.2.6. Normal Home town entitlement.  
Can be combined with transfer/tour.
- 9.11.2.7. Cannot be availed of during closed holidays only, without taking any leave.
- 9.11.2.8. *Carry forward* – Concession for one block can be carried forward to the first year of the next block, i.e., the outward journey for 2002-2003 block can be performed up to 31-12-2004. Employees entitled to LTC to Hometown for self-alone every year cannot carry forward the concession.
- 9.11.2.9. **Home town concession by some members of the family and “any where in India” by others in the same two-year block permissible** – Some members of family may avail the concession to Home town while others may avail the same for “anywhere in India” in the same two-year block.

9.11.3. **Entitlements**

9.11.3.1. **Journey by Air/Rail:**

Pay Ranges Rs. 18,400 and above: - Air Economy (Y) Class by National Carrier.

Pay Range	Shatabdi Express	Rajdhani Express	Other Trains
Rs. 16,400 and above	Executive Class	AC First Class	AC First Class
Rs. 8,000 to Rs. 16,399	AC Chair Car	AC 2-tier	AC 2-tier
Rs. 4,100 to Rs. 7,999	-do-	AC 3-tier	*First Class/AC 3-tier/AC Chair Car
Below Rs. 4,100	Not Entitled	Not Entitled	Sleeper Class

\*All Employee of C-MET who are entitled to travel on LTC at their discretion by First Class/AC 3-tier/AC Chair Car may, travel by AC 2-tier,

in cases where any of the trains connecting the originating and destination stations by the direct shortest route do not provide these three classes of accommodation.

#### 9.11.3.2. NOTES

9.11.3.2.1. Entitlement by Rajdhani Express/Shatabdi Trains up to an *en route* railway station by direct shortest route and thereafter the journey is completed in a train other than Rajdhani/Shatabdi Trains, fare for both the types of trains by the entitled class will be admissible for the respective portion of journey.

9.11.3.2.2. If the journey is performed partly by Rajdhani/Shatabdi Trains and partly by other trains/modes of transport, the claim shall be reimbursable subject to the condition that the shortest route performs the journey.

9.11.3.2.3. The journey can be performed by Rajdhani/Shatabdi Trains up to the nearest *en route* station which should not be beyond the destination, i.e., Home town or declared place of visit.

#### 9.11.3.3. Journey by Sea or by River Steamer:

Pay Range Officers drawing pay	A & N Islands and Lakshadweep Islands (Shipping Corp. of India)	Others
Rs. 8,000 and above	Deluxe Class	Highest Class
Rs. 6,500 to Rs. 7,999	First/"A" Cabin Class	If there be two classes only on the steamer, the lower class
Rs. 4,100 to Rs. 6,499	Second/"B" Cabin Class	If there be three classes, the middle or second class. If there be four classes, the third class
Below Rs. 4,100	Bunk Class	The lowest class

#### 9.11.3.4. Journey by Road:

	Pay Range	Entitlement
1	Rs. 8,000 and above	Actual fare by any type of public bus, including Air-Conditioned bus:
2	Rs. 4,100 and above but less than Rs. 7,999	Same as at (i) above with exception that journeys by Air-Conditioned bus will not be permissible.
3	Below Rs. 4,100	Bus fare by ordinary bus.

#### Restrictions in respect of road journeys

9.11.3.4.1. Admissible for journeys performed in vehicles operated by Tourist Development Corporations in Public Sector, State Transport Corporation and Transport services run by other Government or local bodies, i.e., the



receipt for the journey should be from the Government Body concerned for eligibility of LTC.

- 9.11.3.4.2. Admissible for travel by private buses operating as regular service from point to point at regular intervals on fixed fare rates with the approval of Regional Transport Authority /State Government Concerned.
- 9.11.3.4.3. No reimbursement permissible for journeys undertaken (a) in a private car (owned, hired or borrowed), chartered railway coach, or chartered bus, van or other vehicle owned/chartered by private operators; (b) in vehicles even if owned by Government Bodies but chartered/run by private operators.
- 9.11.3.4.4. Journeys by taxi, auto rickshaw, etc., are permissible only between places not connected by rail. Journey by these modes on LTC between places connected by rail is not permissible.
- 9.11.3.4.5. Between places not connected by rail, if more than one State Roadways Corporation operates on the route, the lowest fare applicable on the route is reimbursable.

#### 9.11.4. Reimbursement

Fares for journeys between duty station and Hometown, both ways, will be reimbursed in full. If the employee and family reside away from the duty station, fares for journeys between place of residence and Hometown, both ways, restricted to that from duty station to Hometown and back will be reimbursed in full. Reservation charges are reimbursable; but telegram charges for reservation of onward/return journeys, etc., are not reimbursable

#### 9.11.5. Advance

- 9.11.5.1. Up to 90% of the fare can be taken. Advance admissible for both outward and return journeys if the leave taken by the official or the anticipated absence of members of family does not exceed 90 days. Otherwise, advance may be drawn for the outward journey only.
- 9.11.5.2. The official should furnish Railway ticket numbers, PNR No., etc., to the competent Authority within ten days of drawal of the advance.
- 9.11.5.3. Advance can be drawn separately for self and family.
- 9.11.5.4. Claim: - When advance is taken;
  - 9.11.5.4.1. the claim should be submitted within one month from the date of return journey. If not, outstanding advance will be recovered in one lumpsum and the claim will be treated as one where no advance is sanctioned. Further, penal interest at 2% over CPF interest on the entire advance from the date of drawal to the date of recovery will be charged.
  - 9.11.5.4.2. When claim submitted within stipulated time but unutilized portion of advance not refunded, interest is chargeable on that amount from the date of drawal to the date of recovery.

9.11.5.4.3. When a part of the advance becomes excess drawal due to genuine reasons beyond the control of the Employee of C-MET, the Administrative Authority may, if satisfied, exempt charging of interest.

9.11.5.4.4. When no advance is taken, claim should be submitted within three months from the completion of return journey. Otherwise, the claim will be forfeited.

9.11.6. **LTC to Home Town**

9.11.6.1. Admissible to all employees irrespective of the distance involved.

9.11.6.2. Hometown once declared is treated as final. In exceptional circumstances, the Head of the Department may authorize a change, only once during entire service.

9.11.6.3. Admissible once in a block of two calendar years. The blocks are 2002-03, 2004-05 and so on.

9.11.6.4. An employee (including unmarried) having his family at his Home town can avail of this concession for himself alone every year instead of having it for both self and family once in two years.

9.11.7. **LTC to Any Place in India**

9.11.7.1. This concession is admissible in lieu of one of the two journeys to Home Town in a block of four years. The current block is 2002-05. The last date for commencement of the outward journey is 31-12-2006(including the grace period of one year).

9.11.7.2. Available for travel to any place in India-mainland or overseas-including employee's Hometown.

9.11.7.3. Officials availing LTC to Hometown for self-alone once every year, are not entitled to LTC to anywhere in India.

9.11.7.4. **Spouse/dependent children residing away from Employee's headquarters:** - Claim will be limited to the amount admissible from the employee's headquarters to the declared place of visit.

9.11.7.5. **Different places:** - Members of family can visit either the same place as that visited by the Employee of C-MET or different places.

9.11.7.6. **Different batches:** - Members of family can travel in one or more batches, as the case may be. Each batch should complete the return journey within six months of its outward journey.

9.11.7.7. **Different calendar years:** - Members of family can travel either in the same calendar year or in different years in respect of the same block.

9.11.7.8. **Intended place of visit to be declared:** - The intended place of visit should be declared by the official to the Controlling Authority in advance.

9.11.7.9. **Change in the declared place of visit:** - Any change in the declared place of visit should be intimated to the Controlling Authority before

commencement of the outward journey. If, however, it is established that the request could not be made before commencement of the outward journey for reasons beyond the control of the official, change of destination can be admitted by the Head of Administration.

- 9.11.7.10. **Carry forward:** - Concession not availed in a block of four years can be carried forward to the first year of the next four-year block. In respect of the officials entitled to Hometown LTC, the concession can be carried forward to the first year of the next block only if the official is entitled to a carried forward LTC to Hometown for that year.

Example- Suppose an official is entitled to two concessions during the two blocks of 2002-03 and 2004-05.

- i) In respect of 2002-03, he can avail the concession to Hometown before the grace period, i.e., by 31-12-2004. Then he is entitled to carry forward his LTC to anywhere in India to be availed before the grace period, i.e., by 31-12-2006.
- ii) In the above case, suppose the official avails of LTC to Hometown after 31-12-2004. This will be debited against the block 2004-05 and hence he will not be entitled to "anywhere in India LTC". In this case, he will lose his entitlement for 2002-03 by not availing it before the grace period.

9.11.7.11. LTC for Escort

Escort to single handicapped employee: -LTC is admissible to an escort accompanying handicapped employee proceeding on LTC journey provided that-

- i) The nature of physical disability is such as to necessitate an escort.
- ii) The physically handicapped employee does not have an adult family member.
- iii) Any other employee entitled to LTC does not accompany the physically handicapped employee on the journey.
- iv) Prior approval of the Head of Department is obtained on each occasion.
- v) Concessions, if any, allowed by the Railways/Bus services should be availed: -

9.11.7.12. Encashment of EL during LTC

Encashment of earned leave while availing LTC: - Will be admissible subject to the following condition: -

- i) Limited to 10 days of earned leave on one occasion and 60 days in the entire career.

- ii) Will be taken into account while computing the maximum admissible for encashment at the time of quitting service.
- iii) At least equal number of days of earned leave should be availed along with encashment.
- iv) The balance at credit should be not less than 30 days after deducting the total of leave availed plus leave for which encashment was availed.

**9.11.7.13 The misuse of LTC shall be dealt with as per provisions contained under CCS(LTC) Rules.**

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## Chapter 10

### GENERAL ADMINISTRATION

#### 10.1. ATTENDANCE & PUNCTUALITY

##### 10.1.1. Hours of attendance

The normal hours of attendance for C-MET shall be from 9.00 a.m. to 5.30 p.m. with half an hour lunch break from 1.00 p.m to 1.30 p.m. The working hours of Laboratories may be decided by the Central Government Staff members' Welfare Coordination Committee (where it exist) or by the Director/Executive Director in consultation with the representatives of the staff members. There shall be an option to choose any time between 9.00 a.m and 10.00 a.m. to start their offices with 8 ½ hours working day including an obligatory half an hour lunch break.

Every staff member is expected to be in seat and to start work **by the starting time. Therefore, arrival of staff members shall be prior to the prescribed starting time. However, 10 minutes grace time may be allowed in respect of the arrival time to cover any unforeseen contingencies for a maximum of 4 occasions in a month.**

##### 10.1.2. Attendance Register

Every Laboratory / office of C-MET shall introduce electronic card attendance system. Where electronic punching has not been introduced, every staff member should enter clearly his initials at the time of arrival and departure duly noting the time in ink. The register should be initialed at the bottom by an authorised representative in token of scrutiny. The Register should be sent to the Time Office / Administration 10 minutes after the prescribed arrival time. Any person arriving thereafter should apply for leave. The authorised representative will draw the attention of the Director/Executive Director to the names of persons who are frequently or habitually late without prior permission.

##### 10.1.3. Recoding of non-attendance

The following abbreviations will be used by the authorised representative of the Section to denote the reasons of non-attendance: -

(1)	Compensatory Holiday		CH
(2)	Casual Leave	.....	CL
(3)	Leave of any other kind		L
(4)	Restricted Holiday		RH
(5)	Tour		T
(6)	Absent	.....	A*

\*[This entry should be made in pencil and when leave of any kind is sanctioned appropriate abbreviation used.]

##### 10.1.4. Late Attendance

10.1.4.1. Half-a-day's casual leave should be debited to the casual leave account of an staff member of C-MET for each late attendance but late attendance up to an hour, on not more than two occasions in a month,

may be condoned if this is due to unavoidable reasons. Suitable disciplinary action may be taken against the staff member concerned in addition to debiting half-a-day's casual leave if he is persistently/habitually attending late.

- 10.1.4.2. Administrative authorities should see to the enforcement of punctuality and supervisory officers should be very particular in scrutinizing the attendance registers.
- 10.1.4.3. Surprise daily checks may be carried out in one or two sections under the direct supervision of a senior officer.
- 10.1.4.4. The lunch break must be scrupulously observed not only by the subordinate staff but also by the Supervisory officers and periodical surprise checks should be made to ensure this.
- 10.1.4.5. The Director should ensure punctuality in attendance and strict observance of the half an hour lunch recess in the offices under their control. It should be ensured that the prescribed working hours in offices are strictly adhered to by all and the officers and staff do not overstay the prescribed lunch break. Habitual non-observance of scheduled hours for attending office is highly objectionable and will amount to lack of devotion to duty, thus attracting provisions of the Conduct Rules.
- 10.1.4.6. The case of an staff member of C-MET who leaves office early without permission before the time for closing of office should also be treated like late attendance and half-a-day's casual leave should be debited to the CL account for each such early departure from office.
- 10.1.4.7. There shall be no short leave, and the eligible leave shall be accounted as half day leave or full day leave only.

10.1.5. **When a day can be marked dies non and its effect**

Absence of officials from duty without proper permission or when on duty in office, leaving office without proper permission, or while in the office, refusal to perform the duties assigned to them is subversive of discipline. In cases of such absence from work, the leave sanctioning authority may order that the days on which work is not performed be treated as dies non, i.e., they will neither count as service nor be construed as break in service. This will be without prejudice to any other action that the competent authorities might take against the persons resorting to such practices.

10.1.6. **No marking of dies non for late coming**

According to the instructions above, the day can be marked as dies non by the leave sanctioning authority only under three circumstances, viz., -

- (i) When the official remains absent from the duty without prior information;
- (ii) When on duty in office, the official leaves the office without proper permission; and
- (iii) The official remains in office, but refuses to perform duty assigned to him.

From the conditions mentioned above, it is clear that an official can be marked as dies non even if he performs duty for a part of the day in case he leaves office without proper permission or when he refuses to perform duties while remaining in office. But a day on which an official comes late and works throughout the day during office hours will not be marked as dies non. It is accordingly clarified that treating the day as dies non for coming late is not contemplated in the rules. The proper course in such cases would be to debit the casual leave account of the official as per instructions issue from time to time.

- 10.1.7. **No pay and allowances for the day of absence without authority:**  
- An officer who is absent from duty without any authority shall not be entitled to any pay and allowances during the period of such absence.
- 10.1.8. **Action to be taken for late coming when no casual leave is at credit:** - If an official who has no casual leave to this credit comes late without sufficient justification and the administrative authority concerned is not prepared to condone the late coming but does not, at the same time, propose to take disciplinary action, it may inform the official that it will be treated as unauthorized absence for the day on which he has come late and leave it to the official himself either to face the consequences of such unauthorized absence or to apply for earned leave or any other kind of leave due and admissible for the entire day. The same may be sanctioned by the competent authority.
- 10.1.9. **Half a day's Casual Leave:** -1. Half-a-day's casual leave if applied for by an staff member of C-MET, may be granted to him and the practice of allowing a staff member of C-MET to attend office late or to leave early (with permission) shall not be entertained.
- 10.1.10. For the grant of half-a-day's casual leave, the lunch interval is to be the dividing line, i.e., a person who takes half-a-day's casual leave for forenoon session is required to come to office after lunch break. Similarly if a person takes leave for afternoon session, he can be allowed to leave office at the commencement of the lunch hour. In offices which follow different office hours/lunch time, the Director may decide as to what should be the dividing line for the grant of half-a-day's casual leave.
- 10.1.11. The balance at credit in the casual leave account of some Staff member s may be in terms of full days plus half-a-day. In such cases there is no objection to the grant of half-a-day's casual leave, in conjunction with full day's casual leave, if so applied for. Likewise, even when the casual leave at the credit of a staff member of C-MET is in terms of full days, there is no objection to the grant of half-day's casual leave in conjunction with full day's casual leave. The existing restriction imposed on the number of days' casual leave that can normally be granted at a time, will, however, continue to apply.
- 10.1.12. There shall be no short leave, and the eligible leave shall be accounted as half day leave or full day leave only.

## 10.2. **RECORDS MANAGEMENT**

Records are tools of management, memory of an organization and source of information. The effectiveness of decision which ultimately reflects the image of the organization and efficiency of its operations



is dependent on the quality of its resources and information, which is provided by the records.

**10.2.1. What constitutes Records:** - All papers, books, maps, photographs or other documentary material regardless of their physical form or characteristics created within or received by an organization form records. In brief, records constitute means of preserving information for future use.

**10.2.2. How records are created:** - The creation of records in any organization takes place during the process of its activities/operations. The records in offices are created because of the following factors: -

10.2.2.1. External Activities: - These are communications received from outside.

10.2.2.2. Internal Activities: - These are written communications conveying information/decision from all levels of authorities and analysis of various reports/returns, etc.

10.2.2.3. Mini Records: - They show the essential of original documents and take the shape of running summary of facts, standing notes and standing guard files, etc. These save officers' time and help in taking quick decisions.

10.2.3. Why is necessary to retain Records: - It becomes necessary to retain records-

- (i) for planning and scheduling Society's activities as information required for this purpose can not be retained by human memory;
- (ii) retention of records is a legal requirement in certain cases;
- (iii) for fixing responsibility for matters coming before Audit and Parliament, and its Committees and other public bodies;
- (iv) for historical value;
- (v) for ensuring element of rationality;
- (vi) to make available needed facts, figures, correspondence, etc., for future planning;
- (vii) to ensure impartial treatment to all citizens;
- (viii) to ensure continuity in administration;
- (ix) to ensure that tax-payer's interests are protected at all times and that there is no irregularity in financial transactions; and
- (x) for providing evidence in cases of disputes.

10.2.4. Problem of Records: - In view of the proliferation of activities in all spheres, the paper record would multiply manifold and increase beyond all proportion. A proper check on the growth of records is, therefore, essential right from the stage of creation.

10.2.5. Objectives and Principles of sound Record Management: - In order that the Record Management should be effective, the records should serve the following objectives: -

- (i) They should serve some useful purpose lest they become waste.
- (ii) The Records should be kept in such a way that they should be capable of being retrieved quickly.
- (iii) There should be control on the growth of record at its inception itself.
- (iv) Records should neither be prematurely destroyed nor retained for a longer period.
- (v) Records must be kept systematically arranged so that there should be no delay in their location.
- (vi) There should be constant weeding and review of the records so that the cost of maintenance of records is kept to the minimum.

10.2.6. Classification of Records: - In order that the record should be useful, it should be retained only according to its importance. For this purpose C-MET's records are classified under the categories 'A','B' and 'C' according to their importance.

10.2.7. Retrieval System: - In order that the records should have practical value, it is essential that their number should be identified without any loss of time. File numbering system plays great role in quick identification.

10.2.8. Control on size of records: - There should be control on the growth of record at its inception so that its size remains manageable.

10.2.9. Retention of Records: - Records should neither be prematurely destroyed nor maintained for longer period. The mounting tide of paper work confronts the administration with serious challenges. One of the essential requirements of the good records management is that there should be reasonable ratio between creation and destruction of record so that the creation of record does not outstrip destruction of record. One right step in achieving this aim is the need for a proper Record Retention Schedule, which contains a time-table for the maintenance of records to ensure that they will be retained while justified and destroyed when no longer required.

The records listed below shall be preserved for not less than the period specified against them. All other records may be destroyed unless the originator of the records wants to retain them for a longer period for a specified reason.

S No	Description of Record	Retention period
1.	Cash Book, Ledgers, Absorption, Pay fixation files/registers Building/land files.	Permanent
2.	Personal files of regular staff members who left the services of C-MET / Service books, file regarding small family norms, and annual increment files/registers.	Permanent
3.	Personal files of temporary staff members /trainees, apprentices, consultants, who left	5 years

	the services of C-MET, Files and documents related to contracts, agreements and bonds, legal cases. LTC claims/registers, Budget related papers.	
4.	Subsidiary registers, vouchers, files/registers relating to claims such as medical, conveyance, travel etc., leave register, project files. Material passes /register, correspondence files of important nature/enquiry files, foreign tour files, training files, recruitment files, educational allowance files/registers.	3 years
5.	All other general correspondence files internal/ external, tour authorizations, leave forms, transport requisitions, dispatch register, visitor's register/passes, Imprest statements, catalogues, short leave passes, duty passes, rejected applications, miscellaneous files attendance registers.	1 year
6.	Purchase Order/Work Order files of Indigenous Purchase (Below Rs.25,000/-) Imports (Below Rs.50.000/-)	3 Year
7.	Purchase Order/Work Order files of Indigenous Purchase (Rs.25,000/-) and above / upto Rs.5 lakhs)	4 Year
8.	Purchase orders above Rs.5 lakhs both indigenous & imports	5 Years
9.	Recruitment files related to apprentices, trainees, research personnel, consultants, contract staff	3 Years
10.	Recruitment files related to regular staff	5 Year
11.	Execution of contract projects Project proposal, sanctions, agreements, certificate of closure etc	5 years

Note: The retention period specified is to be counted from the financial year in which audit is conducted after it has ceased to be current and in case of registers the year in which it has ceased to be current.

These schedules should be reviewed at least once in five years in the light of the experience gained and brought up-to-date.

10.2.10. Systematic arrangements of Records: - The records must be kept systematically to ensure that there is no delay in their location. Functional filing system allows for better arrangements and easy location. In addition to this, the following requirements should be complied with to ensure that no unnecessary time is wasted in the location of the record: -

10.2.10.1. Records transferred by a Section to the Departmental Record Room should be accompanied by the list of files induplicate to enable the Record Room to verify the correctness of files transferred; after the list has been verified, one copy of the list would be kept in the Departmental Record Room and the other will be returned to the section. In the event of dispute, list will serve the evidence whether a particular file has been transferred to the Record Room or not.

10.2.10.2. Recorded files will be issued from the Section, Departmental or Archival records only against requisition slip. The requisition will be kept in place of file issued. If a requisitioned file initially obtained for being put up in one case, is subsequently put up with another file, a fresh requisition should be given to the Departmental Record Room, as the case may be to ensure that there is no delay in locating the correct movement of recorded file. In the case of records obtained from the National Archives the fresh requisition slip should be marked 'Change Slip'.

10.2.10.3. Files obtained by a Section from the Departmental Record Room should normally be returned within 3 months. If they are not received back within 3 months, the Departmental Record Room will remind the Section concerned to ensure that file is not mix up and that the Section is aware that the file is with them so that there is no delay in location in case it is required subsequently. For the purpose of issuing remainders, the Record Room will maintain a simple register for keeping record of the files issued to the various sections each month. A similar Register will be maintained by each section as a Record files borrowed from it by other sections.

10.2.11. In order to ensure that the cost of maintenance of record is reasonable, it is necessary that the size of records should not occupy more than 10 percent of the total area allotted to a particular Department.

### 10.3. **SECURITY INSTRUCTIONS**

#### 10.3.1. **Instructions relating to the classified documents and the responsibility of Staff members in connection with such documents.**

A staff member of C-MET is prohibited from communicating without authority to anyone, any information acquired by him in the course of his official duties. Retaining or removing such information for wrongful communication is a misconduct.

#### 10.3.2. **Security of Documents**

##### 10.3.2.1. Admission of outsiders to the office

The admission of outsiders or private parties to any part of the office, for any purpose whatsoever, is strictly prohibited. Any person calling on business or entitled by position to make enquiry should do so from the Head of the Section. No member of the staff at support level should, under any circumstances, give any information on any subject to any outsider. Any improper enquiries made by the visitors should be brought to the notice of the Head of the Section.

##### 10.3.2.2. Taking of papers outside the office

Head of the Section may, with the permission of his superior, take official papers to their houses if absolutely necessary for dealing with any case of an urgent nature. Members of staff at support level, in no circumstances, should take official papers home.

#### 10.3.3. **Miscellaneous Provisions**

##### 10.3.3.1. Breaches of security

When a breach of security occurs the main objective is—

- (1) to find out what has happened.
- (2) to minimize the damage zone,
- (3) to trace the culprit, and
- (4) to prevent recurrence.

10.3.3.2. The need for swift action. If classified information has gone to press an immediate inquiry must follow the publication. When a security lapse is noticed by a staff member, he should report the same to the Security Officer immediately. If a document is found in the wrong place, the finder should forward it to the Administrative Officer and not to the person for whom it was meant.

10.3.4. Removing classified documents out of office

The occasions when such documents are taken out should be limited to the minimum. If any person loses a classified document outside the office he should furnish satisfactory reasons for its removal and to convince his superior officers that he has taken adequate precautions for its safety outside the office.

10.3.5. Telephonic conversation

When information is transmitted over telephone it is imperative to avoid the risks involved, particularly in international trunk calls, as the speech circuits through the microwave and satellite technology is easily susceptible to monitoring. Therefore, utmost care should be taken to observe security precautions while talking over the telephone so that sensitive information is not leaked out inadvertently. Matters of sensitive and secret nature should not be discussed on the general telephone.

10.4. **GUIDELINES REGARDING NOMINATION OF OFFICIALS AS EXPERTS TO COMMITTEES CONSTITUTED BY STATE GOVT. / PSUs**

Requests for nominating Employees of C-MET as experts to Committees constituted by State Govt. / PSUs can be decided by the Executive Director. However acceptance of such nominations shall broadly conform to the following:

10.4.1. that serving in Committees constituted by State Govt. / PSUs would not work against the interest of their own societies.

10.4.2. The nomination should either be in public interest or C-MET should get some benefit/experience from the same.

10.4.3. The nomination would be allowed to the organization, which are in the IT or related fields only.

10.4.4. Such Memberships / nominations of a particular employee should not be more than three at a time so that the work of C-MET may not suffer.

10.4.5. If the nomination is on the PSUs / Societies of MC&IT, there would not be any restriction as mentioned above.

10.4.6. Nominations in Private Organizations would not be allowed. However, in exceptional cases, such request can be considered on merit basis by the Executive Director.

10.4.7. TADA for attending meetings for other organizations would not be borne by C-MET.

10.4.8. The official nominated should provide a report about the activities/program (and their status) of the organizations with which they have been permitted to be associated.

10.5. **GUIDELINES FOR SCIENTIFIC STAFF OF C-MET TO BE MEMBERS ON THE BOARD OF DIRECTORS OF PRIVATE SECTOR COMPANIES**

10.5.1. Preamble

In the changing economic, trade and intellectual property regime, the Indian Industry has to be technology driven. This offers significant opportunity for the indigenous R&D to exploit its potential by establishing linkages with the industry. Thus the presence of scientists of C-MET on the Board of Directors of the Companies would help build organic linkages between C-MET and Indian companies/organizations. However considering the diversity of knowledgebase and the Indian Industry, adequate caution is needed in selecting such companies / organizations so that functioning of the scientists on their BODs is mutually rewarding to C-MET and the companies/organizations. The scientists could thus be permitted to be on BODs of companies/organizations that are:

- i. existing / promoted by the administrative ministry or autonomous institutions under the administrative ministry through licenses;
- ii. Established by scientists of C-MET under ' Entrepreneur Scheme' ;
- iii. having in-house R&D Centres recognized by DSIR;
- iv. having activities to which C-MET could provide significant S&T support;
- v. manufacturing high tech products;

10.5.2. Terms & Conditions

Scientists of C-MET could be permitted to be members of Board of Directors/ Governors/ Trustees (generically referred to as BODs) of any Indian Company, Trust, Foundation, Society (hereinafter generically referred to as ORGANISATIONS);

10.5.2.1. Scientists in the scale of pay Rs 14300-18300 & above are eligible to apply for such permission;

10.5.2.2. At a time a scientist could be on BODs of not more than two such ORGANISATIONS;

10.5.2.3. A CERTIFICATE OF CONFLICT OF interest and/or Conflict of Commitment need to be furnished by the scientist seeking permission.

10.5.2.4. To safeguard the scientist against any possible personal liability arising out of legal or criminal defaults by the ORGANISATION, he is required to obtain a Certificate of Compliance from the functional Directors/ Executive Officers of the ORGANISATION prior to each meeting of the BODs.

10.5.2.5. The remuneration accruing from such membership on BOD would be governed by the rules relating to payment of honorarium for consultancy and any other instructions issued on the subject.

10.5.3. Competent Authority for Approval

Executive Director of C-MET is the Competent Authority to approve the membership of scientists on BODs of such ORGANISATIONS. The proposal duly vetted by the Director is to be forwarded for processing and approval of Executive Director.

10.6. **EXTENSION AND RE-EMPLOYMENT**

The regular employees of C-MET shall superannuate at the age of 60 years. Employees of C-MET with proven merit and outstanding performance, whose meritorious services have been recognized, may be considered for re-employment on lump sum remuneration up to the age of 62 years. Meritorious scientists could be re-employed up to the age of 65 years, in succession of 2 years at a time, subject to the following guidelines and the instructions that may be issued by the Government from time to time.

Terms 'extension' and 're-employment' are distinct. Where the services of an employee beyond the age of his superannuation are required in the same cadre post, which he is holding at the time of superannuation, then such retention shall be treated as "extension of service"; Any proposal for extension of services of an employee beyond the normal age of superannuation should be strongly discouraged and is banned.

If, however, such retention is for very exceptional reasons considered to be unavoidable, the same shall be treated as 're-employment' on lump sum remuneration. The remuneration shall be fixed in consideration to the guidelines issued by the Government for appointment of consultants.

10.6.1. Criteria for Re-employment

Re-employment can be justified only in very rare and exceptional circumstances. Even in such cases, 62 years of age (65 years for Scientists) should be the deadline. This should not be construed to mean that re-employment can be granted to scientific/ technical personnel up to the age of 65 years more or less as a matter of course. The overriding consideration for the grant of re-employment is that it must be clearly in the interest of C-MET and in addition satisfy one of the following two conditions: -

- (i) that other officers are not ripe enough to take over the job; or
- (ii) that the retiring officer is of outstanding merit.

Test (i) would be satisfied only if there is shortage in a particular specialization, or if it is not possible to find a suitable successor or if the officer is engaged on a work or project of vital importance, which is likely to produce results in a year or two.

Test (ii) would not be satisfied by the mere fact that the specialist (e.g., a scientific or technical officer) is fit in all respects or is otherwise able to discharge effectively the duties of the post held by him.

No re-employment should be considered on the ground that a suitable successor is not available unless it is established that action to select a successor has been taken well in advance but the selection could not be finalized in time for justifiable reasons.

#### 10.7. **SUPPLY OF UNIFORMS TO COMMON CATEGORIES OF GROUP C & D EMPLOYEES OF C-MET**

Certain identified categories of employees namely; Staff Car Drivers, Despatch Riders, Senior Gestetner Operators in Group C and all Group D employees of categories of Jamadars, daftaries, peons, messengers, record sorters, chowkidars, farashes, sweepers and junior gestetner operators borne on the regular strength of C-MET are eligible for issue of uniforms after completing three months service. provided they are whole time employees. Employees issued with uniform shall be paid washing allowance @ Rs Rs.30/- per month.

The employees supplied with the uniforms are expected to turn up in proper uniform while on duty and failure to do so would attract disciplinary proceedings. If an employee is found to be attending the duty without wearing uniform regularly: further supply of uniforms as well as washing allowance shall be discontinued and in addition appropriate disciplinary proceedings shall be initiated. .

#### 10.8. **USE OF STAFF CAR**

All hired transport will be treated as staff cars.

##### 10.8.1. **For Official Purposes**

10.8.1.1. **Use:** - For bona fide official duty within headquarters, e.g., by officers proceeding to places to attend official meetings

##### 10.8.1.2. **Official journeys within Headquarters:**

10.8.1.2.1. of the officers not below the scale of pay Rs 12000-16500, and functionaries to attend parties, receptions, etc., on invitation extended by virtue of their office;

10.8.1.2.2. to take officers in the scale of pay Rs 6500-10500 & above from or to their residence when required to attend meetings held outside duty points during working hours or meetings held outside working hours;

10.8.1.2.3. to remove, in emergency, any employee suddenly taken ill or meeting with an accident, from office to hospital or residence;

10.8.1.2.4. of other staff below the scale of pay Rs 6500-10500 also for bona fide official purpose with the prior approval of the Controlling Officers



10.8.1.2.5. of non-officials who have to attend an official meeting in the interest of C-MET and have to be left at their office / residence after the meeting is over

10.8.1.3. **Tour Journeys:**

10.8.1.3.1. Touring Officers other than Director / Executive Director should not use staff cars for journeys to Airport/ Railway Station/ Bus Station, etc., and back in connection with official tours. In exceptional circumstances, they may use staff cars for such journeys with the written sanction of the Executive Director/Director. However, staff cars can be used for the journeys to and from Airport between 8 pm and 8 am only

10.8.1.3.2. Touring Officer should not draw mileage allowance, if they use staff cars for the said purpose. In the event of diversions from the normal route for picking up or dropping the officer's family, charges for the extra mileage involved are recoverable from the officer.

10.8.1.3.3. Staff cars should not be used for official journeys outside headquarters for which T.A. is admissible, except with the written sanction of the Director / Executive Director.

10.8.1.3.4. Touring Officer using the staff car shall not take his family members with him unless permitted to do so in exceptional case by Director / Executive Director. In such cases, the officer shall pay for the use of the staff car at the prescribed rates.

10.8.1.3.5. Staff cars should not be used by officers on leave unless he is required to attend to official duties even while remaining on leave.

10.8.1.3.6. Staff cars may be used occasionally for non-duty purposes by Officers in the scale of pay Rs 12000-16500 and above and this should not interfere with official requirements. Staff car should not be used for journeys to places of entertainment, public amusements, parties and pleasure trips, etc.

10.8.1.3.7. Duty journeys shall have preference over non-duty journeys

10.8.1.3.8. Compensation may be paid to victims of road accidents involving staff cars and the owners of such hired transport are liable for action for recovery of loss/criminal action, if considered necessary.

10.8.2. **Use of staff car for private purposes**

10.8.2.1. The use of staff cars for non-duty journey is completely banned.

10.8.2.2. In case, however, staff cars has to be used for non duty journeys due to some unavoidable circumstances, besides getting the journeys regularized, recoveries should be effected from the concerned official at the following rates: -

- Rs. 4.50 per Km or part thereof small cars (up to 16 hp)
- Rs. 6.00 per Km or part thereof for big cars (over 16 hp) and air-conditioned cars.

In addition, detention charges at Rs.3.00 per hour for periods of detention, whether within or outside the normal working hours of the staff cars, and overtime allowance, if any, payable to the Chauffeur, are recoverable.

10.8.2.3. Charges would be for distance covered from the time the car leaves Office/Garage

10.8.2.4. Executive Director / Directors in the scale of pay Rs 18400-22400 & above are allowed the use of official cars for private purposes up to 500 km per month on payment at the following rates: -

(a) for cars up to and including 16 hp - Rs. 350 p.m.

(b) For cars above 16hp & AC cars - Rs. 450 p.m.

Half – yearly period of April-September and October-March will be taken into account to adjust monthly excesses against shortfalls. The additional kilometers over a half-yearly period will be charged at the rates indicated above.

10.8.2.5. Director in the scale of Rs.16400-20000 and above may at their option, avail the facility of using the staff cars for journeys from residence to office and back or opt for drawing Transport Allowance (TA). If they opt for using the staff car, they need not make any payment but they will not be entitled to TA. They shall not use the staff car for dropping at or pick up from the Railway station, etc. while proceeding on or return from leave.

10.8.2.6. Requisition by Officers other than Executive Director/Director for using staff car on holidays and weekends shall be submitted one day in advance to the controlling officer for approval.

### 10.8.3. **Conveyance Hire for Local Journeys**

10.8.3.1. **Actual conveyance charges** for journeys performed in the interest of C-MET is reimbursable as under-

#### Executives

(i) The place visited should be within the municipal limits of the city in which his headquarter is situated.

(ii) A Staff Car was not available for the journey. The Controlling Officer should certify to this effect.

#### Support Staff:

(i) When dispatched to a place at some distance from his office within the municipal limits of the city in which his office is situated; or

(ii) If summoned to office outside the ordinary hours of duty by special order of an Officer.

If T.A. is admissible for such a journey, the employee may claim either reimbursement of conveyance hire or T.A.

10.8.3.2. **General Conditions:**

- (i) The total amount of conveyance hire reimbursed in any one month should not exceed Rs. 150/- per individual.
- (ii) The charges reimbursable will be the fare by bus, local train or a combination of them, if the places visited are connected by any or a combination of these public conveyances. If, on such routes, any other conveyance is used, reimbursement will be on a certificate that hiring of such a conveyance was necessary in the interest of work / due to urgency of the work.
- (iii) Reimbursement of conveyance hire will be in accordance with the scheduled scale of charges, for the conveyance used.
- (iv) If own conveyance is used, reimbursement is admissible at the rate of mileage allowance under the T.A. Rules.
- (v) Not admissible when the official is granted any compensatory leave or special remuneration for the duty performed.
- (vi) Admissible in addition to OTA, when recalled from his residence to perform overtime work.
- (vii) Group 'A' Officers are eligible for taxi/auto scooter/bus fare while those of posts equivalent to Group 'B', 'C' and 'D' are entitled for auto scooter/bus fare.

10.8.3.3. **'Local Journey'** – Definition: 'Local Journey' means journey within the municipal limits or city in which the duty point is located. It includes journeys performed within the limits of suburban or other Municipalities, Notified Areas or Cantonments contiguous to the Municipality/ Corporation of the town or city in which the duty point is located. Journeys within the limits of an urban agglomeration within which an Employee of C-MET's headquarters are located are also treated as 'local journeys'

10.9. **GROUP INSURANCE SCHEME – SAVINGS FUND:**

C-MET shall tie up with Insurance Companies to evolve a Scheme, which is compulsory to all the employees, to provide for at a low cost and on contributory and self-financing basis, the twin benefits of an insurance cover to help their families in the event of death in service and a lump sum payment to augment their resources on retirement. Under the Scheme a portion of the subscription is credited to the Insurance Fund and the other portion to the Savings Fund, which earns interest at the prescribed rate. The Scheme should be identical to the Central Government Employees Group Insurance scheme where the apportionment is at 30% to Insurance Fund and 70% to Savings Fund at the assumed mortality rate of 3.60 per thousand per annum.

10.10. **Entertainment (Allowance):**

The officers of C-MET would not be paid any entertainment allowance for meeting expenses in connection with the work of C-MET. However, actual expenditure incurred in providing working lunch, hosting official lunch / dinner etc would be reimbursed at the following rates: -

Executive Director / Director	Rs. 100/- per head for working lunch and Rs 300/- per head for official lunch / dinner. Expenditure towards serving liquor shall not be reimbursed.
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Administration Department shall maintain a record of attendees to official lunches / dinners hoisted.

10.11. **REIMBURSEMENT OF TELEPHONE EXPENSES**

10.11.1. Residential Land Line

Executive Director, Directors, Chief Finance Officer / Finance Officer and Registrar / Administrative Officer shall be provided with residential telephone or reimbursement of telephone bills.

Society shall reimburse the telephone expenses for all those employees other than above who are in constant interaction with its customers and distinguished guests. This reimbursement is given on the basis of the critical nature of their activities. The reimbursement shall normally be allowed to staff in the scale of pay Rs.12,000-375-16,500 and above after considering the role of the member in the organisation and need for residential telephone. The reimbursement shall be limited to rental and a maximum of 250 calls beyond the free calls in a bi-monthly billing period. Director / Executive Director of C-MET shall approve the reimbursement.

10.11.2. **Mobile Phone**

Executive Director and Director (in the scale of pay Rs 16400-20000 & above) shall be provided with mobile phones subject to the following conditions: -

- i) A monthly ceiling of Rs.1,000/- (inclusive of rental and call charges) shall apply. The monthly expenses shall, therefore, be limited to the actual expenditure or the ceiling of Rs.1,000/-, whichever is less.
- ii) In case where these officers are using their personal cellular phones, they may be allowed reimbursement of Rs.1,500 per month or the actual **expenditure**, whichever is less.
- iii) Only the national roaming facility will be admissible. Global roaming facility shall not be allowed.
- iv) The cost of handset for cellular phone would be limited to Rs.5,000/- (Rupees Five thousand only) in each case.

Where cellular phones have already been provided, payments shall henceforth be regulated in accordance with these guidelines.

Executive Director and Director (in the scale of pay Rs.16,400-20,000 & above) are authorized to sanction mobile facility to limited number of key personnel in whose case the ceiling on monthly expenditure shall be limited to Rs 500/- and cost of hand set will be limited to Rs 4,000/-.

10.12. **CULTURAL AND SPORTS CLUB**

10.12.1. **Objectives:**

Most of the times employees of C-MET would be committed to their work and have very little time to devote for social/cultural activities. This imposes certain restrictions on developing strong bond of friendship not only amongst the employees of C-MET but also amongst the family members. The increased cohesiveness will add to

better understanding within C-MET and will help improve productivity. This will also provide an opportunity to present a social face of C-MET.

A Cultural and Sports Committee shall be constituted in each Laboratory / Society where the strength of regular staff is more than 25. The Committee shall strive to encourage sports and cultural activities and to promote friendly relations among its members, provide facilities for outdoor /indoor sports and other forms of recreation/welfare activities. The role of the Committee will be to promote, develop, organise and exercise overall control in respect of sports, athletics and cultural activities including tournaments, exhibition and festival meet incidental to these matters amongst the staff. It is expected that activities suggested above and undertaken by the Cultural and Sports Club would go a long way in increasing cohesiveness within the members and the families.

#### 10.12.2. **Funding**

An initial grant of Rs 40/- per employee shall be made by C-MET towards capital expenditure, which may be supplemented, by 4% of initial grant every year All employees of C-MET shall contribute @ Rs 15/- per month and C-MET shall contribute an equal amount for day to day expenses of the Club. Matching grant shall be paid only towards staff in regular scale of pay of C-MET.

#### 10.12.3. **Activities**

Expenditure out of the fund so collected will be incurred on activities including:

- Cultural Programmes
- Sports Activities
- Picnics and Get-togethers
- Social activities involving employees of C-MET and/or their families.
- Institution of awards for academic excellence among children of employees of C-MET.
- Donations in connection with natural calamities.
- Welfare activities

#### 10.12.4. **Monitoring of Fund**

The Cultural & Sports Committee shall consist of:

President  
Vice President  
Secretary  
Joint Secretary  
Treasurer

Members – to represent around 5% of the staff strength but not more than 4 persons.

President and Treasurer shall be nominated by C-MET and the rest by election from amongst the staff members,

C-MET shall frame Byelaws to regulate the working of the Club.

Audited statement of accounts shall be prepared at the close of the financial year and published for information of all staff members.

10.13. **N.O.C FOR PASSPORT**

**10.13.1 An intimation by an employee to the employer that he is applying for a passport and a declaration, duly acknowledged by his Head of Office, to the effect that he/she has informed his employer of his intention to apply for a passport, should be adequate for acceptance.**

**10.13.2 Employees under cloud, pending or contemplation of disciplinary action, under suspension etc., will be issued neither NOC nor acknowledgement for applying during the pendency.**

10.14. **DUTIES AND RESPONSIBILITIES OF WELFARE OFFICERS**

Administrative Officer of the Laboratory shall function as Welfare Officer for the purpose of co-coordinating and monitoring welfare activities during the office hours. Registrar will be the Chief Welfare Officer of the Society. The WO will undertake this work in addition to his own duties. To make the institution of Welfare Officers in C-MET more effective the following guidelines with regard to nomination of Welfare Officers and their duties and responsibilities shall be followed:

10.14.1. Setting up of Standing Advisory Committee: - The Welfare Officer will have a Standing Advisory Committee consisting of three persons who will be assigned specific areas with regard to the Welfare activities such as sports, canteen, cultural activities, etc. Their participation in the Committee will be in addition to their own duties.

10.14.2. Welfare Notice Board: -A separate Notice Board exclusively for Disseminating information relating to welfare activities should be installed. This Notice Board will be called 'Welfare Notice Board'. This Board will contain names of the Welfare Officer and the members of the Advisory Committee and other information relating to welfare activities. The circulars relating to the Sports & Recreation Club and other welfare matters should be displayed in the Welfare Notice Board so as to enable the interested employees to take part in such activities. It will be the duty of the Welfare Officer to ensure that the Notice Board is updated from time to time. Such Notice Boards could be installed outside the room of the Welfare Officer or any other prominent place.

10.14.3. Support in emergency situations to the Welfare Officers: - The Welfare Officer is to be provided with a staff car in emergency situations like immediate hospitalization, funerals, etc. The Administration Department of C-MET / Laboratory will be required to give infrastructural support to the Welfare Officer in emergency situations.

10.14.4. Induction of new employees: - A good system of induction of a newly recruited employee in the organization plays a very important role and has far reaching effect on the employee. The Welfare Officer will take initiative for an 'induction meeting' to enable the newly recruited employee to know about the organization and the facilities available to the employee. It will be the duty of the Welfare Officer to personally meet such employees and distribute 'Induction notes' which will

contain information relating to organizational goals, organizational structure, welfare activities and other facilities available to employees. The Welfare Officer will keep in touch with the new employees even after they join their respective Laboratories so as to ensure that the problems, if any, faced by the employees could be solved.

- 10.14.5. Monitoring:-It will be the duty of the Welfare Officer to keep a track of the complaints/grievances brought to his notice and ensure, with the active help of members of the Advisory Committee, early and satisfactory redress of the same.
- 10.14.6. The term 'Welfare' is comprehensive. Much will depend upon the personality of the Welfare Officer himself and his ability to establish a feeling of confidence among those whom he has to deal with. The Welfare Officer is expected to provide a human touch in the official environment, which in itself gives that psychological satisfaction which promotes the efficiency of the employee. He is, thus, expected to be a live institution working with sympathy to generate, maintain and promote good will and cordiality amongst all categories of staff working in C-MET engaged in the great task of nation building. In course of time and in the light of experience, the scope of work of these officers may embrace many aspects of the welfare of staff employed in C-MET.
- 10.14.7. Welfare Officers should devote their attention to certain concrete aspects of welfare. These would include-
  - 10.14.7.1. Coordination of social activities by way of establishment of clubs and recreational centres, for members of the staff. There is no objection to more than one establishment joining for this purpose.
  - 10.14.7.2. Similar activities may be organized in areas predominantly inhabited by employees for them and their families.
  - 10.14.7.3. Provision of facilities for indoor and outdoor sports for members of the staff-setting up of Recreation Clubs.
  - 10.14.7.4. Encouragement of cultural activities (drama, music) amongst the members of the staff.
  - 10.14.7.5. Provision of canteens in the office premises.
  - 10.14.7.6. Improvement in the actual working conditions of the staff including improvement of hygienic conditions at the work place.
  - 10.14.7.7. Assistance to employees in relation to medical assistance.
  - 10.14.7.8. Assistance in relation to transport, housing, school, sanitary amenities in office areas.
  - 10.14.7.9. Induction of new members of the staff and advising them in their initial difficulties.
  - 10.14.7.10. Assistance to members of the staff in relation to LPCs, retirement benefits, gratuity, etc.
  - 10.14.7.11. Setting up of Staff Benevolent Funds.

- 10.14.7.12. Provision for common room in the offices building for the women employees.
- 10.14.7.13. Provision for creches in the office building for the benefit of working parents.

NOTE 1: - The above list is illustrative and is not intended to lay down any rigid priorities. If more can be done within the resource available, so much the better.

NOTE 2: - It will not only be useful but desirable to associate the Welfare Officer with the activities of the Staff Council. He should attend the meetings of the Staff Council. It will help him in dealing with the problems and matters connected with the welfare of the staff.

## 10.15. **SEXUAL HARASSMENT OF WORKING WOMEN**

10.15.1. Sexual Harassment defined: - Unwelcome sexually determined behavior, whether directly or by implication, such as: -

- Physical contact and advances.
- Demand or request for sexual favors.
- Sexually colored remarks.
- Showing pornography.
- Any other unwelcome physical, verbal or non-verbal conduct of sexual nature.

Unbecoming of an employee of C-MET: - Any act of sexual harassment of women employees attracts the provisions of Conduct Rules as an act unbecoming of an employee of C-MET and amounts to misconduct.

10.15.2. C-MET shall observe the following guidelines to ensure the prevention of sexual harassment of women.

10.15.2.1. It shall be the duty of the employer or other responsible persons in work places to prevent or delete the commission of acts of sexual harassment and to provide the procedures for the resolution, settlement or prosecution of acts of sexual harassment by taking all steps required.

10.15.2.2. Where any of the acts defined above is committed in circumstances where under the victim of such conduct has a reasonable apprehension that in relation to the victim's employment or work whether she is drawing salary, or honorarium or voluntary, such conduct can be humiliating and may constitute a health and safety problem. It is discriminatory, for instance when the woman has reasonable grounds to believe that her objection would disadvantage her in connection with her employment or work including recruiting or promotion or when it creates a hostile work environment. Adverse consequences might be visited if the victim does not consent to the conduct in question or raises any objection thereto.

10.15.2.3. Preventive Steps - All employers or persons in charge of work place, should take appropriate steps to prevent sexual harassment. Without prejudice to the generally of this obligation, they should take the following steps: -



- 10.15.2.3.1. Express prohibition of sexual harassment as defined above at the work place should be notified, published and circulated in appropriate ways.
- 10.15.2.3.2. The Conduct Rules prohibit sexual harassment and provide for appropriate penalties against the offender.
- 10.15.2.3.3. Appropriate work conditions should be provided in respect of work, leisure, health and hygiene to further ensure that there is no hostile environment towards women at work places and no employee woman should have reasonable grounds to believe that she is disadvantaged in connection with employment.
- 10.15.2.4. **Criminal proceedings:**
- Where such conduct amounts to a specific offence under the Indian Penal Code or under any other law, the employer shall initiate appropriate action in accordance with law by making a complaint with the appropriate authority.
- In particular, it should ensure that victims or witnesses are not victimized or discriminated against while dealing with complaints of sexual harassment. The victims of sexual harassment should have the option to seek transfer of the perpetrator or their own transfer.
- 10.15.2.5. **Disciplinary Action:**
- Where such conduct amounts to misconduct in employment as defined by the relevant service rules, appropriate disciplinary action should be initiated by the employer in accordance with those rules.
- 10.15.2.6. **Complaint Mechanism:**
- An appropriate complaint mechanism shall be created in C-MET / Laboratories for redress of the complaint made by the victim. Such complaint mechanism should ensure time-bound treatment of complaints.

10.15.2.7. **Complaints Committee**

The complaint mechanism, referred above, should be adequate to provide, where necessary, a Complaints Committee, a special counselor or other support service, including the maintenance of confidentiality.

The Complaints Committee should be headed by the woman and not less than half of its members should be women. Further, to prevent the possibility of any undue pressure or influence from senior levels, such Complaints Committee should involve a third party, either NGO or other body who is familiar with the issue of sexual harassment.

The Complaint's Committee must make an annual report to the Executive Director of C-MET concerned of the complaints and action taken by them.

The employers and person in charge will also report on the compliance with the aforesaid guidelines including on the reports of the Complaints Committee to the Executive Director of C-MET.

10.15.2.8. **Worker's Initiative:**

Employees should be allowed to raise issues of sexual harassment at workers meeting and in other appropriate forum and it should be affirmatively discussed in Employer-Employee Meetings.

10.15.2.9. **Awareness:**

Awareness of the rights of the female employees in this regard should be created in particular by prominently notifying the guidelines (and appropriate legislation when enacted on the subject) in suitable manner.

10.15.2.10. **Third Party Harassment**

Where sexual harassment occurs as a result of an act or omission by and third party or outsider, the employer and person in-charge will take all steps necessary and reasonable to assist the affected person in terms of support and preventive action.

10.15.2.11. These guidelines will not prejudice any rights available under the Protection of Human Rights Act, 1993.

10.15.2.12. Request Transfer: -The victims of sexual harassment have the option to seek transfer of the perpetrator or their own transfer

10.16. **ASSISTANCE TO SOCIETY EMPLOYEES IN LEGAL PROCEEDINGS**

10.16.1. Matters unconnected with official duties: - Society will not give any financial assistance to an employee of C-MET in the conduct of any legal proceedings on matters not connected with his official position or duties.

10.16.2. Matters connected with official duties: - Society assistance will, however, be admissible in the conduct of legal proceedings instituted

- 10.17. **Violation of the Dowry Prohibition Act** - Any violation of the Dowry Prohibition Act by an employee will constitute a good and sufficient reason for instituting disciplinary proceedings against him, in addition to such legal action as may be taken against him in accordance with the provisions of the Act.

Dowry Death: - If an employee of C-MET is involved in a case of "Dowry Death", it is a serious offence.

10.18. **FORMS AND PROCEDURE OF COMMUNICATION**

- 10.18.1. **Correspondence with the Member of Parliament: - Communications** received from Members of Parliament should be attended to promptly.

Where a communication is addressed to a Minister, it should, as far as practicable, be replied to by the Minister himself and therefore the matter referred to the administrative Ministry.

Where, however, a communication is addressed to the Director/Executive Director it should be replied to by the addressee himself. In routine matters not involving questions of policy, he may send an appropriate reply on his own. In matters involving questions of policy, the officer should have prior consultation with higher authorities before sending a reply.

Normally information sought by the member should be supplied unless it is of such a nature that it would have been denied to him even if asked for on the floor of the Houses of Parliament.

When corresponding with members of Parliament pre-printed or cyclostyled replies should be avoided.

In all official correspondence where the name of an MP is to appear along with others, the names should be listed according to the position assigned to the MPs in the Warrant of Precedence. Care should also be taken to address each of them as member of Parliament (or MP) and not as Member of Rajya Sabha or Member of Lok Sabha. If it is desired to be more specific about the House to which they belong they may be addressed as Member of Parliament or MP (Rajya Sabha)/(Lok Sabha).

10.18.2. **VIP References**

Strict watch on disposal of communications received from Members of Parliament and the administrative ministry are required to be exercised. To monitor prompt attention to such communications, the Registrar of C-MET (Administration Officer in Laboratories) shall maintain a separate register of communications received from Members of Parliament and the administrative ministry. The serial number at which a letter is entered in this register will be prominently marked on that letter together with its date of registration e.g., '125/JS/(P)/MP' 20-3-96.

To keep a special watch on speedy disposal of communications from Members of Parliament and the administrative ministry, each Laboratory will;

- i) maintain a register
- ii) mark out prominently those communications finally disposed of by rounding off the serial numbers of the register in red ink.

If for any reason a letter from an MP or the administrative ministry is received by a Laboratory without being registered in the office of the Registrar, immediate steps will be taken to get it registered there.

On the 1<sup>st</sup> and 15<sup>th</sup> day of each month, the Registrar (Heads of Administration in Laboratories) shall personally verify the register and shall give a report to the Executive Director / Director giving particulars of communications pending for more than a fortnight

The Executive Director / Director shall scrutinize the report and initiate such action as he may consider appropriate.

### 10.18.3. **Correspondence with Foreign Governments**

- 10.18.3.1. C-MET shall keep in mind the following guidelines applicable to the administrative ministry with regard to correspondence with foreign Governments and decide on the channel of communication by it.
- 10.18.3.2. Communications can be addressed to a foreign Government or Commonwealth country only if India is not represented by a Mission in that country. Such communications can be directly made by the Ministry of External Affairs.
- 10.18.3.3. All Communications involving negotiation or question of policy, with Governments of foreign countries where India is represented should be made through the Ministry of External Affairs. Other Communications may be addressed directly to the Representatives of the Government of India in the country for onward transmission or communication and a copy sent to the Ministry of External Affairs.
- 10.18.3.4. Ministries of the Government of India may correspond directly with the non-official organizations in foreign and Commonwealth countries, provided that copies of all such correspondence are endorsed to the Indian Diplomatic or Consular Representatives concerned and to the Ministry of External Affairs to make them aware of the relations between such organizations and the Indian authorities.
- 10.18.3.5. Ministries of the Government of India, other than the Ministry of External Affairs, shall not communicate directly with the representatives of foreign and Commonwealth Countries in Delhi.
- 10.18.3.6. Direct correspondence between technical officers in the attached and subordinate offices of Ministries of the Government of India with their counterparts or with non-official technical organizations in foreign and Commonwealth countries on purely technical matters is permissible if copies of all such communications are simultaneously endorsed to the Ministry of External Affairs and to the representative of India in the country concerned.
- 10.18.3.7. Scientific information of restricted /sensitive nature shall not be conveyed to any non-official technical organization in a foreign Commonwealth country without the consultation of the Concerned Ministry.
- 10.18.3.8. Correspondence with Indian Missions abroad: - Correspondence with matters involving foreign policy shall be carried on only by the Ministry

of External Affairs. Correspondence involving technical matters not involving foreign policy issues may be carried on by the appropriate Ministry of the Government of India with the officer concerned of the Indian Mission abroad. The External Affairs ministry should be kept fully informed of all such correspondences. All other correspondence will be made by or in consultation with the Ministry of External Affairs.

- 10.18.3.9. All correspondence in regard to officers of other Ministries working in the Indian Missions abroad on administrative matters, which involve modification of basic principles or raise general issues of wider applications such as period of tenure, terms of deputation, etc., should be addressed by the Missions to the Ministry of External Affairs. On routine matters the Missions may correspond directly with the Ministries concerned.
- 10.18.3.10. Correspondence between the Government of India and Delegations of Special Missions may be addressed directly to or by the Ministry of the Government of India concerned to the Delegation or the Mission if copies of all such correspondence are simultaneously endorsed to the Head of the Indian Mission and to the External Affairs Ministry.
- 10.18.3.11. Official letters and telegrams on matters other than technical or routine nature emanating from Ministries other than the Ministry of External Affairs will be sent to the Ministry of External Affairs for concurrence and issue. When the Ministry of External Affairs is primarily concerned it will obtain the agreement of other Ministries before sending such communications.
- 10.18.3.12. Correspondence with Foreign Missions in Delhi: - All official communications will be handled by the Ministry of External Affairs. However, correspondence on routine or technical matters may be had directly by the Ministries with the Missions in Delhi. The Ministries should decide whether copies of such communications should be endorsed to the Ministry of External Affairs or not.
- 10.18.3.13. The External Affairs Ministry should be associated at the earliest possible stage when correspondence on routine or technical matter develops into important or sensitive nature.
- 10.18.3.14. In the case of meetings with foreign Missions the substance of the meeting should be recorded and a copy thereof should be endorsed to the Ministry of External Affairs.
- 10.18.3.15. Intimation of intended negotiations or discussions in India with a foreign Mission should be sent in advance to the Ministry of External Affairs which will decide whether it would be represented and if so, at what level.
- 10.18.3.16. When communications, which ought to be addressed to the Ministry of External Affairs, are addressed to the Ministries, the former should be consulted and the reply should be sent either by the Ministry of External Affairs or by the Ministry concerned who should add a request that the Ministry of External Affairs should be addressed in such cases in future.
- 10.18.3.17. All matters relating to the negotiation and conclusion of treaties, agreements, exchange of notes, etc., between the Government of India and a foreign Government including the finalization of texts, the signature and ratification of such treaties, etc., shall be dealt with in

consultation with the Ministry of External Affairs. Subsequent telegraphic messages notifying alteration of programme from the visitors in transit may be sent direct to the Missions concerned under intimation to the Ministry of External Affairs. Officers of the Government of India should not call at diplomatic Missions in New Delhi. It is the foreign Missions, which are accredited to the Government of India and not vice versa. As such the representatives of the foreign Missions are to come and see the officers of the Government of India.

10.18.3.18. All invitations from Foreign Governments/Organizations to individuals/Organizations in India must be routed through the Ministry of External Affairs. In order to enable the Indian Missions abroad to have timely intimation of the intended visits of Ministers or VIPs, it is essential that communications on such matters should be handled by the alteration of programme from the visitors in transit may be sent direct to the Missions concerned under intimation to the Ministry of External Affairs. Subsequent telegraphic messages notifying alteration of programme from the visitors in transit may be sent direct to the Missions concerned under intimation to the Ministry of External Affairs.

10.18.3.19. Foreign Missions including Consulates are authorized to correspond direct with local police authorities for verification of antecedents of their staff and persons seeking employment in their Missions.

#### 10.19. **JOINT CONSULTATIVE MACHINERY**

##### 10.19.1. Scope

With the object of promoting harmonious relations and securing the maximum amount of co-operation from the employees to achieve greater efficiency, C-MET shall keep in place machinery for Joint Consultation and Arbitration of unresolved problems. The essential features of the Scheme are summarized hereunder. The Machinery will supplement and not replace the facilities provided to employees to make individual representations.

Scheme covers all regular employees of C-MET and shall consist of a Joint Council at Headquarter level. The Joint Council shall deal with matters affecting employees of C-MET generally, such as minimum remuneration, Dearness Allowance, and matters relating to categories of staff for all Laboratories of C-MET. The composition shall be as follows:

##### 10.19.2. **Official side**

The Official side of the Joint Council shall consist of Executive Director as Chairman, Directors, Chief Finance Officer and Administrative Officers of Laboratories as member and Registrar as the member secretary.

##### 10.19.3. **Staff side**

Staff side shall be represented by two representatives from each laboratory - one representative each from the technical and administrative sides for each laboratory. The nominees shall be chosen by election, which should be computer based so that no man-hours are lost in conducting elections

Periodicity of meetings: The Joint Council shall meet at least once during the year – preferably during March.

Special meeting can be held by the chairman on his own, or on request of official/Staff Side.

10.19.4. **Venue of meetings:** The Laboratory council shall meet at headquarters of the Laboratory and the Joint Council may meet at the place that may be decided by Executive Director.

10.19.5. **Tenure:** The elected members to the Joint council shall hold the position for a period of two calendar years.

10.19.6. **Quorum:** One third of members for each of the side viz. official side and staff side shall constitute quorum of the meetings.

**10.19.7. Nature of business:**

10.19.7.1. All matters relating to conditions of service and work, welfare of employees and improvement of efficiency and standards of work.

10.19.7.2. In regard to recruitment, promotion and discipline, matters limited to general principles only and not to include individual cases.

10.19.7.3. Any member, when he desires inclusion of a subject in the agenda, should send it with explanatory memorandum where necessary to the Member Secretary at least eight weeks in advance of the meeting. The Secretary, after ensuring that the subject falls within the purview of the respective Council, will include the same in the draft agenda, which will be placed before the Chairman for his approval not less than seven weeks before the meeting. The member whose subject is not included in the agenda will be intimated of the fact and the reasons therefore. The agenda for the ordinary meeting shall be circulated 30 days before the date of meeting whereas, for the special meeting, it shall be circulated simultaneously with the notice of such meeting. Any business not on the agenda will be taken up only with the permission of the Chairman.

10.19.8. **Minutes:** Member Secretary to the Council shall issue minutes within 15 days of the meeting with copy to all members.

10.19.9. **Disputed points:** If no agreement is reached on matters discussed in the Joint Council such matters shall be referred to a Committee nominated by the Chairman, EC for further examination and report for consideration and decision by the Executive Committee.

10.19.10. **Facilities Admissible To Staff Side Members Under JCM**

Traveling Allowance to attend meetings on receipt of formal notice. TA / DA shall be regulated as per normal eligibility

Time spent for attending meeting – Treated as duty including time for travel and also when called earlier or detained after meeting for informal consultation.

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## Chapter 11

### HUMAN RESOURCES DEVELOPMENT

#### 11.1. PERFORMANCE APPRAISAL

##### 11.1.1. **Importance of Annual Confidential Reports / Performance Appraisal**

The Society is committed to excellence and professional competence and therefore provides for encouragement of creativity and innovation, initiative and self-development. The Society shall provide a unique work environment, a culture, norms and procedures, facilities and opportunities for individual and organizational development. It is needless to say that the opportunities available for self-development and career growth are dependent on the individual performance. The Society shall abide by the principle that confirmation, career advancement, facilities for self development etc., would be dependent on performance and competence level of each employee and in this context the annual performance appraisal shall play a dominant role for maintaining efficiency by one and all. It is in the interest of C-MET; no less than that of the employee, that the value of a proper system of performance appraisal is recognized by all concerned.

It is very important, both in the interest of efficiency of C-MET and also of the officers that the reports are written with the greatest possible care so that the work, conduct, character and capabilities of the employee reported upon can be accurately judged from the recorded opinion. Officers recording remarks must realize the importance of these entries, as their own competency will be judged partly from the confidential remarks they record about employees working under them.

11.1.2. **Responsibility for the maintenance of confidential reports:-** The Administrative Officer / Registrar of C-MET should regard it as his personal and special responsibility to ensure that annual confidential reports are properly maintained in respect of all persons working in the Laboratory / Society.

11.1.3. **Objectivity in confidential reports and assessment at more than one level:-** In order to minimize the operation of the subjective human element and of conscious or unconscious bias, the confidential report of every employee should contain the assessments of more than one officer except in cases where there is only one supervisory level above the employee reported upon. The confidential report should be written by the immediate superior and should be submitted by the reporting officer to his own superior.

11.1.4. While it might be difficult for the higher officer to get to know a large number of employees two grades below him, his overall assessment of the character, performance and ability of the reported employee is vitally necessary as a built-in corrective. The judgment of the immediate superior even though completely fair in its intent might sometimes be too narrow and subjective to do justice to the employee reported upon. The officer superior to the reporting officer should, therefore, consider it his duty to personally know and form his own judgment of the work and conduct of the officer reported upon. He should accordingly exercise positive and independent judgment on the remarks of the reporting officer

under the various detailed headings in the form of the report as well as on the general assessment, and express clearly his agreement or disagreement with those remarks. This is particularly necessary in regard to adverse remarks (if any) where the opinion of the higher officer shall be construed as the correct assessment.

11.1.5. The reviewing officer is free to make his remarks on points not even mentioned by the reporting officer. Such additional remarks would, in fact, be necessary where the report is too brief, vague or cryptic.

11.1.6. **Period of Reporting:-** The confidential reports should be recorded annually preferably for the period covered by the financial year, i.e., from 1<sup>st</sup> April to 31<sup>st</sup> March.

11.1.7. **Frequency of reporting and eligibility to write a report:-** While normally there should be only one report covering the year of report, there can be situations in which it becomes necessary to write more than one report during a year. There is no objection to two or more independent reports being written for the same year by different reporting officers in the event of a change in the reporting officer during the course of a year, provided that no report should be written unless a reporting officer has at least three months' experience on which to base his report. In such cases, each report should indicate precisely the period to which it relates and the reports for the earlier part or parts of the year should be written at the time of the transfer or immediately thereafter and not deferred till the end of the year. The responsibility for obtaining confidential reports in such cases should be that of the appointing authority

11.1.8. **Transfer of Reporting and/ or Reviewing Officer in the middle of the reporting year:-** If an officer is transferred during the middle of the reporting year, he should immediately write the CRs of his subordinates in respect of the year for the period up to the date of his transfer, provided that the period is at least six months, and the reports should be submitted to the reviewing authority who will retain them in his custody and record his remarks in the reviewing portions in the last of the reports for the year, taking into account the reports for the previous portions of the year also, submitted to him by the transferred officers, at the time of their transfer. If the reviewing authority is transferred not simultaneously with reporting officer, but after some time, he will hand over such reports to his successor and the successor will review the reports if he happens to have three months' experience. Otherwise, the previous reviewing authority will review the reports at the end of the year. If, however, a reviewing authority retires while there is no change in the reporting officer and the subsequent reviewing authority does not have three months' experience of the work and conduct of the reportee, the reviewing portion will be left blank with a suitable note, recorded therein. This note can be recorded by the new reviewing authority who could not review the report because he did not have even three months' experience, or by the reporting officer himself.

11.1.9. **Reason for gap in the report to be indicated:-** When a confidential report does not cover an earlier period during the year, the reporting officer should, at the top of the report, mention the period of gap indicating the reasons for which a report for that period has not been written.

- 11.1.10. **Report to be written within one month of the expiry of report period:-**  
The annual report should be recorded within one month of the expiry of the report period and delay in this regard on the part of the reporting officer should be adversely commented upon; if the officer to be reported upon delays submission of self-appraisal, this should be adversely commented upon by the reporting officer.
- 11.1.11. **When there is no reporting officer having the requisite experience:-**  
In the case of an employee, if there is no Reporting Officer having the requisite experience of three months or more during the period of report, as a result of which no Reporting Officer is in a position to initiate the report. It has been decided that where for a period of report there is no Reporting Officer with the requisite experience to initiate the report, the Reviewing Officer himself may initiate the report as a Reporting Officer, provided the Reviewing Officer has been the same for the entire period of report and he is in a position to fill in the columns to be filled in by the Reporting Officer. Where a report is thus initiated by the Reporting Officer, it will have to be reviewed by the officer above the Reviewing Officer.
- 11.1.12. **Authority other than Reporting/ Reviewing authority precluded from making entries:-** Under the scheme of writing of confidential reports there are only two levels for writing reports, namely, the reporting officer and the reviewing officer. There is no provision for any other authority for writing his remarks/comments about the work and conduct of an officer in his confidential reports. Since there are only two levels for writing the confidential reports, i.e., reporting and reviewing authority, the remarks by an officer other than the reporting and reviewing officers in the confidential report are not in order.
- 11.1.13. **Writing of confidential reports by officers under suspension:-** If the reporting/reviewing officer is under suspension when the confidential report has become due to be written/reviewed, it may be got written/reviewed by the officer concerned within two months from the date of his having been placed under suspension or within one month from the date on which the report was due, whichever is later. An officer under suspension shall not be asked to write/review confidential reports after the time limit specified above.
- 11.1.14. **Whether a relative of an employee can write the report of the latter. –**  
The following points shall be kept in mind where the subordinate happens to be close relative:
- 11.1.14.1. The Executive Director/Directors may take care that, to the extent possible, a close relative of an official is not placed under the direct charge of that official where the latter has to write the CR of the former.
- 11.1.14.2. Should such a situation become inescapable, it should not be allowed to continue beyond the barest minimum time possible.
- 11.1.14.3. In such a situation, the employee should abstain from writing the annual confidential report of the employee who is his close relative and instead, the reviewing officer should take on the role of the reporting officer.
- 11.1.14.4. If a similar relationship exists between the reviewing officer on the one hand and the officer reported upon on the other, the same would apply in

respect of the reviewing officer and the role of the reviewing officer would be transferred to the authority next higher up.

11.1.14.5. In cases of this nature, where there is any doubt, it would be incumbent upon the reporting officer to consult the next higher authority before he writes the confidential report.

11.1.15. **Reporting officer can write CR of his subordinates within one month of his retirement:-**When the reporting officer retires or otherwise demits office, he may be allowed to give the report on his subordinates within a month of his retirement or demission of office. However, a reviewing authority cannot review the CR after his retirement. Thus, while the grace period of one month is available to the reporting officer no such period is prescribed for the reviewing officer.

11.1.16. **Contents and manner of writing of confidential reports:-**Officers writing the confidential reports should have carefully observed the work and conduct of those under their control, and have provided the required training and guidance where necessary. The annual confidential reports should be based upon the results of such observation as well as the periodical inspections. The form in which the confidential reports are recorded might vary between different levels of responsibility within a departmental hierarchy, depending upon the nature of work and duties attached to various posts. However, an assessment of certain qualities of general importance such as integrity, intelligence, keenness, industry, tact, attitude to superiors and subordinates, relations with fellow-employees, etc., should invariably find place in the report. In addition to the detailed assessment of specific attributes, every confidential report should carry a general appreciation of the character, conduct and aptitudes and shortcomings of the officer reported upon. Reference to specific incidents may be made, if at all only by way of general nature, e.g., inefficiency, dilatoriness, lack of initiative or judgment, etc.

11.1.17. A confidential report should give full particulars of the official reported upon such as his designation and the office in which he works. Below the signature of the reporting and countersigning officers, either their names and designations should be written in capital letters or their rubber stamps affixed. CR files should be maintained in book form, the reports being placed one after the other in chronological order and pages being serially numbered from top downwards. Relevant entries in the index of a CR file should be filled in immediately after a report is written up.

11.1.18. Confidential reports should, as a rule, give general appreciation of the character, conduct and qualities of an employee reported upon and a reference to a specific incident should be made, if at all, only by way of illustration to support adverse comments of a general nature, as for example, inefficiency, delay, lack of initiative, judgment, etc. Specific incidents on the basis of which penalties have been awarded in the course of departmental proceedings must, however, be indicated. An entry relating to a penalty should be recorded in the report for the year in which the punishment order is issued. In this entry, an indication may, however, be given about the period to which the incidents leading to the disciplinary case relate. Warning even though not a statutory penalty should be mentioned in the report if issued as a result of disciplinary proceedings. If the reporting officer feels that although a specific incident

is not important enough to call for disciplinary proceedings, it is important enough to be specifically mentioned in the confidential report, he should, before making such an entry, satisfy himself that his own conclusion has been arrived at only after a reasonable opportunity has been given to the official reported upon to present his case relating to that incident. The authority issuing a warning should not normally be one lower than the reporting officer. Further, once investigations are started into specific allegations, the case should not be closed by the issue of a warning without the knowledge of the competent disciplinary authority. Unless so ordered by any higher authority it would be in the discretion of the reporting officer either to record or not to record such a warning.

11.1.19. Apart from the remarks in regard to work and conduct, in appropriate cases, suitable entries may also be made on the following points: -

11.1.19.1. the fact that an officer has attended an approved course of study or training;

11.1.19.2. the report received from the Head of such institution or its substance;

11.1.19.3. Comments on the quality of the report submitted by an officer on return from deputation or training abroad and whether he has made good use of his period of study or training;

11.1.19.4. Outstanding performances in the field of sports, athletics and art;

11.1.19.5. Suggestions, which have been accepted and considered useful for achieving economy and high standard of efficiency in administration;

11.1.19.6. Whether there is any physical defect, such as bad eyesight.

11.1.20. CR file should not contain any extraneous paper other than punishment and appellate orders and letters communicating the adverse remarks.

11.1.21. The forms have been devised with a view to ensuring maximum objectivity in the preparation of the confidential report. In filling up the forms, tick marks and dashes should not be used. The reporting and reviewing authorities should apply their mind carefully to the various alternatives suggested under the different headings and indicate their opinion in writing out in full the appropriate alternative which according to them should best describe the officer's qualities.

11.1.22. **Principles to be observed by reporting officers in writing reports.** The general principles, which are required to be observed, by the reporting officers for writing annual reports are indicated below-

11.1.22.1. Remarks like "Doubtful character", "complaints received about his taking illegal gratification", are not permissible. Entries should be based on established facts and not on mere suspicion.

11.1.22.2. No employee should be adversely affected by prejudicial reports recorded without fullest consideration. At the same time, none should be rewarded by excessively flattering reports, which are not based on facts. With a view to checking up such possibilities, the following procedure is prescribed: -

- 11.1.22.2.1. The memo of services should invariably be consulted at the time of writing the annual report though the report itself should necessarily be based on the employee's performance during the year as a whole;
- 11.1.22.2.2. Where an adverse remark is recorded in respect of an official having consistently good record, some details regarding the same should invariably be given.
- 11.1.22.2.3. The report should give a clear opinion on the main points like character, integrity, industry, etc.;
- 11.1.22.2.4. There should be no hesitation on the part of the reporting officers to record adverse remarks in justified cases;
- 11.1.22.2.5. Reporting officers should not be in a hurry to write all the Reports on one day.
- 11.1.23. **Duties of reviewing/endorsing officer:-** The following instructions are issued for information, guidance and compliance: -
  - 11.1.23.1. Reporting, reviewing and endorsing officers should have been acquainted with the work of the official reported upon for at least three months during the period covered by the confidential Report;
  - 11.1.23.2. With a view to enabling the reviewing authority to discharge his responsibility in ensuring the objectivity of the Confidential Reports it has been decided that where he is not sufficiently familiar with the work of the officer reported upon so as to be able to arrive at a proper and independent judgment of his own, it should be his responsibility to verify the correctness of the remarks of the reporting officer after making such enquiries as he may consider necessary, he should also give a hearing to the person reported upon before recording his remarks.
  - 11.1.23.3. While it is expected that the efforts should be made to minimize cryptic, vague or non-committal remarks being made in the reports, there may be cases where the entries are not sufficiently meaningful. Such reports should be returned to the reporting officer for amplification or explanation.
- 11.1.24. **Procedure for filling up the column relating to integrity:-**The procedure for filling up the column relating to integrity is as follows: -
  - 11.1.24.1. Supervisory officers should maintain a confidential diary in which instances, which create suspicion about the integrity of a subordinate, should be noted from time to time and action to verify the truth of such suspicions should be taken expeditiously by making confidential enquiries departmentally or by referring the matter to the Special Police Establishment. At the time of recording the annual confidential report, this diary should be consulted and the material in it utilized for filling the column about integrity. If the column is not filled on account of the unconfirmed nature of the suspicions, further action should be taken in accordance with the following sub- paragraphs.
  - 11.1.24.2. The column pertaining to integrity in the character roll should be left blank and a separate secret note about the doubts and suspicions regarding the officer's integrity should be recorded simultaneously and followed up.

- 11.1.24.3. A copy of the secret note should be sent together with the character roll to the next superior officer who should ensure that the follow-up action is taken with due expedition.
- 11.1.24.4. If, as a result of the follow-up action, an officer is exonerated, his integrity should be certified and an entry made in the character roll. If suspicions regarding his integrity are confirmed, this fact can also be recorded and duly communicated to the officer concerned.
- 11.1.24.5. There are occasions when a reporting officer cannot in fairness to himself and to the officer reported upon, either certify integrity or make an adverse entry, or even be in possession of any information which would enable him to make a secret report to the Head of the Department. Such instances can occur when an officer is serving in a remote station and the reporting officer has not had occasion to watch his work closely or when an officer has worked under the reporting officer only for a brief period or has been on long leave, etc. In all such cases, the reporting officer should make an entry in the integrity column to the effect that he has not watched the officer's work for sufficient time to be able to make any definite remark or that he has heard nothing against the officer's integrity, as the case may be. This would be a factual statement to which there can be no objection. But, it is necessary that a superior officer should make every effort to form a definite judgment about the integrity of those working under him, as early as possible, so that he may be able to make a positive statement.
- 11.1.24.6. There may be cases in which after a secret report/note has been recorded expressing suspicion about an officer's integrity, the enquiries that follow do not disclose sufficient material to remove the suspicion or to confirm it. In such a case the officer's conduct should be watched for a further period, and in the meantime, he should, as far as practicable, be kept away from positions in which there are opportunities for indulging in corrupt practices.
- 11.1.24.7. Specific mention should be made in the confidential reports on officers working in sensitive sections about their trustworthiness especially in matters affecting departmental security.
- 11.1.25. **Mention of warnings/reprimands in CRs:-** The stage at which a mention about warnings, admonitions, reprimands, etc., administered in the course of normal day-to-day work by superior officers should be mentioned in the confidential report of the official to whom the warning, reprimand, etc., has been administered are clarified in the following paragraph: -
- 11.1.25.1. There may be occasions when a superior officer may find it necessary to criticize adversely the work of an officer working under him or he may call for an explanation for some act of omission or commission and taking all circumstances into consideration, it may be felt that while the matter is not serious enough to justify the imposition of the formal punishment of censure, it calls for some formal action such as the communication of a written warning/displeasure/reprimand. Where such a warning/displeasure/ reprimand is issued, it should be placed in the personal file of the officer concerned. At the end of the year, the reporting authority,

while writing the confidential report of the officer, may decide not to make a reference in the confidential report to the warning/ displeasure/ reprimand, if, in the opinion of that authority, the performance of the officer reported on after the issue of the warning or displeasure or reprimand, as the case may be, has improved and has been found satisfactory. If, however, the reporting authority comes to the conclusion that despite such warning/d displeasure/reprimand, the officer has not improved, it may make appropriate mention of such warning/ displeasure/ reprimand, as the case may be, in the relevant column in the form of confidential report relating to assessment by the reporting officer and, in that case, a copy of the warning/ displeasure/ reprimand referred to in the confidential report should be placed in the CR Dossier as an annexure to the confidential report for the relevant period. The adverse remark should also be conveyed to the officer and his representation, if any, against the same disposed of, in accordance with the procedure laid down in the instructions issued in this regard.

11.1.25.2. Representations against "warnings" or "communication of the displeasure" or "reprimand" which are recorded in the confidential report of the employee of the society should be dealt with in accordance with the procedure laid down for dealing with representations against adverse entries in confidential reports, unless an opportunity had already been given to the officer concerned to make a representation in the matter relating to the relevant incident or faults and such representation had been duly considered and a decision taken before the "warning" or "reprimand" was administered or the "displeasure" communicated to him.

11.1.26. **Communication of adverse entries and how to be done**

11.1.26.1. All adverse entries in the confidential report of an employee of the society, both on performance as well as on basic qualities and potential should be communicated along with a mention of good points within one month of their being recorded. This communication should be in writing and a record to that effect should be kept in the CR Dossier of an employee of C-MET concerned.

11.1.26.2. Only such of the adverse entries as are accepted by the countersigning authority, if any, need be communicated. The countersigning authority should, therefore, normally indicate whether it agrees or disagrees with the remarks of the reporting officer. It should also record, additional remarks, wherever necessary, if the report is too brief, cryptic or vague. Along with the adverse entry, the substance of the entire report including what may have been stated in praise of the officer should also be communicated. The improvements made in respect of the defects mentioned in the earlier report should also be communicated to the officer in a suitable form. A copy of the letter communicating the adverse remarks duly acknowledged by the official concerned should be kept in the CR file and the fact of communication of the entries should be recorded in the report itself by the authority communicating them.

11.1.26.3. Great attention should be paid to the manner and method of communication of adverse remarks in order to ensure that the advice given and warning or censure administered whether orally or in writing shall, having regard to the temperament of the officer concerned, be most beneficial to him. The memo forwarding the adverse remarks to the officer reported upon



should be couched in such a language that it does not produce a sense of resentment in the officer reported upon and that it makes it clear to him that the intention of communicating these defects to him is that he should try to improve himself in respect of those defects.

- 11.1.26.4. Remarks about the physical defects of the officers noted in the confidential reports need not be communicated. The grading of officers being done on the basis of the general remarks in the report should not also be communicated, even if it is adverse.
- 11.1.27. **Disclosure of identity of superior officers who made adverse remarks not necessary:-**1. It is not necessary to disclose the identity of the superior officer who made the adverse remarks while communicating them to the employee of the society concerned since, what the employee of the society should be interested in, are the defects/shortcomings which his superior officers have found in his work and conduct and not the particular superior officer who recorded them in the confidential report and the representations on the adverse remarks, if any, should be objective pertaining to the shortcomings noticed. Apart from this, disclosure of identity of the superior officer is also likely to lead to unpleasantness and personal animosity. It is, therefore, desirable that while communicating the adverse remarks to an employee of the society concerned, the identity of the superior officer making such remarks should not normally be disclosed.
- 11.1.28. Care should be taken to ensure that the remarks are communicated in such a form that the identity of the officer making particular remarks is not disclosed.
- 11.1.29. If, however, in a particular case, it is considered necessary to disclose the identity of the superior officer, the authority dealing with the representation may at his discretion allow the identity to be communicated.
- 11.1.30. **Representations against adverse remarks:-**Only one representation against adverse remarks (including reference to 'warning' or communication of displeasure or 'reprimand' which are recorded in the confidential report of the employee of the society) should be allowed within one month of their communication. While communicating the adverse remarks to an employee of C-MET concerned, the time limit should be brought to his notice. However, the competent authority may, in its discretion, entertain a representation made beyond this time if there is satisfactory explanation for the delay.
- 11.1.31. **To whom representation lies:-**Representation against adverse remarks will lie to the authority immediately superior to the reviewing authority, if any, or to the reporting officer. If the immediate superior authority has already reviewed the confidential report in question and has also expressed his view either agreeing or disagreeing with the adverse remarks recorded and accepted by the countersigning authority, the representation should, in that event, lie to the next higher authority.
- 11.1.32. **Time Limit for disposal of representation against adverse remarks and when note to be taken of such remarks:-**All representations against adverse remarks should be decided expeditiously by the competent authority and in any case, within three months from the date of

submission of the representation. Adverse remarks should not be deemed to be operative if any representation filed within the prescribed time limit is pending. If no representation is made within the prescribed time, or once this has been finally disposed of, there would be no further bar to take notice of the adverse remarks.

11.1.33. **Manner of disposal of representation:-** The following procedure should be adopted in dealing with representations from the employees against the adverse remarks communicated to them: -

11.1.33.1. Representations against adverse remarks should be examined by the competent authority in consultation, if necessary, with the reporting officer and countersigning authority, if any.

11.1.33.2. If it is found that the remarks were justified and that the representation is frivolous, a note may be made in the confidential report of the petitioner that he did not take the correction in good spirit.

11.1.33.3. If the competent authority feels that there is no sufficient ground for interference, the representation should be rejected and the petitioner informed accordingly.

11.1.33.4. If, however, it feels that the remarks should be toned down, it should make necessary entry separately with proper attestation at the appropriate place of the report; the correction should not be made in the earlier entries themselves.

11.1.33.5. In the rare event of the competent authority coming to the conclusion that the adverse remark was inspired by malice or was entirely incorrect or unfounded, and therefore deserves expunction, it should order accordingly.

11.1.33.6. When a representation against adverse remarks is wholly or partially upheld, the particulars of the orders based thereon should be recorded in the report itself. If it is decided to tone down the remarks, the competent authority may make the necessary entries at the appropriate place of the report under proper attestation. But the past entries should not be corrected. If the remarks are ordered to be expunged, they should be effectively obliterated both in the confidential report as well as in the copy of the letter communicating those remarks. A copy of the order based on such a representation should not be kept in the CR File. Where a penalty is set aside on an appeal or review, the copy of the punishment order should be removed from the CR File as well as the adverse remarks recorded on the basis of the penalty expunged. In a case where the penalty is modified by the appellate or revising authority, the entry in the confidential report originally made on the basis of the penalty awarded should also be immediately modified accordingly.

11.1.34. **Column of report should not be kept blank after expunction of adverse remarks:-**It has been observed that in a few cases, after the expunction of the adverse remarks. The relevant column(s) was/were left blank, i.e., without any remarks. Thus making the report incomplete.

It may be appreciated that an incomplete report cannot be relied upon for a fair and objective assessment of the officer concerned for his

confirmation, promotion, etc. It is essential that the annual confidential reports are complete in all respects. In the circumstances, where on consideration of a representation against adverse remarks, the competent authority comes to the conclusion that the remarks deserve to be expunged, it should see whether total expunction of the remarks will leave the relevant column(s) blank; and if it finds the position to be so, it should order modification of the relevant remarks in a suitable manner so that the column(s) in question does/do not remain blank.

11.1.35. **Further memorial or appeal against rejection of representation:-**No further memorial or appeal against the rejection of the representation against adverse entries should be allowed.

11.1.36. **Self-appraisal not necessary for a period less than three months:-** The Reporting/Reviewing authority can write/review the confidential report of an officer if it has at least an experience of three months of work and conduct of the officer reported upon. The Officer reported upon need not submit his self-appraisal if the period of observation of his work and conduct by the reporting/reviewing authority is less than three months.

Self-appraisal to be confined in the space allotted and no additional sheet allowed:-In the forms for the performance of self-appraisal, sufficient spaces have been allotted for making necessary entries both by the officer reporting upon and by the reporting and reviewing officer. It is envisaged that the space allotted would only be used for making any entries and that no extra sheets would be attached.

11.1.37. **Guidelines for self-appraisal and report thereon by the reporting authority:-**

11.1.37.1. There would be instances wherein; the Reporting Officer records his disagreement with the self-appraisal of the officer, for one reason or other. The self-appraisal should be precise to the point and refer only to the areas of responsibility of the officer reported upon and should be strictly within the prescribed limit of 300 words. While human nature is to indulge in a little bit of self-praise, one should be careful in making the self-appraisal so that one does not unduly prejudice the senior officers who have to record their observations on the work and conduct of the officers. The self-appraisal should reflect actual achievements during the period so that the scope for disagreement with it is reduced to the absolute minimum. While writing the self-appraisal, it would be best if the officer were to write about his performance in a way, as what his best and sincere friend would frankly say to him about his performance in case he was asked to express his opinion.

11.1.37.2. If the reporting officer records along with reasons against the column provided that the self-appraisal contains too much of self-praise, such disagreement will not be considered as adverse remarks. Therefore, while recording reason for disagreement with the self-appraisal, the reporting officer may make it clear, whether or not his observations on the self-appraisal are to be taken as adverse remarks. If the reporting officer disagrees with the self-appraisal and intimates such disagreement to be taken as adverse, he may back it up with factual details and put them on record. Nothing prevents the reporting officer to point out the inadequacies or exaggerations in the self-appraisal and ask the officer if

he would like to reconsider it. Such an approach may rule out the possibility of disagreement in a large number of cases.

11.1.37.3. Adverse remarks in regard to the performance and conduct of the officer, recorded on the basis of sufficient material against any other column should as usual be communicated to the officer reported upon. The reporting officer's observations have necessarily to be with reference to the actual performance of the officer during the period and that too on the basis of established facts and other relevant materials contained in the memorandum of services etc.

11.1.38. **Introduction of a separate column to indicate the effectiveness in the development and protection of SCs/STs:-** In the CR forms for officers, there should be a column enabling the reporting officer to give his specific comments on the effectiveness of the officer concerned in the development and protection of SCs and/or STs. Accordingly, a column as under should be incorporated in the reporting officer's part of the CR form:

-

\*Effectiveness in the development and protection of Scheduled Castes and/ or Scheduled Tribes.

- (a) Attitude towards Scheduled Castes and/or Scheduled Tribes
- (b) Sensitivity to social justice
- (c) Ability to take quick and effective action to prevent and quell atrocities/ and ensure justice to Scheduled Castes and/ or Scheduled Tribes
- (d) Effectiveness in bringing about the development of Scheduled Castes and/ or Scheduled Tribes

\*To be filled in only in the case of officers dealing with development and protection of SCs and/or STs. Where the column is not applicable in the case of any officer, it may be so stated against the column.

11.1.39. **Filling up of column relating to grading: -**

Filling up of column relating to grading:- The annual confidential report should also contain a general assessment of an employee of the society and he should be graded according to his performance. An employee of C-MET should not be graded outstanding unless exceptional qualities and performance has been noticed in him. Grounds for giving such a grading should be clearly brought out.

11.1.40. **Reports received in respect of approved course of training undergone to be kept in confidential report dossier:-** The procedure to be observed for recording the confidential reports of officers who had undergone an approved course of study or training at an institution in India or abroad are as follows: -

11.1.40.1. Whenever an officer attends an approved course of study or training, the fact of his having done so should be entered in his confidential report. Approved course of training includes courses sponsored by C-MET; financed wholly or partly.

11.1.40.2. The report, if any, received from the Head of the Institution should either be placed in original in the confidential report dossier of the officer or the substance of it entered therein.

11.1.40.3. An entry about the report, if any, submitted by the officer on his work abroad should also find mention in his confidential report if it is either outstandingly good or of poor quality indicating that the officer had not made good use of his period of study or training.

11.1.41. **Setting up of Special Cell for maintenance of up-to-date character rolls:-**

The question of systematic recording and maintenance of annual confidential reports should receive careful attention of C-MET, so that an employee of C-MET is not denied his legitimate promotions on account of administrative lapses. It will be appreciated that the annual confidential reports form the basis of selection for promotion and would, therefore, have a significant effect on career management. It is also necessary to take steps to ensure the utmost objectivity in the writing of character rolls, so that uniform standards could be applied in assessing the officers and selecting them for promotion. In order to attend to these matters and to ensure that no Departmental Promotion Committee meeting is delayed due to the absence and incompleteness of annual confidential reports, a Special Section should be set up in each Society / Laboratory entrusted with the task of maintaining up-to-date seniority lists and character rolls of all employees. This Section should not only ensure that the annual confidential reports are written in time but also see that adverse remarks, if any, are communicated to the officers in time and a decision taken on the representations submitted by them within a reasonable period as contemplated in the instructions issued on the subject.

11.1.42. **Custody and handling of confidential reports:-** The confidential reports on officers of C-MET shall be kept under safe custody by the following:

- i) The report of Executive Director and Directors and Scientists in the grade Rs.18,400-500-22,400 or higher should be kept with a designated authority in the Administrative Ministry.
- ii) The reports of other Group 'A' officers should be kept with the Executive Director of C-MET or any other authority specified by him.
- iii) The reports of Group 'B' and 'C' and Group 'D' employees shall be kept with the Registrar.
- iv) The reports of Group Group 'D' employees shall be kept with the Administrative Officer .

The reports should not in any case be kept by an authority higher than the appointing authority.

CR files should be handled like confidential documents. The officer concerned should ensure that no room is given for complaints about any leakage of information. These files will be kept in the personal custody of the officers required to maintain them, viz., either the reporting or the

countersigning authority, if any, unless some special arrangements have been made for their maintenance centrally with one particular officer. The officer responsible for maintaining the CR files should hand them to his successor in the office when he is transferred. Whenever it is necessary to send them by post, they must be closed in a confidential cover and registered. When an officer is transferred for more than three months, the file containing the confidential reports on him should be forwarded direct to the officer by whom it has to be maintained.

- 11.1.43. **Maintenance of Memorandum of Services serving as basis for writing annual reports:-** With a view to enabling the Reporting Officers to make correct overall assessment of the work and conduct of their subordinates, the reporting officers are required to maintain memorandum of services in respect of each officer employed under them. All instances of good and bad work coming to the notice of the reporting officer should be promptly noted in the memo. of services. Impression formed by the officer at the time of visits, inspections, interview, etc., should also be included in that memorandum. This memorandum should not be reduced to a black book by recording instances of only adverse nature. Instances of good work should also be liberally recorded. The memoranda of service should, invariably, be consulted at the time of writing of annual reports. In case the reporting officer is not the immediate superior of the officer to be reported upon, the immediate superior should also maintain a memo. of services which should be consulted by the reporting officer at the time of writing the report. The memo. of services in respect of an officer should be a complete and continuous record of his service and accordingly, it should not be destroyed after the annual report has been written. The entries in the memo. of services should be based on facts and documentary evidence. The memo. of services may also be consulted on the occasions of making transfer, promotion or writing special reports. For writing the annual report, only those entries in the memo of services which pertain to the year of the report should be taken into account. The entries in the memo. of services need not necessarily be communicated. As the memo. of services is the sole basis for writing the annual reports, the reporting officer at the time of submitting reports to the countersigning authorities, if any, should make a specific mention in the forwarding letters that memoranda of services have been maintained and consulted. With a view to checking up that these memoranda are being properly and regularly maintained, the countersigning authorities may call for them and check them up. The negligence on the part of the reporting officers in this regard should be duly noticed.

- 11.1.44. **In the case of officers on deputation:-**In the case of Officers who are deputed to other Departments/State Governments or are on Foreign Service, the confidential rolls should be maintained by their parent departments and the periodicity of such confidential reports should be the same as in the parent department. It will be the responsibility of the parent department to obtain the reports of their officers on deputation and maintain them.

- 11.1.45. **Performance Appraisal System to be followed by C-MET**

- 11.1.45.1. The underlying philosophy of the Performance Appraisal Scheme in C-MET shall be objective assessment of performance on a continuous basis, which can be openly shared with the concerned staff member. By virtue of

the scheme being an open appraisal process, the need for sharing information by way of communication of the rating should in no way hinder the very goal of objectivity. Although assessment of performance is to be on a continuous basis, the periodicity ensures a formal documentation of assessment, which is an essential input for future development plan.

11.1.45.2. One of the foremost needs of performance appraisal is to outline the development need of the concerned staff member. The primary beneficiary of the appraisal process is the concerned staff member being appraised. It helps one to analyze his/her basic strengths and reinforce his/her self-esteem in realizing where he/she stands. If one really tries to overcome the identified drawbacks or limitations with a planned time frame and capitalizes on the organizational resources to facilitate the course of action, he/she is not only developing but also presenting the organisation with a better/more effective himself/herself. The appraisal process with its focus on identification of development need would serve the purpose very well.

11.1.45.3. Fairness and objectivity shall form the underlying concept of all personnel policies at C-MET. The performance appraisal ratings form an important input to the decision making process, whether it is promotion or award scheme or decision regarding sponsorship for higher studies. The appraisal process would also serve a useful purpose of bringing out the interests and future plan of the concerned persons. so that career growth and job rotation could be affected as far as possible to fulfill individual objectives within the framework of organizational interest.

11.1.45.4. Appraisals are not only means of evaluation or basis of promotions but the process has a very important role to contribute towards organizational effectiveness. Instead of any intention to use the appraisal process as a control or monitoring measure we will have to look towards its developmental dimensions. It can be very well used to recognise the development inputs required by staff members (training, specific job, exposure to specific equipment/technology/process). It can effectively contribute towards the planning process by pointing out the total man hours required for specific assignments, specific skills available with different groups, level of effectiveness and status of different activities planned from time to time.

11.1.45.5. All this basically highlights the multifaceted utilities of the performance appraisal process and its important role in organizational work and effectiveness. However, the basic objectives of the appraisal process centers around development, fairness and open communication.

#### 11.1.46. **APPRAISAL PROCESS**

11.1.46.1. The Performance Appraisal of any staff member mainly depends on the assignments given to him/her during the Appraisal period, his/her performance/achievements and other external factors influencing the level of performance. The immediate supervisor i.e. the first level appraiser is in the best position to make recommendations on the assessment since he monitors the activities and remains aware of the situation under which the staff member performs these activities. He is also in a position to take corrective actions after review wherever required

thereby having continuous flow of communication between them. A proper planning of activities, timely review and corrective action and effective communication ensures team effectiveness, which is an essential objective of overall appraisal process.

#### 11.1.46.2. **The Dyad**

The staff member and the immediate supervisor are the major forces in the triad involved in the whole process. As per the philosophy of Human Resource Development, the immediate supervisor (group leader) or the person to whom one is reporting is the Administrative Officer, the Finance Officer and the Project leader who monitors the activities and is responsible for the well-being of all members of the group. It has to be made very clear that being a Supervisor he has a prerogative to decide certain things i.e. he can decide one's activities, one's jobs, one's plans, fixing up priorities as well as assessment. One cannot question that prerogative but the process of taking that decision should be as far as possible based on a mutual discussion. Where there is a better understanding, better communication and a greater involvement or participation in the decision making process there seems to be less problem of difference of perception among the duo and they work as a team.

What is warranted in this appraisal process is this discussion before taking a decision on the assessment, which will not only ensure a proper communication of the assessment but also mutual involvement.

#### 11.1.46.3.. **Rating Scale**

One tends to compare among persons within or across the group whether in terms of entitlements or benefits or in terms of responsibilities and assignments. .The rating scale ranges "Outstanding" to "Poor" with marks assigned from 4 to 10 as given in the table below. The fractional rating will not be rounded off or truncated. That implies that any threshold for eligibility point for promotion will take into consideration the total rating including the decimal fraction.

Ratings described are as follows: -

Rating	Marks assigned
Poor	0
Average	4
Good	6
Very good	8
Outstanding	10

Ratings are given for each attribute as well as for Overall Assessment. Overall rating need not be weighted average of attribute ratings.

Under the FCS Scheme, the officers are first screened on the basis of grading in the Annual Confidential Reports (ACRs) for consideration for promotion; and the assessment is on a 10 point scale giving 10 marks for "outstanding", 8 marks for "very good", 6 marks for "good", 4 marks for



“average” and 0 for “poor”. The marks to be considered for screening for promotions under FCS are given against each.

**11.1.46.4. Documentation of Forms / Sheets**

The forms for Annual Confidential Report for the employees will be the same as that is adopted for an employee of the Administrative Ministry in the same grade.

**11.1.46.5. Reporting Officer and Reviewing Officer**

The reporting and reviewing Officers for the employees of C-MET shall be as follows:

<b>Designation</b>	<b>Reporting Officer</b>	<b>Reviewing Officer</b>
Executive Director	Vice-Chairman, Governing Council	Chairman, Governing Council
Director of Laboratory	Executive Director	Vice-Chairman, Governing Council
Registrar	Executive Director	Vice-Chairman, Governing Council
Chief Finance Officer	Registrar	Executive Director
Other S&T Staff	Respective Controlling Officers	Officer one level higher than the Controlling Officer/Director/ Executive Director
Administrative Officer	Director /Registrar	Executive Director
Finance Officer	Director /Chief Finance Officer	Executive Director
Other Administrative Staff	Administrative Officer	Director /Registrar
Other Finance Staff	Finance Officer	Director /Chief Finance Officer

## 11.2 **PROMOTION POLICY**

These rules shall be called the **Promotion Policy for C-MET Employees, 2004.**

### 11.2.1. **Scientists**

Provisions of Flexible Complementing Scheme (FCS) issued by the Department of Personnel & Training, Govt. of India apply to the ET grade Engineers/Scientists employed by C-MET. The guidelines are given hereunder:

#### 11.2.1.1. **Short Title and Commencement.**

The Flexible Complementing Scheme (FCS) shall be made applicable only to scientists and technologists holding scientific posts in C-MET and who are engaged in scientific activities and services. The assessment norms for promotions under the Flexible Complementing Scheme shall be rigorous with due emphasis on evaluation of scientific and technical knowledge so that only the scientists who have to their credit demonstrable achievements or higher level of technical merit are recommended for promotion under the Flexible Complementing Scheme. For achieving these objectives, the following decisions have been taken:

#### 11.2.1.2. **C-MET is identified as a Scientific & Technical Institution on the following considerations:**

11.2.1.2.1. C-MET is characterized by pursuit of excellence in due consideration to its aims and objectives, qualifications of the personnel, qualitative requirements for performance of various types of activities, etc;

11.2.1.2.2. C-MET is engaged in research, design, development or programme implementation (including review, analysis, promotion and aspects of science, policy etc.) which would cover a broad spectrum of pure and applied research but the essential value would be innovative in character and spirit of enquiry that permeates its overall functioning;

11.2.1.2.3. The scientific culture is characterized by a few salient aspects, namely the persons involved are;

- highly qualified and skilled technical personnel,
- involved in creative and innovative activity,
- they are willing to be judged on the basis of merit and competence rather than on the basis of seniority and a hierarchical structure;

#### 11.2.1.3. **Definition of Activities and Services, Scientists & Engineers and Scientific Posts.**

##### 11.2.1.3.1. Scientific Activities and Services

11.2.1.3.1.1. Scientific activities and Services covered for considering the applicability of the Flexible Complementing Scheme are as under:

- (a) Fundamental/basic research: Original investigation to gain new scientific knowledge, not necessarily directed towards any specific practical aim or application.
- (b) Applied Research: Original investigation to gain new scientific or technical knowledge directed towards a specific practical aim or objective.
- (c) Experimental Development: Use of scientific knowledge directed towards producing new or substantially improved materials, devices, products, processes, systems or services.
- (d) S&T activities, which are directly linked to R&D in terms of promoting the scientific activities and services.

11.2.1.3.1.2. Scientists and Engineers:

Scientists/Engineers are persons

- (a) who possess academic qualification of at least Master's Degree in Physical Sciences or Bachelor's/Master's Degree in Engineering / Technology / Ph.D in physical sciences or engineering,
- (b) working in those capacities, use or create scientific knowledge, and engineering and technological principles, i.e. persons with scientific or technological training who are engaged in professional work on S&T activities, high level administrators and personnel who plan, direct or coordinate the execution of S&T activities;

11.2.1.3.1.3. Scientific Post is the one, the incumbent of which is 'Scientist or Engineer' defined above in a scientific institution/organization declared as 'Scientific Department' as defined and is engaged in the generation, advancement, dissemination, and application of scientific and technical knowledge in the S&T activities.

- (a) The criteria for identifying institutions/ organizations as scientific and technological institutions as well as for defining scientific activities and services, scientists and engineers and the specific posts shall be as prescribed above. The FCS shall not be applicable where the criteria specified are not fully met.
- (b) The scale of pay to which the Flexible Complementing Scheme shall apply, the minimum residency period linked to performance for in-situ promotion to the next higher grade and the uniform designations of the scientific and technical posts covered under the Flexible Complementing Scheme shall be as given in the Table below:

Designation	Scale of Pay	Minimum Residency Period linked to performance
(1)	(2)	(3)
ET I	Rs. 6500-200-10500	3 years
ET II	Rs. 8000-275-13,500	3 years
ET III	Rs. 10,000-325-15,200	4 years

ET IV	Rs.12000-375-16, 500	4 years
ET V	Rs.14,300-400-18,300	5 years
ET VI	Rs.16,400-450-20,000	5 years
ET VII	Rs.18,400-500-22,400	-

- c) No person other than a person possessing the essential educational qualification of at least Master's Degree in Science / Maths/ Computer /Electronics or Bachelor's Degree in Engineering or equivalent or Technology shall be eligible for in-situ promotion under the Flexible Complementing Scheme.

11.2.1.4. **The assessment procedure shall be as follows:**

- 11.2.1.4.1. All the officers will be first screened by a Screening Committee to be appointed by the Executive Director of C-MET on the basis of grading in the Annual Confidential Reports (ACRs) for consideration for promotion; the ACRs shall be assessed on a 10 point scale giving 10 marks for "outstanding", 8 marks for "very good", 6 marks for "good", 4 marks for "average" and 0 for "poor" and only those officers who satisfy the minimum residency period linked to their performance as indicated in the table below be screened in.

Grades	Number of years in the grade					
	3	4	5	6	7	8
* Maximum Percentage For Eligibility						
ET I to II	85%	80%	70%	65%	60%	...
ET II to III	85%	80%	70%	65%	60%	...
ET III to IV	...	85%	80%	75%	70%	60%
ET IV to V	...	85%	80%	75%	70%	60%
ET V to VI	.	...	85%	80%	75%	70%
ET VI to VII	....	...	85%	80%	75%	70%

The minimum standard of 60% or 70% cannot be further relaxed even if a scientist has put in more than 7/8 years of residency period.

- 11.2.1.4.2. Exceptionally meritorious candidates with all outstanding grading may be granted relaxation in the residency period, the relaxation being not more than one year on any single occasion. Such a relaxation will be limited to a maximum of two occasions in their entire career.

- 11.2.1.4.3. All the officers who are screened-in will be called for an interview. The performance in the interview will also be graded similarly on a 10-point scale and the eligibility for promotion will be based on the same norms as in the above Table.

- 11.2.1.4.4. The assessment parameters shall generally be as follows and can be modified at the discretion of the Chairman of the Committee:

Parameters for assessment	Max. marks out of 100
Specific achievements – goals of the organization –Project handled and results achieved/Individual contribution	40
Distinction and awards, National & International Papers	15

published/ professional standing	
Broad policy issues including latest advancements made in the area	15
Communication skills both oral & written – precision and clarity in communication	15
Ability to work as a team, leadership qualities	15

11.2.1.4.5. The period spent on deputation / foreign service to another scientific post, which helps a Scientist to acquire scientific experience in a diverse set up and the necessary field experience now made mandatory for promotion to Sr. Scientific posts (Scale of pay Rs.16, 400-450-20,000 & above) as well as the period of study leave / any other leave taken for improving the academic accomplishments, shall count towards the minimum residency period necessarily required to be put in lower grade for promotion to the next higher grade. Period of earned leave sanctioned for a period of 180 days at a time as per leave rules, period of maternity leave and leave period of maximum one year sanctioned in continuation of maternity leave shall count towards the minimum residency period. However, the period spent on deputation / foreign service or assignment to a non-scientific post (including part time) within C-MET and the period of leave including the leave on medical grounds, EOL etc, availed on personal grounds shall not count towards the minimum residency period.

11.2.1.4.6. **All promotions shall be conducted at C-MET level by appropriate committees as indicated below:**

11.2.1.5. **STANDING ASSESSMENT COMMITTEE**

11.2.1.5.1. For assessment of **Scientist A (ET-I)** staff upto level of Scientist-F (ET-VI)

Composition of the Screening Committee will be as follows: -

An External Member in the rank of Scientist G/Professor	Chairman
Executive Director of C-MET	Member
Director of a Laboratory of C-MET	Member

Composition of the selection committee shall be as follows: -

A Member of the Governing Council, C-MET	Chairman
Representative of Administrative Ministry	Member
An eminent Scientist from outside C-MET	Member
Rep. In the relevant field from Academic or R&D Institution	Member
Executive Director, C-MET	Member
An eminent Scientist from SC/ST/OBC category	Member

11.2.1.5.2. For assessment of Scientist-F (ET-VI) to Scientist-G (ET-VII)

Composition of the Screening Committee will be as follows: -

An External Member (of atleast Additional Secretary rank)	Chairman
Group Coordinator, Administrative Ministry	Member
Executive Director of C-MET	Member

Composition of the selection committee shall be as follows: -

Vice-Chairman of the Governing Council, C-MET	Chairman
Additional Secretary, Administrative Ministry	Member
Additional Secretary, DOPT	Member
An eminent Scientist from outside C-MET (of atleast Additional Secretary rank)	Member
Rep. in the relevant field from Academic or R&D Institution (of atleast Additional Secretary rank)	Member

#### 11.2.1.6. **Date of assessment**

Promotions shall normally be effected from a fixed date, i.e., 1<sup>st</sup> July, when the assessment falls due.

#### 11.2.2. **Member Technical Support Staff**

The Technical support staff will also have a person oriented promotion policy on the basis of the merit of the candidates as adjudged from the annual performance reports, productivity linked performance and trade test/ interview. In-situ promotions shall be available up to the scale of pay of Rs 6500-175-10500, to the employees with Trade certificate and for Diploma, and Bachelor Degree in Science qualifications holders it will be upto Rs.8000-275-13500.

#### 11.2.2.1. **Residency period**

The minimum residency period in a particular scale of pay linked to the performance level for promotions under Special Review shall be as given below:

#### 11.2.2.1.1. **Trade Certificate holders (Tradesman / Draughtsman cadre)/Inter with Science (PCM)/Technical subjects**

Designation	Scale of pay	Residency period
ST-I to II	3050-75-3950-80-4590 to 4000-100-6000	<b>5 years</b>
ST-II to III	4000-100-6000 to 4500-125-7000	<b>5 years</b>
ST-III to IV	4500-125-7000 to 5500-175-9000	<b>5 years</b>
ST-IV to V	5500-175-9000 to 6500-200-10500	<b>5 years</b>

#### 11.2.2.1.2. **Diploma/ Degree holders in Science**

Designation	Scale of pay	Residency period
ST-III to IV	4500-125-7000 to 5500-175-9000	<b>5 years</b>
ST-IV to V	5500-175-9000 to 6500-200-10500	<b>5 years</b>
	6500-200-10500 to 8000-275-13500	<b>5 years</b>

#### 11.2.2.2. **Screening**

The employee will be first screened by a Committee appointed by the Executive Director of C-MET on the basis of grading in the Annual Confidential Reports (ACRs) for consideration for promotion; the ACRs shall be assessed on a 10 point scale giving 10 marks for “outstanding”, 8 marks for “very good”, 6 marks for “good”, 4 marks for “average” and 0 marks for “poor” and only those employees who satisfy the minimum residency period linked to their performance as indicated in the table below shall be screened in.

Years spent in the grade	Minimum Percentage of marks based on ACRs for eligibility
	Where residency period is 5 years
5 years	85%
6 years	80%
7 years	75%
8 years	70%
9 years	60%

The minimum standard of 60% cannot be further relaxed even if the employee has put in more than 9 years of residency period

#### 11.2.2.3. **Procedure for assessment**

11.2.2.3.1. The assessment of diploma/degree holders will be done in the following manner and would consist of three distinct stages: -

- Written Test marks - 30
- Productivity linked performance evaluation marks as reflected in annual performance reports - 30
- Interview marks - 40

The qualifying marks for promotion will be 70% and not less than 50% in each of the stages given above.

11.2.2.3.2 For assessment of trade certificate holders/Inter with Science (PCM)/Technical subjects will be done in the following manner and would consist of three distinct stages:

- i. Marks secured in written / trade test - 30%
- ii. Evaluation of performance as assessed from the ACRs with specific reference to contribution to the activities of C-MET - 30%
- iii. Interview - 40%

The qualifying marks for promotion will be 70% and not less than 50% in each of the stages given above.

11.2.2.4. **Date of assessment**

Promotions shall normally be effected from a fixed date, i.e., 1<sup>st</sup> July when the assessment falls due.

11.2.2.5. **Selection Committee**

Composition of the Screening Committee will be as follows: -

A member of Steering Committee	Chairman
Executive Director of C-MET	Member
Director of a Laboratory of C-MET	Member

Composition of the selection committee shall be as follows: -

A member of Steering Committee	Chairman
Representative of Administrative Ministry	Member
Executive Director of C-MET or his Representative	Member
Rep. In the relevant field from Academic or R&D Institution	Member
An eminent Scientist of SC/ST category	Member

11.2.2.6. **LATERAL PROMOTION TO THE SCIENTIFIC/TECHNICAL SUPPORT STAFF**

The Scientific/Technical Support staff are eligible for lateral promotion in the Grade of ET-I subject to the condition that:-

- (i) he/she satisfies the minimum educational qualification prescribed for direct recruitment for that post;
- (ii) he/she completes minimum residency period with minimum percentage of marks based on ACR, prescribed for the promotion from ST-IV to ST-V (Rs.5500-9000 to 6500-10500), the employee will be inducted in the grade of ET-I, else he will be placed in ST-VI.

11.2.3. **Administrative posts**

All promotions in the Administration cadres shall be strictly vacancy based and on merit, **unless otherwise provided in Recruitment Rules.**

11.2.3.1. **Determination of regular vacancies**

It is essential that the number of vacancies in respect of which a panel is to be prepared by a DPC should be estimated as accurately as possible. For this purpose, the vacancies to be taken into account should be the clear vacancies arising in a post/grade/service due to death, retirement, resignation, regular long-term promotion and deputation or from creation of additional posts on a long term. As regards to vacancies arising out of deputation, only those cases of deputation for periods exceeding one



year should be taken into account, due note, however, being kept also of the number of the deputationists likely to return to the cadre and who have to be provided for. Purely short-term vacancies created as a result of employees proceeding on leave, or on deputation for a shorter period, training, etc., should not be taken into account for the purpose of preparation of a panel. The vacancies for reporting to DPC shall be calculated on financial year basis. In cases where there has been delay in holding DPCs for a year or more, vacancies should be indicated year wise separately.

**11.2.3.2. Crucial date for determining Eligibility**

The Crucial date for determining eligibility shall be 1<sup>st</sup> October

**11.2.3.3. List of employees for considering for Promotion**

11.2.3.3.1 All employees who satisfy minimum eligibility condition as per Recruitment Rules shall be placed in the list for considering for Promotion.

11.2.3.3.2 The names of the employees who are on deputation, either on their own volition or in public interest (including Foreign Service), should also be included in the list submitted to the DPC, in case they satisfy the minimum eligibility condition. In such cases, the period of service rendered by the employee on deputation/foreign service, should be treated as comparable service in the Society, subject to the condition that the deputation/foreign service, is with the approval of the Competent Authority and it is certified by the competent authority that but for deputation/foreign service, the employee would have continued to hold the relevant post in the Society.

11.2.3.3.3 An employee proceeding on study leave and those went on training abroad on special leave under various training schemes should also be treated on the same basis as an employee proceeding on deputation.

**11.2.3.4. Procedure for assessment**

11.2.3.4.1. Where promotion is based on Selection cum Seniority, the assessment will be done in two distinct stages: -

- |                        |   |          |
|------------------------|---|----------|
| (i) Evaluation of ACRs | - | 50 marks |
| (ii) Interview         | - | 50 marks |

The qualifying marks for promotion shall be 40% in each of the stages given above.

11.2.3.4.2. Where promotion is based on Selection cum Merit, the assessment will be done in three distinct stages:-

- |                        |   |          |
|------------------------|---|----------|
| (i) Evaluation of ACRs | - | 50 marks |
| (ii) Test              | - | 50 marks |
| (iii) Interview        | - | 50 marks |

The qualifying marks for promotion shall be 40% in each of the stages given above.

**11.2.3.5. Evaluation of Annual Confidential Reports (ACR)**

The evaluation of ACRs should be fair, just and non-discriminatory. Hence –

11.2.3.5.1. The DPC should consider ACRs for equal number of years in respect of all officers considered for promotion subject to 11.2.3.5.3 below.

11.2.3.5.2. The DPC should assess the suitability of the officers for promotion on the basis of their service record and with particular reference to the ACRs for the years equal to the required qualifying service. If more than one ACR has been written for a particular year, all the ACRs for the relevant year shall be considered together as the ACR for one year.

11.2.3.5.3. Where one or more ACRs have not been written for any reason during the relevant period, the DPC should consider the ACRs of the years preceding the period in question and if in any case even these are not available the DPC should take the ACRs of the lower grade into account to complete the number of ACRs required to be considered as per 11.2.3.5.2 above. If this is also not possible, all the available ACRs should be taken into account.

11.2.3.5.4. Where an employee is officiating in the next higher grade and has earned ACRs in that grade, his ACRs in that grade may be considered by the DPC in order to assess his work, conduct and performance, but no extra weightage may be given merely on the ground that he has been officiating in the higher grade.

11.2.3.5.5. The DPC should make overall ACR grading based on the mark allotted to each grading as below:-

Out Standing	-	50
Very Good	-	40
Good	-	30
Average	-	20
Poor/Unfit	-	00

In a particular year, if more than one ACR has been written, average of all the grading as per ACRs of that year shall be taken as the mark of the grading for that particular year.

The total mark for the final assessment shall be the average of all the marks as per ACRs for the years equal to the required qualifying service.

11.2.3.5.6. If the Reviewing Authority has overruled the grading given by the Reporting officer with supporting remarks, the DPC shall take its own

decision as to the Grading with particular reference to the remarks given by the Reviewing Authority and the grading in the other ACRs of the employee.

11.2.3.6. **Interview/ Test**

DPC shall conduct Interview/Test for evaluating the general understanding of Rules and regulations, work done etc.

11.2.3.7. **Principles to be observed and preparation of Panel**

The list of candidates considered by the DPC and the overall grading assigned to each candidate, would form the basis for preparation of the panel for promotion by the DPC. The following principles should be observed in the preparation of the panel: -

11.2.3.7.1. The overall grading shall be given based on the total mark obtained in the ACR, test /interview:

100 %	- Out Standing
Below 100% upto 80%	- Very Good
Below 80% upto 60%	- Good
Below 60% upto 40%	- Average
Below 40%	- Unfit

11.2.3.7.2. Selection cum Seniority:- All posts of Administrative cadre except SA-II to SA-III, SA-V to SA-VI and SA-VI to EA-I shall be made based on Selection cum Seniority and the bench mark would be 'Good' for overall grading. In the case of Officers in the grade of Rs.12,000-16,500 the promotion shall be based on Selection cum Seniority and the benchmark would be 'Very Good'.

11.2.3.7.3. Selection cum Merit:- The promotions from SA-II to SA-III, SA-V to SA-VI, and SA-VI to EA-I shall be made based on Selection cum Merit and the bench mark would be 'Good'.

11.2.3.7.4. Each DPC while considering the suitability of employees for promotion to posts on Selection cum Seniority basis, for which the bench mark has been determined as 'Good', would grade the employees as 'Good' , 'Average' and 'Unfit' only. Only those officers who obtain the grading of 'Good' will be included in the panel in the order of their seniority in the lower grade subject to availability of vacancies.

11.2.3.7.5. In the case of Selection cum Merit, DPC would grade the officers as 'Outstanding', 'Very Good', 'Good' , 'Average' and 'Unfit' as the case may be. However, only those who satisfies the benchmark; ie. 'Good', and above will only be included in the select panel, by placing the officers graded as 'Outstanding' on top followed by those graded as 'Very Good'

and 'Good', subject to availability of vacancies, with the officers with the same grading maintaining their *inter se* seniority in the feeder grade.

11.2.3.8. Those Support Staff Admn II who have put in minimum number of years service in SA II as per Recruitment Rules and possessing matriculation or equivalent qualification will be called for written test, followed by interview. The qualifying marks for promotion shall be atleast 40% at each stage of evaluation.

11.2.3.8.1. As there is no ACR grading for SA-I employees, their promotion from SA-I to SA-II will be under Non-selection method. The DPC will categorize the officers 'Fit/Not Fit'. Names of the employees found 'FIT' will be arranged according to their *inter se* seniority.

11.2.3.9. **Date of assessment**

Promotions shall normally be effected from a fixed date i.e. 1<sup>st</sup> October when the assessment falls due.

11.2.3.10. **Departmental Promotion Committee**

The Constitution of DPC shall be as per Recruitment Rules.

11.2.3.11. **Examination pattern**

11.2.3.11.1. For promotion from SA-V (Rs.4500-7000) to SA-VI (Rs.5500-9000) and SA-VI (Rs.5500-9000) to EA-I (Rs.6500-10500)

Written test shall comprise of 100 marks in the following subjects as per the break-up indicated below:

- i. Office procedures, MOA, Rules, GFR  
Byelaws, Policy Manual, Official  
Language Implementation scheme,  
Reservation orders for SC/ST – 50 marks
- ii. General Knowledge – 20 marks
- iii. General English (including Essay and  
Précis writing), noting and drafting – 20 marks
- iv. Knowledge of Computer Applications – 10 marks
- v. The duration of the Examination shall be three hours

11.2.3.11.2. **For Promotion from SA-II (2610-3540) to SA-III (Rs.3050-4590)**

- (I) General English (including Essay writing) - 50 marks
- (ii) General Knowledge - 40 marks
- (iii) Knowledge on computer operation - 10 marks

Duration of written examination shall be two hours.

11.2.3.11.3. Setting up of question paper and its evaluation

The question paper for the written examination and evaluation will be entrusted to a professional body (ISTM, Govt of India etc) or through Officers of appropriate status (both serving or retired) from Government/Autonomous Body/Statutory Body. The standard of question paper & evaluation and interview will depend upon the level to which the staff member is considered for promotion.

11.2.3.12. **Acquisition of additional qualifications**

Acquisition of additional qualification while in service will not make anyone ipso-facto eligible to be placed in a higher grade. Employees possessing additional qualifications shall be given an opportunity to offer their candidature against notified vacancies.

11.2.3.13. **Implementation of Select List**

DPC recommendations stand accepted unless the Appointing Authority disagrees within three months. Where not accepted, he will submit the relevant papers to the next higher authority with recommendations.

11.2.3.14. **Validity of Panel**

Panel normally valid for one year, should cease to be in force on the expiry of one year and six months, or till preparation of a fresh panel, whichever is earlier.

11.2.3.15. **Date of Promotion**

Promotions will be made from a prospective date only and in the order of candidates from the consolidated list even against vacancies which existed in previous year.

11.2.4. **DPC meetings**

11.2.4.1. The DPC as per recruitment rules should be convened at regular annual intervals to draw panels, which could be utilized, on making promotions against the vacancies occurring during the course of a year.

11.2.4.2. Holding of DPC meetings need not be delayed or postponed on the ground that Recruitment Rules for a post are being reviewed/amended.

11.2.4.3. A vacancy shall be filled in accordance with the Recruitment Rules in force on the date of vacancy, unless rules made subsequently have been expressly given retrospective effect. Since amendments to Recruitment Rules normally have only prospective application, the existing vacancies should be filled as per the Recruitment Rules in force.

11.2.4.4. The requirement of convening annual meetings of the DPC should be dispensed with only after a certificate has been issued by the appointing authority that there are no vacancies to be filled by promotion or no officers are due for confirmation during the year in question.

11.2.5. **PROGRESSIVE CAREER PROMOTION SCHEME (PCP SCHEME)**

#### 11.2.5.1 **Applicability**

Applicable to employees whose promotions are vacancy based and have not been promoted for over 8 years in a particular scale of pay.

#### 11.2.5.2. **The PCP Scheme**

11.2.5.2.1. The scheme aims to deal with the problem of genuine stagnation and hardship faced by the employees due to lack of adequate promotional avenues and facilitate competent employees of C-MET with proven merit to earn further promotions. Under the Scheme, employees who have demonstrated superior performance and are efficient, on completion of 8 years in any particular cadre shall be assessed and financial upgradation permitted. The scheme facilitates career advancement based on merit even when promotional avenues are not provided for either as a result of vacancy-based promotion or as a result of limited vacancies.

11.2.5.2.2. The Scheme envisages merely placement in the higher pay scale/grant of financial benefits (through financial upgradation) only to the employee concerned on personal basis and shall, therefore, neither amount to functional/regular promotion nor would require creation of new posts for the purpose.

11.2.5.2.3. The Scheme will in no case affect the normal (regular) promotional avenues available on the basis of vacancies.

11.2.5.2.4. The period of service on deputation/foreign service in another organization shall count towards the required year of service for promotion under this scheme.

#### 11.2.5.3. **Promotional Grade**

Promotions under the scheme would be available for promotions to the next higher scale. The highest pay scale up to which the financial upgradation under the scheme available will be Rs. 14300-18300.

#### 11.2.5.4. **Screening**

The employee will be first screened on the basis of grading in the Annual Confidential Reports (ACRs) for consideration for promotion; the ACRs shall be assessed on a 10 point scale giving 10 marks for "outstanding", 8 marks for "very good", 6 marks for "good", 4 marks for "average" and 0 marks for "poor".

#### 11.2.5.5. **Procedure for assessment**

11.2.5.5.1. The eligible employee will be first screened on the basis of grading in the Annual Confidential Reports (ACRs) for considering Financial Upgradation. Only those employees who satisfy the minimum residency period of 8 years in a particular scale of pay and a minimum score of 60% marks based on ACRs for the assessment period as a whole shall only be considered for financial upgradation subject to fulfillment of normal promotional norms (benchmark, departmental examination, interview etc). As there is no ACR grading for SA I & II employees, the financial

upgradation will be given to those employees after completion of 8<sup>th</sup> year (seniority-cum-fitness in case of Group D employees) subject to condition in para 11.2.5.10.4. Composition of DPC will be as per Recruitment Rules. As far as promotion of employees under cloud is concerned sealed cover procedure shall be followed.

- 11.2.5.6. **Seniority List** – The financial upgradation under the Scheme will be purely personal to the employee concerned and will have no relevance to his seniority position in the lower post. Employees given PCP Scheme Financial Upgradation shall continue to be shown in the seniority list of their respective lower grades/posts and considered for functional promotions to the higher grade/post in the normal way.
- 11.2.5.7. **Fixation of pay** – On upgradation under the scheme, pay of an employee will be fixed under the provisions of FR 22 (I) (a) (1). The financial benefit allowed under the scheme will be final and no pay fixation benefit will accrue at the time of regular promotion i.e. posting against a functional post in the higher grade.
- 11.2.5.8. **Refusal of regular promotion** – Grant of higher pay scale under the Scheme shall be conditional to the fact that an employee, while accepting the said benefit shall be deemed to have given his unqualified acceptance for regular promotion on occurrence of vacancy subsequently.
- 11.2.5.8.1. An employee who has not accepted the regular promotion shall not be entitled for upgradation under PCP scheme, unless he accepts the regular promotion after completing the period of debarment on refusal of promotion. However, as and when he accepts regular promotion thereafter, he shall become eligible for the upgradation under the PCP scheme and the subsequent financial upgradation will get postponed by the period for which he was debarred for regular promotion. The condition is applicable for 1<sup>st</sup> and subsequent upgradations under the scheme.
- 11.2.5.9. **Supersession** – An eligible official may be considered for PCP scheme promotion even before his senior who does not fulfill the criteria prescribed above.
- 11.2.5.10. **Other conditions for grant of benefits:**
- 11.2.5.10.1. The first financial upgradation under the scheme will be allowed after 8 years of regular service and the second upgradation after 8 years of regular service from the date of the first financial upgradation. If the first upgradation gets postponed on account of the employee not found fit or due to departmental proceedings etc., this would have consequential effect on the second upgradation which would also get deferred accordingly.
- 11.2.5.10.2. Three financial upgradations under the scheme in the entire career of an employee will be counted against regular promotions availed from the grade in which an employee was appointed as a direct recruit.
- 11.2.5.10.3. If an employee has already got one regular promotion, he shall qualify for the second financial upgradation only on completion of 16 years of regular service. In case two prior promotions on regular basis already

been received by an employee, third financial upgradation only on 24 years of regular service.

11.2.5.10.4. As the Financial Upgradation under the scheme has been envisaged for employees with proven merit etc., employees who have been awarded major/minor penalty will not be considered for Financial Upgradation i.e. the period of penalty will not be considered for reckoning of residency period.

## **11.2.6. GENERAL CONDITIONS FOR PROMOTION FOR S & T AND NON-TECH STAFF INCLUDING IN-SITU (FCS) AND PCP SCHEME**

### **11.2.6.1 Vigilance clearance**

Vigilance clearance is necessary before actual promotion, to ensure that no disciplinary/criminal case is pending.

### **11.2.6.2 Sealed cover procedure in respect of persons under cloud**

In the following cases the DPC shall observe the Sealed cover procedure:

- i) The employee under suspension;
- ii) The employee against whom a charge-sheet has already been issued and disciplinary proceeding is pending; and
- iii) The employee against whom prosecution for a criminal charge is pending

The DPC will assess their suitability without regard to the disciplinary aspect. DPC findings and grading will be kept in a sealed cover and the fact recorded in the DPC proceedings. DPC will review the sealed cover cases every six months to assess the progress made in the disciplinary proceedings/criminal prosecution. If a case is not concluded even after two years since the first DPC, and if the affected employee is not under suspension, the Appointing Authority may, after review, put up the case in the next DPC to consider suitability of the employee for *ad hoc* promotion.

On conclusion of the case, sealed cover will be opened. In case the employee is completely exonerated, the due date of his promotion will be determined and he will be promoted notionally with reference to the date of promotion of his junior, if necessary reverting the junior most officiating person.

Where the second and subsequent departmental proceedings were instituted after promotion of the junior to the employee concerned on the basis of the recommendation made by the DPC which kept the recommendation in respect of the employee in sealed cover, the benefit of the assessment by the first DPC will be admissible to the employee on exoneration in the first inquiry, with effect from the date his immediate junior was promoted. In case the subsequent proceedings, commenced after the promotion of the junior, results in the imposition of any penalty before the exoneration in the first proceedings based on which the recommendations of the DPC were kept in sealed cover and the employee concerned is promoted retrospectively on the basis of exoneration in the first proceedings, the penalty imposed may be modified and effected with reference to the promoted post. An indication to this



effect may be made in the promotion order itself so that there is no ambiguity in the matter.

#### 11.2.6.3 **Review DPC**

Review DPC will be held only if the DPC has not taken all material facts into consideration or if certain facts have not been brought to the notice of DPC or if there have been grave errors in the proceedings of the DPC. Review DPCs should also be convened to rectify unintentional mistakes such as:-

- i) where eligible persons were omitted to be considered;
- ii) where ineligible persons were considered by mistake;
- iii) where seniority of a person is revised with retrospective effect resulting in variation with the list placed before the DPC;
- iv) where some procedural irregularity was committed by DPC;
- v) where adverse remarks in the CRs of an employee were toned down or expunged after the DPC had considered his case;
- vi) where certain vacancies had not been reported due to error or omission of vacancies that existed at the time of holding DPC

For filling up unforeseen vacancies due to voluntary retirement, resignation, creation of new posts, etc., a second DPC may be held in the same year.

#### 11.2.6.4 **Declining Promotion**

An employee declines promotion for reasons acceptable to the Appointing Authority will not be promoted for one year or till a vacancy arises, whichever is later. If by then the next DPC meets, his case will be considered afresh and he will forgo his seniority in the first panel. His seniority will be counted from the date of his promotion, if the promotion is after one year, though from the same panel. If the promotion is from the subsequent panel, his seniority will be with reference to his position in that panel. If the reasons for declining the promotion by the employee are not acceptable to the Appointing Authority, the promotion may be enforced. If promotion is still declined, disciplinary action may be taken for refusal to obey the order.

#### 11.2.6.5 **Letters of Appreciation**

The policy in general discourages granting letter of appreciation or note of commendation to its employees and placing it in the confidential Report dossier. Appreciation of work should more appropriately be recorded in Annual Confidential Reports rather than in letters of appreciation which do not give complete perspective of the employee's good and bad points.

Letter of appreciation issued in the following cases by the authorities specified therein may, however, be kept in the Confidential Report Dossier of the employee concerned: -

- i) Issued by the Government or a Secretary or Head of Department in respect of any outstanding work done.
- i) Issued by special Bodies or Commissions or Committees, etc., or excerpts of their reports expressing appreciation for an employee by name.
- ii) From individual non-officials or from individual officials (other than a Secretary/Head of Department) if confined to expressing appreciation for services rendered far beyond the normal call of duty:

Provided the Head of the Laboratory so directs.

The mere fact that a stray letter of appreciation goes into the confidential Report does not give the officer undue advantage in the matter of promotion which is governed more by consideration of general and consistently high performance than occasional flashes of good work.

#### 11.2.7. **In-situ promotions including FCS**

Employees given promotion in situ, including FCS, will continue to be borne on the seniority list of lower cadre / post and promotions under the scheme, which is in situ, shall not involve assumption of higher duties and responsibilities.

### 11.3. TRAINING & HIGHER STUDIES

Human resource development shall be one of the corporate priorities of C-MET and Training shall be viewed as the most important tool for ensuring the development of the employees resulting in satisfying careers for them as well as the development of the organization. C-MET believes that learning is a life long process and members from top to bottom should have an open mind for learning. Towards achieving this objective, a three-tier need based training programme shall be organized, viz., Management Development Programmes, Individual Development Programmes and Technical Training.

11.3.1. **Management Development Programmes:** These programmes are organized for managerial staff covering areas such as man-management skills, leadership, teamwork, motivation, project management etc. Suitable faculty members in the selected areas shall be engaged to conduct such programmes.

11.3.2. **Individual Development Programmes:** These programmes are intended to focus on the development of the individual employee. The topics will include personality development, communication skills, attitude, motivation, inter-personal relationship etc. It is believed that a quality individual only will produce quality output.

11.3.3. **Training for skill development:** These programmes will consist of training on selected technical topics where the need is identified for upgradation of the skill or learning a new skill of current relevance. The purpose is to keep the members abreast of the latest development in technology in the areas where C-MET functions.

Participants for the various programmes are chosen in consultation with the concerned Sections after the needs for training are identified.

Wherever the number of participants for a particular programme is large, in-house programmes are organized. In case the participants are less in number, they are sent for external programmes.

In order to ensure that the training programmes are organised systematically, a detailed training plan is drawn at the beginning of the financial year by 1) Conducting survey of training needs; 2) Consulting executives who are in charge of sections; 3) Feed back obtained from participants and faculty of various training programmes; and 4) the recommendations given during performance appraisal.

After the plan is finalized, the course contents for each programme is drawn carefully in consultation with user departments and where necessary with the guidance of the reputed training organisations. For the purpose C-MET shall enlist the support of premier organisations like IIMs, NIPM, Productivity Councils and other professional bodies and private consultancy organisations shall be engaged only if they have established a name for themselves at national level.

11.3.4. Training Philosophy

C-MET shall promote training to improve:

- The “soft skills” that employees need to work effectively in the organization (e.g. teambuilding skills, communications, supervisory skills);
- The technical skills they need to do their jobs and keep on the cutting edge of the technology (e.g. training specific to the functions of the professional staff; and
- The organization’s success by ensuring that business processes are efficient and effective in meeting member needs (including computer training to improve work processes).

The need for training for the sake of the organisation as well as personal development should be felt strongly at every level and each and every employee should take interest in learning to enhance skills, communications, advanced computer skills, building competency, leadership and team work.

Retraining should also find a prominent place on the training agenda which involves unlearning old concepts and acquiring new skills for all members who must remain updated and in tune with the latest in the high technology area. Equally important is the ‘Induction training’ for the new recruits who can no longer be able to afford the luxury of a long drawn-out induction to the activities of C-MET, systems and culture. They should be able to quickly move from the threshold of the organization to the inner circle and become productive.

Thus, training policy in C-MET shall be targeted towards achieving the following major objectives:

- Make learning one of the fundamental values of C-MET.
- Commit major resources and adequate time to training.
- Use training to bridge the gap with the external world.
- Integrate training into initiatives for change management.
- Use training as a developmental tool for individuals.
- Link organizational, operational and individual training needs.
- Install training systems that substitute work experience.
- Ensure training allows the soft skill to bloom.
- Use retraining to continuously upgrade employees’ skills.
- Create a system to evaluate the effectiveness of training.

#### 11.3.5. Setting up Human Resources Development Department

The Human Resources Development department of C-MET will oversee the training activities for the entire organization. The HRD Department conducts the training needs assessments, designs the workshops and oversees training delivery.

Specific technical training for the members is delivered by the various functional departments in addition to some technical training being organized by HRD to upgrade general computer skills. Technical groups should designate a senior staff member responsible for identifying and coordinating specific technical skills training for their group. . The designated training coordinators have an informal relationship with the HRD Department. They contact HRD Department for administrative support and actual conduct of the training whenever needed.

#### 11.3.6. Identifying Organizational Training Needs

The HRD Department and the technical groups / sections shall jointly identify the training needs for employees of C-MET. The HRD Department and the Departmental heads work together to outline each staff member's training needs in the ACR.

The HRD Department also identifies organizational training needs through several other means such as:

- Informal interviews with members, Team/Group/Programme Coordinators.
- Comments from workshop evaluation results.
- Focus groups.
- Committees made up of members from various departments.

The above deliberate exercise by the HRD Department results in the development and creation of an annual Training Calendar for all employees of C-MET.

#### 11.3.7. Training Impact, Evaluation & Audit

The effectiveness of training on C-MET shall be measured by:

11.3.7.1. Evaluation forms filled out by participants at the end of a workshop (ranking the workshop from poor to excellent on a scale of 1 to 5) and

11.3.7.2. Pre/post tests to assess the change in knowledge as a result of the workshops. The HRD also extends the training impact and evaluation exercise to the extent of ascertaining whether the member has applied the acquired knowledge and skills to actual work situation. This is done through interaction with the staff member and his Programme/Group/Team Coordinators. The HRD conducts participant's reaction for all general workshops and pre/post tests for specific technical training workshops. The results from this assessment provide the HRD

with information on how to improve the existing workshop or develop workshops on other areas of interest expressed by the staff.

Monitoring whether employees follow through with sufficient continuing education is performed by: requiring both management and employees to sign-off on professional development plans and performance evaluations; and requiring HRD to sign-off workshop enrollment forms to make sure employees are taking the right workshops. The responsibility for taking continuing education remains with the staff member, but the Human Resource Development group will play a proactive role in staff development. This helps C-MET to keep its Training and Development activities continuously in tune with the organizational requirement and responsive to employees development needs. Through such a system, C-MET should encourage its members to view training and retraining as an essential life long learning process and often reward its members through a well-defined mechanism of recognition and incentive.

11.3.8. **Guidelines for Grant of Study Leave and Sponsorship for Higher Study**

C-MET shall sponsor its employees for Higher Studies in specified areas subject to the following conditions.

- 11.3.8.1. The course offered shall be for higher studies or specialized training in a professional or technical subject having a direct and close connection with the sphere of his duties or being capable of widening his mind and improving his ability as an employee of C-MET.
- 11.3.8.2. The course should be certified to be of definite advantage from the point of view of employee's current or future official responsibilities.
- 11.3.8.3. Where the course offered is a special course or specialized training, study leave with full pay and allowances shall be allowed. Norms followed in Central Govt. shall be followed in such cases.
- 11.3.8.4. Where the course offered is a regular course of study in premier institutions like IITs, IISc, NITs and is of definite advantage to C-MET the Employee sponsored by C-MET shall be paid a lumpsum amount of Rs 10,000/- p.m. as scholarship and he shall be allowed service benefits while as on duty like increments (notional), seniority etc but shall not be eligible for pay and allowances and other benefits.
- 11.3.8.5. Besides Study leave, or Sponsorship with scholarship, Extra Ordinary Leave up to 24 months could be given where the course offered is in the interest of C-MET. During this period, the employee will not be entitled for any leave salary.
- 11.3.8.6. In case of study leave and sponsorship with scholarship, the guidelines as below shall be followed:
  - 11.3.8.6.1. **Maximum period** is 24 months in the entire service and may be granted at a stretch or in different spells.
  - 11.3.8.6.2. This will not be debited to the leave account. May be combined with any other leave due, but maximum period of continuous absence, including

vacation, if any, but excluding extraordinary leave, should not exceed 28 months generally, and 36 months for study leading to Ph.D. degree.

- 11.3.8.6.3. An Employee should have at least 5 years service for being considered for study leave / sponsorship. The candidates should have demonstrated their ability and commitment to C-MET's objectives through their work as reflected in the reports / records. Employees who have scored minimum 75% marks based on ACR ratings in the last five years shall only be considered.
- 11.3.8.6.4. Study leave / sponsorship with scholarship shall not be granted for studies out of India if facilities for such studies exist in India.
- 11.3.8.6.5. The employee who is selected for study leave / sponsorship will have to execute a Service Bond, which will be normally 3 years for course of duration less than 18 months and 5 year for a course of study exceeding 18 months. C-MET shall not sponsor employee for any other leave due, but maximum period of continuous absence should not exceed 28 months.
- 11.3.8.6.6. The continuity of services of the employee sponsored as per para above shall be maintained and the period of training / higher studies shall be fully treated as period of service for grant of increments (notional), seniority etc.
- 11.3.8.6.7. If an Employee sponsored for higher studies could not complete the course in the stipulated time, C-MET shall have the option of extending the time limit to complete the course.
- 11.3.8.6.8. Employees sponsored for any course are expected to complete the course successfully, failing which all expenses incurred by C-MET and by other agencies such as Foreign Governments, Foundations, Trusts etc in connection with course of study during the sponsorship will have to be refunded to C-MET together with penal interest of 12%.
- 11.3.8.7. **Resignation or retirement after study leave or not completing the course of study:** - An official, who after availing of study leave resigns from service or otherwise quits within three years after return to duty or does so without returning to duty at all from study leave, or fails to complete the course of study, should refund (i) the actual amount of leave salary, scholarship, cost of fees, and other expenses, if any, incurred by C-MET, and (ii) the actual amount, if any, of the cost incurred by other agencies such as Foreign Governments, Foundations, Trusts in connection with the course of study, with penal interest of 12%.
- 11.3.8.8. The selection for sponsorship shall be decided by the management after due consideration of the eligibility if the employee in terms of length of service, performance etc. The no. of employees sponsored shall be limited to 1% of the regular staff of C-MET at a time. Beyond this C-MET shall also consider grant of Extra Ordinary Leave limited to 24 months for prosecuting studies, certified to be in the interest of C-MET in which case no leave salary or scholarship is payable.
- 11.3.8.9. An employee who has availed study leave with sponsorship basis shall not be granted another study leave with service benefits during the bond period.

In extraordinary cases study leave without extending any service benefits including seniority shall be considered provided that the same official is not deputed for such frequency as to remove him from contact with his regular work owing to his long absence.

11.3.8.10. Applications for sponsoring employee will be invited by C-MET in the month of December and the employees to be sponsored shall be decided by the Executive Committee.

11.3.8.11. Depending on the type of course and the extend of its relevance to the activities of C-MET, seniority benefits may be considered for promotions even where higher studies were by availing EOL; provided the Employee concerned is willing to execute a Service Bond, before proceeding on leave.

### 11.3.9. **Sabbatical Leave**

Scientific staff of C-MET shall be considered for grant of Sabbatical leave in accordance with the following guidelines:

11.3.9.1. The Sabbatical Leave shall be exclusively for scientific or academic work at any relevant institution in India or abroad. The facility of sabbatical leave shall be extended to include work on other activities of the innovation chain with industry, consultancy organizations, financial institutions, project engineering firms, technology marketing/transfer agencies, etc.

11.3.9.2. The Sabbatical Leave would be admissible to Scientists in the scale of pay Rs 12000-16500 and above who have rendered not less than six years service in C-MET.

11.3.9.3. Sabbatical Leave shall be granted once in six years, provided, the Scientist concerned has not gone on one year or longer deputation or assignment or study leave or PDF etc during the preceding six years.

11.3.9.4. Sabbatical Leave could be availed by a Scientist while receiving Fellowship form any other organisation.

11.3.9.5. The leave will be limited to a maximum period of one year; it may be taken for shorter duration.

11.3.9.6. The Scientist must have at least three years service after completion of Sabbatical Leave.

11.3.9.7. Sabbatical Leave cannot be combined with any other leave;

11.3.9.8. During the period of Sabbatical Leave, the Scientist concerned will be paid full salary and allowance as would have been otherwise admissible to him.

11.3.9.9. Scientist concerned will furnish a letter of acceptance from the Host Institution for undertaking advanced study/research.

11.3.9.10. Scientist concerned will give an undertaking before proceeding on Sabbatical Leave that he/she will utilize it for the bonafide purpose for which it is



sanctioned and will not accept any commercial employment during the period of leave.

11.3.9.11. During the period of Sabbatical Leave, the Scientist will continue to retain leased accommodation on the same terms and conditions as are applicable to other employees.

11.3.9.12. For all purposes the period of Sabbatical Leave will be treated as a period spent on duty but without entitlement to TA and DA.

11.3.9.13. In case the Scientist proceeds abroad, C-MET will have no financial obligations including medical expenses.

11.3.9.14. All applications for sabbatical leave shall be decided by the Executive Director and where Sabbatical Leave is out of the country approval of the Executive Committee shall be taken.

11.3.9.15. On completion of Sabbatical Leave, the Scientist will submit a detailed report on the work done and objectives accomplished.

#### 11.3.10. **Permission for Higher Studies**

11.3.10.1. C-MET shall encourage the members to pursue higher studies and research leading to better academic qualifications. However, it may be understood and appreciated that C-MET is very rigidly time-bound mission where over-run in terms of time would not be sustainable. In character, C-MET is entirely different from any other R&D organization where one may not be able to pursue work leading to Ph. D. or similar qualification on an exclusive basis and at the same time concentrate on a time-bound mission as well.

11.3.10.2. Permission for higher studies through correspondence or on a part time basis shall be granted by the Executive Director / Director at his discretion based on the utility of the course and its applications to the job of the members of staff on a very selective basis.

11.3.10.3. Request for registration for higher studies should normally be made on or after the applicant has put in five years of continuous service with recognized contribution and has accomplished the task assigned to him.

11.3.10.4. Those intending to register for the higher studies like the Ph.D. must have demonstrated their research aptitude and ability through the publication of papers in the leading national/ international journals on the basis of the work done in C-MET.

11.3.10.5. The topic of the higher studies should have a direct relevance to and an impact on the objectives of C-MET.

11.3.10.6. With an unfinished Mission Task on hand, no long-term leave would be admissible to enable one to work on the higher studies or the research or the completion of the thesis.

#### 11.3.11. **Lump Sum Incentive for Acquiring High Qualification**

11.3.11.1. Employees of C-MET shall be sanctioned lump sum incentive for acquiring higher qualification useful in the discharge of higher official work. The following are the scales of incentive admissible on acquiring the prescribed qualifications:

	Qualification	
	Degree in Engineering or equivalent in the respective disciplines viz. Electrical & Electronics, Electronics & Communications, Computer Science & Engineering, Applied Electronics, Instrumentation & Control, Electronics & Instrumentation, MCA, Electronics & Instrumentation, Instrumentation, Electronics & Telecommunications, Instrumentation & Process Control, Instrumentation & Electronics Engineering, Information Science & Engineering,	
	Postgraduate degree or equivalent in Engineering in respective discipline viz. Engineering Design, Computer Integrated Manufacturing, Control Systems, Applied Electronics, Communication Systems, Computer Science & Engineering, Thermal Power Engineering, Power Systems Engineering, Power Electronics & Drives, Laser & Electro Optical Engineering, Remote Sensing, Digital Systems, Software Engineering, Analysis & Design of process	
	Ph. D in the field relevant to the functions of the Employee of C-MET.	
	Diploma or equivalent in Computer Science/ Computer Applications/Information Technology relevant to the functions of the Employee of C-MET.	
	P G Diploma in Computer Science / Computer Applications / Information Technology relevant to the functions of the Employee of C-MET.	
	Degree in Computer Science/ Computer Applications/ Information Technology relevant to the functions of the Employee of C-MET.	
	Postgraduate Degree in Computer Science/ Computer Applications / Information Technology relevant to the functions of the Employee of C-MET.	
	PG Diploma in Materials Management from Institute/University/Deemed University, etc. recognized by the All India Council for Technical Education / Government of India.	
	<p>a) On passing intermediate / Part-I Examination of the Institute of Chartered Accountants of India, Cost &amp; Works Accountants of India /Institute of Chartered financial Analysis of India.</p> <p>b) On passing Final Examination of Institute of Chartered Accountants of India/ Cost &amp; Works Accountants of India/ Institute of Chartered Financial Analysts of India.</p>	
	a) On passing Intermediate examination of the Institute of Company Secretaries of India.	

	b) On passing Final Examination of the Institute of Company Secretaries of India.	
	Multi skill diploma in relevant fields.	
	For undertaking competency tests maximum amount that would be reimbursed will be Rs.10, 000/-	

11.3.11.2. Guidelines

11.3.11.2.1. Incentive shall be considered only if the higher qualification will make the official more effective in the present or next higher assignment.

11.3.11.2.2. The quantum of lump sum shall be a one-time incentive and shall be based on qualification without any relation to increment or level/ grade of the official.

11.3.11.2.3. Official acquiring the higher qualification by taking study leave or sponsored by the Laboratory, are not eligible for the incentive.

11.3.11.2.4. The incentive is admissible only for the higher qualification acquired after induction into service.

11.3.11.2.5. The incentive is not admissible for the qualifications, which are laid down as essential or desirable in the Recruitment Rules for the posts.

11.3.11.2.6. In view of Government's guidelines and additional increment for passing of Hindi Examinations will also be granted.

11.3.11.2.7. Members will continue to be governed by the existing policy of Promotion. Acquired additional qualification may be given due weight age during DPC interview.

11.3.12. **Membership of Professional Bodies/Institutions:**

The Officers of C-MET in the regular scale of pay Rs 6500 - 10500 and above are encouraged to participate in professional bodies/institutions in the field of their specialization. Life membership will be allowed subject to the condition that, if the employee leaves C-MET before ten years of the start of the Life Membership, he will have to refund a proportionate (proportionate to the number of years by which he falls short of the ten years mentioned) amount to C-MET on account of reimbursement for life membership of the Professional body/institution. C-MET shall reimburse 90% of the membership fee of the annual subscription for one National and one International professional body for S&T staff and two national memberships for non-technical staff. The maximum amount that can be reimbursed on this account is limited to Rs 10,000/- in a year. For the purpose the following professional bodies are presently approved, and reimbursement shall be limited to these only: -

Engineers/ Scientists	Institute of Electronics & Telecommunication Engineers (IETE) New Delhi. Materials Research Society of India Semiconductor Society of India, Optical Society of India Indian Ceramics Society
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	Manufacturers Association of Information Technology Computers Society of India Indian Plastic Institute Indian Physics Society Indian Polymer Society Indian Institute of Metals Magnetic Society of India Semiconductor Society of India MRS-USA (Materials Research Society) Society for Chemical Engineers American Ceramic Society Asian Society for Solid State Ionics International Society for Hybrid Microelectronics American Physical Society American Chemical Society Institute of Electrical & Electronics Engineers (Inc. (IEEE) New York. Computer Society of India. Institution of Engineers. <b>American Society of Metals (TMS)</b>
Personnel	National Institute of Personnel Management (NIPM). British Institute of personnel Management (BIPM)
Training	Indian Society for Training and development (ISTD), New Delhi.
Management	All India Management Association (AIMA), New Delhi. American Management Association (AMA) British Institute of Management (BIM) Indian Management Association (India) Management Association at the State level
Behavioural Science	Indian Society for Applied Behavioral Science (ISABS) Mumbai. Transactional Analysis Society of India (TASI), New Delhi. Indian Society for Individual and Social Development (ISISD), Ahmedabad.
Marketing	American Marketing Association (AMA) Institute of Marketing Management
Finance	Institute of Cost & Work Accountants Institute of Chartered Accountants of India. Institute of Internal Audit Institute of Chartered Secretary IFCAI, Hyderabad AMBIM - London, U.K. FCWA - London, U.K.
Materials Management	Indian Association of Materials Management (Indian Institute of Materials Management)

11.3.12.1. The list of professional bodies given above shall be modified periodically by the Executive Director of C-MET.

11.3.12.2. Reimbursement can be sought on production of Receipt from the professional body.

11.3.12.3. Sanctioning authority:

Membership	Sanctioning Authority
National Professional Society	Executive Director / Director
International Professional Society	Executive Director with permission of the Vice-Chairman of the Council

11.3.13. **Incentives for Hindi**

11.3.13.1. **Cash Awards for passing the examinations, through training classes, under Hindi Teaching Scheme** – All employees are eligible for Cash Awards on the basis of marks obtained: -

Marks obtained	Prabodh Exam.	Praveen/Pragya
70% or more marks	Rs.400	Rs.600
60% or more but less than 70%	Rs.200	Rs.400
55% or more but less than 60%	Rs.100	Rs.200

Not eligible –

An employee (a) who has already passed the primary/higher examination conducted by a school/Government agency/private body, with Hindi as a subject or medium or whose mother tongue is Hindi, Punjabi, Urdu, Kashmiri, Sindhi, Marathi, Gujarati, Bengali, Oriya, Assamese or other allied language is not eligible.

Cash Awards will be in addition to Lumpsum Awards / Personal Pay.

**11.3.13.2. Cash Awards for acquitting creditably in Hindi Typewriting and Hindi Stenography examinations under the Hindi Teaching Scheme**

11.3.13.2.1. Support staff of C-MET are eligible on the basis of marks obtained: -

Hindi Typing	Hindi Stenography	
97% or more marks	95% or more marks	
95% or more but less than 97%	92% or more but less than 95%	
90% or more but less than 95%	88% or more but less than 92%	

Not eligible –

An employee (a) who knows Hindi Typewriting/Stenography even before joining service, (b) who has received training or passed the Hindi Typewriting/Stenography Test from a recognized institution and (c) for whom training in Hindi Typewriting/Stenography is not obligatory, is not eligible.

11.3.13.2.2. Cash Awards admissible even to those who qualify by making use of Electronic Typewriters, computers, word processor.

11.3.13.2.3. Admissible in addition to Lumpsum Awards / Personal Pay admissible.

11.3.13.2.4. On receipt of the results of the examinations from the Directorate of Education (Examination Branch, Old Secretariat, Delhi), Ministries/Departments to obtain particulars of their meritorious candidates for deciding Cash Awards and issue sanctions in favour of eligible candidates.

**11.3.14. Lumpsum Awards for passing the examinations through own efforts –**

11.3.14.1. Lumpsum Awards as under admissible (a) to operational staff, and (b) to those posted at places where there are no training centers under the HTS or where there are no arrangements for imparting training in the concerned classes, for passing, through one's own efforts, the examination of the HTS and such Hindi examinations conducted by the recognized Voluntary Hindi Organizations.

	Prabodh and Praveen examination of HTS (for each).	
	Pragya examination of HTS	
	Hindi Typewriting examination of HTS*	
	Hindi Stenography examination of HTS*	
	Such Hindi examination conducted by the voluntary Hindi Organization recognized by the government of India as equivalent to or higher than the Matriculation examination	
	Hindi Diploma Course examination of the Central Hindi Directorate	

(\*including those who qualify by making use of Electric Typewriters, computers/word processors).

11.3.14.2. **Conditions** - Lumpsum Awards admissible in addition to Cash Awards.

11.3.14.3. The prescribed examination to be passed within fifteen months of first appearance at the said examination

**Not eligible: -**

11.3.14.4. Employees (a) who have passed Matriculation/equivalent/higher examination with Hindi as a subject in any form or through Hindi medium or (b) whose mother tongue is Hindi, or (c) who have been exempted from the in-service training in Hindi are not eligible for Cash Award for passing any Hindi examination.

11.3.14.5. Those who have passed the Middle (Class VIII)/equivalent/higher examination with Hindi as a subject in any form or through Hindi medium are not eligible for Cash Awards for passing the Prabodh / Praveen examination.

11.3.14.6. Those who have passed the Primary (Class V) equivalent/higher examination with Hindi as a subject in any form or through Hindi medium are not eligible for the award for passing Prabodh examination.

11.3.14.7. An employee is not eligible for the award for passing Hindi typewriting/Stenography examination, if (a) he had a speed of 25w.p.m in Hindi typewriting/80 w.p.m in Hindi Stenography before joining government service, or (b) he received training and passed a test in Hindi typewriting/Hindi Stenography from a recognized institution, and (c) training in Hindi typewriting/Stenography is not obligatory.

11.3.14.8. Employees, who pass an examination higher than the one prescribed for them as the final examination, will not be eligible for Lumpsum award thereto.

11.3.14.9. Employees (other than operational staff attending training class occasionally) who had received training at any HTS center even for a small period not eligible for Lumpsum award on passing the examination pertaining to that training.

11.3.14.10. Sanctions authority: Director/Executive Director.

11.3.14.11. Free Textbooks for private candidates - Will be provided to those preparing privately for examinations conducted by HTS only as in the case of trainee attending Hindi classes. Concession not admissible for examinations conducted by Voluntary Hindi Organizations or the Central Hindi Directorate.

**11.3.15. Grant of advance for payment of fees for training in Hindi typewriting/Stenography at private institutions –**

11.3.15.1. Employees eligible for Lumpsum awards on passing Hindi typewriting/Stenography may be granted advance of Rs.100/Rs.200 respectively.

11.3.15.2. Amount of advance limited to 6 months fees for typewriting and 12 months fees for Stenography training.

11.3.15.3. Advance to be granted after three months of admission in the private institution and after obtaining certificate about regular attendance/satisfactory progress of the employee.

11.3.15.4. Advance recoverable from Lumpsum award admissible on passing the examination. If he does not pass typewriting Examination within one year/Stenography examination within ½ years, advance to be recovered in four equal installments.

**11.3.16. Hindi Personal pay –** Personal Pay equal to one increment for 12 months granted for passing the Hindi/Hindi typewriting/Hindi Stenography examination of HTS and securing marks as under, in the examination prescribed as a final course of study. Personal pay will be admissible only to those employees (Gazetted/Non-Gazetted) for whom the particular course has been prescribed as the final course of study.

Examination	Gazetted	Non-Gazetted
	Mere Pass	Mere pass
60% or more	55% or more	
---	55% or more	
---	Mere Pass	
Stenography	90% or more	Mere pass

11.3.16.1. Conditions –



- 11.3.16.1.1. Conditions for grant of Cash Awards applicable for Personal Pay also
- 11.3.16.1.2. Steno typists and Stenographers (both Gazetted and Non-Gazetted) whose mother tongue is not Hindi, eligible for grant of two increments (absorbable in future increments) on passing Hindi Stenography examination.
- 11.3.16.1.3. Option to be exercised within 3 months from the date of declaration of results (or date of joining if results declared while on leave), for drawal of increment either from the first of the month following the announcement of results, or from the date of annual increment falling due after the results. Personal Pay will not be granted if option not exercised within 3 months. Extension of time may be allowed in special cases.
- 11.3.16.1.4. For those passing all the examinations in quick succession, Personal Pay admissible separately for each examination for 12 months
- 11.3.16.1.5. For LDCs during training in Hindi Typewriting or before results are declared or after results are declared but before they start drawing the Personal Pay, the rate and the period will be as applicable as if they had not been promoted.
- 11.3.16.1.6. On promotion from a non-Gazetted post to a higher non-Gazetted post, the Personal pay will be continued at the same rate and for the full periods. On promotion from a non-Gazetted post to a Gazetted post, Personal Pay will be continued for the remaining period only, if he would have drawn it in the Gazetted post. The rate and the period will be as if he had not been promoted to the higher post.
- 11.3.16.1.7. Employee granted Personal pay while holding a higher post will draw the same, on reversion, at the rate equal to increment in the lower post for the remaining period, subject to the condition that pay plus Personal Pay do not exceed the maximum of pay scale of the lower post.
- 11.3.16.1.8. Employee at the maximum of his grade pay eligible for Personal pay equal to the last increment for 12 months or till he/she gets promotion. In special cases, personal Pay continued for full period even after promotion. Personal Pay granted to non-Hindi speaking English Stenographers for passing Hindi Stenography examination not admissible after promotion to higher post.
- 11.3.16.1.9. Personal Pay also admissible on passing such Hindi examinations conducted by the voluntary Hindi Organizations recognized by the government as equivalent to or higher than Matriculation and the Parichaya examination of the Central Hindi Directorate.
- 11.3.16.1.10. Personal Pay sanctioned by the respective Ministries/ Departments/Offices/ UT Administrations and expenditure borne by them.
- 11.3.16.2. **Conveyance charge for non-Gazetted staff/for attending Hindi classes –**

For Proceeding from/return to office –

Actual bus/tram/train fare between the office and the classes if the distance each way is more than 1.6 km paid under contingencies after obtaining certificate of attendance from the Instructor. In the absence of public transport, two trainees may hire a rickshaw or four trainees a Tonga and claim proportionate charges at the fixed rates.

If the place of duty is on the way from residence to training center and the distance between residence and training center exceeds distance from place of duty to training center by more than 1.6 Km. Fare from office to training center or difference of fares between residence to training center and residence to place of duty and also fare for return journey from training center to place of duty.

If the place of duty is not on the way from residence to training center and the distance between residence and training center exceeds distance from place of duty to training center by more than 1.6 Km – fare from residence to training center and back.

11.3.16.3. **Conveyance charges/T.A for attending Hindi examination–** If the officials do not attend office on the examination days and proceeds to examination center direct from residence.

	Where the office and residence are at a distance of more than 1.6 Km but less than 8 Km	Actual conveyance charges by public conveyance from office to examination center limited to actual expenses incurred
	Where the distance between the office and the examination center is more than 8 Km and the distance between residence and examination center is more than 1.6 km but less than 8 km	Actual conveyance charges by public conveyances
iii)	If distance between examination center and office and examination center and residence both exceed 8km	T.A admissible under Rules

11.3.16.4. **Conveyance charges for attending Hindi examination while on leave: -** T.A. under SR 130 admissible if office and residence are at a distance of more than 8 km from examination centre. In other cases, conveyance charges by public conveyance allowed, if distance between examination centre and the office/residence is more than 1.6 km.

11.3.16.5. **Attending Hindi examination treated as duty: -** During the day(s) of examination and the reasonable time for the journey, employees of C-MET appearing for Hindi examination may be treated as on duty. However, if the examination on the forenoon or afternoon only, the employee may be required to attend office in the afternoon/forenoon unless exempted in any case specifically.

11.3.17. **Incentive Scheme for doing work in Hindi: -**

11.3.17.1. Eligibility: - Officers/employees of all categories doing official work wholly or partly originally Hindi, who write at least 20,000 words in Hindi in a year in Regions 'A' and 'B' (i.e., Bihar, Haryana, Himachal Pradesh, Madya

Pradesh, Rajasthan, Uttar Pradesh, Gujarat, Maharashtra and Punjab States and U.T of Andaman and Nicobar Islands, Delhi and Chandigarh) and at least 10,000 words in Hindi in a year in Region 'C' (i.e., other than Regions 'A' and 'B' mentioned above). Besides original noting/drafting, this includes such other items of work done in Hindi which can be verified, e.g., entries in registers, preparation of lists, accounting work, etc. Stenos/Typists covered by some other scheme for encouraging use of Hindi in official work not eligible, as also Hindi Officers/Translators.

11.3.17.2. Prizes: - Cash Awards given to the participants every year as under:

	At each Laboratory
I Prize (2 Prizes)	Rs. 800 each
II Prize (3 Prizes)	Rs. 400 each
III Prize (5 Prizes)	Rs. 300 each

An Assessment Committee formed for the purpose will examine the record of work done in Hindi by each competitor in prescribed Proforma and recommend sanction of prizes for approval by Head of Laboratory. The Assessment Committee will allot 70 marks for the quantum of work and 30 marks for clarity in expression of thought. An additional weightage of 20 marks will be given to the competitors whose mother tongue is Tamil, Telugu, Kannada, Malayalam, Bengali, Oriya or Assamese.

11.3.18. **Incentives to officers for giving dictation in Hindi:** - General guidelines for preparation of the scheme to be followed by C-MET are-

11.3.18.1. All officers having stenographic assistance can participate.

11.3.18.2. The scheme to be operated on financial year basis.

11.3.18.3. Officers participating in the scheme to maintain a record of dictation in Hindi in the prescribed Proforma.

11.3.18.4. An award of, say Rs.1, 000, may be prescribed. The number of awards may be two as well – one for officers having their declared Home Town in Regions A' and 'B' and the other for those with declared Home Town in region 'C' as per FR rules of Government of India.

11.3.18.5. Award to be given on the recommendations of a senior officer nominated as Assessment Officer or a Committee constituted for this purpose.

#### 11.4. **HUMAN RESOURCES REDEPLOYMENT POLICY**

##### 11.4.1. **Purpose**

The purpose of this policy is to provide a Guideline and procedure to implement redeployment of employees from one location to another and one project to another, necessitated by reasons of needs of C-MET. The policy would also serve to fulfill the following objectives.

##### 11.4.2. **Objective**

- 11.4.2.1 To prepare an officer for taking up higher responsibilities by giving the person concerned an opportunity to acquire an insight into the higher echelons of functions and related issues of various CMET activities through work experience.
- 11.4.2.2 To ensure continuity of management and systematic succession planning for key posts in the middle and senior management level.
- 11.4.2.3 To ensure rotational redeployments from sensitive assignments/areas.
- 11.4.2.4 To maintain and to sustain the organizational growth.
- 11.4.2.5 To fulfill the needs of employees nearing retirement for possible placement close to their home town or a location of choice.

##### 11.4.3. **Need For Redeployment can be anyone of the following criteria**

- 11.4.3.1. To provide replacement for a specific post/cadre with a specialized or desired qualifications and/or suitable experience, as per emergent need.
- 11.4.3.2. To bridge manpower deficit or to provide reinforcement in view of capability addition/expansion etc.,
- 11.4.3.3. Placement under compassionate grounds
- 11.4.3.4. For adherence to Govt. guidelines/instructions/rulings (as amended from time to time) concerning:
  - a) Posting of husband/wife working together to same location
  - b) Any other category covered under relevant rules.
- 11.4.3.5. The redeployment policy of C-MET shall in no way defeat the redeployment policy of Government of India in whatsoever manner and if any such order issued by C-MET is brought to the notice of Executive Director, corrective action would be attempted considering all aspects.

##### 11.4.4. **Redeployment Norms/Criteria**

The redeployment of personnel will be regulated in the manner hereinafter detailed:

- 11.4.4.1. An employee may be required to serve at any location of its Laboratories or DIT.
- 11.4.4.2. Employees having completed a residency period of 5 years in a specific location may be considered for redeployment on rotational basis if they are holding sensitive assignments.
- 11.4.4.3. An employee may also be redeployed on promotion on rotational basis
- 11.4.4.4. Employees with 5 years of residual service before retirement may be exempt from redeployment from the Laboratory where he is working.
- 11.4.4.5. An employee may be redeployed on disciplinary grounds if his/her continuance in the laboratory shall be determinant to discipline in the organization.
- 11.4.4.6. Any employee who becomes surplus in a particular laboratory due to re-organization or rationalization of manpower or reduction of staff strength due to the policy of the Government shall be redeployed to another laboratory where vacancy exists.
- 11.4.4.7. Notwithstanding what has been stated above, an employee may be redeployed in the exigency of organizational needs and/or public interest.

11.4.5. **Scope**

- 11.4.5.1. The redeployment policy would cover only for Group A and B employees.
- 11.4.5.2. Group C and D employees who were recruited on regional basis shall be redeployed to other Laboratories of C-MET or DIT under exceptional circumstances necessitated as enumerated in para 11.4.4.5. to 11.4.4.7.
- 11.4.5.3. The redeployment committee shall ensure that the redeployment policy is transparent and shall not discriminate between Scientific & technical staff and administrative staff in the matter of redeployment.

11.4.6. **Implementation Procedure**

- 11.4.6.1. Every Laboratory shall prepare a statement of shortage/excess manpower in Group A, B, C & D with justification and sent it to C-MET Hqrs by 30th November every year.
- 11.4.6.2. A consolidated proposal shall be prepared by C-MET Hqrs based upon the shortage/excess manpower data, existing/proposed organizational structure and other facts & figures, if any. This proposal would be submitted to a committee, viz, Redeployment Committee, set up for the purpose as per Para 11.4.9. for consideration.

11.4.6.3. C-MET Hqrs, upon receipt of redeployment committee's recommendation, would initiate action to get requisite approval of competent authority for implementation.

11.4.6.4. In exceptional circumstances, where redeployments become necessary due to exigency of organizational needs and/or administrative reasons, Executive Director may take requisite action, without making a reference to redeployment committee. Such cases, would, however, be brought to the notice of redeployment committee.

11.4.7. **General**

11.4.7.1. To the extent possible, redeployments to a different location would be synchronized with the end of the academic year so that the education of employees' children does not suffer.

11.4.7.2. Employees opting for redeployment, at any other time and on their own volition, may make request to the Executive Director who may consider it on merits of each case.

11.4.7.3. No external influence should be brought in by an employee for changing the redeployment order. In the event of such occurrence, relevant provisions of CCS (Conduct) Rules shall apply.

11.4.8. **Appeal**

11.4.8.1. Whenever a redeployment order is issued, the concerned employee shall comply with the order. However, it would be open to an employee to make representation to the Executive Director against such order within 10 days from the date of receipt of redeployment order.

11.4.8.2. In the event of a redeployment order not stayed/modified/ cancelled, within 30 days from the date of written representation, Director shall ensure that the employee is relieved by the date prescribed in the redeployment order.

11.4.9. **Redeployment Committee**

- |   |   |                  |
|---|---|------------------|
| 1) Director<br>C-MET<br>Hyderabad                         | - | Chairman         |
| 2) Director<br>C-MET<br>Thrissur                          | - | Member           |
| 3) Programme Coordinator/<br>Manager Business Development | - | Member           |
| 4) Registrar, C-MET<br>*****                              | - | Member Secretary |

## Chapter 11

### HUMAN RESOURCES DEVELOPMENT

#### 11.1. PERFORMANCE APPRAISAL

##### 11.1.1. **Importance of Annual Confidential Reports / Performance Appraisal**

The Society is committed to excellence and professional competence and therefore provides for encouragement of creativity and innovation, initiative and self-development. The Society shall provide a unique work environment, a culture, norms and procedures, facilities and opportunities for individual and organizational development. It is needless to say that the opportunities available for self-development and career growth are dependent on the individual performance. The Society shall abide by the principle that confirmation, career advancement, facilities for self development etc., would be dependent on performance and competence level of each employee and in this context the annual performance appraisal shall play a dominant role for maintaining efficiency by one and all. It is in the interest of C-MET; no less than that of the employee, that the value of a proper system of performance appraisal is recognized by all concerned.

It is very important, both in the interest of efficiency of C-MET and also of the officers that the reports are written with the greatest possible care so that the work, conduct, character and capabilities of the employee reported upon can be accurately judged from the recorded opinion. Officers recording remarks must realize the importance of these entries, as their own competency will be judged partly from the confidential remarks they record about employees working under them.

11.1.2. **Responsibility for the maintenance of confidential reports:-** The Administrative Officer / Registrar of C-MET should regard it as his personal and special responsibility to ensure that annual confidential reports are properly maintained in respect of all persons working in the Laboratory / Society.

11.1.3. **Objectivity in confidential reports and assessment at more than one level:-** In order to minimize the operation of the subjective human element and of conscious or unconscious bias, the confidential report of every employee should contain the assessments of more than one officer except in cases where there is only one supervisory level above the employee reported upon. The confidential report should be written by the immediate superior and should be submitted by the reporting officer to his own superior.

11.1.4. While it might be difficult for the higher officer to get to know a large number of employees two grades below him, his overall assessment of the character, performance and ability of the reported employee is vitally necessary as a built-in corrective. The judgment of the immediate superior even though completely fair in its intent might sometimes be too narrow and subjective to do justice to the employee reported upon. The officer superior to the reporting officer should, therefore, consider it his duty to personally know and form his own judgment of the work and conduct of the officer reported upon. He should accordingly exercise positive and independent judgment on the remarks of the reporting officer

under the various detailed headings in the form of the report as well as on the general assessment, and express clearly his agreement or disagreement with those remarks. This is particularly necessary in regard to adverse remarks (if any) where the opinion of the higher officer shall be construed as the correct assessment.

11.1.5. The reviewing officer is free to make his remarks on points not even mentioned by the reporting officer. Such additional remarks would, in fact, be necessary where the report is too brief, vague or cryptic.

11.1.6. **Period of Reporting:-** The confidential reports should be recorded annually preferably for the period covered by the financial year, i.e., from 1<sup>st</sup> April to 31<sup>st</sup> March.

11.1.7. **Frequency of reporting and eligibility to write a report:-** While normally there should be only one report covering the year of report, there can be situations in which it becomes necessary to write more than one report during a year. There is no objection to two or more independent reports being written for the same year by different reporting officers in the event of a change in the reporting officer during the course of a year, provided that no report should be written unless a reporting officer has at least three months' experience on which to base his report. In such cases, each report should indicate precisely the period to which it relates and the reports for the earlier part or parts of the year should be written at the time of the transfer or immediately thereafter and not deferred till the end of the year. The responsibility for obtaining confidential reports in such cases should be that of the appointing authority

11.1.8. **Transfer of Reporting and/ or Reviewing Officer in the middle of the reporting year:-** If an officer is transferred during the middle of the reporting year, he should immediately write the CRs of his subordinates in respect of the year for the period up to the date of his transfer, provided that the period is at least six months, and the reports should be submitted to the reviewing authority who will retain them in his custody and record his remarks in the reviewing portions in the last of the reports for the year, taking into account the reports for the previous portions of the year also, submitted to him by the transferred officers, at the time of their transfer. If the reviewing authority is transferred not simultaneously with reporting officer, but after some time, he will hand over such reports to his successor and the successor will review the reports if he happens to have three months' experience. Otherwise, the previous reviewing authority will review the reports at the end of the year. If, however, a reviewing authority retires while there is no change in the reporting officer and the subsequent reviewing authority does not have three months' experience of the work and conduct of the reportee, the reviewing portion will be left blank with a suitable note, recorded therein. This note can be recorded by the new reviewing authority who could not review the report because he did not have even three months' experience, or by the reporting officer himself.

11.1.9. **Reason for gap in the report to be indicated:-** When a confidential report does not cover an earlier period during the year, the reporting officer should, at the top of the report, mention the period of gap indicating the reasons for which a report for that period has not been written.



- 11.1.10. **Report to be written within one month of the expiry of report period:-**  
The annual report should be recorded within one month of the expiry of the report period and delay in this regard on the part of the reporting officer should be adversely commented upon; if the officer to be reported upon delays submission of self-appraisal, this should be adversely commented upon by the reporting officer.
- 11.1.11. **When there is no reporting officer having the requisite experience:-**  
In the case of an employee, if there is no Reporting Officer having the requisite experience of three months or more during the period of report, as a result of which no Reporting Officer is in a position to initiate the report. It has been decided that where for a period of report there is no Reporting Officer with the requisite experience to initiate the report, the Reviewing Officer himself may initiate the report as a Reporting Officer, provided the Reviewing Officer has been the same for the entire period of report and he is in a position to fill in the columns to be filled in by the Reporting Officer. Where a report is thus initiated by the Reporting Officer, it will have to be reviewed by the officer above the Reviewing Officer.
- 11.1.12. **Authority other than Reporting/ Reviewing authority precluded from making entries:-** Under the scheme of writing of confidential reports there are only two levels for writing reports, namely, the reporting officer and the reviewing officer. There is no provision for any other authority for writing his remarks/comments about the work and conduct of an officer in his confidential reports. Since there are only two levels for writing the confidential reports, i.e., reporting and reviewing authority, the remarks by an officer other than the reporting and reviewing officers in the confidential report are not in order.
- 11.1.13. **Writing of confidential reports by officers under suspension:-** If the reporting/reviewing officer is under suspension when the confidential report has become due to be written/reviewed, it may be got written/reviewed by the officer concerned within two months from the date of his having been placed under suspension or within one month from the date on which the report was due, whichever is later. An officer under suspension shall not be asked to write/review confidential reports after the time limit specified above.
- 11.1.14. **Whether a relative of an employee can write the report of the latter. –**  
The following points shall be kept in mind where the subordinate happens to be close relative:
- 11.1.14.1. The Executive Director/Directors may take care that, to the extent possible, a close relative of an official is not placed under the direct charge of that official where the latter has to write the CR of the former.
- 11.1.14.2. Should such a situation become inescapable, it should not be allowed to continue beyond the barest minimum time possible.
- 11.1.14.3. In such a situation, the employee should abstain from writing the annual confidential report of the employee who is his close relative and instead, the reviewing officer should take on the role of the reporting officer.
- 11.1.14.4. If a similar relationship exists between the reviewing officer on the one hand and the officer reported upon on the other, the same would apply in

respect of the reviewing officer and the role of the reviewing officer would be transferred to the authority next higher up.

11.1.14.5. In cases of this nature, where there is any doubt, it would be incumbent upon the reporting officer to consult the next higher authority before he writes the confidential report.

11.1.15. **Reporting officer can write CR of his subordinates within one month of his retirement:**-When the reporting officer retires or otherwise demits office, he may be allowed to give the report on his subordinates within a month of his retirement or demission of office. However, a reviewing authority cannot review the CR after his retirement. Thus, while the grace period of one month is available to the reporting officer no such period is prescribed for the reviewing officer.

11.1.16. **Contents and manner of writing of confidential reports:**-Officers writing the confidential reports should have carefully observed the work and conduct of those under their control, and have provided the required training and guidance where necessary. The annual confidential reports should be based upon the results of such observation as well as the periodical inspections. The form in which the confidential reports are recorded might vary between different levels of responsibility within a departmental hierarchy, depending upon the nature of work and duties attached to various posts. However, an assessment of certain qualities of general importance such as integrity, intelligence, keenness, industry, tact, attitude to superiors and subordinates, relations with fellow-employees, etc., should invariably find place in the report. In addition to the detailed assessment of specific attributes, every confidential report should carry a general appreciation of the character, conduct and aptitudes and shortcomings of the officer reported upon. Reference to specific incidents may be made, if at all only by way of general nature, e.g., inefficiency, dilatoriness, lack of initiative or judgment, etc.

11.1.17. A confidential report should give full particulars of the official reported upon such as his designation and the office in which he works. Below the signature of the reporting and countersigning officers, either their names and designations should be written in capital letters or their rubber stamps affixed. CR files should be maintained in book form, the reports being placed one after the other in chronological order and pages being serially numbered from top downwards. Relevant entries in the index of a CR file should be filled in immediately after a report is written up.

11.1.18. Confidential reports should, as a rule, give general appreciation of the character, conduct and qualities of an employee reported upon and a reference to a specific incident should be made, if at all, only by way of illustration to support adverse comments of a general nature, as for example, inefficiency, delay, lack of initiative, judgment, etc. Specific incidents on the basis of which penalties have been awarded in the course of departmental proceedings must, however, be indicated. An entry relating to a penalty should be recorded in the report for the year in which the punishment order is issued. In this entry, an indication may, however, be given about the period to which the incidents leading to the disciplinary case relate. Warning even though not a statutory penalty should be mentioned in the report if issued as a result of disciplinary proceedings. If the reporting officer feels that although a specific incident

is not important enough to call for disciplinary proceedings, it is important enough to be specifically mentioned in the confidential report, he should, before making such an entry, satisfy himself that his own conclusion has been arrived at only after a reasonable opportunity has been given to the official reported upon to present his case relating to that incident. The authority issuing a warning should not normally be one lower than the reporting officer. Further, once investigations are started into specific allegations, the case should not be closed by the issue of a warning without the knowledge of the competent disciplinary authority. Unless so ordered by any higher authority it would be in the discretion of the reporting officer either to record or not to record such a warning.

11.1.19. Apart from the remarks in regard to work and conduct, in appropriate cases, suitable entries may also be made on the following points: -

11.1.19.1. the fact that an officer has attended an approved course of study or training;

11.1.19.2. the report received from the Head of such institution or its substance;

11.1.19.3. Comments on the quality of the report submitted by an officer on return from deputation or training abroad and whether he has made good use of his period of study or training;

11.1.19.4. Outstanding performances in the field of sports, athletics and art;

11.1.19.5. Suggestions, which have been accepted and considered useful for achieving economy and high standard of efficiency in administration;

11.1.19.6. Whether there is any physical defect, such as bad eyesight.

11.1.20. CR file should not contain any extraneous paper other than punishment and appellate orders and letters communicating the adverse remarks.

11.1.21. The forms have been devised with a view to ensuring maximum objectivity in the preparation of the confidential report. In filling up the forms, tick marks and dashes should not be used. The reporting and reviewing authorities should apply their mind carefully to the various alternatives suggested under the different headings and indicate their opinion in writing out in full the appropriate alternative which according to them should best describe the officer's qualities.

11.1.22. **Principles to be observed by reporting officers in writing reports.** The general principles, which are required to be observed, by the reporting officers for writing annual reports are indicated below-

11.1.22.1. Remarks like "Doubtful character", "complaints received about his taking illegal gratification", are not permissible. Entries should be based on established facts and not on mere suspicion.

11.1.22.2. No employee should be adversely affected by prejudicial reports recorded without fullest consideration. At the same time, none should be rewarded by excessively flattering reports, which are not based on facts. With a view to checking up such possibilities, the following procedure is prescribed: -

- 11.1.22.2.1. The memo of services should invariably be consulted at the time of writing the annual report though the report itself should necessarily be based on the employee's performance during the year as a whole;
- 11.1.22.2.2. Where an adverse remark is recorded in respect of an official having consistently good record, some details regarding the same should invariably be given.
- 11.1.22.2.3. The report should give a clear opinion on the main points like character, integrity, industry, etc.;
- 11.1.22.2.4. There should be no hesitation on the part of the reporting officers to record adverse remarks in justified cases;
- 11.1.22.2.5. Reporting officers should not be in a hurry to write all the Reports on one day.
- 11.1.23. **Duties of reviewing/endorsing officer:-** The following instructions are issued for information, guidance and compliance: -
  - 11.1.23.1. Reporting, reviewing and endorsing officers should have been acquainted with the work of the official reported upon for at least three months during the period covered by the confidential Report;
  - 11.1.23.2. With a view to enabling the reviewing authority to discharge his responsibility in ensuring the objectivity of the Confidential Reports it has been decided that where he is not sufficiently familiar with the work of the officer reported upon so as to be able to arrive at a proper and independent judgment of his own, it should be his responsibility to verify the correctness of the remarks of the reporting officer after making such enquiries as he may consider necessary, he should also give a hearing to the person reported upon before recording his remarks.
  - 11.1.23.3. While it is expected that the efforts should be made to minimize cryptic, vague or non-committal remarks being made in the reports, there may be cases where the entries are not sufficiently meaningful. Such reports should be returned to the reporting officer for amplification or explanation.
- 11.1.24. **Procedure for filling up the column relating to integrity:-**The procedure for filling up the column relating to integrity is as follows: -
  - 11.1.24.1. Supervisory officers should maintain a confidential diary in which instances, which create suspicion about the integrity of a subordinate, should be noted from time to time and action to verify the truth of such suspicions should be taken expeditiously by making confidential enquiries departmentally or by referring the matter to the Special Police Establishment. At the time of recording the annual confidential report, this diary should be consulted and the material in it utilized for filling the column about integrity. If the column is not filled on account of the unconfirmed nature of the suspicions, further action should be taken in accordance with the following sub- paragraphs.
  - 11.1.24.2. The column pertaining to integrity in the character roll should be left blank and a separate secret note about the doubts and suspicions regarding the officer's integrity should be recorded simultaneously and followed up.

- 11.1.24.3. A copy of the secret note should be sent together with the character roll to the next superior officer who should ensure that the follow-up action is taken with due expedition.
- 11.1.24.4. If, as a result of the follow-up action, an officer is exonerated, his integrity should be certified and an entry made in the character roll. If suspicions regarding his integrity are confirmed, this fact can also be recorded and duly communicated to the officer concerned.
- 11.1.24.5. There are occasions when a reporting officer cannot in fairness to himself and to the officer reported upon, either certify integrity or make an adverse entry, or even be in possession of any information which would enable him to make a secret report to the Head of the Department. Such instances can occur when an officer is serving in a remote station and the reporting officer has not had occasion to watch his work closely or when an officer has worked under the reporting officer only for a brief period or has been on long leave, etc. In all such cases, the reporting officer should make an entry in the integrity column to the effect that he has not watched the officer's work for sufficient time to be able to make any definite remark or that he has heard nothing against the officer's integrity, as the case may be. This would be a factual statement to which there can be no objection. But, it is necessary that a superior officer should make every effort to form a definite judgment about the integrity of those working under him, as early as possible, so that he may be able to make a positive statement.
- 11.1.24.6. There may be cases in which after a secret report/note has been recorded expressing suspicion about an officer's integrity, the enquiries that follow do not disclose sufficient material to remove the suspicion or to confirm it. In such a case the officer's conduct should be watched for a further period, and in the meantime, he should, as far as practicable, be kept away from positions in which there are opportunities for indulging in corrupt practices.
- 11.1.24.7. Specific mention should be made in the confidential reports on officers working in sensitive sections about their trustworthiness especially in matters affecting departmental security.
- 11.1.25. **Mention of warnings/reprimands in CRs:-** The stage at which a mention about warnings, admonitions, reprimands, etc., administered in the course of normal day-to-day work by superior officers should be mentioned in the confidential report of the official to whom the warning, reprimand, etc., has been administered are clarified in the following paragraph: -
- 11.1.25.1. There may be occasions when a superior officer may find it necessary to criticize adversely the work of an officer working under him or he may call for an explanation for some act of omission or commission and taking all circumstances into consideration, it may be felt that while the matter is not serious enough to justify the imposition of the formal punishment of censure, it calls for some formal action such as the communication of a written warning/displeasure/reprimand. Where such a warning/displeasure/ reprimand is issued, it should be placed in the personal file of the officer concerned. At the end of the year, the reporting authority,

while writing the confidential report of the officer, may decide not to make a reference in the confidential report to the warning/ displeasure/ reprimand, if, in the opinion of that authority, the performance of the officer reported on after the issue of the warning or displeasure or reprimand, as the case may be, has improved and has been found satisfactory. If, however, the reporting authority comes to the conclusion that despite such warning/d displeasure/reprimand, the officer has not improved, it may make appropriate mention of such warning/ displeasure/ reprimand, as the case may be, in the relevant column in the form of confidential report relating to assessment by the reporting officer and, in that case, a copy of the warning/ displeasure/ reprimand referred to in the confidential report should be placed in the CR Dossier as an annexure to the confidential report for the relevant period. The adverse remark should also be conveyed to the officer and his representation, if any, against the same disposed of, in accordance with the procedure laid down in the instructions issued in this regard.

11.1.25.2. Representations against "warnings" or "communication of the displeasure" or "reprimand" which are recorded in the confidential report of the employee of the society should be dealt with in accordance with the procedure laid down for dealing with representations against adverse entries in confidential reports, unless an opportunity had already been given to the officer concerned to make a representation in the matter relating to the relevant incident or faults and such representation had been duly considered and a decision taken before the "warning" or "reprimand" was administered or the "displeasure" communicated to him.

11.1.26. **Communication of adverse entries and how to be done**

11.1.26.1. All adverse entries in the confidential report of an employee of the society, both on performance as well as on basic qualities and potential should be communicated along with a mention of good points within one month of their being recorded. This communication should be in writing and a record to that effect should be kept in the CR Dossier of an employee of C-MET concerned.

11.1.26.2. Only such of the adverse entries as are accepted by the countersigning authority, if any, need be communicated. The countersigning authority should, therefore, normally indicate whether it agrees or disagrees with the remarks of the reporting officer. It should also record, additional remarks, wherever necessary, if the report is too brief, cryptic or vague. Along with the adverse entry, the substance of the entire report including what may have been stated in praise of the officer should also be communicated. The improvements made in respect of the defects mentioned in the earlier report should also be communicated to the officer in a suitable form. A copy of the letter communicating the adverse remarks duly acknowledged by the official concerned should be kept in the CR file and the fact of communication of the entries should be recorded in the report itself by the authority communicating them.

11.1.26.3. Great attention should be paid to the manner and method of communication of adverse remarks in order to ensure that the advice given and warning or censure administered whether orally or in writing shall, having regard to the temperament of the officer concerned, be most beneficial to him. The memo forwarding the adverse remarks to the officer reported upon

should be couched in such a language that it does not produce a sense of resentment in the officer reported upon and that it makes it clear to him that the intention of communicating these defects to him is that he should try to improve himself in respect of those defects.

- 11.1.26.4. Remarks about the physical defects of the officers noted in the confidential reports need not be communicated. The grading of officers being done on the basis of the general remarks in the report should not also be communicated, even if it is adverse.
- 11.1.27. **Disclosure of identity of superior officers who made adverse remarks not necessary:-**1. It is not necessary to disclose the identity of the superior officer who made the adverse remarks while communicating them to the employee of the society concerned since, what the employee of the society should be interested in, are the defects/shortcomings which his superior officers have found in his work and conduct and not the particular superior officer who recorded them in the confidential report and the representations on the adverse remarks, if any, should be objective pertaining to the shortcomings noticed. Apart from this, disclosure of identity of the superior officer is also likely to lead to unpleasantness and personal animosity. It is, therefore, desirable that while communicating the adverse remarks to an employee of the society concerned, the identity of the superior officer making such remarks should not normally be disclosed.
- 11.1.28. Care should be taken to ensure that the remarks are communicated in such a form that the identity of the officer making particular remarks is not disclosed.
- 11.1.29. If, however, in a particular case, it is considered necessary to disclose the identity of the superior officer, the authority dealing with the representation may at his discretion allow the identity to be communicated.
- 11.1.30. **Representations against adverse remarks:-**Only one representation against adverse remarks (including reference to 'warning' or communication of displeasure or 'reprimand' which are recorded in the confidential report of the employee of the society) should be allowed within one month of their communication. While communicating the adverse remarks to an employee of C-MET concerned, the time limit should be brought to his notice. However, the competent authority may, in its discretion, entertain a representation made beyond this time if there is satisfactory explanation for the delay.
- 11.1.31. **To whom representation lies:-**Representation against adverse remarks will lie to the authority immediately superior to the reviewing authority, if any, or to the reporting officer. If the immediate superior authority has already reviewed the confidential report in question and has also expressed his view either agreeing or disagreeing with the adverse remarks recorded and accepted by the countersigning authority, the representation should, in that event, lie to the next higher authority.
- 11.1.32. **Time Limit for disposal of representation against adverse remarks and when note to be taken of such remarks:-**All representations against adverse remarks should be decided expeditiously by the competent authority and in any case, within three months from the date of

submission of the representation. Adverse remarks should not be deemed to be operative if any representation filed within the prescribed time limit is pending. If no representation is made within the prescribed time, or once this has been finally disposed of, there would be no further bar to take notice of the adverse remarks.

11.1.33. **Manner of disposal of representation:-** The following procedure should be adopted in dealing with representations from the employees against the adverse remarks communicated to them: -

11.1.33.1. Representations against adverse remarks should be examined by the competent authority in consultation, if necessary, with the reporting officer and countersigning authority, if any.

11.1.33.2. If it is found that the remarks were justified and that the representation is frivolous, a note may be made in the confidential report of the petitioner that he did not take the correction in good spirit.

11.1.33.3. If the competent authority feels that there is no sufficient ground for interference, the representation should be rejected and the petitioner informed accordingly.

11.1.33.4. If, however, it feels that the remarks should be toned down, it should make necessary entry separately with proper attestation at the appropriate place of the report; the correction should not be made in the earlier entries themselves.

11.1.33.5. In the rare event of the competent authority coming to the conclusion that the adverse remark was inspired by malice or was entirely incorrect or unfounded, and therefore deserves expunction, it should order accordingly.

11.1.33.6. When a representation against adverse remarks is wholly or partially upheld, the particulars of the orders based thereon should be recorded in the report itself. If it is decided to tone down the remarks, the competent authority may make the necessary entries at the appropriate place of the report under proper attestation. But the past entries should not be corrected. If the remarks are ordered to be expunged, they should be effectively obliterated both in the confidential report as well as in the copy of the letter communicating those remarks. A copy of the order based on such a representation should not be kept in the CR File. Where a penalty is set aside on an appeal or review, the copy of the punishment order should be removed from the CR File as well as the adverse remarks recorded on the basis of the penalty expunged. In a case where the penalty is modified by the appellate or revising authority, the entry in the confidential report originally made on the basis of the penalty awarded should also be immediately modified accordingly.

11.1.34. **Column of report should not be kept blank after expunction of adverse remarks:-**It has been observed that in a few cases, after the expunction of the adverse remarks. The relevant column(s) was/were left blank, i.e., without any remarks. Thus making the report incomplete.

It may be appreciated that an incomplete report cannot be relied upon for a fair and objective assessment of the officer concerned for his



confirmation, promotion, etc. It is essential that the annual confidential reports are complete in all respects. In the circumstances, where on consideration of a representation against adverse remarks, the competent authority comes to the conclusion that the remarks deserve to be expunged, it should see whether total expunction of the remarks will leave the relevant column(s) blank; and if it finds the position to be so, it should order modification of the relevant remarks in a suitable manner so that the column(s) in question does/do not remain blank.

11.1.35. **Further memorial or appeal against rejection of representation:-**No further memorial or appeal against the rejection of the representation against adverse entries should be allowed.

11.1.36. **Self-appraisal not necessary for a period less than three months:-** The Reporting/Reviewing authority can write/review the confidential report of an officer if it has at least an experience of three months of work and conduct of the officer reported upon. The Officer reported upon need not submit his self-appraisal if the period of observation of his work and conduct by the reporting/reviewing authority is less than three months.

Self-appraisal to be confined in the space allotted and no additional sheet allowed:-In the forms for the performance of self-appraisal, sufficient spaces have been allotted for making necessary entries both by the officer reporting upon and by the reporting and reviewing officer. It is envisaged that the space allotted would only be used for making any entries and that no extra sheets would be attached.

11.1.37. **Guidelines for self-appraisal and report thereon by the reporting authority:-**

11.1.37.1. There would be instances wherein; the Reporting Officer records his disagreement with the self-appraisal of the officer, for one reason or other. The self-appraisal should be precise to the point and refer only to the areas of responsibility of the officer reported upon and should be strictly within the prescribed limit of 300 words. While human nature is to indulge in a little bit of self-praise, one should be careful in making the self-appraisal so that one does not unduly prejudice the senior officers who have to record their observations on the work and conduct of the officers. The self-appraisal should reflect actual achievements during the period so that the scope for disagreement with it is reduced to the absolute minimum. While writing the self-appraisal, it would be best if the officer were to write about his performance in a way, as what his best and sincere friend would frankly say to him about his performance in case he was asked to express his opinion.

11.1.37.2. If the reporting officer records along with reasons against the column provided that the self-appraisal contains too much of self-praise, such disagreement will not be considered as adverse remarks. Therefore, while recording reason for disagreement with the self-appraisal, the reporting officer may make it clear, whether or not his observations on the self-appraisal are to be taken as adverse remarks. If the reporting officer disagrees with the self-appraisal and intimates such disagreement to be taken as adverse, he may back it up with factual details and put them on record. Nothing prevents the reporting officer to point out the inadequacies or exaggerations in the self-appraisal and ask the officer if

he would like to reconsider it. Such an approach may rule out the possibility of disagreement in a large number of cases.

11.1.37.3. Adverse remarks in regard to the performance and conduct of the officer, recorded on the basis of sufficient material against any other column should as usual be communicated to the officer reported upon. The reporting officer's observations have necessarily to be with reference to the actual performance of the officer during the period and that too on the basis of established facts and other relevant materials contained in the memorandum of services etc.

11.1.38. **Introduction of a separate column to indicate the effectiveness in the development and protection of SCs/STs:-** In the CR forms for officers, there should be a column enabling the reporting officer to give his specific comments on the effectiveness of the officer concerned in the development and protection of SCs and/or STs. Accordingly, a column as under should be incorporated in the reporting officer's part of the CR form:

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\*Effectiveness in the development and protection of Scheduled Castes and/ or Scheduled Tribes.

- (a) Attitude towards Scheduled Castes and/or Scheduled Tribes
- (b) Sensitivity to social justice
- (c) Ability to take quick and effective action to prevent and quell atrocities/ and ensure justice to Scheduled Castes and/ or Scheduled Tribes
- (d) Effectiveness in bringing about the development of Scheduled Castes and/ or Scheduled Tribes

\*To be filled in only in the case of officers dealing with development and protection of SCs and/or STs. Where the column is not applicable in the case of any officer, it may be so stated against the column.

11.1.39. **Filling up of column relating to grading: -**

Filling up of column relating to grading:- The annual confidential report should also contain a general assessment of an employee of the society and he should be graded according to his performance. An employee of C-MET should not be graded outstanding unless exceptional qualities and performance has been noticed in him. Grounds for giving such a grading should be clearly brought out.

11.1.40. **Reports received in respect of approved course of training undergone to be kept in confidential report dossier:-** The procedure to be observed for recording the confidential reports of officers who had undergone an approved course of study or training at an institution in India or abroad are as follows: -

11.1.40.1. Whenever an officer attends an approved course of study or training, the fact of his having done so should be entered in his confidential report. Approved course of training includes courses sponsored by C-MET; financed wholly or partly.

11.1.40.2. The report, if any, received from the Head of the Institution should either be placed in original in the confidential report dossier of the officer or the substance of it entered therein.

11.1.40.3. An entry about the report, if any, submitted by the officer on his work abroad should also find mention in his confidential report if it is either outstandingly good or of poor quality indicating that the officer had not made good use of his period of study or training.

11.1.41. **Setting up of Special Cell for maintenance of up-to-date character rolls:-**

The question of systematic recording and maintenance of annual confidential reports should receive careful attention of C-MET, so that an employee of C-MET is not denied his legitimate promotions on account of administrative lapses. It will be appreciated that the annual confidential reports form the basis of selection for promotion and would, therefore, have a significant effect on career management. It is also necessary to take steps to ensure the utmost objectivity in the writing of character rolls, so that uniform standards could be applied in assessing the officers and selecting them for promotion. In order to attend to these matters and to ensure that no Departmental Promotion Committee meeting is delayed due to the absence and incompleteness of annual confidential reports, a Special Section should be set up in each Society / Laboratory entrusted with the task of maintaining up-to-date seniority lists and character rolls of all employees. This Section should not only ensure that the annual confidential reports are written in time but also see that adverse remarks, if any, are communicated to the officers in time and a decision taken on the representations submitted by them within a reasonable period as contemplated in the instructions issued on the subject.

11.1.42. **Custody and handling of confidential reports:-** The confidential reports on officers of C-MET shall be kept under safe custody by the following:

- i) The report of Executive Director and Directors and Scientists in the grade Rs.18,400-500-22,400 or higher should be kept with a designated authority in the Administrative Ministry.
- ii) The reports of other Group 'A' officers should be kept with the Executive Director of C-MET or any other authority specified by him.
- iii) The reports of Group 'B' and 'C' and Group 'D' employees shall be kept with the Registrar.
- iv) The reports of Group Group 'D' employees shall be kept with the Administrative Officer .

The reports should not in any case be kept by an authority higher than the appointing authority.

CR files should be handled like confidential documents. The officer concerned should ensure that no room is given for complaints about any leakage of information. These files will be kept in the personal custody of the officers required to maintain them, viz., either the reporting or the

countersigning authority, if any, unless some special arrangements have been made for their maintenance centrally with one particular officer. The officer responsible for maintaining the CR files should hand them to his successor in the office when he is transferred. Whenever it is necessary to send them by post, they must be closed in a confidential cover and registered. When an officer is transferred for more than three months, the file containing the confidential reports on him should be forwarded direct to the officer by whom it has to be maintained.

- 11.1.43. **Maintenance of Memorandum of Services serving as basis for writing annual reports:-** With a view to enabling the Reporting Officers to make correct overall assessment of the work and conduct of their subordinates, the reporting officers are required to maintain memorandum of services in respect of each officer employed under them. All instances of good and bad work coming to the notice of the reporting officer should be promptly noted in the memo. of services. Impression formed by the officer at the time of visits, inspections, interview, etc., should also be included in that memorandum. This memorandum should not be reduced to a black book by recording instances of only adverse nature. Instances of good work should also be liberally recorded. The memoranda of service should, invariably, be consulted at the time of writing of annual reports. In case the reporting officer is not the immediate superior of the officer to be reported upon, the immediate superior should also maintain a memo. of services which should be consulted by the reporting officer at the time of writing the report. The memo. of services in respect of an officer should be a complete and continuous record of his service and accordingly, it should not be destroyed after the annual report has been written. The entries in the memo. of services should be based on facts and documentary evidence. The memo. of services may also be consulted on the occasions of making transfer, promotion or writing special reports. For writing the annual report, only those entries in the memo of services which pertain to the year of the report should be taken into account. The entries in the memo. of services need not necessarily be communicated. As the memo. of services is the sole basis for writing the annual reports, the reporting officer at the time of submitting reports to the countersigning authorities, if any, should make a specific mention in the forwarding letters that memoranda of services have been maintained and consulted. With a view to checking up that these memoranda are being properly and regularly maintained, the countersigning authorities may call for them and check them up. The negligence on the part of the reporting officers in this regard should be duly noticed.

- 11.1.44. **In the case of officers on deputation:-**In the case of Officers who are deputed to other Departments/State Governments or are on Foreign Service, the confidential rolls should be maintained by their parent departments and the periodicity of such confidential reports should be the same as in the parent department. It will be the responsibility of the parent department to obtain the reports of their officers on deputation and maintain them.

- 11.1.45. **Performance Appraisal System to be followed by C-MET**

- 11.1.45.1. The underlying philosophy of the Performance Appraisal Scheme in C-MET shall be objective assessment of performance on a continuous basis, which can be openly shared with the concerned staff member. By virtue of

the scheme being an open appraisal process, the need for sharing information by way of communication of the rating should in no way hinder the very goal of objectivity. Although assessment of performance is to be on a continuous basis, the periodicity ensures a formal documentation of assessment, which is an essential input for future development plan.

11.1.45.2. One of the foremost needs of performance appraisal is to outline the development need of the concerned staff member. The primary beneficiary of the appraisal process is the concerned staff member being appraised. It helps one to analyze his/her basic strengths and reinforce his/her self-esteem in realizing where he/she stands. If one really tries to overcome the identified drawbacks or limitations with a planned time frame and capitalizes on the organizational resources to facilitate the course of action, he/she is not only developing but also presenting the organisation with a better/more effective himself/herself. The appraisal process with its focus on identification of development need would serve the purpose very well.

11.1.45.3. Fairness and objectivity shall form the underlying concept of all personnel policies at C-MET. The performance appraisal ratings form an important input to the decision making process, whether it is promotion or award scheme or decision regarding sponsorship for higher studies. The appraisal process would also serve a useful purpose of bringing out the interests and future plan of the concerned persons. so that career growth and job rotation could be affected as far as possible to fulfill individual objectives within the framework of organizational interest.

11.1.45.4. Appraisals are not only means of evaluation or basis of promotions but the process has a very important role to contribute towards organizational effectiveness. Instead of any intention to use the appraisal process as a control or monitoring measure we will have to look towards its developmental dimensions. It can be very well used to recognise the development inputs required by staff members (training, specific job, exposure to specific equipment/technology/process). It can effectively contribute towards the planning process by pointing out the total man hours required for specific assignments, specific skills available with different groups, level of effectiveness and status of different activities planned from time to time.

11.1.45.5. All this basically highlights the multifaceted utilities of the performance appraisal process and its important role in organizational work and effectiveness. However, the basic objectives of the appraisal process centers around development, fairness and open communication.

#### 11.1.46. **APPRAISAL PROCESS**

11.1.46.1. The Performance Appraisal of any staff member mainly depends on the assignments given to him/her during the Appraisal period, his/her performance/achievements and other external factors influencing the level of performance. The immediate supervisor i.e. the first level appraiser is in the best position to make recommendations on the assessment since he monitors the activities and remains aware of the situation under which the staff member performs these activities. He is also in a position to take corrective actions after review wherever required

thereby having continuous flow of communication between them. A proper planning of activities, timely review and corrective action and effective communication ensures team effectiveness, which is an essential objective of overall appraisal process.

#### 11.1.46.2. **The Dyad**

The staff member and the immediate supervisor are the major forces in the triad involved in the whole process. As per the philosophy of Human Resource Development, the immediate supervisor (group leader) or the person to whom one is reporting is the Administrative Officer, the Finance Officer and the Project leader who monitors the activities and is responsible for the well-being of all members of the group. It has to be made very clear that being a Supervisor he has a prerogative to decide certain things i.e. he can decide one's activities, one's jobs, one's plans, fixing up priorities as well as assessment. One cannot question that prerogative but the process of taking that decision should be as far as possible based on a mutual discussion. Where there is a better understanding, better communication and a greater involvement or participation in the decision making process there seems to be less problem of difference of perception among the duo and they work as a team.

What is warranted in this appraisal process is this discussion before taking a decision on the assessment, which will not only ensure a proper communication of the assessment but also mutual involvement.

#### 11.1.46.3.. **Rating Scale**

One tends to compare among persons within or across the group whether in terms of entitlements or benefits or in terms of responsibilities and assignments. .The rating scale ranges "Outstanding" to "Poor" with marks assigned from 4 to 10 as given in the table below. The fractional rating will not be rounded off or truncated. That implies that any threshold for eligibility point for promotion will take into consideration the total rating including the decimal fraction.

Ratings described are as follows: -

Rating	Marks assigned
Poor	0
Average	4
Good	6
Very good	8
Outstanding	10

Ratings are given for each attribute as well as for Overall Assessment. Overall rating need not be weighted average of attribute ratings.

Under the FCS Scheme, the officers are first screened on the basis of grading in the Annual Confidential Reports (ACRs) for consideration for promotion; and the assessment is on a 10 point scale giving 10 marks for "outstanding", 8 marks for "very good", 6 marks for "good", 4 marks for

“average” and 0 for “poor”. The marks to be considered for screening for promotions under FCS are given against each.

**11.1.46.4. Documentation of Forms / Sheets**

The forms for Annual Confidential Report for the employees will be the same as that is adopted for an employee of the Administrative Ministry in the same grade.

**11.1.46.5. Reporting Officer and Reviewing Officer**

The reporting and reviewing Officers for the employees of C-MET shall be as follows:

<b>Designation</b>	<b>Reporting Officer</b>	<b>Reviewing Officer</b>
Executive Director	Vice-Chairman, Governing Council	Chairman, Governing Council
Director of Laboratory	Executive Director	Vice-Chairman, Governing Council
Registrar	Executive Director	Vice-Chairman, Governing Council
Chief Finance Officer	Registrar	Executive Director
Other S&T Staff	Respective Controlling Officers	Officer one level higher than the Controlling Officer/Director/Executive Director
Administrative Officer	Director /Registrar	Executive Director
Finance Officer	Director /Chief Finance Officer	Executive Director
Other Administrative Staff	Administrative Officer	Director /Registrar
Other Finance Staff	Finance Officer	Director /Chief Finance Officer

## Chapter 12

### CONDUCT, DISCIPLINE AND APPEAL RULES

#### 12.1. CONDUCT, DISCIPLINE AND APPEAL RULES

The CCS (Conduct) Rules, 1964 and CCA (Classification, Control and Appeal) Rules, 1965 as amended from time to time and applicable to employees of Government of India shall apply mutatis mutandis to all employees of the Society except those employed on casual basis.

#### 12.2. Disciplinary Authority

Disciplinary authority as specified below or authority higher than it may impose any of the penalties specified:

Sl. No.	Level	Appointing Authority	Disciplinary Authority	Extent of power of Disciplinary Authority to impose penalties	Appellate Authority
A	B	C	D	E	F
1	Executive Director	Chairman, Governing Council with the approval of Govt.	Chairman, Governing Council	All penalties	Governing Council
			Vice-Chairman, Governing Council	Minor penalties	Chairman, Governing Council
2	Director in Pay Scale of Rs.18,400-500-22,400 and Registrar	Chairman, Governing Council	Chairman, Governing Council	All penalties	Chairman, Governing Council
			Vice-Chairman, Governing Council	Minor penalties	Chairman, Governing Council
3	Executives and Staff with pay scale Rs. 5,500 - 9,000 and above and upto Rs.16400-450-20000	Executive Director	Executive Director	All penalties	Vice-Chairman, Governing Council
4	Others	Registrar/ Director	Registrar / Director	All penalties	Executive Director

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			Vice-Chairman, Governing Council	Minor penalties	Chairman, Governing Council
3	Executives and Staff with pay scale Rs. 5,500 - 9,000 and above and upto Rs.16400-450-20000	Executive Director	Executive Director	All penalties	Vice-Chairman, Governing Council
4	Others	Registrar/ Director	Registrar / Director	All penalties	Executive Director

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## Chapter 13

### PURCHASE PROCEDURE

The purchase procedure that shall be followed in the Society is given as under: -

#### 13.1. INTRODUCTION

Provision of adequate and timely supply of material to scientists is of prime importance for carrying out meaningful scientific research as well as for meeting the targets set for completion of various in house & sponsored projects in Laboratories of C-MET. On the other hand, any public procurement will not only have to be made in fair and transparent manner but will also have to fall in line with the canons of financial propriety. The purchase procedure given in the succeeding paragraphs strives to achieve both these ends.

13.1.1. The procurement of material/services in C-MET can be divided into the following distinct stages:

- a) Finding the Budget
- b) Prioritization of purchase of equipment, machinery etc. for the financial year for CMET budget on core project needs & priorities of sponsored projects.
- c) Placing of the Indent by the scientist and other officers concerned after verifying the non-availability in stock.
- d) Consideration of the indents by the Standing Purchase/Services Committee.
- e) Calling for tender/ quotations and processing of tender papers by the purchase department.
- f) Evaluation of the tenders/ quotations by the respective Standing Purchase/Services Committee.
- g) Submission of the papers to the competent authority for sanction.
- h) Placement of orders.
- i) Arrival of equipment and its installation.

13.1.2. Prioritization of purchase of equipment, machinery etc.

The the Executive Director will appoint a Laboratory Planning Committee (LPC) at each Laboratory to correctly assess the requirement of equipment, machinery, plant etc. for various projects including infrastructure requirement to be procured out of CMET core funds approved by EFC. This committee will be chaired by the Executive Director and consist of Director, three senior scientists, Administrative Officer, Finance Officer/Chief Finance Officer and Registrar (for Pune Laboratory). The committee will consult various Project leaders/Principal Investigators, get their requirements for the year and prioritize the list of purchases to be made in that year. The LPC shall check the availability of such equipment in the Laboratories, its performance and the rationale for procurement of another piece of equipment. This list will be circulated to all concerned by 30th of April. All purchases that are made during the year from C-MET funds will be in accordance with this list. The priority list for sponsored projects shall be finalized either through a committee or by Principal Investigator and got approved by the Director/Executive Director as the case may be.

## 13.2. **INDENT ORIGATION**

- 13.2.1. No purchase will be made in the Laboratory unless there is a specific budget provision for such a purchase. However, processing of indents for purchase of Equipments can be done by the Laboratory even without specific budget allocation for the current year provided such cases are cleared for administrative processing by the Director/Executive Director but final order shall only be placed after allocation of the budget by Headquarters.
- 13.2.2. All Purchase Requisitions (PR) for items not available in Stores Department shall be prepared in the prescribed form. Separate PRs shall be raised for materials / equipments indicating the project name /code for which the material will be consumed and items falling under different categories shall not be mixed up in the same indent. Separate Capital Sanction (CS) shall accompany PRs for capital equipments.
- 13.2.3. It should also be ensured by the indenting authority that maximum possible consolidation of requirements of each item is made out, as far as possible. Similarly where same items are indented by more than one Group, consolidation shall be done by Purchase Dept. In respect of indents for proprietary / specified brand goods, the indent should include the Proprietary Committee's recommendations in the specified format giving technical reasons for the choice of such goods only.
- 13.2.4. Estimated cost and delivery dates mentioned in the indent should be realistic. If the value of the acceptable offer against an indent exceeds 10% of the estimated cost the indent should be referred by the Purchase Department to the indenter for acceptance / budget re-appropriation. Cases where the variation from the estimated cost is less than the above limits need not be referred to the indenter.
- 13.2.5. The indenter should certify availability of funds to cover the items to be purchased by clearly indicating project code number, budget serial number to which the particular item relates. Appropriate documents with such project code should be made available to the indentors by the Finance Section.
- 13.2.6. Emergent Indents: Where stores are required to be procured emergently, the indent should be boldly marked "EMERGENT". Unless absolutely necessary and essential, indents should not be marked in this fashion. The quantities indented should be kept to the minimum consistent with emergent requirements. The indenter should also specify the need for procurement on emergent basis. In case of change of specification of an indented item, requiring revised or fresh quotation, a fresh indent should be given by the indenter canceling the item in the original indent.

## 13.3. **PLACING OF THE INDENT BY THE SCIENTIST/OTHER OFFICIALS:**

- 13.3.1. Whenever an indent is placed by the scientist/other concerned official, he has to ensure that the following details accompany it.

- a) A detailed description of the equipment including summary of its function and detailed specifications including whether the requirement is fresh or additional or replacement.
- b) The details, such as, the useful life of equipment, availability of spares, arrangement for maintenance etc.
- c) The estimated cost of equipment and that of spares, last purchase price if any, (to be given separately).
- d) The list of available vendors, their addresses, past experiences if any and their website wherever available.
- e) A certificate to the effect that the item is of proprietary nature, if it has to be bought from a known, single source. (This certificate shall be given by the indenter, which shall be duly approved by the Project Leader/ Principal Investigator. Both shall be responsible, if the certificate is found to be incorrect).
- f) A description of space requirement for the equipment, the installation area and other infrastructural requirements such as, power, civil works etc. wherever applicable.
- g) The approximate period required for the equipment to become operational from the date of its arrival.
- h) Tentative inspection schedule.
- i) Emergency purchase certificate, in case of purchase is to be made on emergent basis.
- j) Budget provision certificate duly linking with the Project/ scheme.

(Note: The indenter will submit his indent type written. No hand written indent will be accepted. No addition/alteration will be generally made in the indent. In case, this becomes necessary on rare occasions, the indenter will affix his initials on the corrections/additions made. Electronic submission of indents can be accepted with built in safety mechanism).

### 13.3.2. Scrutiny of Indents :

- a) Indent shall be thoroughly checked in order that they are strictly raised as per the purchase procedure enumerated hereunder. The Purchase Assistant/ Administrative Officer should not normally accept indents, which are faulty or incomplete and return such indents to the indenter within two working days. Minor defects in the indents, however, should be set right by discussions with the indentors.
- b) The Administrative Officer shall ensure while purchasing office equipment that the provisions of Official Language Act 1963 are complied with.
- c) The Administrative Officer shall check that items sought to be imported do not fall within the restrictive list contained in the Exim policy.
- d) The Administrative Officer shall satisfy himself if necessary by verifying from Chief Finance Officer/Finance Officer that funds are available commensurate with the delivery schedule.

e) The Indentor/Principal Investigator/Project Leader shall ensure that the specifications suggested by the indentor confirm to the latest BIS specifications wherever applicable.

f) Since speed is the essence, the Administrative Officer while vetting the indents must play a facilitating role. This role is to guide the indentor in order that the right item is bought at the right price. If necessary, he could help the indentor raise the indent in the correct manner by giving him relevant inputs.

**13.3.3. Recording of No-Stock Certificate by the Stores Department:**

(a) The indent together with its enclosures will be sent to the Stores Department which will verify its stock and render a no-stock certificate wherever applicable. (b) The indent will then be sent to the Purchase Department which will check it for correctness of details and place it before the relevant Standing Purchase/Services Committee.

**13.4. INDENT APPROVAL**

13.4.1 The Executive Director of the society shall prescribe the levels of officers who are authorized to raise indents. The name of approving members so authorized shall be communicated to the Purchase Department and Accounts Department but the number of such Members in respect of a Group should be limited to few.

13.4.2 Authorities to approve Purchases/contracts are as indicated in Delegation of Powers (DOP) in Chapter 18.

**13.5. CONSTITUTION OF STANDING PURCHASE COMMITTEE / STANDING SERVICES COMMITTEE**

13.5.1. The Standing Purchase Committee (SPC) will consider procurement of purchases/contracts such as special chemicals, special tools, equipments, machinery, plants, special accessories & spares, and furniture items. The Standing Services Committee (SSC) will consider regular/annual maintenance contracts of telephone, computer network, internet, security, horticultural and land development, annual maintenance contract for various equipments etc., These committees will discuss all purchases/contracts made under core funds of the Laboratory as well as sponsored/grant-in-aid/other projects

13.5.2. All emergent and breakdown purchases to be made at short notice shall also be considered by these Committees.

13.5.3. The Standing Purchase/Services Committee **shall** be constituted by the Executive Director under the chairmanship of a Senior Scientist to be nominated by Director/Executive Director. The other members will be two scientific/ technical officers, Chief Finance Officer/Finance Officer and Administrative Officer, who will act as member-convenor also. The senior-most member will act as alternate chairman in the absence of Chairman. The concerned indentor/Project leader/ Principal Investigator or officer nominated by the Project Leader/ Principal Investigator shall be co-opted as a member of the committee in case the SPC/SSC so desires. The co-opted member can only

advise the committee.

- 13.5.4. The quorum will be 50% with the proviso that the presence of Chairman, Finance Officer/Chief Finance Officer and Administrative Officer is mandatory. In case of dissent by any member including Finance member, the Director/Executive Director shall record reasons in writing while giving his decision. The Standing Purchase/Services Committee will meet as and when required.
- 13.5.5. The Standing Purchase/Services Committee will go through carefully the specifications given by the indenter and make it as broad-based as possible in order to induce competition. The very purpose of the Standing Purchase/Services Committee is to ensure that fair chance is given to every genuine competitor. Thus, restrictive clauses and tailor-made clauses that suit a particular or a Group of suppliers should be avoided. It may also request the Director/Executive Director, if necessary, to constitute a Technical Committee with experts from outside to finalise specifications of special items of procurement.
- 13.5.6. The Standing Purchase/Services Committee shall devise its own methods and procedures within the ambit of the extent rules and regulations for making purchases as quickly as possible. As regards the mode of purchase the detailed procedure and practices in this regard are given in para 13.7.
- 13.5.7. The Chairman of the Standing Purchase/Services Committee will forward the recommendations of the Standing Purchase/Services Committee to the competent authority for approval through a check list for equipments costing more than Rs.5 lakhs.
- 13.5.8. Where the estimated value of an item exceeds Rs.2 lakhs, the indent for the same shall be raised on the Purchase Department only after obtaining the need aspect approval of the Standing Purchase/Services Committee.
- 13.5.9. Items not included in the approved budget, but which are required to be procured also need clearance from the Director, if the estimated value per item is Rs.10,000/- or above and subject to availability of funds and need aspect approval of the Standing Purchase/Services Committee. However, re-appropriations within the heads of capital expenditure on an item not included in the budget shall require prior consent of the Executive Director.
- 13.5.10. The Standing Purchase/Services Committee may recommend for approval of the Director/Executive Director for local purchase by the Principal Investigator upto Rs.10,000/- without calling for quotations subject to a limit of 10% of the budget allocation of the sponsored project for procurement or Rs.1 lac for the whole project whichever is less, in rare cases, when there is real emergency. A monthly report of such cases will be submitted to the Executive Director through Chief Finance Officer by Director.

#### 13.6. **TENDERING PROCEDURE & LIMITS**



13.6.1 Public Tender where the total estimated cost value of an item exceeds Rs.5 lakhs in case of indigenous items and Rs.7.5 lakhs in case of imported items, purchase shall be made by issuing Public Tender. If the Public Tender is to be dispensed with, reasons should be recorded in writing. Purchase Department shall refer such proposals through the Director to the Executive Director for a final decision.

(Total estimated value of an item means unit value of an item multiplied by the quantity of the item required).

13.6.2 **Rate/Running Contracts:** Rate / Running Contracts can be entered into, based on public tender, or limited tender for a period of 12 months or any specified period and acted upon. Following procedure and guidelines shall be followed for entering into Rate/Running Contracts.

13.6.3 **Guidelines for entering into Rate/Running contracts**

All stores of standard types required in bulk quantity which are in common and regular demand, the price of which is not subject to appreciable market fluctuations are to be purchased on the basis of Rate Running Contracts whichever is most suited to the circumstances of each particular case.

Rate running contracts should not, as a general rule, be entered into for stores if the annual draws against the Contracts are not expected to exceed Rs.10,000/-.

The period of the currency of a Rate running contract normally should be one year, in special case, a shorter or longer period of contract shall be entered into with the approval of Director/ Executive Director.

No new Rate Contract should be placed with firms having back - log against existing contracts and the backlog are likely to continue for the major portion of the new contract period.

Rate Contract should be placed only on **authorized stockiest/distributor** and/or reputed and established firms who are capable of supplying the store as required. Preferably, quotations for Rate Contracts should be invited for slab quantities and contracts concluded accordingly.

In addition to the usual applicable standard terms and conditions, the following clauses should be included in the Rate/Running Contracts and Tender Enquiries for Rate/Running Contracts.

**Fall Clause:** The price/s charged for the stores supplied under the contract by the contractor should in no event exceed the lowest price at which the contractor sell the stores of identical description to any other person during the period of the contract.

C-MET reserves the right:

- To enter into parallel Rate Contracts simultaneously or at any time during the period of the Rate Contract with one or more tenders.

- To place ad-hoc contract or contracts simultaneously or at any time during the period of the Rate Contract with one or more tenderers.
- To terminate the contract by giving one month's time.

The successful tenderer shall maintain stocks at the station and shall make deliveries against purchase orders from such stocks as and when required.

13.6.4 Against ex-stock deliveries, the stores shall normally be supplied within a fortnight of the date of receipt of the order. Upon receipt of the order, the contractor shall within seven days intimate the quantity, which can be supplied from stores within the periods stipulated therein and the time required to supply the balance quantity. If the contractor fails to give such intimation within the time aforesaid, he shall be deemed to have agreed to supply the stores within the delivery date stipulated in the purchase Order. If the Contractor is unable to supply the stores or any part thereof within the time specified in the purchase order and intimate the time within which the supply will be made by him, the member placing the purchase order will notify his acceptance of delivery time offered by the Contractor or negotiate until an agreement is reached. In all cases, the delivery time as deemed to be accepted by the Contractor or agreed upon as aforesaid between him and the member placing the Supply Order shall be deemed to be the essence of the contract and delivery must be completed not later than such date. If in any case no agreement with respect to the delivery time is reached between the contractor and the purchaser, it shall be lawful for the latter to withdraw the Purchase Order and the contractor shall have no claim in respect of such withdrawals.

### 13.7. **MODE OF PROCUREMENT**

The Standing Standing Purchase/Services Committee must select after deliberation one of the following modes of procurement:

S.No.	Nomenclature	Mode
1	Open/Global tender	By advertising in the press
2	Limited tender	By sending written enquiries to n, known, reputed suppliers
3	Single tender	By sending written enquiries to a single supplier if it is in the knowledge of the indenter that the stores/equipment required is manufactured only by that supplier and no one else.

13.7.1. The open tender method shall normally be followed for all procurement worth more than Rs.5 lakhs (Rs.7.5 lakhs for imported items). Splitting of indents, in order to bring it outside the ambit of open tender method is strictly prohibited.

13.7.2. Notice Inviting Tenders (NIT) for open tender method shall be given in at least one or two local dailies for procurement worth more than five

lakhs but less than Rs.10 lakhs. Notice inviting tenders shall be given in at least two national dailies and in the Indian Trade Journal; published by the DGCIS, Kolkata, for procurement worth Rs.10 lakhs and above. The NIT should be posted in the C-MET's website with facility for downloading the tender document.

13.7.3. The notice inviting tenders shall be short, clearly worded and unambiguous. It should give a brief description of the item/ equipment to be procured, the qualification requirement for the supplier, the last date upto which tender papers shall be supplied (when required) the date of receipt of completed tenders, the date, time and venue of opening of tenders. Detailed technical specifications should not be given in the notice; they should only be given along with the tender papers. In addition, the notice can be put in the website of the Laboratory and or other dedicated websites for such purposes.

13.7.4. Limited tender method shall normally be followed in all procurements worth Rs.5 lakhs or less (Rs.7.5 lakhs or less for imported items). However, this method can be followed even in procurement of material worth more than Rs.5 lakhs (Rs.7.5 lakhs for imported items) when:

a) The Indenting Officer certifies that the demand is urgent and any additional expenditure incurred through open advertisement shall not be fruitful.

OR

b) When the sources of supply are definitely known and the possibility of fresh sources of supply being available is remote.

OR

c) And it is not in public interest to adopt the open tender method.

13.7.5. In all such cases, the invitation to bids must be sent to parties of comparable reputation and market share. For instance, if the requirement is for the installation of air-conditioning system and the intention is to get it done from major firms, such notices must be sent only to reputed national or multi national firms and not to local manufacturers/ agencies. On the other hand, if the intention is to encourage local manufacturers/ agencies, queries should be sent to local manufacturers/ agencies only and not to major firms. This is necessary to ensure proper comparison.

13.7.6. Global tenders may be issued when it is felt that bidding from the indigenous source through open tendering shall not result in competitive prices. In such cases, in addition to the open tendering procedures, copies of the NIT may be sent to the embassies of the countries where such manufacturers are located by giving them at least six weeks time so that they can forward the notice to the prospective bidders in their countries.

13.7.7. Single tender method shall be followed only in rare cases where it is in the sure knowledge of both the Standing Purchase/Services

Committee and the indenter that the equipment to be procured is manufactured only by a particular manufacturer and there is no other option for the Laboratory except to go in for this equipment. Intentionally adding restrictive clauses to favour a single source should be avoided at all costs. All such cases of procurement on single tender basis must be approved by the competent authority on specific recommendations of the Standing Purchase/Services Committee, only after he satisfies himself that such procurement is unavoidable. Spare parts of equipments procured on single tender basis from the manufacturers or from their authorized dealers can be decided by the Standing Purchase/Services Committee.

- 13.7.8. The Administrative Officer will call for tenders for items costing less than Rs.5 lakhs (Rs.7.5 lakhs for imported items) on limited tender basis and items costing more than Rs.5 lakhs (more than Rs.7.5 lakhs for imported items) on open tender basis. All other cases above Rs.50000/- including cases of purchase through single tender will be put up to the Standing Purchase/Services Committee for decision.
- 13.7.9. In case of purchase financed by foreign loan/ aid, the procedure prescribed in the loan/ aid agreement shall be followed. In the absence of any such procedure in the relevant agreement, the normal procedure shall be followed.
- 13.7.10. Where the purchase is being made from/the contract is awarded to Central/State Government, ABs, PSUs/Kendriya Bhandar / Super bazaar/ NCCF and other co-operative societies recognized by the Govt. of India, the procedure of obtaining quotations shall not be apply and the procedure enumerated in para 13.7 need not be followed. However, the Director/Executive Director is authorized to take a decision whether or not such items be bought under the process outlined in para 13.7 above.
- 13.7.11. The following cases need not be referred to the Standing Purchase/Services Committee and can be decided by the Administrative Officer after obtaining concurrence from Finance and sanction of Director/Executive Director.
- a) Repeat Orders
  - b) Orders against DGS&D rate contracts
  - c) Amendments to all purchase orders not involving financial implications.
- 13.7.12. A list of recognized and reputed suppliers shall be built up and maintained by the Purchase Department with the approval of the Director. The same should be reviewed and amended periodically. The inclusion and deletion of the suppliers should be only with the approval of the Director. The Purchase Department shall build up an item wise list of recognized and reputed suppliers and get it approved by the Director /Executive Director. The same should be reviewed and amended periodically in accordance with a prescribed and duly approved Vendor Development Procedure. The inclusion and deletion of the suppliers should be only with the approval of the Director/Executive Director.

13.7.13. **Pre-qualification:** In the case of equipment/material services which are of major value say Rs.5 lakhs and above per item and are important on account of critical nature and Engineering expertise and require long delivery time, etc., in order to avoid frivolous tenders a pre-qualification of parties to whom tender enquiries may be floated may be adopted. If necessary, for selecting the reliable parties to whom the tender enquiries may be floated. The criteria for pre-qualification will inter-alia consist of past performance, financial soundness, technical competence, organisational capability, etc., commensurate with the requirements. A screening committee specially constituted for this purpose by the SPC/SSC will analyse and evaluate the list of the qualified parties based on the qualification criteria. When tender enquiries are sent to all such qualified parties, it shall be treated like an open tender if pre-qualification has been carried through an open tender process.

### 13.8. TIME ALLOWED FOR INVITATION OF TENDERS

13.8.1. The following minimum time limit may be allowed to the bidders so that they can quote their best possible prices:

- i) Limited tender - Three weeks
- ii) Open tender - Four weeks
- iii) Global tender - Six weeks

However, in case of urgency, the time period can be reduced but proper justification for the same has to be furnished and accepted by the Director/Executive Director.

13.8.2. **Limited Tender:** Where the total estimated value of an item does not exceed Rs.5 lakhs in case of indigenous items and Rs.7.5 lakhs in case of imported items, purchase may be made by limited tenders by issuing enquiries to at least seven firms (with at least three quotes received) in the line as envisaged in the procedure. The purchase department shall however, ensure that the field is adequately covered. In cases where the number of firms is less than seven, the enquiries shall be issued to all known firms in the line, with proper recording on the file. Notwithstanding the limits prescribed above, all enquiries for items valued over Rs Rs.50,000/- shall necessarily be displayed on the website of the Society for the period of the tender.

13.8.3. **Open Tender:** Where the total estimated value of an item exceeds Rs.5 lakhs in case of indigenous item or Rs 7.5 lakhs in case of imported items, purchases shall be made by open tender by releasing an advertisement in at least two leading newspapers. To reduce expenditure on advertisement, an abridged tender notice may be released through newspapers with an advice to see complete details on Society's website.

### 13.8.4. Earnest Money Deposit

13.8.4.1. The Earnest Money Deposit (EMD) is to be normally required to be deposited by the tenderer for open tenders while submitting the bid unless exempted by government orders to ensure that the concerned

tenderer does not refuse to execute the purchase order/contract if and when awarded to him. Only in exceptional cases, the requirement of EMD can be waived by the Executive Director with concurrence of the Chief Finance Officer.

13.8.4.2. EMD should be about 3 to 5 per cent of the estimated value of the tender to be paid in any one of the following forms to ensure that the tenderer enters into a contract after the same has been awarded to him.

(a) Call Deposit Receipt duly endorsed in favour of C-MET or Pay Order or Demand Draft.

(b) Bank guarantee from an Indian Scheduled Bank-irrevocable/Nationalized Banks and operative till the expiry of sixty days after the validity of offer.

(c) Fixed Deposit Receipt issued by an Indian Scheduled Banks/Nationalized Banks endorsed in favour of C-MET.

13.8.4.3. The tenderer may also avail of the scheme of lumpsum deposit which will be treated as a standing deposit of earnest money for participation in bidding. Such deposit will not entitle the supplier to any interest thereon. It will be open to suppliers who have not registered themselves to participate after remitting earnest money as may be stipulated in each tender invitation.

13.8.4.4. The EMD shall be liable to be forfeited in the event of:

(a) Revocation of the tender or increasing rates after opening of the tender but before the validity of the quotation expires.

(b) On refusal to enter into a contract after the award of contract or the obligations under contract are not fulfilled after the contract is awarded.

13.8.4.5. Earnest Money deposited by unsuccessful tenderers will be returned expeditiously after the award of the purchase order/contract.

13.8.5. **Purchase of Proprietary / Specified Brand Goods:** Purchase of proprietary / specified brand goods may be made on single tender basis from the manufacturers or from their authorized distributors on the recommendations of the proprietary committee.

13.8.6. **Procurement of Stores on DGS & D Rate Contracts:** Wherever possible procurement may be made on DGS & D rate contract.

13.8.7. **Low Value Purchase:** At the discretion of Purchase Department where the value of an item does not exceed Rs.5000/-, procurement can be effected against cash/credit payment without going through the tendering procedure.

Before giving cash purchase requisition, it must be ensured by the indenter that the material is not available in the stores and is required immediately. For all materials purchased on cash/credit basis,

Material Receipt cum Inspection Report (MRIR) will be prepared by Stores Department where the value exceeds Rs.3000/- per item.

13.8.8. **Telephonic/Fax Quotations:** Where the total value of an item exceeds Rs. 5,000/- but less than Rs.10,000/- quotations may be obtained by telephone/Fax from at least three firms by the Administrative Officer and the same should be recorded in writing (followed by original quotation by post).

13.8.9. **Procurement of Scientific/Technical Books/Magazines/Periodicals/Standards:**

a) Indent for purchase of scientific/technical books, periodicals etc., on approval by the Director/Executive Director shall be sent to Library-in-charge. After satisfying that the book/periodical is not already available in the stock, procurement action will be initiated by the Library-in-charge himself. Subject to availability of funds; Purchase orders for books shall be finalized by the Library-in-charge, if order value is less than Rs.2,000/- and above Rs.2,000/- but less than Rs.25,000/-, this will be finalized by the Director. Purchases above Rs.2,000/- shall be on the recommendations of the Laboratory Planning Committee (LPC). Orders for more than Rs.25,000/- at a time will be finalized with the approval of the Executive Director on the recommendations of the LPC. Subscription to National and International journals shall be on the recommendations of the LPC. Executive Director will be approving authority for international journals.

b) Library-in-charge shall send enquiries to Book Sellers and place orders on the seller who gives maximum trade discount depending upon the availability in Ready stock. All books purchased shall be taken on stock in the Library and no MRIR is required to be prepared for books. Invoices from Book Sellers are to be received by the Library-in-charge and the certified original bill should be sent to Accounts for payment.

c) Binding of Magazines / Books can also be arranged by the Library-in-charge after inviting quotation from various established binders. Selection of binders should invariably be based on quality of binding.

13.9. **EMERGENT PURCHASE AGAINST INDENTS**

13.9.1 In case of emergent indents where the total value of the indent exceeds Rs.5,000/- but does not exceed Rs.10,000/- the Purchase Department should obtain quotations from at least three firms by telephonic /fax/e-mail/hand delivery. In case of telephonic quotations, the same are to be recorded in writing by Administrative Officer. If it is not possible to obtain three quotations, the reasons therefor should be recorded by the Administrative Officer and procurement may still be effected which would require prior approval of Director/Executive Director.

13.9.2 **Constitution of Emergency Purchase/Services Committee:** Purchase against emergency indents of an estimated value exceeding

Rs.10,000/- can be made, where considered absolutely necessary, by a team called Emergency Purchase/Services Committee constituted for the purpose consisting of representatives from Finance, Purchase and Indentor. The team shall be constituted by the Director for which action will be taken by the Purchase Department. The team shall follow the guidelines for procurement as may be laid down by the Director in consultation with Finance Officer. For effecting such emergent purchase, the Purchase Department shall obtain the prior approval of the authorities as follows, specifying in writing the need for such mode of purchases: -

For value of Purchase Of Stores	Approving Authority
Up to Rs.25,000/-	Director/Registrar
Above Rs.25,000/-	Executive Director

Such emergent purchases shall also be subject to the conditions stipulated below: -

The team should invariably include Finance Officer/CFO or his representatives.

For obtaining the approval of the Director for making emergent purchases;

Non-availability of the items in the Stores to meet the emergent requirement should be clearly indicated.

Justification for the need to make the emergent purchases should be given in writing (such purchases cannot be permitted merely to avoid lapse of funds)

The approximate value of the items proposed should be indicated.

Emergent purchases should not ordinarily be considered for office equipment and furniture.

Stores purchases under "Emergent Category" should be utilized within a reasonable time after the purchases. (Cases have been noticed where stores purchased on emergent basis remained unutilized for long).

The right sources of supply should be contacted/visited by the team members for ascertaining availability of materials for immediate requirements.

Enquiries incorporating the terms and conditions of supply should be issued to at least five firms under acknowledgement, specifying the time (as needed) within which the quotations should be opened on the prescribed date and time by the team. In case the number of firms to whom enquiries are issued is less than five, reasons for the same should be recorded on the file. Thus purchase of proprietary / special brand goods could be made by obtaining single quotations provided the requisite certificate in terms of para 13.8.5 has been obtained.



Immediately after the receipt of quotations, comparative statement should be prepared, the offers analyzed and inspection of equipment / samples, etc., as may be needed carried out. The comparative statement with all relevant details should be examined by the team, which should function as the Emergency Purchase/Services Committee for the purpose. There after, orders should be placed on the basis of the lowest technically acceptable offer taking into account the delivery factor.

Where the lowest technically suitable offer is rejected on considerations of early delivery, the question of imposing penalty for delivery after the prescribed date should be considered. Liquidated damages are generally charged at ½% of the value per week or part of a week.

Inspection of the materials should be carried out as speedily as possible; and not more than 3 days in any case.

Payments can be made only against delivery of materials in question. Where immediate or early payment terms are agreed to efforts should be made to obtain cost discounts. Wherever cost discounts are offered, these should be obtained in writing from the suppliers.

#### 13.10. RECEIPT OF TENDERS

- 13.10.1. Tenders are received either through post or through courier or by hand. The tenders shall be dropped in the tender box, which shall remain locked, and its keys shall be kept with the Administrative Officer.
- 13.10.2. If a tender, received in a cover without any superscription about its contents, is opened by any official receiving it, he shall himself mark on the cover the tender number and the date of its receipt and the date of its opening and shall sign it **and deliver it to the Purchase Officer** before the opening date.
- 13.10.3. Tenders for items costing less than Rs.2 lakhs and are received in open condition or through fax or e-mail or telegram or telex within the due date and time shall not be rejected but shall be accepted at the risk of the bidder if the same is presented to the Standing Purchase/Services Committee.

#### 13.11. LATE / DELAYED TENDERS

- 13.11.1. Tenders received after the specified time and date of opening are treated as "Late" while tenders received after the last date specified for receipt of tender but before the date of opening of the tender are treated as "Delayed".
- 13.11.2. In respect of both late and delayed tenders, the envelopes containing the postal markings be retained in the file along with the offers.

13.11.3. When the tenders are under examination, no other authority should be allowed to make queries or call for reports as, apart from the impropriety involved, these lead to delays in taking decisions.

### **13.12. POSTPONEMENT OF THE TENDER OPENING DATE**

13.12.1. Requests for the postponement shall not normally be entertained. In rare cases however, if the response to a notice is poor, a decision to postpone the opening date of the tender by a minimum 15 days may be taken by the competent authority. The time extension so granted may be intimated to all concerned so that adequate response is received.

13.12.2. In case where the response to limited tender method in respect of materials costing more than Rs.5 lakhs (Rs.7.5 lakhs for imported item) is poor (if the response is only from two or less bidders, it is considered poor), then open tender method shall be resorted to. The bidders who responded to the limited tender enquiry must be informed that their tenders shall also be considered along with the tenders received through open enquiry. If a decision is taken to change the specification to make it broad-based, the bidders who had responded to limited enquiry shall be asked to bid again as per the revised specifications. Any exception to this should have the approval of Director/Executive Director whoever is the competent authority.

### **13.13. OPENING OF THE TENDERS**

13.13.1. The tenders shall be opened by a Tender Opening Committee consisting of Administrative Officer, Finance Officer and Indentor/Project leader/Principal Investigator. Separate notice of opening of the tender needs to be sent to the bidders before opening of the commercial bid. Opening of the tenders without informing the bidders is strictly prohibited for the open tendering process and for limited tender if the estimated cost is more than Rs.1 lakhs.

13.13.2. The officer opening the tender shall read out the following particulars only for the information of the representatives attending the tender opening.

- a) Tender number
- b) Name of the firm
- c) Description of the item to be purchased
- d) Price
- e) Whether the price is inclusive of taxes & duties or exclusive
- f) Discount offered.
- g) Delivery Schedule.
- h) Any other extra charges quoted for packing, transport etc.
- i) Terms of delivery
- j) Warranty obligations.

13.13.3. All the pages of the tender have to be initialed by the Tender Opening Committee. Alterations/ corrections in the tenders should be initialed legibly by the officers opening the tender and dated. A similar procedure shall be followed wherever any erasing/ cutting is

observed.

- 13.13.4. Any correction in the price quoted in the tender both in the words and figures shall be circled in red ink by the representative of finance and signed. The members of the tender opening committee shall endorse this. In addition, a list of the representatives of the bidders present at the time of opening shall be prepared who shall write their name and the bidder they represent under their signature.
- 13.13.5. If there is any discrepancy between the price quoted in figures and words, whichever is the higher of the two shall be taken as the bid price.

#### 13.14. **EVALUATION OF THE TENDERS**

- 13.14.1. The Purchase section shall make a neat comparative statement of the tenders opened. It shall contain **period of validity of offer**, details like rate, final landing cost after all discount, taxes and duties payable, etc., for indigenous items and FOB price for imported items. Where there is no mention of packing, forwarding, freight, insurance charges, such offers shall be rejected as incomplete. This condition must be indicated in bold letters in the tender document/ enquiry itself. The comparative statement shall be without any cuts and erasers and shall neatly give the quoted price both in figures and in words. The Purchase section shall be directly responsible if the statement is later found to be shabby and with additions, alterations, cuts and erases. When bids are received in different currencies, the comparative statement shall clearly give the exchange rate on the date of opening of the bid and the quoted price in rupees.
- 13.14.2. After the order is placed separate photocopies of the comparative statement may be taken and kept in a presentable form to be produced on demand by audit/ vigilance inspection.
- 13.14.3. Evaluation of tenders must be done in a scientific and logical manner. It is not always necessary that the lowest quoted price shall finally emerge as the lowest evaluated price. It may be that the lowest bidder has not quoted according to the specifications and has left out certain items asked for. His bid eventually may not even be responsive. Thus evaluation of tenders is a serious exercise which should not be done mechanically: Extraneous considerations, that is, considerations that were not mentioned in the technical and of other specifications, shall not be a cause for rejecting a tender as non responsive.
- 13.14.4. If the bidder has quoted certain optional items, these items should not be taken into consideration for the evaluation of the bid. Wherever two bid system is followed, the Standing Purchase/Services Committee can arrive at a basket of items to be procured which may well be different from what they had initially advertised. In all such cases, the parties who have been found technically suitable should be asked to quote for all these items.
- 13.14.5. Conditional tenders shall not be accepted.

- 13.14.6. A tender shall not be rejected simply because certain details which do not have appreciable bearing on the price quoted are missing. In such case a quick reference could be made with the approval of the Standing Purchase/Services Committee, to the concerned bidder for proper evaluation of the tender.
- 13.14.7. The evaluation report shall clearly bring out
- a. the technical acceptability of the offer
  - b. the reasonability of the price quoted
  - c. the reasonability of the delivery period offered.

No tender shall be technically rejected on flimsy grounds or on such vague grounds as unsatisfactory service during earlier purchases without providing any documentary proof. The reasonability of the price quoted can only be arrived at by making formal inquiries with other clients who have made similar purchases and by taking into account last purchase price. It must be borne in mind that the margin of profit in scientific equipment is usually large and hence there is considerable scope for negotiation with the lowest bidder. Negotiations must only be done with the lowest bidder wherever necessary.

**13.15. SEPARATE EVALUATION OF TECHNICAL AND FINANCIAL BIDS**

- 13.15.1. All stores/services costing more than Rs.5 lakhs shall be purchased by adopting two-envelop system either through open tender or through limited tender.
- 13.15.2. In this system the bidders are asked to send their technical specifications with EMD and financial bids in two separate sealed envelopes. The technical bids are opened first and analyzed for acceptability either by the Standing Purchase/Services Committee itself or by a separate Technical Committee. The tenderers could also be called for discussion and could also be allowed to modify their technical bids to suit the organizations requirement. The idea is to arrive at a threshold level of acceptability above which all the bidders shall be treated on par. Those whose technical specifications do not reach the threshold level of acceptability shall be rejected as technically unsuitable. The bidders who finally emerge as technically acceptable shall be allowed to withdraw their price bids and send again a revised bid in a sealed envelopes or to adhere to the original price bid sent. These price bids shall be opened, evaluated and the contract awarded to the lowest evaluated bidder.
- 13.15.3. It must be normally ensured that at least two or more bidders become technically suitable in all such cases unless there are compelling technical reasons to decide otherwise. If only one bidder emerges as technically suitable, it may lead to complaints that the specifications were tailor made to suit a particular bidder.
- 13.15.4. In rare cases when such an eventuality arises, the Standing Purchase/Services Committee/ Technical Committee should give cogent and detailed reasons as to why such a choice is being made. In all such cases, if other parties make representations, it is the

responsibility of the Director to explain to them the technical reasons for rejecting their bids.

- 13.15.5. **The Financial Comparative Statement (F-CST) prepared by Purchase Department shall be vetted by SFO/FO for correctness and order for further processing.**

**13.16. INDENTOR'S RECOMMENDATIONS**

- 13.16.1. The originators of the indents shall make recommendations on offers. In cases where an offer other than the lowest is proposed to be accepted, such recommendations should be duly confirmed by the Members who approved the indents in the first instance. In the case of rejection of lower offers, the reasons should be recorded specifically.

- 13.16.2. After getting the indenter's recommendations, the Purchase Department will process the case further and obtain the approval of the Competent Authority after getting the recommendations of the Standing Purchase/Services Committee.

- 13.16.3. In cases where the proposal is for purchase of standard/shelf items, such as Office equipment, stationery items, air-conditioners, furniture, lubricants, tyres and tubes, etc., the purchase may itself finalize recommendation on the basis of lowest offers where such offers are exactly identical to the indenter's requirements without reference to the indenter. In case of differences or any variation or in case of doubt, the offers may be referred to the indentors.

**13.17. PLACEMENT OF PURCHASE ORDER / CONTRACT**

Once the purchase/contract proposal is recommended by the Standing Purchase/Services Committee and the competent authority accords the approval and expenditure sanction, Administrative Officer shall prepare the purchase order/contract and arrange to send it to the vendor. The necessity of agreements, if felt, can also be entered with the firm by Administrative Officer. The purchase order/contract shall contain the make and model of the item/services required with description, rate, quantity ordered, cost and terms & conditions like delivery schedule, place of delivery, payment terms, taxes & duties, any other charges like packing, forwarding, transportation, insurance etc., discounts offered by the firm, warranty period, training if any etc. Orders for imported stores should be on FOB basis. In case the Laboratory desires to import the stores on CIF basis, approval of the Director/Executive Director shall be obtained with full justification. Suitable clauses like Fall Clause, Option clause for repeat order, Arbitration Clause, force majeure Clause and Liquidated damage Clause etc. may be incorporated in the supply order wherever applicable. The order shall also contain the inspection procedures to be followed for inspecting the ordered goods for acceptance and the probable time needed for inspection. Purchase order/contract shall be despatched to the vendor in two copies with an instruction that the vendor has to return one copy duly signed as a token of the acceptance of the purchase order/contract. In case the order

confirmation is not received within **15 days by fax/post for indigenous items** and 21 days for **imported items**, it shall be presumed that the vendor has not accepted the purchase order/contract and further action has to be initiated as per the conditions given in the tender document etc. The copies of purchase orders/contract shall be distributed to Stores, Indenting Division and Finance (along with a copy of the sanction memo) as soon as the orders are placed.

13.18. **PROCUREMENT / LOAN OF GOODS FROM GOVERNMENT DEPARTMENT ETC.**

Sometimes it may be necessary to procure goods from Government Departments / Undertakings / Autonomous bodies, when such materials are difficult to procure or not readily available from the market. In such cases it is not necessary to resort to normal tendering modes, but instead purchase can be effected based on the rates given by the above sources. Such purchases will be treated in the same way as purchase of items on single tender basis as in the case of proprietary items etc. Consultation with Finance Officer is necessary in such cases.

13.19. **DEVELOPMENTAL ORDER**

For specialized items where order cannot be finalized by inviting quotation or when it is necessary to establish a parallel indigenous source of supply, negotiation may be carried out with the probable supplier(s) and developmental order placed with the approval of the Head of the Laboratory, where the values of the orders is up to Rs.25,000/- and Executive Director for orders of value exceeding Rs.25,000/-. In cases where such developmental orders involve Foreign Exchange, prior approval of the competent authority for the release of Foreign Exchange should be obtained. Purchase Powers for these will be as in the case of 'Single Tender Purchase'. Consultation with Finance Officer is necessary in the case of developmental Orders.

13.20. **CIVIL WORKS, CONTRACT, ETC**

Civil works (major, minor and petty) shall be undertaken as per civil & allied works procedure given in Chapter 15 of this Policy Manual.

13.21. **PURCHASE APPROVAL POWERS**

The purchase approval powers of different authorities are given in the DOP of Chapter 18 and will be exercised in accordance with the purchase procedure prescribed by this Policy Manual.

13.22.           **PRE-AUDIT**

13.22.1.       There will be no pre-audit for purchase orders of value upto Rs.50,000/- and below but accounts will make entries in respect of these Purchase Orders in the Budget Control Register for watching commitments. For all orders exceeding Rs.50,000/- in value, audit will be done before release of the orders. However, there will be post-audit of all purchase orders whose value is Rs.50,000/- and below on a selective basis in a manner to be decided by the Finance Officer/CFO. Views of Finance shall also be obtained in all cases where the papers are to be referred to the Standing Purchase/Services Committee. The following guidelines are given for the pre-audit.

13.22.2.       It should be verified whether sufficient budget provision exists to cover the amount of the Purchase Orders.

13.22.3.       It should be ensured that all the requirements of the purchase Procedure have been completed right from the indent stage to the final stage of the Purchase Order.

13.22.4.       It should be checked whether the lowest offer is accepted and in case the lowest offer is not accepted, reasons for the same are recorded in writing by the authority competent to decide the case and the same are available in the file for reference.

13.22.5.       It should be ensured whether the terms and conditions as incorporated in the Purchase Order are as per the quotation / tender accepted by the competent authority.

13.22.6.       It should be verified whether in the Purchase Order there are any unusual conditions or deviations from the prescribed standard terms and conditions and if so whether the approval of the authority competent to accept the same has been obtained.

13.22.7.       For all cases, which are to be referred to the Standing Purchase/Services Committee, the views of the pre-audit section will be obtained in the case file before the matter is referred to the Standing Purchase/Services Committee.

13.22.8.       In respect of Purchase Orders pertaining to proprietary / specified brand goods, it should be verified that the requisite certificate has been given in the prescribed form.

13.22.9.       Wherever indenter is unable to agree with the views of pre-audit, the same shall be referred to the Administrative Officer for his orders. In the event of difference of opinion between Pre-audit and Administrative Officer, the matters shall be referred to the Director. If difference of opinion exists between Pre-audit and Director, the matter shall be referred to the Executive Director through CFO/Registrar, whose decision will be final.

13.23.           **REPEAT ORDERS**

Repeat Orders may be placed on the following conditions:

- 13.23.1. Within one year from the date of the original order.
- 13.23.2. The items ordered again should be of identical Specification.
- 13.23.3. The Purchase **Department** should be satisfied that there is no downward trend in the market price.
- 13.23.4. The quantity to be ordered shall not exceed the quantity in the original order.
- 13.23.5. The original order should have been placed for a proprietary item or on the basis of lowest technically acceptable quotation.
- 13.23.6. The original order should not be an emergency' Order or an order placed on 'Preferred Delivery' basis.
- 13.23.7. Normally efforts should be made to obtain quantity discount from the supplier. The value of the Repeat Order should not exceed Rs.5,00,000/-
- 13.23.8. Not more than one repeat order can be placed for the same item.

#### 13.24. **PRICE NEGOTIATIONS**

- 13.24.1. In exceptional circumstances ab-initio negotiations can be undertaken but only with the prior approval of the Competent Authority, e.g., where there is no competition or where there is shortage of capacity or where the stores required are known to be manufactured only by two or three firms. Such negotiations shall be conducted by a committee consisting of representatives of Indentor, Purchase, and Finance. In case of purchases valued over Rs.50,000/- the Constitution of the Committee will be approved by the Competent Authority.
- 13.24.2. In exceptional cases, Post-Tender negotiations may be held with the tenderer submitting the lowest technically suitable offer. The decision on this will be taken by the Administrative Officer in consultation with the Indentor and Chief Finance Officer/Finance Officer if he is convinced that there is a scope for further price reduction. In such case, the SPC/SSC shall proceed with the negotiation.

#### 13.25. **BUY-BACK PURCHASES**

- 13.25.1. Buy-back of items like Computers, Scanners, Servers, laptops, LCD Projectors, Printers, Photocopiers, Faxes, Refrigerators, Cycle/Motor cycle and the like of five-year vintage or more can be made subject to the following conditions.

a) The approval of the competent authority for declaring the item as obsolete etc. has to be obtained as per Stores Procedure of policy manual.



b) Prices be obtained from various bidders as per para 13.7. and the bids should clearly mention that the offer is under buy-back scheme and the buy-back price be mentioned separately.

c) Once the purchase is completed, the original value of the item shall be written off from the books of the Laboratory.

13.26. **RECEIPT OF MATERIALS**

The receipt of all ordered material have to be made in the stores section and a report of such receipts must be sent to the Purchase, Indenting scientist next day. Similarly information like transit of materials, clearance from Air/Sea port/ transporter/vendors godown, etc. has to be intimated to the user depts. Heavy and large items can be unloaded by the stores at the place of its final installation. Stores should maintain a Daily Receipt Register (DRR) centrally which should include all relevant information about the receipt of materials in a computer. A print out can be sent to the User Group and the Purchase immediately and a copy of the same can be retained as DRR.

13.27. **INSPECTION OF MATERIALS**

The indenter shall inspect the materials as soon as it arrives and shall normally adhere to the schedule given by him at the time of placing the indent. Normally the concerned indenting division should ensure completion of inspection within ten days of receipt of advice from the stores. For imported equipments the packing may be opened in the presence of the Indian agent to avoid short/ damaged supply due to improper packing. In any case the inspection shall be completed within the validity period of the insurance policy so that the claims for shortage/ damage if any, can be lodged with the insurance company. Failure to inspect the material within the time schedule shall make the Indenter and the concerned Project leader/Principal Investigator responsible for the loss. Once the inspection is complete and the indenter certifies the inspection report, Stores should ensure that the bill containing the stock entry reference and copy of the inspection report is sent to Purchase within three working days after the inspection is over. The Purchase wing shall send the same to finance within four working days for payment for post audit & authorizing payment to the vendor within five days from the date of receipt of bill. If for any reason, the payment is held up beyond the period stipulated, the matter shall be brought to the notice of the Director/Executive Director for his decision.

13.28. **ACCEPTANCE OF EXCESS / SHORT SUPPLIES**

Wherever it is absolutely necessary to accept variations in supplies up to 20% in quantity for items like cables condensers, resistors, glass , chemicals, materials, fasteners, ferrous and non-ferrous materials, PCB etc. these could be accepted by the Administrative Officer in consultation with the indenter with the approval of the Director. Formal amendments to Purchase Orders are, however, required to regularize the transactions.

13.29. **PRICE ESCALATION**

13.29.1. Purchase should normally be made on firm prices. However, variations on account of rate of exchange and statutory levies could be allowed as provided for in para 13.30. below. Escalation on account of materials and/or wages should be discouraged. In exceptional cases, where the rates quoted depend very much on statutory otherwise controlled prices etc., or in cases where the material costs are liable to wide fluctuations, escalation may be considered on price of materials. In all such exceptional cases where escalations are accepted, the offers and purchase orders should clearly and precisely mention the base price level and quantities assumed, the variation factors to be applied and the indices or price documents to be produced for applying the escalations. Increase in base price is not to be allowed. However, the price escalations occurring during the extended delivery period should not be allowed.

13.29.2. The authorities who can accept price escalation clause are the Director/ Executive Director. Concurrence of Chief Finance Officer/FO shall be necessary for accepting the price escalation clause.

13.30. **PRICE INCREASES DUE TO STATUTORY LEVIES**

Where the price increases asked for by suppliers are due to any Governmental action or due to statutory levy in the rate of customs duty, excise duty, sales tax, etc., beyond the control of the supplier, full increases as correctly applicable can be allowed, if requested for, provided the terms of contract with the suppliers envisage such price changes. Upon the approval of Director, Intimation regarding this increase should be sent to the indentor and Finance after amendment of the Order. Other cases of price increase are to be dealt with in accordance with the DOP. Increase on account of statutory levies during the extended delivery period beyond the originally agreed delivery date should not be considered except for reasons of force majeure.

13.31. **ADVANCE PAYMENT**

13.31.1. While the normal mode of payment is 100% within 30 days after receipt and acceptance of materials in good condition (i.e., within 30 days after satisfactorily installation & commissioning of equipment), there may be occasions when a reputed supplier insists on advance payment. In all such cases, the SPC/SSC concerned shall recommend to the Competent Authority (i.e. Executive Director) for approval on a case to case basis what percentage of payment could be made to the vendor in advance against equivalent bank guarantee from a scheduled bank. In no case shall the advance payment thus made exceed 90% of the price. The remaining percentage shall be released only after receipt and acceptance of material in good condition or after satisfactorily installation and commissioning of the equipment.

13.31.2. There may also be cases when payment against delivery which is commonly in practice for smaller value items and with traders who

supply against cash/ cheque. This payment against delivery is much safer than payment through bank against documents as material itself is received against payment instead of documents. Such terms should be allowed. However, the Administrative officer should ensure that the material is inspected and found acceptable as per requirement.

13.31.3. In case of imports, when payment against sight draft / advance dollar draft is a condition, such payments may be allowed after approval of the Executive Director subject to the limit prescribed by the RBI.

13.31.4. In case of Annual maintenance contracts/ repairs, advance payment sufficient to cover one-year AMC charges can be allowed by the sanctioning authority. In cases where the AMC payment is for more than a year specific approval of the Executive Director shall be obtained.

13.31.5. Any other payment terms can be accepted in exceptional cases on the approval of Executive Director with concurrence of Chief Finance Officer .

### 13.32. **PAYMENTS**

13.32.1. All bills for payment of supplies made shall be received by the Purchase Department and forwarded to Finance along with MRIR. Before authorizing payment, the bill shall be verified with reference to the copies of the purchase order receipt vouchers (MRIR) and relevant records including acceptance of stores. Payment is to be normally arranged within 10 days after receipt voucher and bill, if the same is in order. All correspondence regarding payments with the supplier shall be done only by the Purchase Department.

### 13.33. **PAYMENT TO FOREIGN SUPPLIERS**

13.33.1. With regard to the payment to foreign suppliers, the normal terms of payments are against sight draft. Letter of Credit in favour of foreign suppliers can be established only by Chief Finance Officer/Finance Officer with the prior approval of the Director/Executive Director with proper justification. Wherever advance payment is insisted within the RBI limits, same may be accepted with the concurrence of Chief Finance Officer/Finance Officer as the case may be.

13.33.2. Payment of Agency Commission: The Agency Commission to the Indian Agents of foreign firms should be paid in Indian Rupees worked out on the basis of settlement Rate of Exchange prevailing on the date of final payment to the foreign supplier.

### 13.34. **COST OF TENDER DOCUMENTS IN THE CASE OF PUBLIC TENDERS**

13.34.1. The tender documents may be sold at the following rates depending on upon the estimated value of the Stores. These rates are exclusive of any tax on the sale of tender documents, if any levied by the State/Central Government.

Estimated Value of Cost

Up to Rs.25 lakhs	Rs.500/-
Beyond Rs.25 lakhs	Rs.1000/-
Rs.25 – 50 lakhs	Rs.1500/-
Beyond Rs.50 lakhs	Rs.2000/-

13.34.2 Cost of tender document can be waived in special cases with approval of the Executive Director.

13.35. **INSURANCE**

With regard to insurance of consignments, Purchase **Department shall take Open / Specific Transit Insurance coverage for both indigenous and imports** depending on value and type of the item.

13.36. **DEVIATIONS**

In cases where deviations from the standard terms and conditions of contract and the prescribed purchase procedure are considered necessary, prior approval of the Executive Director should be obtained by furnishing sufficient justification for such deviations and the reasons thereof should be recorded in writing. All such proposals shall be sent to Executive Director with the recommendations of Director through the Chief Finance Officer/Registrar. The exercise of the above powers shall be subject to the observance of the rules / regulations / orders, etc., on the subject.

13.37. **CONDITIONS APPLICABLE FOR THE PURCHASE APPROVAL POWERS**

The Purchase Approval Powers mentioned in the DOP are subject to the following conditions laid down in the purchase procedure:

13.37.1. Unless otherwise stated, this delegation is in respect of value of each Purchase Order, at a time. The values are net excluding duties/taxes, freight etc. and based on recommended offer.

13.37.2. Lowest technically suitable offer means the lowest among the tenders received which conforms to the technical specifications specified in our tender enquiry.

13.37.3. In all cases of lack of competition in case of Open/Global Tender and Limited Tender Enquiries (i.e., less than three offers are received) approval of the Director is required for values of Orders below Rs.50,000/- and above Rs.50,000/- approval of the Executive Director/Executive Committee as the case may be. Such decision shall be in consultation with Finance Officer/Chief Finance Officer.

Note: 1. The following cases need not be referred to Standing Purchase/Services Committee:

(a) Emergent purchase

- (b) Repeat Orders
- (c) Amendment to Purchase orders not involving financial implications.
- (d) Cancellation of Order in part or in full and reinstatement of cancelled order.
- (e) Procurement through DGS & D
- (f) Direct Orders placed at DGS & D Rate Contract Prices.
- (g) Incases where order value increases up to Rs.20,000/-due to any amendment variations, need not be referred to the committee.
- (h) Purchase through Government Departments/Agencies, PSUs/Autonomous Bodies/ Statutory Bodies Co-operative societies.

Concurrence of Finance Officer/CFO is required in cases:

- (a) Where the Laboratory has to necessarily accept special conditions of payments as stipulated by the tenderer, whose offer is proposed to be accepted.
- (b) Cases involving price variation conditions.

- 13.37.4. All Purchase cases referred to the Director/Executive Director should be routed through Finance Officer/Chief Finance Officer.
- 13.37.5. Wherever price preference is proposed to be given for earlier delivery/price preference for Government undertaking/price preference for Small Scale Industrial Laboratories and for indigenous offer vis-à-vis imported offer, the approval of the Executive Director shall be obtained with justification.
- 13.37.6. In exceptional cases negotiations may be conducted. In such cases negotiations should be conducted by a committee consisting of representatives of Indentor, Purchase and Finance to be nominated by the authority competent to approve the purchase.
- 13.37.7. Any tender, whether public or limited, in which, after the opening of the price bids (whether along with the commercial or technical bids or separately), the tenders (either one, some or all) are required or requested either as a result of the evaluation of the technical or commercial stipulations of one or more tenderers or for securing better terms, to furnish revised offers, technical, commercial or financial, which could have financial implications, should be considered as a negotiated tender. However, cases where, after opening of the price bids, all the tenders are given an equal opportunity to bring their offers in line with the Departmental stipulations (commercial/technical), and also indicate the corresponding or consequential financial implications in a sealed cover by a stipulated date to be opened in the same manner as the original tenders, would not be treated as a negotiated tender.
- 13.37.8. The above powers should be exercised only in consultation with the Finance Officer/ Chief Finance Officer. In all cases even at the time of

considering the need aspect, the Finance Officer/ Chief Finance Officer should be associated.

13.37.9. Definition of 'Item':

- In case of plant/equipment/machinery the word 'item' means complete item including accessories, etc.'
- In other cases like electronic components like condenser, resistors etc., even marginally distinct ones are to be treated as separate items (size, wattage, tolerance etc).

Purchase Procedure as outlined above shall be followed by the Society in respect of all the procurements to be made by the Society.

13.38. **PERFORMANCE SECURITY DEPOSIT**

The following guidelines shall be followed with regard to obtaining performance guarantee from suppliers:

- 13.38.1. Within 10 days of the receipt of notification of award of purchase order / contract from C-MET, the Bidder shall furnish a Performance Security Deposit equivalent to 10% of the contract value in any one of the forms as given below:
- a) Call Deposit Receipt duly endorsed in favour of C-MET or Pay Order or Demand Draft in favour of C-MET.
  - b) Bank Guarantee from an Indian Scheduled Bank in favour of C-MET - irrevocable and operative for the entire period starting from acceptance of the contract ending 60 days after completion of the warranty period or 20 months, whichever is longer.
  - c) Fixed Deposit Receipt issued by an Indian Scheduled bank endorsed in favour of C-MET (Pune, Thrissur, Hyderabad as the case may be).
- 13.38.2. The Performance Security Deposit is required towards fulfillment of the Purchase order / Contract obligations. This Security Deposit will be forfeited in case the successful Bidder fails to execute the Purchase order/ Contract. The Performance Security Deposit will be discharged after the completion of the Guarantee period.
- 13.38.3. Failure of the successful Bidder to comply with the requirement of the Performance Security Deposit can constitute sufficient grounds for the annulment of the purchase order in which event C-MET may call for new bids to avoid time and cost over run in project completion/ implementation.
- 13.38.4. For standard products (components, systems, or spares which are readily available in the market which need, no further development or integration to meet society's requirement), performance bank guarantee need not be insisted upon if the value is less than Rs. 5 lakhs.
- 13.38.5. If the value of the above items in an order is more than Rs.5 lakhs, normally performance bank guarantee will be asked for. However the Director may decide to waive this requirement in consultation with Finance Officer on the recommendations of SPC/SSC. However, in case of difference of opinion between SPC/SSC and Director, the matter shall be referred to Executive Director for a decision.
- 13.38.6. In case where suppliers are providing systems, including installation, commissioning in the premises of the Society or at nominated sites, and if the value exceeds Rs.5 lakhs, Performance bank guarantee must be insisted for. This should not be waived. If the value is less than Rs 5 lakhs, the indenter may specify whether performance bank guarantee is required or not, in PR itself.

13.40. **GENERAL CONDITIONS**

13.40.1. Sending of Purchase Enquiries

13.40.2. All enquiries are to be sent in the name of The Administrative Officer, who is allocated the responsibility for the same. No names of employees shall be mentioned in any Enquiries sent from Purchase.

13.40.3. All quotes are to be addressed to The Administrative Officer, with receipt of quotes and further processing to be done in the Purchase Dept. as at present.

13.40.4. All quotes opened shall be date stamped and signed by the Tender Opening Committee or Administrative/Purchase officer and entered in the Quotation Register.

13.41. **MAINTENANCE OF QUOTATION REGISTER**

A Quotation Register is to be maintained for all quotations received by Purchase Department. The format for the same is given below, to be maintained datewise. Every evening, before office closing time, this Register must be countersigned just beneath the last entry of that date by Administrative Officer.

Date:-----

---

Sl.No.	Name of Party	Enquiry No.	Date	Remarks
1				
2				
3				
4				
5				
6				
...				

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(Countersigned at the end of the day)-----

13.42. **Miscellaneous**

13.41.1 The operation of the above procedure shall be in supercession of all existing rules& instructions. In respect of areas, which are not covered in the above procedure, the provisions contained in the GFR/ DGS&D & DOP or CVC manual shall be operative.

13.41.2 In case of any doubt on the interpretation of this procedure, matters can be referred to the Registrar, CMET whose decision shall be final.



13.41.3 The procedure may be reviewed at suitable intervals for further modifications.

13.41.4 The Executive Director may relax any of the provisions outlined in this procedure in exceptional cases.

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## Chapter 14

### STORES PROCEDURE

#### 14.1. INTRODUCTION

14.1.1. Proper control over receipt and issue of stores, their custody and accounting is the primary and complete responsibility of the Stores Department (SD).

#### 14.2. FUNCTIONS AND RESPONSIBILITIES OF STORES DEPARTMENT

- Receipt of materials;
- Storage, Preservation and Safe Custody;
- Issue of materials against proper authorizations;
- Quantitative account of the above transactions;
- Disposal of obsolete / unserviceable / scrap items,
- Verification of stores;
- Other related works;

#### 14.3. RECEIPT OF MATERIALS

14.3.1. Receipt of Goods in the stores will, fall into one of the following categories: -

14.3.1.1. Items received for immediate issue to the indenting Department / Project through Stores Requisition (SR). (Non-Stock Items).

14.3.1.2. Items received for storage in Stores Department for periodical issue to Groups / Sections through Stores Requisition (SR). (Stock Items).

14.3.2. Receipt of Despatch Documents.

Consignment arriving at the Unit through rail / road / air / post / direct, etc will be covered by Railway Receipt / Lorry Receipt / Air Consignment Note / Postal dispatch Advice / Delivery Challan, etc. These documents are received in the Purchase Department.

14.3.2.1. Retirement of Documents from Bank:

On receipt of information from Bankers, the Account Section shall retire the documents from Bank, after verification of their authenticity, and hand over the consignment note in respect of indigenous orders as well as the Bill of Landing, etc. in respect of imported consignment to Purchase Department for clearance.

14.3.2.2. Registration of Railway Receipt / Lorry Receipt / AC Note Etc.

The Despatch Documents, on receipt at the Purchase Department should be immediately entered in the Goods Receipt Register with all relevant details giving each entry a serial number. The authentication of the Documents will be verified with the Purchase Orders.

#### **14.3.3. Consignment Clearance Procedure.**

The Purchase Department shall clear consignments daily from Railway/Road transport companies, Airlines etc. against documents after carefully checking the weight of the consignments and outward conditions of the particles. All consignments as far as possible should be cleared without any loss of time to avoid wharfage /demurrage charges. Wherever necessary, the services of a Transport Contractor/Cleaning Agent may be engaged for carrying out the clearance work. It will be the responsibility of the Purchase Department to clear all consignments and handover the materials along with all relevant details to the Stores Department.

#### **14.3.4. Open Delivery and Clearance Against Indemnity Bond**

In the case of damaged consignments or when it is suspected that the contents are broken/damaged/lost, "Open Delivery" should be insisted upon if applicable and/or necessary shortage/loss certificate/endorsements taken from the carriers by the Purchase Department.

In case of non-receipt of RR/LR, etc., the clearance of consignments shall be effected under an Indemnity Bond promptly.

#### **14.3.5. Wharfage and Demurrage Charges**

Consignments arriving by rail should be given top-priority in the matter of clearance to avoid wharfage/demurrage charges in view of the limited free period allowed by the Railways. However, in case of consignments arriving through road carriers, maximum free period as far as possible should be obtained from such parties. In cases, where wharfage/demurrage charges become due the same shall be paid and consignment cleared. Such payments are to be regulated as follows: -

- Due to reasons attributable to the supplier in sending the dispatch documents late, the demurrage charges are recoverable from the party for which action is to be initiated by the Purchase Department and intimation sent to the Finance for further action/follow up.
- Due to reasons not attributable to the supplier are to be regularized by obtaining approval of the competent authority in the Laboratory designated for this purpose.
- The delegated powers to approve Demurrage/wharfage charges will be as per DOP.

#### **14.3.6. Octroi Charges**

Wherever Octroi charges have been levied on the materials consigned to the Laboratory, action will be initiated by the Purchase Department to get the amount refunded as expeditiously as possible. However, if the Octroi has been levied, due to non-compliance of the terms of the Purchase Order by the suppliers, the same shall be deducted from their bill.

#### 14.3.7. **Handing Over of Cleared Consignment**

The consignments cleared daily should be properly accounted for. The consignments cleared daily should be listed out by the clearance personnel in the Purchase Department in a "Handing Over Statement" (HOS) with full details and should be handed over to the Stores Department at the end of the day or latest the next working day, clearly marking the identification number on the consignments cleared against each HOS for further action by the Stores Department, and duly taking acknowledgment thereof in the prescribed column.

#### 14.3.8. **Clearance of Parcel, VPPs, from the Post Office**

All VPPs/Post Parcels addressed to the Laboratory should only be received by Purchase Department and should be handed over to the Stores Department. The VPPs should exhibit order particulars on the outer cover so as to enable the Purchase Dept to verify the authenticity of the parcels. For this purpose a sticker giving particulars to be filled in to be used by the supplier for dispatch of goods: may be enclosed with the purchase order. Clearance of VPPs and parcels should be done without any delay after verifying the amount claimed, purchase order, etc., properly.

#### 14.3.9. **Clearance of Imported Consignments at Ports and Custom Duty Parcels**

The Clearance of imported goods including any claim settlements shall be looked after by the Purchase Dept. At times, however, custom duty parcels are also received via local Post Office, for the Laboratory. Such parcels, however, should be cleared by the Purchase Dept through the Finance Department and handed over to the Stores Department in the same manner as per para 14.3.4.

Any item received directly by persons other than the Stores Department, shall give only a provisional receipt on the challan / invoice copy as below to the concerned parties, and handover the item to the Stores at the earliest:

"Supplies received, subject to  
final inspection and acceptance"

Date:

Signature

#### 14.3.10. **Door Delivery of Consignments**

Door delivery of materials at our premises, made against purchase orders or other valid authorization, by suppliers shall be received at the Central Stores after getting clearance from Purchase Department. Stores Department shall ensure that the consignments are safely unloaded by employing suitable material handling devices, at the nearest site where it will be required **in consultation with the indenter** and shall arrange to

release the carriers' vehicles with the least delay, to avoid any detention charges. Purchase Dept shall take action for the payment of the carriers freight bills after due checking of all the required details and certifying the same. In respect of door delivery consignments, the Stores Dept may issue a provisional receipt to the carrier or the agent, by affixing a rubber stamp on the relevant delivery challan indicating the following details as relevant for the particular case:

- Received Packages in sound / damaged conditions;
- Weight / contents not checked /checked and found correct;
- These supplies received are subject to our approvals and acceptance after check of quantity, quality and proper functioning;
- This receipt is issued provisionally in token of having received the consignments and shall not be treated as a final acceptance receipt.

Sd/-  
In charge, Stores  
Department

14.3.11. **Receipt of Goods**

All materials collected/cleared and brought to the Stores and those materials directly received in the Stores shall be checked on the basis of Handing Over Statement / Invoice / Challans / Purchase order copy, etc. Such collections shall be received and stored initially in the Receipt Section. However, equipment / machinery or bulk items which are to be directly delivered to the Groups, shall be taken to the respective place by the Stores Asst to avoid double handling and necessary paper work completed thereafter without any delay.

14.3.12. **Opening of Consignments, Preliminary checking and Maintenance of Goods Inward Register**

All consignments will be opened and checked by Store Department for any visual damages and for the correctness of the quantity with reference to documents like purchase order, packing slip, delivery challans or invoice copy **in the presence of Indentor**. Full particulars of the supplies shall be entered in the "Goods Inward Register" and the Registration No. (Inward Serial No.) and other relevant details shall be endorsed on the receiving documents. To enable this, 2 copies of all Purchase Orders issued will be marked to the Stores Department immediately on release to suppliers by the Purchase Department. The Purchase Orders so supplied to the Stores Dept shall contain full specification of the items on procurement.

14.3.13. **Inspection of Materials and Preparation of MRIR**

After the preliminary check in respect of quantity, the Stores Department will arrange to get the materials inspected for acceptance by the concerned user Group as required. For this purpose the Store Dept will

prepare the Materials- Receipt-cum-Inspection Report (MRIR) and send the last copy of the MRIR, which will form the Material Arrival Intimation to the Concerned Group. The Indenter / Inspection Team of the concerned Group shall check for the quality and other relevant particulars to satisfy that the materials supplied confirm to order specifications and can be accepted and taken to stock. In respect of general stores item for which the Stores Department is the indenting such inspection may be done by the Officer holding charge of the Stores who, will seek the help of other user Group also. In case of rejection, the inspection authority shall send an Inspection and Test Certificate to the Stores Department. If materials are accepted, the inspection, authorization and acceptance column in the MRIR shall be retransmitted to Stores Department and the Stores Dept. will formally take the material in its stock and the items issued against Stores Requisition. All rejections on inspection should be duly supported by adequate justifications. All inspection should normally be completed within three days from the date of receipt of intimation by the Groups, though in case of materials, which require qualitative test, functional test, etc., the inspection and related formalities are to be completed within seven days. During the absence of the concerned indenter, the Project leader/Principal Investigator shall authorize a person to carry - out the inspection to avoid delay. However, it must be ensured that MRIR complete in all respects are forwarded to Finance through purchase within 10 days from the date of receipt of materials at Stores by the Stores Assistant, and Finance shall make payments only after the approved MRIRs and payment authorization are received by them.

14.3.14. **List of Authorized Personnel**

Project leader/Principal Investigator shall provide to Stores Department a list of authorized personnel [not more than three) with their specimen signature who are authorized to purchase and receive stores for the respective Groups. Any addition / deletion to this shall be communicated to the Stores Dept promptly.

14.3.15. **Pre-delivery Inspection**

Wherever pre-delivery inspection at the suppliers' premises is called for as per the purchase order terms, the inspecting authority shall provide a copy of such inspection report to the Stores Dept. for record purposes. Similarly, where the order stipulate approval of samples before effecting full supply, such approval reports should also be sent to **Purchase Dept.**

14.3.16. **Discrepancies**

Discrepancies, if any, on visual checking shall be promptly reported to the suppliers by the Stores Department under intimation to indenter/ Finance /Purchase. Discrepancies are likely to be due to: -

- Wrong materials supplied;
- Shortage/excesses;
- Damaged materials; and

- Defective materials.

Discrepancies in case of imported goods shall be immediately reported to Purchase Department. In the case of indigenous supplies all discrepancies shall be clearly recorded in the file.

14.3.17. **Claims**

Discrepancies pertaining to consignment reported by Stores / Clearance, which might have been insured by the Laboratory shall be reported to the Insurance Company by the Purchase Department immediately, at any rate within the allowed time limit given by the Insurance Co. and necessary claim preferred for the same. If required, preliminary claims are to be registered with the insurance company pending filing of the final claim. Claim shall also be preferred on carriers within the prescribed time limit with Claim Bill, etc.

14.3.18. **Transit Losses**

Losses of materials not due to reasons attributable to the supplier/any Member of Society and those which can not be recovered from any source may be written off in accordance with the prescribed rules and procedures and with the approval of the Director/Executive Director, as per the delegation of the powers, by the Purchase Dept.

14.3.19. **Rejected Materials**

Materials finally rejected shall be kept by the Stores and Purchase Dept will take action as follows: -

- Intimate the supplier by the Purchase Dept with a copy to Stores.
- If a supplier solicits any assistance from the Stores for returning the said materials, the same may be extended to them at their cost.
- if there is no response from the supplier to such intimation, he may be given a final opportunity in the form of a notice to take delivery of the materials intimating therein that if the supplier does not remove the materials within the time allowed, he shall have no further claim on the materials and the same will be disposed of as deemed fit by the Laboratory.
- Such materials will be finally disposed of in the best manner possible after taking approval of the Director /Executive Director.

14.3.20. **Acceptance of Excess Supplies**

Excess supplies already received up to 5% of the ordered quantity can be accepted if in standard packing length or size, on confirmation by purchase Department. Any excess supplies other than the above may be accepted **as per para 13.28 of purchase procedure and** after issuance of an amendment to the order by the Purchase Department.

#### 14.3.21. **Delivery Beyond Specified Time Limit**

In case of delivery of materials by the supplier beyond the specified time limit mentioned in the Purchase Order, materials may be accepted after obtaining necessary amendment / advice from the Purchase Dept. keeping in view the terms and conditions of the Purchase Order regarding delay in delivery of the materials **as per DOP**.

#### 14.4. **STORAGE / CUSTODY AND PRESERVATION.**

##### 14.4.1. **Issue of Stock and Non-Stock Items**

14.4.1.1. The materials received in the Laboratory can be broadly divided into two categories, viz.,

- (i) Stock items, and
- (ii) Non- Stock items.

Stock items are those, which are considered as general stock materials and are indented and stocked in bulk by the Stores Dept for the use of various Groups in the Laboratory. Non-Stock items include all items of non-consumable and consumable nature which are indented by various Groups / projects for their specific use. These also cover Asset items (including equipment, machinery, furniture, etc.), which are specifically ordered for projects. The stock items are received, inspected and stocked in the Stores Dept for periodical issue through Stores Requisition to the Groups. Non-stock items are received by the Stores Dept and immediately handed over to the Groups through Stores Requisition. The Stores Dept shall arrange to circulate a list of all general stock items to be stocked in the Stores dept to all Groups for their information twice in a year, i.e., in January and July so that such Items need not be indented by them in the normal course. When stock of any item is not available in stores Department, and at the same time, Some of the Groups need them urgently the purchase indents raised by the Group shall be certified for non-availability and or the Stores Dept will indicate whether these materials are available with other Groups before procurement action is taken through the Purchase Dept.

14.4.1.2. Budget for Stock Items.

Purchase Indent of all stock items will be made, by the Stores Dept or the Dept assigned the responsibility for the purpose, in order to avail of the benefit of quantity discounts on price for different orders and also to cut down delays in processing numerous indents. However, budget provision for purchase of stock items will be made by the respective Groups on the basis of their annual requirements. The annual requirements should also be intimated to the Stores Dept or the Dept assigned the responsibility, for consolidating the indents and for taking action for bulk purchases. The Purchase Department will finalize the rates for purchase of stock items on the basis of competitive tendering procedures for the total quantities furnished by the Stores Department.

14.4.1.3. Preservation.



Adequate precautions may be taken to avoid deterioration of materials during storage using preservatives. Proper storing methods shall be adopted and specific instructions in this regard may be issued from time to time.

#### 14.4.1.4. Protection from Fire Hazards.

Suitable provision shall be made for protection of materials from fire hazards. Smoking inside the storage area shall be strictly prohibited. 'No smoking' board shall be displayed at prominent places. Highly inflammable articles be kept separately and properly secured.

#### 14.4.1.5. Location.

All materials shall be stocked in a systematic way so that minimum time is spent in picking out the materials for day-to-day issues. Thus, each rack and bin in the Stores will be identified with a location number, which shall be indicated on the respective stock cards/Bin cards.

#### 14.4.1.6. Stores Issue Timings.

In order to enable the Stores Staff to complete the day-to-day postings on the same day and in exceptional circumstances on the next morning, the issue of materials from Stores Dept shall be restricted between 0930 hrs to 1200 hrs and from 1400 hrs to 1630 hrs. However, urgent and unavoidable requirements outside the above timings could be met on special request.

#### 14.4.1.7. Asset Items

- Asset Items are those which have a definite life, intrinsic value and separate entity. Some items, which fall under this category, are;
- Equipment, Plant and Machinery, Machine Tools, Vehicles, Office Equipment, Furniture and Fixtures (Such as Fans, Air-Conditioners, etc.)
- Non-Consumable items are those, which neither falls in the category of Asset nor consumables.

#### 14.4.1.8. Numbering Asset Items.

Immediately after acceptance, all Asset items shall be recorded in an Asset Register and allot a number which should be painted on it by the Stores Dept. These numbers shall be maintained by the respective Groups for easy identification on later dates.

#### 14.4.1.9. Return of Materials to Stores.

Any materials returned to the Stores shall be returned under a Stores Return Note (SRN).

### 14.5. ACCOUNTING MATERIALS.

14.5.1. All materials, which are accepted on inspection, shall be taken on charge on appropriate stock on the basis of MRIR prepared by the Receiving Section of SD. The materials shall be accounted in the common accepted form of accounting units (metric system), such as Kgs, litres, metres, pairs, numbers etc. Only the usual quantitative accounting need be done for all transactions. However, in the case of receipt entries, unit rate shown in the order also shall be entered in the appropriate column of the stock card.

#### 14.5.2. **Stock Cards**

For accounting of various transactions in respect of Goods received, the Stores Dept shall maintain stock card/ BIN Card.

The day-to-day posting in respect of Stores receipt/issue/transfer should be posted in the Bin Card immediately after a transaction is effected. This function will be computerized as early as possible.

14.5.3. The Stores Department should ensure that the rate column is duly filled in respect of all supplies received /purchase made. For this purpose, Finance Department shall provide a copy of the final payment made against each purchase order.

Each Group shall maintain as Issue Register/BIN Card for all materials received against projects. They shall also maintain an Asset Register of all Capital equipment held by them and Project leader/Principal Investigator shall be responsible for the safe custody of stores in respect of their Group.

#### 14.6. **DISPOSAL OF OBSOLETE/SURPLUS /UNSERVICEABLE/ SCRAP ITEMS.**

##### 14.6.1. **Surplus, Obsolete and Redundant Materials**

Each Group shall have to review the materials of different nature held in their Group twice in a year, i.e., in April and September. Items, which may not be required any longer by, the Groups, should be declared as surplus with the approval of the Competent Authority. A proforma may be used for this purpose, which may be forwarded to the Stores Department for further action. Such materials will be returned to the Stores Dept under Stores Return Note with the approval of competent authority.

##### 14.6.2. **Utilization of the Surplus Stores**

The Stores Dept shall twice in a year compile the list of surplus items in the Laboratory and explore the possibility of effective utilization of the same by various Groups in the Laboratory. For this purpose, items where issues have not taken place for over six months shall be considered as surplus unless there are reasons to treat them otherwise. Further if the items in stock are far in excess of the average issues / anticipated requirements of the Groups for a year the balance of the stock far in excess of the average requirements shall be treated as surplus even though there are issues during the year. In case there is no requirement by any Group in the Laboratory, such list of surplus items shall be disposed of by public auction/tender after obtaining necessary approval of

the Director /Executive Director.

#### **14.6.3. Unserviceable Items**

All Unserviceable Asset items available in the various Groups shall be listed out and proposals for declaring them as unserviceable may be made by respective Project Managers/Investigators etc., Such items shall be inspected by a "Standing Disposal Committee" to be constituted in each Lab by the Executive Director. Thereafter such proposals shall be submitted to the Competent Authority who is empowered to declare them as unserviceable and also to approve the disposal of the same. After obtaining necessary approval from the competent authority, the sanction papers in original shall be forwarded to the Stores Department. The unserviceable materials shall be returned to the Stores Dept. with the list and Stores Return Note. In respect of non-asset items, approval of the competent authority for the disposal of the same will be obtained.

#### **14.6.4. Loss of Materials and Write Off**

Loss of materials may be due to a variety of reasons, viz., shortage, damage, spillage, shrinkage, evaporation, theft/pilferage etc. All such cases whenever detected shall be listed out by the concerned Group who may seek sanction of the Competent Authority to write off after proper examination and in accordance with the delegation of powers. In such cases also the approval papers in original with the supporting paper shall be forwarded to the Stores Dept.

All proposal either for the purpose of declaring the item as unserviceable / surplus / obsolete / or for write off should be submitted to the competent authority through the Finance Officer / Chief Finance Officer of the Laboratory.

#### **14.6.5. Disposal of Scrap / Unserviceable Items**

Suitable enclosed type scrap dumping yard shall be provided in the vicinity of Stores Dept. for the collection of scrap materials (metal cuttings, turnings, chippings bits, etc.) generated from workshop and other Groups. It is desirable to construct a pair of such bays for each type of scrap so that when one is full, fresh dumping can be made in the other. The capacity of the bays can be pre-fabricated so that as soon as the bin is full with scrap, the approximate quantity available for auction will be readily known. Scrap of Aluminium, Stainless Steel, mild steel etc, should be dumped in separate bins/lots. However the scrap of valuable materials, such as copper, brass, molybdenum, bronze, etc should be kept under safe custody. Here again, it will be advisable to keep a pair of drums for each type of scrap so that when one drum is full, it can be handed over to the scrap yard while the other drum can be used for further collection. Such scrap shall be handed over to the Stores Dept by weight under a Stores Return Note. The scrap accumulations, i.e., metal scraps, empties, etc, shall be disposed of by weight / lot/numbers as expedient half-yearly or even earlier depending upon the quantum of scrap accumulations. The Groups shall arrange to intimate the availability of scrap to the Stores Dept with relevant details sufficiently in advance for

arranging necessary disposal by public auction/tender.

#### **14.6.6. Empties**

All empties which can be disposed of as empties such as drums, gunny bags, polythene / glass carboys, etc., shall also be accounted in a suitable Register. Other empties, which are of scrap value, may be treated as 'Scrap'.

#### **14.7. PHYSICAL VERIFICATION OF STORES:**

14.7.1. The physical verification of the stores shall be effected by (i) routine verification of the stores to be carried out by the custodian of the stores and (ii) periodical verification by a team nominated by the Director /Executive Director.

##### **14.7.2. Routine Verification**

The Stores Asst should check his stock daily covering at least 20 to 25 items or more if possible so that he covers all items in the stock at least once in six months. The idea is to have a sort of continuous stock taking throughout the year. The result of such verification should be recorded and initialed in the stock card / stock ledgers. In case of discrepancies, he shall check with SRNs / SRs / other records and reconcile the same under intimation to the higher authorities. Whenever the Stores Asst during the course of stock verification of particular item/s comes across difference in the balances of stock card/bin card, the same should be reconciled with proper recording. Besides the routine check by the custodian of the Stores, Members of the Laboratory nominated by the Director /Executive Director shall also conduct surprise checks and record their findings.

##### **14.7.3. Periodical Verification**

The physical verification of all stores shall be conducted periodically but at least once in every year. Such periodical physical verifications will be conducted by a team under the overall supervision of a Member nominated by the Director /Executive Director. The team shall comprise of a representative each from Finance Dept and Stores Dept and two or three Technical staff who are conversant with various equipment and materials. Physical verifications by the team shall always be made in the presence of the subordinate person responsible for the custody of the stores or of a responsible person deputed by the Project leader/Principal Investigator concerned.

##### **14.7.4. Stock Verification Sheets**

The stock certification shall be done on a Stock Verification Sheet.

##### **14.7.5. Material to be Verified**

The physical verification team shall cover the following items.

- All stock items held in stock including consumable/non-consumable/asset (if any)

- All asset items distributed to the Groups.

#### 14.7.6. Discrepancies

If the physical verification reveals discrepancies, the stockholder has to reconcile these. The Stores Asst shall investigate in detail and submit his report to the Administrative Officer with a copy to Director /Executive Director making recommendation for adjustments or any other action required under the circumstances. Final adjustments in the stock card/ stock ledger shall be made only after obtaining the orders of the competent authority.

#### 14.8. GENERAL

14.8.1 Purchase indents when submitted to the purchase department; the indenting Groups may ensure that such materials are not available in the stores. For this purpose purchase indents shall be countersigned by the Stores Asst indicating non-availability and / or otherwise of such items in the stores.

14.8.2 All cash purchases shall be done through the Purchase department after verifying its non-availability in the stores and all materials cash purchased shall be brought to the stores for accounting and completing all stores formalities. No Stationery shall be cash purchased by Project leaders/Principal Investigators. The Stores Dept shall maintain a separate Cash Purchase Register for this purpose item-wise. Issue of materials against cash purchase shall be only to the indenter directly before the bill is passed for payment.

14.8.3 Any member leaving the C-MET must get "Clearance Certificate" from the Stores Department before they are relieved of their duties. They shall handover the **charge** of any stores held by them to the next incumbent and shall return all non-consumable items issued against their names to the Stores Dept. The Clearance Certificate shall be given only by the Member holding charge of the Stores.

14.8.4 **Library Books:** The committee constituted for physical verification of stores shall also carry out physical verification of scientific books, journals etc., held on the charge of Librarian.

14.8.5 **Transfer of Charge of Stores:** Whenever there is a change in the incumbency of the custodian of stores, there shall be a handing over/ taking over of the charge of stores records, keys, etc., recorded in a proper manner.

14.8.6 **Security:** Adequate provision for security of the entire stores is extremely essential. Measure taken should include, easy segregation of the storage section from other offices, only one outlet from the storage area (as far as possible) a continuous watch over the various entrances and exits and ensuring entry only of duly authorized personnel, proper closing and opening of the storage section, by duly authorized staff, despatch of materials with a covering document from duly authorized staff, etc

14.8.7 **Fire Protection:** The Stores Dept. and in particular the storage area should be safeguarded with appropriate type, size and numbers of approved Fire Extinguishers fitted in easily approachable locations.

**14.8.8 Updating General Stock Items:** Based on the consumption pattern, frequency of issues and general demand for the various materials, many items from the non-stock category shall be brought to the general stock items. Project leader shall inform Stores Department for inclusion of such items in the general stock.

**14.8.9 Deviations:** Where deviations from the prescribed Stores Procedures are considered necessary, prior approval of the Executive Director should be obtained by furnishing sufficient justification for such deviations and the reasons thereof should be recorded in writing. All such proposals should be routed to the Director /Executive Director through the CFO/FO.

Stores Procedure as above shall be followed by the Society in respect of all the Stores received in the Stores Department of the respective Laboratory.

#### **14.8.10 Disposal of Obsolete, Surplus or Unserviceable Items**

14.8.10.1 Stores, which are reported to be obsolete, surplus or unserviceable, may be disposed off in accordance with the procedure laid down hereunder.

14.8.10.2 The items to be declared obsolete / surplus / unserviceable shall be examined by a Committee constituted by the Executive Director who shall make definite recommendations as to whether they are obsolete, surplus or unserviceable. The Committee should take into account the prescribed or stipulated life-period of the stores. In case, such period is not prescribed/stipulated or it is not over, the Committee should examine the conditions of stores and record suitable reasons. If an item has become obsolete /surplus / unserviceable on account of negligence, fraud or mischief on the part of any employee, the same should be clearly brought out.

14.8.10.3 Where the 'life period' has been prescribed or stipulated and is already over, it should normally be taken as enough ground for declaring the item obsolete and unserviceable. However, the condition of the item should still be thoroughly examined to see whether the item could be put to further use.

14.8.10.4 In other cases, where the 'life period' is not over or no 'life period' has been prescribed or stipulated, the reasons for declaring the item unserviceable may be normal wear and tear, excessive use, accident, fire, flood and other natural causes, damage due to insects, rats, etc.

14.8.10.5 An Item may be declared obsolete / surplus if it is no longer required by the Laboratory. Reasons for the same should be recorded.

14.8.10.6 In case of loss due to negligence, fraud or mischief on the part of any employee, responsibility should be fixed and losses made good.

14.8.10.7 At the time of procurement of an item the Laboratory should prescribe the 'life period' of stores in consultation with the manufacturers; which should

be properly kept on record.

14.8.10.8 All stores which may be declared as obsolete, surplus, or unserviceable and ordered to be disposed of shall be disposed of by sale or otherwise under order of an authority to whom powers are delegated under DOP.

14.8.11. **Instruction to be followed for disposal of store**

14.8.11.1. The Executive Director shall constitute a Stores Disposal Committee for each Laboratory. The Committee shall be re-constituted once in two years.

14.8.11.2. Standing Disposal Committee (SDC): The Standing Disposal Committee may be constituted by the Executive Director in each lab where a Scientist of the level of Scientist 'D' and above will act as Chairman. The other members of the Committee are one Scientist, one Technical Officer, Chief Finance Officer/FO, and Administrative Officer will act as Convener to this Committee. The quorum will be 50%. In case of dissent by any member, the proceedings of the Committee will be referred to the Director/ Executive Director whose decision shall be final. The Committee shall meet periodically at least twice in a financial year as and when required.

14.8.11.3. **The function of the Standing Disposal Committee will broadly include the following:**

- a) It will inspect the materials that are proposed to be declared as Surplus, Obsolete, and Unserviceable etc. by the Project leader/Principal Investigators and decide whether the stores are surplus or obsolete or unserviceable as the case may be.
- b) It will decide the mode of disposal. The detailed procedure is at para 14.8.11.5.
- c) It will fix the reserve price for disposal of items and also arrange to ensure that the lifted items are as per the disposal list.

14.8.11.4. **Inspection:** The Committee shall examine the stores to be declared as surplus/obsolete and unserviceable taking into account the stipulated life period each item, overall condition of the items, the reasons for obsolesce etc., requirement of such items in future, negligence or mischief or frauds on the part of any individual for such loss.

14.8.11.5. **Mode of Disposal:** The Standing Disposal Committee (SDC) will decide one of the following modes of disposal:

- a) By transfer to other labs
- b) By public auction
- c) By limited tendering
- d) By press tender

14.8.11.6. **By transfer to other Laboratories:** A list of surplus/obsolete stores only will be circulated among all labs after the SDC recommends the items as surplus or obsolete. The transfer of these stores from one lab to the other will be made on book transfer basis as per enclosed form. The Administrative Officer shall furnish the copy of approval of the Competent Authority along with copy of transfer voucher to Finance branch to make

necessary adjustment in the Balance Sheet. However, the confirmation regarding adoption of the value of such assets by the receiving lab must be ensured.

- 14.8.11.7. **By Public Auction:** The lab may consider disposal by public auction if the SDC is of the opinion that this is the most suitable course of action for disposal and the chances of forming a cartel is not there. The decision of engaging a Government recognized auctioneer to conduct a public auction may also be taken by the competent authority if the value of disposal is substantial. Every bidder in public auction shall have to deposit caution money to become eligible for bidding. The SDC shall fix the amount of caution money. An EMD of 25% has to be paid by the successful firm at the fall of hammer after adjustment of the caution money. The caution money of the unsuccessful bidders shall be refunded immediately after the auction. The highest bidder shall pay the balance 75% within 5 days and the stores will be handed over to them. The SDC may attend the public auction or nominate a sub committee to attend.
- 14.8.11.8. **By limited tendering:** The SDC can recommend disposal of stores costing upto Rs.5,00,000/- by limited tendering for sale of the stores. The tender enquiry should include a condition of EMD as 10% of the quoted price in the shape of DD/BG. The EMD of unsuccessful bidders will be returned immediately in any case within 15 days from the date of opening. The Tendering Opening Committee in the presence of the bidders will open the quotations on a particular date and time. The Standing Disposal Committee should ensure fixation of reserve price after the bids have been received but before the same are opened. The time limit for the bidders for taking delivery of the goods after payment of the bid value including amount of penalties for late lifting may be decided on case to case basis by the SDC.
- 14.8.11.9. **Press tender:** The SDC can recommend disposal of stores costing more than Rs.5,00,000/-by open tendering. In this case all the procedure outlined above at 14.8.11.7. will be followed. In addition a charge of Rs.100/- to Rs.200/- depending upon the cost of disposal may be levied from the bidders towards the cost of tender document.
- 14.8.11.10. **Sale of Newspaper etc.:** Article of low or nil value like empties, News papers, Packing wood, plastics, bottles, etc., which are voluminous in nature and also hazardous i.e., flammable etc. may be disposed off directly by the Administrative Officer to local vendors. If the estimated sale value is more than Rs.5000/- then stores shall be disposed after adequate publicity without reference to the SDC whenever, the need arises on periodic basis, so as to make space available for other purposes.
- 14.8.11.11. **Fixation of Reserve price:** Once the bids have been received either by the limited tendering or by Press tendering the SDC will meet to decide the reserve price for disposal of such Stores. The reserve price shall be kept in a sealed cover and will be opened after opening of the bids to compare the bid prices with the reserve price. While fixing the reserve price the Committee shall take the overall condition of the item vis-à-vis



the market price of such second hand product.

14.8.11.12. **Evaluation of the offers:** After the bids were opened, a comparative statement will be prepared by Stores Dept duly vetted by Finance Division. The highest bid will be compared with the reserve price. If the highest bid price is more than the reserve price, the approval of the competent authority will be taken and the items will be offered to the highest bidder. In case, the highest bid price is less than the reserve price, the SDC will once again go through the reserve price to take a decision either to recommend disposal at the highest bid price if the difference between the reserve price and highest bid price is less than 20% or to negotiate with the highest bidder to increase his bid price above the reserve price or to re-tender.

14.8.11.13. **Accounting Entries:** Immediately after obtaining the approval of the Director/ Executive Director to declare the items surplus/ obsolete/ unserviceable, these items will be removed from the Stock Ledgers with suitable entries and shall be entered in the Disposable Stores Register, which will be maintained in the Stores Dept. Office Memorandum containing details of item, its value and head of account etc. will be issued by the Administrative Officer conveying the approval of the Competent Authority to declare such items surplus/obsolete/unserviceable and also convey the items to be written off in the books of the Laboratory to the Finance Officer/CFO.

Based on the OM issued by the Stores Dept Officer, Finance Officer of the Laboratory shall reduce the value of assets & liabilities in the Annual Finance of the Laboratory.

14.8.11.14. **Removal of the disposed off stores by the Purchaser:** The delivery of the stores will be given to the highest bidder or his authorized representative only after the full payment is deposited in case or through BG/DD. On production of the receipt, the Administrative Officer will physically hand over the item(s) sold to the party and issue the Gate Pass enabling the purchaser to take out the items sold. The details of the items sold to him should be available with the out gate pass in order to facilitate security check etc. Administrative Officer shall also record disposal/removal of the stores in the relevant columns of the Disposable Stores Register, which has to be a permanent record with the Stores.

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## Chapter 15

### CIVIL & ALLIED WORKS PROCEDURE

- 15.1. Estimate Preparation, Requisition And Execution Of Civil Works:
  - 15.1.1. Requisition for civil and allied works shall be initiated by way of an indent with proper classification duly approved by the Director/Executive Director. The source of funding shall be specifically mentioned in the work requisition.
  - 15.1.2. In view of the limited expertise available at C-MET, all major civil works costing more than Rs.3 lakhs should be estimated and executed through CPWD.
  - 15.1.3. For minor works costing more than Rs.1 lakh, CPWD should be first contacted for estimation and execution of the proposed works.
  - 15.1.4. For minor works for repair and maintenance costing less than Rs.1 lakh, Administrative Officer will initiate departmental action.
  - 15.1.5. In case CPWD declines to carry out the works, a suitable consultant/expert may be appointed on contract to prepare estimate and supervise execution of the works.
- 15.2. An administrative approval shall be obtained after budget clearance and financial concurrence from Finance for the estimated cost of work from the competent authority as given in the Delegation of Powers (DOP) of Chapter 18.
- 15.3. While obtaining this administrative approval, a technical officer shall be nominated or an outside expert may be appointed by the Executive Director/Director to supervise/check measure the work proposed.
- 15.4. On receipt of the work requisition from the indenter with administrative approval the Administration section in consultation with the indenter shall prepare detailed drawings and specifications of the work proposed.
- 15.5. The approved estimate shall not exceed the rates of CPWD Department as per CPWD Schedule for civil works 1997 or as amended from time to time. This stipulation shall apply only in respect of works where the approved estimates exceed Rs.25,000/-.
- 15.6. The estimate so prepared shall be jointly verified and certified by the Administration Officer and Indenter/representative of indenter/nominated officer/outside expert who is technically competent to verify the drawings, specifications/requirements.
- 15.7. Need for the work is to be established with proper justification. Where the estimated cost of work exceeds Rs.25,000/- need aspect of the work is to be certified by the Standing Services Committee (SSC) of Para 13.5 of Chapter 13.

## 15.8. Tendering Procedure

15.8.1. **Public Tender:** Where the total estimated value of work exceeds Rs.3 lakhs works shall be carried out by Inviting public tender. Wherever Public tender is to be dispensed with, reason thereof shall be specified and approved by Executive Director.

15.8.2 **Limited tender:** Where the total estimated value of work is up to Rs.3 lakhs, work shall be carried out by resorting to limited tender.

15.8.3 Administration Department shall maintain a list of approved CPWD/PWD Contractors for various types of works such as Aluminium Fabrications, Electrical works, partition work, annual maintenance etc. For this purpose of enlisting contractor's advertisement in leading newspapers shall be issued. This list shall be kept periodically updated within an interval of maximum of three years. The Standing Service Committee shall evaluate the list of contractors for Registration.

15.8.4 In all cases where Limited tender is resorted to, quotations shall be invited from all the parties in the approved list of contractors. However, where the number of parties in the list, for any reason, is less than seven or in cases where the number of quotes received is less than five, specific approval of Executive Director / Director shall be obtained with concurrence of Chief Finance Officer / Finance Officer.

15.8.5 For petty works with an estimated value not exceeding Rs.5,000/- tendering Procedure need not be followed. Such works shall be carried out by any of the contractors.

15.8.6 For works, which are of regular in nature, and for supply of labour, etc, annual rate contract shall be entered into with qualified contractors by following prescribed tendering procedure. In cases the annual estimated quantum of work should be realistic taking into account past trends and future requirements.

15.8.7 **Tender forms:** Tender form with schedules of work and terms and condition shall be given along with the enquiry. Cost of tender forms, if any, shall be 0.1% of the estimated cost rounded off to the nearest hundred rupees subject to a minimum of rupees hundred. The tender notification should invariably contain a clause to the effect that the C-MET reserves the right to accept or reject any tender without assigning any reason thereof.

### 15.8.8 EMD and Security Deposit

Earnest money is the amount, which the contractor shall deposit with the C-MET at the time of submitting the tender to ensure that the concerned contractor does not refuse to execute the work if and when awarded to him. Security Deposit is to ensure that there are no defects in the work done for the defect liability period (minimum 6 months on completion of work from the date of proper approval of work after inspection. EMD and security deposit shall be required in all cases where the estimated value of work is above Rs.5,000/-

Rate of EMD is 2.5% of the estimated cost of work subject to a maximum of Rs.10, 000 for value of works up to Rs.5 lakhs and 2% of

the estimated cost of work if the value exceeds Rs.5 lakhs subject to a maximum of Rs.20,000/- and rate of security deposit is 10% of the bill value of work. EMD and tender shall be kept in separate covers while quoting. Tenders without EMD shall be summarily rejected. EMD /Security Deposit shall be accepted by way of Demand Draft only. However, cost of EMD up to 250/- may also be accepted by way of cash remittance. The EMD of unsuccessful tenderers shall be refunded after the award of work.

15.8.9. **Opening of Tenders**

Tenders shall be opened by a committee designated for the purpose. The tender notification shall indicate the time and date up to which tenders shall be accepted at the Laboratory and the time and date of opening of the tenders. The tenderers or their duly authorized representatives may be present at the time of opening the tenders. A statement listing the names of tenderers or their representatives who are present shall be prepared and got signed by them at the time of opening the tenders. A list of tenderers and the final amounts indicated in the tenders shall be drawn up in the presence of the tenderers or their representatives who are present, and signed by the authority opening the tenders, after obtaining their signature.

The designated committee for tender opening shall consist of representatives of Administration, finance and Indentor.

- 15.8.10. All tenders received shall be scrutinized and verified with reference to the Rates and calculations by civil-work-in-charge and a comparative statement shall be drawn up duly signed and forwarded to the Administrative Officer with notes and recommendations for acceptance of the tender. Normally, the lowest tender should be accepted. Where the lowest tender is to be rejected for some valid reasons, which shall be recorded in writing, recommendation thereof be made by the Standing Services Committee (formed as per para 13.5 of Purchase Procedure) with proper justification. Technical expertise required if any for selection of tenderers in specific cases might be obtained from relevant technical experts with the approval of Executive Director/Director

15.9. **Pre-Audit**

All proposals for work orders where the estimated value exceeds Rs.10,000/- shall be pre-audited. Pre-Audit shall ensure that all procedural requirements right from the indent stage to the final stage of the work order have been duly complied with. Discrepancies if any shall be pointed out and referred back for clarification/rectifications. In the event of difference of opinion between pre-audit and Administrative Department in charge of civil work the matter shall be referred through the Chief Finance Officer/ Finance Officer to the Executive Director/ Director for final decision. If differences of opinion exist between Chief Finance Officer/ Finance Officer and Executive Director/ Director, the matter shall be referred to the Executive Committee/Executive Director whose decision shall be final.

15.10. **Final Approval for Award Of Work**

Final approval of award of work shall be given by the competent authority as per delegation of financial powers of the society.

**15.11. Signing of Work Orders**

Work up to Rs. 3,00,000/- -Administrative Officer

Above Rs.3,00,000/- -Registrar/Director

Work Order is issued to the contractor specifying all the terms and conditions including deduction of statutory dues like TDS, works contract tax etc. the work should start within 15 days from the date of issue of the work order. The due date for completion of work and handing over thereof should be stipulated in the order. Liquidated damage shall be imposed for delay in execution of the work within the stipulated time @ 1% of the estimated value of work for a week or part of the week subject to a maximum of 5% of the total value of work. Terms and conditions of the order shall provide for this clause. Waiver justification thereof duly recorded which shall be routed through Chief Finance Officer/Finance Officer. Work order shall also stipulate site clearance after completion of the construction/maintenance by the contractor at his own cost. The Administrative Officer should certify that the site clearance has been carried out by the contractor satisfactorily before payment advice is made.

**15.12. Completion of Work and Measurement**

The Contractor shall inform the completion of work to the Administrative Officer who shall carry out measurement.

**15.13. Recording of Measurements and Contractor's Bill**

- 15.13.1. Physical verification and detailed recording of measurement shall be made jointly by the Administrative Officer along with a designated officer from indenter's group. The contractor shall personally attend or send a qualified agent to assist the Indenter/Project Leader/Principal Investigator in taking measurements of work periodically. Separate sets of records have to be maintained for each work or group of works. The Administrative Officer may at his discretion conduct a super check on measurement of important items or authorize his subordinates to do so. The measurements recorded should be certified as correct by the Administrative Officer and nominated Technical Officer to be further countersigned by Executive Director / Director. All measurements shall be taken in the presence of the contractor or his representative and signature of the contractor or his representative shall be obtained for the measurements taken.
- 15.13.2. The contractor shall submit his final bill on the basis of the measurements recorded as per the rates contracted for, normally within one month of recording of the final measurement.
- 15.13.3. The measurements shall be recorded immediately after completion of the Works
- 15.13.4. The contractor's bill should be thoroughly checked with reference to the work order rates, quantities, calculations and deductions. It should

be seen that all deductions which are to be made from the final bill- especially those regarding security deposit, water charges, cost of materials, if any, supplied, cost of any other services and any other recoveries-have been made. A comparative statement showing the items where savings have been effected or excess quantity of work done with reference to the estimated quantities and amounts should be prepared and enclosed mentioning the reasons for variations. The statement of excess and savings shall be submitted to the competent authority for his approval.

- 15.13.5. Before a work is declared as completed and final payment released to the contractor, a certificate should be furnished by the Civil work in charge duly approved by concerned Indentor/Project Leader/Principal Investigator that the work has been carried out according to the specifications and there are no noticeable defects.

#### **15.14. Final Payment**

- 15.14.1. Bills submitted by the contractor as per measurement duly certified shall be passed for payment by Executive Director / Director and forwarded to Accounts. Payment shall be released within 30 days after final approval of the work and duly certified for payment and after all applicable statutory deductions like income tax, works contract tax etc.

- 15.14.2. Any unforeseen work not included in the contract but found necessary for the proper completion of contract shall be done if duly certified as essential by the concerned Indentor/Project Leader/Principal Investigator. Payment of such items shall be made at actuals duly recommended for payment by the concerned Indentor and Administrative Officer. Cost of any such work exceeding Rs.5,000/- requires approval of Executive Director / Director. Materials brought inside the premises of the Laboratory for any extra work done for which payment is to be made shall be approved by gate pass from security duly authenticated. Payment for such materials shall be made at actuals on production of original bills of the supplier duly approved by Executive Director / Director. Any labourers engaged for such extra works shall be paid as per the contracts against supporting entry forms recording their attendance duly authenticated.

- 15.14.3. Deviations: Any deviations from the above normal procedures would require approval of the competent authority next above the limit to which a specific authority has been delegated the powers.

- 15.14.4. Any techno commercial negotiation shall be carried out only with the prior approval of Executive Director / Director by the Standing Services Committee duly appointed by Director for the purpose. The negotiations shall normally be with the lowest tenderer.

#### **15.15. Registers to be maintained**

- 15.15.1. **Register of Works Expenditure**: The register of works expenditure is a permanent record as it collects in one place all expenditure incurred on each work. The register should contain information on

The name of the Contractor,

The name of the Architect (if any) for the work.

The period stipulated for completion,

The dates of commencement and completion of work.

Extensions of time sanctioned.

Serial number of the measurement book of the work.

Reference to all bills submitted for the work, with their numbers, dates and amounts.

The Register should be closed periodically and entries attested with the dated initials.

15.15.2. **Measurement Book:** The Indentor/Project Leader/Principal Investigator is responsible for recording the measurement in the measurement book.

15.15.3. **Register of Estimates:** The register of Estimates is a chronological record of sanctioned estimates. It furnishes against each estimate information on

- Sanction number and date of sanction.
- Amount of the estimate.
- Amount of expenditure finally booked against the estimate.
- Sanction number and date of revised estimate and amount of revised estimate.

15.15.4. **Tender Issue Register:** This is a chronological record of tender forms issued for each work indicating date of issue and name of contractor.

15.15.5 **Tender receipt Register:** This is a record of tenders opened in respect of each showing name of the work, date and time of opening, name and address of the contractor, date details of EMD received and signature of the contractors or their representatives present at the time of opening the tenders. The officer opening the tenders shall authenticate the entries with his dated signature.

15.15.6 **Agreement Register:** This is a register showing the cumulative record of all agreement entered into showing the name of the work, name of the contractor, amount of contract, date of commencement and completion of works etc.

15.15.7 **Register of Bills:** All bills received should be entered in this register before they are checked and certified for payment. Their further disposal should be watched and payment details are noted in the register.

15.16. This procedure will be reviewed periodically by a committee consisting of representatives from Finance and Administration to rectify practical



difficulties encountered in the implementation with the approval of the Executive Director.

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## Chapter 17

### INTERNAL AUDIT MANUAL

#### 17.1. SCOPE OF INTERNAL AUDIT

17.1.1. The Internal audit wing shall be responsible for checking the accounts records and subsidiary registers maintained in the Society to ascertain how far the rules and regulations, systems, delegation of financial powers and procedures regarding accounting and financial matters are being followed. It should also be ensured that the systems and procedures regarding accounting and financial matters are adequate.

17.1.2. The scrutiny should inter-alia cover the checking of all accounts records and also examination of the records of the physical verification of stores, and Library Books. In addition, all the relevant records maintained by Administration will also be audited. Independent physical verification of stores/cash shall not be undertaken by internal audit.

17.1.3. Internal audit shall not undertake any investigation, which is not strictly within the scope of internal audit. In no case, special investigation of any kind shall be undertaken at the instance of administrative authorities, even though no extra time is required, without prior approval of Head of the Laboratory / Executive Director / Chief Executive. Similarly, internal audit shall not undertake any enquiry or investigation on its own or on a complaint received by it. All such cases shall be referred to Head of the Laboratory / Director / Executive Director for Instructions. When any enquiry or investigation is considered necessary on the specific instruction of the Head of the Laboratory / Director / Executive Director, such enquiry or investigation shall strictly confine to the recorded facts only. It shall, however, be appropriate in such cases not to confine the examination to the particular case only but to scrutinize a few more cases of that kind to ensure that the irregularity is not of a general nature. The results of the enquiry or investigation shall be included in the audit report and the attention of Head of the Laboratory / Director / Executive Director shall be invited to the relevant para there-of separately.

#### 17.2. DUTIES OF INTERNAL AUDIT

The duties of internal Audit shall inter-alia include the following:

17.2.1. Study of accounting procedures prescribed with a view to ensuring that they are correct, adequate and free from ambiguity, defects or lacunae.

17.2.2. Scrutiny and check of receipts and accounting thereof in respect of the Society / Laboratory.

17.2.3. Investigation of important areas in accounting and other connected records.

17.2.4. Periodical review of all accounts records.

17.2.5. Pursuance/Settlement of objections taken by Statutory Audit / Govt. Audit and other matters relating to audit.

17.2.6. To examine and report on points of irregularities brought to its notice by Statutory / Govt audit.

17.2.7. Scrutiny of purchases and stores procedure so as to ensure that they are free from any defect or lacunae.

17.2.8. Checking of procedures in regard to disposal of un-used, un-serviceable and obsolete items to ensure that adequate procedures exist for scrapping/condemning and the same is followed.

17.3. **SPECIAL FEATURES IN DEPARTMENT**

Chief Finance Officer (CFO) of the Society / Finance Officer of the Laboratory is responsible for initial financial clearance of proposals, co-ordination in preparation and allocation of the budget and budgetary control of the expenditure of Society / Laboratory/ Projects.

17.4. **GENERAL CHECKS TO BE EXERCISED**

Internal Audit shall, inter-alia, exercise the following checks during audit of accounts / records of various offices: -

17.4.1. All accounts records required to be maintained are maintained in the prescribed form, and the accounts are compiled accurately and in correct time.

17.4.2. Payments are made in accordance with the rules and orders governing them and the arithmetical calculations are correct.

17.4.3. Final claims of employees are correctly paid and over payment, if any, are dealt with promptly to regularize the same.

17.4.4. Recoveries/deductions wherever necessary are made from the bills and they are in order.

17.4.5. Pay fixations are correct.

17.4.6. All payments and receipts are fully accounted for, under the correct heads of account and no unauthorized heads of accounts are operated.

17.4.7. The balances outstanding under various debt, deposit, suspense and remittance heads are reviewed at periodical intervals and steps taken to clear the same as expeditiously as possible.

17.4.8. Interest, wherever required has been correctly calculated, realized and accounted for.

17.4.9. Foreign service contribution, wherever necessary are recovered correctly.

17.4.10. The instructions for the maintenance of cash book, contingent register, stock and stores accounts, logbooks and other accounts records are duly observed.

17.4.11. Checking of sanctions by administration.

17.4.12. Checking of records maintained for receipt, issue and stock of canteen coupons.

17.5. **CHECKING OF RECEIPTS:**

17.5.1. While the project Groups are primarily responsible to see that all revenue or other debts due to the Society are correctly and properly assessed, realized and credit to the Society account, it would be necessary for internal audit to see that adequate regulations and procedures have been prescribed to ensure and effectively check on collection and accounting of all revenue receipts and refunds and that such regulations and procedures are being followed correctly. It would also be necessary to ascertain the nature of checks exercised by the departmental authorities to ensure prompt detection and investigation of irregularities, leakage or loss of revenue due to double refunds, refunds with reference to fraudulent and forged vouchers / challans or other types of omissions or commissions in the process of collection of revenues or in ordering refunds. The audit of revenue receipts, should inter alia ensure the following by such test checks as may be considered necessary: -

17.5.1.1. That the demands are raised promptly and that no amount due to the Society is left outstanding in its books without sufficient reasons:

17.5.1.2. That the collections and refunds are accounted for regularly and properly under the appropriate heads of accounts and that no sums are credited to the Society account by debit to a suspense head; credit must follow and not precede realization:

17.5.1.3. That proper safeguards exist to ensure that there is no willful omission or negligence to collect revenues or to arrange for refunds, wherever due:

17.5.1.4. The double refunds, fraudulent or forged refund orders or other losses of revenue through fraud, default or mistake are promptly brought to light and investigated; and

17.5.1.5. That all revenue receipts collected are promptly remitted to the bank and that the receipts as per the records are reconciled with the bank statements.

17.5.1.6. While conducting audit of revenues/receipts, it should generally be seen that the procedure being followed is adequate to ensure that all receipts are correctly assessed, promptly realized and accounted for. It should inter alia be specifically seen that: -

17.5.1.6.1. A demand register in proper form is maintained where in demands as and when fall due are assessed and noted to watch realization.

17.5.1.6.2. All sums due are being promptly realized, entered in the Cash Book /Bank Book and remitted into the Society Account.

17.5.1.6.3. All dues are being promptly realized, entered in the Cash Book/Bank Book and remitted into the Society Account.

17.5.1.6.4. Receipts in printed form are issued in a consecutive order for all moneys received.

- 17.5.1.6.5. Receipts are not appropriated for departmental expenditure unless specially permitted by the competent authority.
- 17.5.1.7. The following points may be seen in the audit of receipt books:
- 17.5.1.7.1. That stock account of receipt-books is being maintained.
- 17.5.1.7.2. That the number of receipt books shown as received agrees with the indent / actual supply.
- 17.5.1.7.3. That all the receipt books are kept under safe custody of the officer concerned.
- 17.5.1.7.4. That Certificate of count of pages /receipt form is recorded by the officer concerned on the cover page under full dated signature and the pages are machine-numbered.
- 17.5.1.7.5. That in the case of defaced or cancelled receipts; the counterfoils are attached together with reasons recorded for defacement or cancellation.
- 17.5.1.7.6. That the closing balance as per stock account is physically verified periodically as prescribed and a certificate to that effect is recorded under dated signature of the officer concerned.

17.6. **PROCEDURE FOR INTERNAL AUDIT**

- 17.6.1. The internal audit staff should generally be conversant with the provisions of Rules and Regulations and Byelaws of the Society. Receipts and Payment Rules, General Financial Powers, Purchase Procedure, Stores Procedure in particular and other standard Rules Books in general before starting the Audit. They should be conversant with the delegation of powers given to various authorities of the Society / Laboratory.
- 17.6.2. The primary function of Audit is to verify the accuracy and completeness of accounts to ensure that all revenues/receipts collected are brought to account under the appropriate head; that all types of expenditure/disbursement are authorized, vouched and correctly classified under the final accounts which represent the complete and true statement of the financial transactions.
- 17.6.3. The Internal Audit in the society shall by and large be a post audit verification of records. The transactions appearing in the accounts are verified with reference to rules, regulations, norms, standards etc., laid down in this regard. Since pre-audit already exist in Finance regarding all purchase files, Internal audit need conduct post audit on a selective basis only in this area.
- 17.6.4. The members of the audit team shall conduct themselves in such a way which enables them to achieve the twin objectives of maintaining healthy cordial relations with the staff and Officers of the unit as well as obtaining their full co-operation for the smooth and efficient working of the team.
- 17.6.5. A list of records to be examined during internal audit shall be prepared and sent to the CFO / Finance Officer. If any difficulty is felt by the Internal Audit Officer in obtaining the records/information etc., the matter may be

brought to the notice of the Head of the Laboratory / Executive Director / Chief Executive. In the event of records not being made available by the concerned agency, the fact may be brought to the notice of higher authorities, to intervene in the matter and resolve the issues.

17.6.6. All registers, accounts books and other records checked during the audit of a Society / Laboratory shall be stamped and initialed with date by the audit personnel concerned after the last entry in token of completing their examination.

17.6.7. Finalisation of material on each objection shall not be postponed till the final stage of internal audit, as this is likely to lead to accumulation of unverified data and it may not be possible to include all the objections in the audit report due to paucity of time towards the close of the audit programme.

#### **17.7. GUIDELINES FOR DETECTION OF DEFALCATIONS AND FRAUDS:**

The process of audit detailed in the preceding paras should be taken only as a guide to intelligent audit and in no case should it be considered as limiting the scope of the Auditor's duties. In fact, the efficiency of Internal Audit depends largely on the intelligence, thoroughness and resourcefulness, which are brought to bear on it. Even an apparently minor defect or irregularity might conceal a potential fraud or misappropriation, which may come out through intelligent probe. An illustrative list of irregularities, which are likely to conceal potential frauds, is given below for guidance: -

17.7.1.1. Erasures, Overwriting, interpolations, alterations and unattested corrections in figures, pass orders etc., in account books and registers, bills, receipts etc.

17.7.1.2. Removal of pages from account books and registers.

17.7.1.3. Tampering in totals and carry-forward of totals, especially in Cash Books and Stock Books.

17.7.1.4. Errors in totaling in bills.

17.7.1.5. Errors in carry over figures from subsidiary registers to main register.

17.7.1.6. Delays in disbursement of money drawn from Bank to payees (including moneys recovered against Court attachment, undisbursed salaries etc.)

17.7.1.7. Non-availability of Challans in support of remittance entries in Cash Book.

17.7.1.8. Tampering of figures in Challans.

NOTE: Fictitious entries of remittance in Cash Book will be brought to light during the verifications of credits for remittance for the elected month with corresponding month's Bank scrolls.

#### **17.8. REPORTING OF LOSSES:**

17.8.1. Any loss or shortage of moneys, revenue or receipts, stamps, stores etc., which is discovered in an office, shall be immediately reported to C F O. / Finance Officer.

17.8.2. All cases involving loss of the society money arising from erroneous or irregular issue of cheques or irregular accounting of receipts and circumstances leading to (enabling) the loss will also be reported to the Director General so that he could take steps to remedy defects in rules or procedures, if any, connected therewith, which might have facilitated the occurrence of the act/event.

#### 17.9. **RESULTS OF INTERNAL AUDIT**

17.9.1. As a general rule, trifle matters and routine errors or omissions and commissions, which can be and have been set right on the spot need not be mentioned in the audit report. Irregularities, which have been settled out, which are important enough to be brought to the notice of higher authorities, shall, however find a place in the report. The money value of an objection or the approximate value calculated from the date in hand shall duly be taken into account in considering their importance for inclusion in the audit reports.

17.9.2. Objections shall be based on clear documentary evidence. It is not sufficient to quote the rule or order violated but actual or possible effect of the violation on the finances of the Society shall be explained clearly. If an objection cannot be sustained, there should not be any hint of it, in the report.

17.9.3. Procedural omissions viz., non-attestation of entries, non-submission of various nomination, wanting certificates by supervisory staff, arithmetical inaccuracies, recoveries of over payments/ penal interest, non-maintenance of accounts records in the prescribed forms, pending returns etc., shall be got complied with during the period of audit itself as far as possible.

#### 17.9.4. **DRAFTING AND PROCEUDRE FOR SUBMISSION OF AUDIT REPORTS:**

17.9.4.1. Outstanding paras in the Internal Audit Reports should be reviewed regularly and arrangements made for their early settlement. The Internal Audit team should take up all the outstanding paras pertaining to the Society the Society during its current audit and try to settlement. The Internal Audit team should take up all the outstanding paras pertaining to the Society during its current audit and try to settle them on the spot. Where such a settlement is not possible the outstanding points with their latest position should be incorporated in the new report and thereby the old report should be considered as closed.

17.9.4.2. Routine errors or omission or commissions noticed during the course of audit should be got rectified on the spot. One copy of the Audit Report will be issued to the CFO and one copy will be sent to the Executive Director.

17.9.4.3. Every audit paragraph shall bear distinct heading and deal with a specific point. It shall first give a statement of facts, next the rules or orders infringed and the nature of irregularity or omission and lastly action

necessary for regularization. The main paragraphs may be divided into convenient sub-paras but uniform system of numbering them shall be adopted throughout the report.

- 17.9.4.4. The amount at over payment or other irregular payment shall be worked out to the extent feasible during the audit itself and not left out to be calculated by the office audited and intimated. The full financial implication of each objection or approximate value thereof calculated from the date on hand shall be brought out in the audit report to stress the significance and gravity of the objection.
- 17.9.4.5. The objections outstanding in the previous reports shall not be repeated in the current report. In such a case, the present position of the objection may be given in part-I of the report. If it becomes necessary to mention the current report on objection similar to the one already mentioned in the previous report, specific reference shall be given to the relevant para of the previous report.
- 17.9.4.6. An Objection Book shall be maintained for entering therein objections having money value. The progress of recovery or sanction to write-off of losses shall be watched through the Objection Book. It shall be the personal responsibility of the Internal Audit Officer to ensure that no objection required to be noted in the objection book is omitted and that prompt and vigorous action is taken to settle finally the outstanding objections at the appropriate level.

**17.10. SETTLEMENT OF AUDIT OBJECTIONS**

- 17.10.1.1. Objections of routine nature relating to initial records like Cash Book, Stock Register, log books, over time allowance register and service book etc., where the office has accepted the point of view of Internal Audit and has intimated the necessary compliance and can be verified during the course of checking all such records at the time of next audit, may be treated as finally settled.
- 17.10.1.2. Specific objections pointing out over-payments, short and non-realization of the Society dues, non-utilization of costly stores, equipment and machinery, irregular purchases and other serious irregularities where the Group concerned has furnished satisfactory reply may be treated as settled subject to verification at the time of next audit by the Audit Officer himself. Such objection shall also be treated as settled for the purpose of Control Register of outstanding Audit Report/paras.

**17.11. REVIEW OF PROGRESS OF INTERNAL AUDIT**

- 17.11.1. Internal Audit section shall submit a formal report showing the audit programmes completed and audit reports issued and pending to the Head of the Laboratory / Director / Executive Director with a copy to C F O / Finance Officer in every quarter.

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## Chapter 18

### DELEGATION OF POWERS

#### 18.1. To GOVERNING COUNCIL & EXECUTIVE COMMITTEE

Sl. No.	Powers	Governing Council (GC)	Executive Committee (EC)
1.	To receive financial contributions from abroad	Full Powers subject to approval of Administrative Ministry.	-
2.	Approval for deputation / training abroad in respect of Executive Director	Chairman, GC with approval of Govt. of India	-
3.	Signing of MOUs / Contract agreement with foreign parties for achievement of objectives of the society	Full Powers subject to approval of Govt.	-
4.	Procurement of land and construction of buildings	Full Powers subject to approval of Govt.	
5.	Creation of posts	Full powers provided the post created is approved either in SFC / EFC / PIB or by the Govt. of India	-
6.	Abolition of Post	Full Powers	-
7.	Appointment Executive Director / Director in scale of pay Rs 18,400-22,400 and Registrar	Full Powers. Appointments against posts in pay scales the maximum of which is Rs. 22,400/- and above will need prior approval of Govt. of India	-
8.	To make appointments against other sanctioned posts	Full Powers. Appointments against posts in pay scales the maximum of which is Rs. 22,400/- and above will need prior approval of Govt. of India	-
9.	To approve scale at which honorarium is paid to visiting professionals and members of Committees who are not employees of the Society.	-	Full Powers
10.	To approve consolidated remuneration payable to research personnel engaged for duration of project	-	Full powers within policy guidelines issued by Government.
11.	Amend provisions under Policy Manual relating to extending monetary benefits to employees	Full powers with prior approval by Administrative Ministry.	-

<b>Sl. No.</b>	<b>Powers</b>	<b>Governing Council (GC)</b>	<b>Executive Committee (EC)</b>
12.	Amend provisions under Policy Manual relating to administrative procedure excluding delegation of powers	-	Full powers
13.	Opening new Laboratories or offices of the Society at new locations	Full powers with prior approval by Government of India	-
14.	Accord approval for taking up an activity not commensurate to the objects of the Society	Full powers with prior approval by Government of India	-
15.	To approve budgets for sponsored projects.	-	Full powers
16.	Printing charges above Rs 20 lakhs.	-	Full powers
17.	Recurring contingent expenditure not specifically mentioned above.	-	Full powers
18.	Re-appropriation of funds within each category viz. Capital, Revenue	-	Full powers
19.	Declare stores including office equipments as unserviceable and to approve their mode of disposal.	-	Full powers
20.	Write-off of loss on account of disposal of unserviceable/ obsolete materials, stores, furniture, equipment etc., where original value of each item exceeds Rs. 50 lakhs.	Full powers on the recommendations of EC	Full Powers up to Rs 1 crore
21.	Write off irrecoverable loss due to theft, frauds or negligence of individuals, where original value of each item exceeds Rs. 10,000/-	Full powers on the recommendations of EC	Full powers up to Rs.50,000/-
22.	Write off of loss not due to theft, fraud or negligence of individuals where original value of each item exceeds Rs. 2 lakhs.	Full powers on the recommendations of EC	Up to Rs 1 crore
23.	Waiving recoveries of overpayments amounting to above Rs.25,000/- to a member of the staff not detected within 24 months of payment.	Full powers on the recommendations of EC	Up to Rs.50,000/-
24.	To depute employees for training in India for a period exceeding 1 year	-	Full powers
25.	Administrative approval for works (civil/electrical) included in the Budget above Rs. 50 lakhs in each case	Full powers	Up to Rs 3.0 crores
26.	Works - Technical sanctions to detailed estimates:	Full powers	Full powers
27.	Works - Excess over administrative approval	Full powers	Up to limits for original approval
28.	Works - Excess over estimate beyond 30% of project cost	Full powers	Up to limits for original approval

<b>Sl. No.</b>	<b>Powers</b>	<b>Governing Council (GC)</b>	<b>Executive Committee (EC)</b>
29.	Administrative approval for Purchase of Plant/equipment/ contract above Rs.50 lakhs in core projects	Full Powers	Upto Rs.3.00 crore
30.	Administrative approval for purchase/contract against single tender against Open/Global tender, Proprietary item or specified brand goods	Full Powers	Upto Rs.50 lakhs
31.	Approve emergent purchases including civil & electrical	Full Powers	Upto Rs.1.00 crore
32.	Grant of extension of time of contracts, including reduction, waiver of penalties stipulated in the contract.	Full powers	Up to Rs 3 crores
33.	Grant of higher pay / additional increments on appointment as per rules	Full powers	-
34.	Approve Policy for selection of users for sharing the facilities of the Society	Full powers	Full powers
35.	Authorise drawal of funds from the Corpus Fund	Full powers	Full powers
36.	Authorise borrowing of funds from other agencies.	Full powers	-
37.	Approve general guidelines to fix charges for services rendered by the Society including manpower charges, usage charges of facility created by the Society, methodology for arriving at project cost, terms and conditions for transfer of technologies, rate at which royalty to be collected etc.	Full powers	Full powers
38.	Approve guidelines to set up joint ventures, alliances and such other mechanisms as to fully exploit and develop markets for technologies/ products developed by the Society	Full powers	-
39.	Approve guidelines to Institute stipends, scholarships, associate-ships and fellowships to outstanding students and researchers in the areas of interest to the Society.	Full powers	-

<b>Sl. No.</b>	<b>Powers</b>	<b>Governing Council (GC)</b>	<b>Executive Committee (EC)</b>
40.	Approve proposal to install and operate pilot, proto-type or semi-scale units to develop and prove a particular invention or innovation and ensure production from such inventions or innovations, to sell or otherwise dispose of the products of such inventions on payment or otherwise	Full powers	-
41.	Approve proposal to Promote and assist ancillary research centers in the country in the development of systems, sub-systems, equipment and software to build an appropriate technological and application base in the country	-	Full powers
42.	Approve guidelines to provide maximum incentives for individual inventors, and to scientific and technological community, to undertake large scale and rapid commercialization, at home and abroad with regard to Patents, Copyrights and other forms of Intellectual Property	Full powers	-
43.	Approve proposal to borrow or raise money or to receive money on deposit, at interest or otherwise towards furthering the objects of the Society.	Full powers	-
44.	Approve guidelines to establish and maintain pension, provident and other funds through appropriate mechanism as required for the purposes of the Society	Full powers	-
45.	Approve guidelines to issue exclusive or non-exclusive licences to industries or any other users on such terms and conditions regarding the payment of premium, royalties, share of profits and / or any other basis considered advisable, to develop products, and ensure commercial production of the products.	Full powers	-
46.	Approve guidelines to Encourage and attract competent people from within the country as well as expatriate Indians abroad and others to consult and participate in the activities of the Society.	Full powers	-

<b>Sl. No.</b>	<b>Powers</b>	<b>Governing Council (GC)</b>	<b>Executive Committee (EC)</b>
47.	Approve procedures to facilitate and enable smooth functioning of the Society and its various activities including matters relating to HRD, finance, purchase, administration, etc.	Full Powers	Full powers

**Note :** (i) The Chairman of the Governing Council / Executive Committee may, in emergent cases or under special circumstances exercise the powers of the Council / Committee, in consultation with one or more members of the Governing Council / Committee and in consultation with Finance Member of the Council / Committee. In case of matters involving finances and all other such cases shall be reported by the Chairman to the Governing Council / Committee in its next meeting.

(ii) Chairman of the Governing Council will be appointing authority for appointment of Executive Director, Director and other Executives in the scale of pay Rs.18400-22400 and Registrar.

(iii) The Powers delegated to the Executive Committee shall be exercised in conformity with the rules/ procedures formulated by the Society, and subject to budget provision, availability of funds and following normal purchase/stores procedures and administrative procedures.

## DELEGATION OF POWERS

### 18.2. To EXECUTIVE DIRECTOR / DIRECTORS

Sl. No.	Delegated Powers	Executive Director	Directors/Heads of Laboratories in pay scale Rs 16,400-450-20,000 & above (See Note iii. below for other pay scales)
<b>Administration and Establishment:</b>			
<b>Creation of Posts</b>			
1.	Creation of posts equivalent to Group A posts in Government	Subject to prior approval by Government of India	-
2.	Creation of posts equivalent to Group B, C, D posts in Government	Full powers provided the post created is approved either in SFC / EFC / PIB or by the Government of India	-
3.	Powers to create temporary Group B, C & D posts.	Full Powers for duration of the project subject to a maximum period of 24 months. The posts created will be co-terminus with the project	-
4.	Powers to create temporary posts on consolidated pay in connection with self-supporting projects co-terminus with the project duration	Full Powers	-
5	Abolition of Post	Full Powers in respect of posts created under own powers	-
<b>Appointments</b>			
6.	To make appointments against sanctioned posts in Group A and B	Full Powers except appointment of Director/Executives in scale of pay Rs 18,400-22,400/- and Registrar.	-
7.	To make appointments against sanctioned posts equivalent to Group C & D	Full powers	Full powers with prior approval of Executive Director

<b>Sl. No.</b>	<b>Delegated Powers</b>	<b>Executive Director</b>	<b>Directors/Heads of Laboratories in pay scale Rs 16,400-450-20,000 &amp; above (See Note iii. below for other pay scales)</b>
8.	To make appointments against temporary posts of research personnel sanctioned on consolidated pay in connection with self-supporting projects	Full Powers. The appointments will be co-terminus with the project.	Full Powers for appointment as per approved scheme. The appointments will be co-terminus with the project. Appointment of same person on another project shall need approval of Executive Director
9.	To make short term contract appointments on consolidated pay in connection with self-supporting projects.	Full Powers. The appointments will be co-terminus with the project. Appointment of same person on another project shall need approval of Executive Committee.	Upto a maximum period of one year. The appointments will be co-terminus with the project. Appointment of same person on another project shall need approval of Executive Director.
10	Probation declaration	Full powers	Full powers in respect of Gr. C & D staff
11.	Promotions	Full Powers as per rules.	-
12.	Acceptance of resignation	Full Powers	Full Powers in respect of Gr. C & D staff
13.	Termination of Services	Full powers	Full powers in respect of Gr. C & D staff
14.	Disciplinary powers	As per Byelaws	As per Byelaws
15.	Transfer of employees amongst other Laboratories	Full powers as per Redeployment Policy	-
16.	Grant of advance increments on appointment	Full Powers	-
17.	Fixation of Pay	Full powers as per rules	Full Powers in respect of Gr. C & D staff
18.	Leave	Full powers	Full powers except study leave and sabbatical leave
19.	TA/ DA	Full powers	Full powers
20.	Approval of tours within India	Full powers	Full powers except for self tour



<b>Sl. No.</b>	<b>Delegated Powers</b>	<b>Executive Director</b>	<b>Directors/Heads of Laboratories in pay scale Rs 16,400-450-20,000 &amp; above (See Note iii. below for other pay scales)</b>
21.	Approval of travel by higher class of accommodation than normal entitlement	Full powers	Full powers; except for self
22.	To admit reimbursement of expenditure not covered by rules incurred on tour in exceptional cases for reasons to be recorded	Full powers subject to the condition that variation is not in excess of 25% of normal entitlement	Full powers subject to the condition that variation is not in excess of 10% of normal entitlement except for self
23.	To sanction OTA to employees of the Society	Full powers	-
24.	To sanction LTC / medical reimbursement claims	Full powers	Full powers
25.	To sanction honorarium to visiting professionals and members of Committees who are not employees of the Society.	Full powers as per Policy manual	Full powers as per Policy manual
26.	To admit claim on account of TA/ LTC / Medical reimbursement submitted after the stipulated period	Full powers upto a maximum period of 3 months	Full powers upto a maximum period of 3 months except self; for self beyond one month Executive Director
27.	To sanction all advances	Full powers	-
28.	To sanction reimbursement of conveyance hire charges incurred for official purposes	Full powers	Full powers
29.	Sanction expenditure on refreshment charges, lunch during meetings, conference, visits of VIPs, dignitaries, etc	Full powers as per guidelines to be issued by the Executive Committee	Full powers as per guidelines
30.	To approve budgets for sponsored/grant-in-aid/consultancy/technical services projects, except with private agencies	Full powers	-
31.	To approve budgets for sponsored/ consultancy/technical services projects projects, with private agencies	Rs 2 crore provided value addition is more than 50% of project cost. Cases beyond should be approved by EC.	-
32.	News papers, periodicals and magazines	Full powers	Full powers
33.	Postage, telegrams, telephones	Full powers	Full powers

<b>Sl. No.</b>	<b>Delegated Powers</b>	<b>Executive Director</b>	<b>Directors/Heads of Laboratories in pay scale Rs 16,400-450-20,000 &amp; above (See Note iii. below for other pay scales)</b>
34.	Photographic charges including purchase of photographic materials	Full powers	Full powers
35.	Binding of books and records	Full powers	Full powers
36.	Taking on lease / rent building for Society's use and residential purposes of employees of the Society	Full powers	-
37.	Payment of license fees and taxes	Full powers	Full powers
38.	Insurance, service contracts of equipments	Full powers	Full powers
39.	Hiring of furniture, PCs or any type of equipment for official purposes	Full powers	Full powers
40.	Employment of casual labour	Full powers subject to the condition that the same person shall not be engaged for more than 30 days at a stretch and not more than 180 days in a year.	Full powers subject to the condition that the same person shall not be engaged for more than 30 days at a stretch and not more than 180 days in a year.
41.	Engage Facilitation trainees as per approved scheme of the Society	Full powers subject to the condition that total number of trainees engaged shall be a maximum of 25% of the strength of regular employees in the particular cadre.	Full powers subject to the condition that total number of trainees engaged shall be a maximum of 25% of the strength of regular employees in the particular cadre.
42.	Extension period of engagement of Facilitation trainees beyond two years	Upto a maximum of 2 years beyond initial 2 years	-
43.	Legal expenses	Full powers	Full powers
44.	Repairs and maintenance of furniture, equipment, vehicles, buildings, campus	Full powers	Full powers
45.	Recurring contingent expenditure not specifically mentioned above	Full powers	Full powers
<b>Other Financial Powers</b>			
46.	Declare stores including office equipments, materials, furniture etc. as unserviceable and to approve their mode of disposal and Write-off where original value of each item is upto Rs.50 lakhs	Upto Rs.50 lakhs	Upto Rs.5 lakhs

<b>Sl. No.</b>	<b>Delegated Powers</b>	<b>Executive Director</b>	<b>Directors/Heads of Laboratories in pay scale Rs 16,400-450-20,000 &amp; above (See Note iii. below for other pay scales)</b>
47.	Write off irrecoverable loss due to theft, frauds or negligence of individuals.	Full powers where original value of each item does not exceed Rs. 10,000/-. Cases beyond with approval of EC. All cases to be reported to EC.	Full powers where original value of each item does not exceed Rs. 5,000/-. All cases to be reported to EC.
48.	Write off of loss not due to theft, fraud or negligence of individuals.	Full powers where original value of each item does not exceed Rs. 2 lakhs. Cases beyond with approval of EC. All cases to be reported to EC.	Full powers where original value of each item does not exceed Rs. 50,000/- All cases to be reported to EC.
49.	Waiving recoveries of overpayments to a member of the staff not detected within 24 months of payment.	Upto Rs.25,000/-. All cases to be reported to EC	Upto Rs.5000/- All cases to be reported to EC
50.	To approve budgets for national management development programmes, conferences and seminars and reappropriation within the budget.  For international programmes, conferences etc.	Full powers  With the approval of Government	-  -
51.	To sanction recoupable permanent advance (Imprest) Temporary Advance	Full powers	Full powers
52.	To dispose of usufructs of the campus	Full powers	Full powers
53.	To draw bills on account of pay, TA, contingencies and other expenditure of the Society	Full powers	Full powers
54.	To approve and sign draft annual accounts of the Society for submission to audit and the audited annual accounts, after approval by GC, for submission to parliament.	Full powers	Full powers
55.	To execute all agreements, contracts etc on behalf of the Society except those between himself / herself and the Society	Full powers	Full powers
56.	To invest the funds of the Society in any public financial institution, any other Government securities on short term/long term basis	Full powers with in the overall guidelines laid down by Govt. / GC	-

Sl. No.	Delegated Powers	Executive Director	Directors/Heads of Laboratories in pay scale Rs 16,400-450-20,000 & above (See Note iii. below for other pay scales)
57.	To delegate any or all the powers to the next junior during leave / deputation in India or abroad	Full powers	Full powers with approval of Executive Director
<b>Miscellaneous items</b>			
58.	To depute employees to attend training, seminars / conferences in India for a period not exceeding 1 year	Full powers. Cases beyond with approval of EC.	-
59.	To depute employees to attend seminars, conferences, training programmes, etc. abroad.	Full powers as per the guidelines on the subject approved by EC	-
60.	To sanction expenditure in connection with Annual Day functions, including prizes and awards to students	Full powers	Full powers with approval of Executive Director
61.	To execute agreements, contracts etc. on behalf of the Society within India.	Full powers	Full powers provided there is no variation to standard format.
62.	Sanction expenditure towards running canteen within the premises	Limited to maximum expenditure of Rs 4,000/- per annum per employee.	-
63.	Sanction financial assistance for Recreation Club of employees	Limited to maximum of Rs 180/- per annum per employee towards recurring expenses and initial grant of Rs 100/- per employee towards capital expenditure which may be supplemented by 10% of initial grant every year.	-
64.	Sanction of expenditure towards providing PBX, direct phones at office / residence, and mobile phones	Full powers within the approved guidelines	Full powers within the approved guidelines
65.	Sanction of leased accommodation facility	Full powers	Full powers for employees within approved guidelines
66.	Approve deputation of employees to other organizations	Full powers within approved guidelines	-
67.	Approve nomination of employees to committees constituted by other organizations	Full powers	Full powers in respect of attending selection committees, DPC's, tender evaluation committees except as a standing member of any committee/Board.
68.	Procurement of vehicles against replacement	Full powers	-
69.	Condemnation of vehicles	Full powers	-

<b>Sl. No.</b>	<b>Delegated Powers</b>	<b>Executive Director</b>	<b>Directors/Heads of Laboratories in pay scale Rs 16,400-450-20,000 &amp; above (See Note iii. below for other pay scales)</b>
70.	Administrative approval for civil works (from non-plan)	Up to Rs 5 lakhs. Cases beyond with approval of EC.	Up to Rs 50,000/-
71.	Certify bills for payment	Full powers	Full powers
72.	Award contracts towards hiring of services for Pantry / Canteen / Security Services / Clearing Services etc. as part of outsourced activities	Full powers	-
<b>Purchases</b>			
73.	Approve lowest technically suitable offer where more than one valid tender have been received (including electrical, civil & horticulture work).	Upto Rs 50 lakhs. Cases beyond with approval of EC.	Upto Rs 5 lakhs for indigenous item/ Rs.7.5 lakhs for imported item
74.	Approve technically suitable offer where only one valid tender has been received (including electrical, civil & horticulture work).	Upto Rs 5 lakhs Cases beyond with approval of EC.	Upto Rs 50,000/-
75.	Approve Supply orders against Rate / Running Contracts	Upto Rs 50 lakhs. Cases beyond with approval of EC.	Upto Rs 5 lakhs
76.	Approve Supply orders against DGS&D Rate contracts	Upto Rs 50 lakhs. Cases beyond with approval of EC.	Upto Rs 5 lakhs
77.	Approve Single Tender against limited tender / Single quotation in respect of proprietary items or specified brand goods or specialist works in case of electrical, civil etc	Upto Rs 5 lakhs. Cases beyond with approval of EC.	Upto Rs 50,000/-
78.	Approve Emergent Purchases / work (including electrical, civil & horticulture work).	Upto Rs 10 lakhs. Cases beyond with approval of EC.	Upto Rs 25,000/-
79.	In respect of Sponsored Projects: Purchase of technical stores like capital equipment, raw materials, components, other consumables and semi-consumables including fabrication of equipment	Full powers subject to ceiling indicated in the project cost and subject to approval of such projects by the Competent Authority.	Full powers subject to ceiling indicated in the project cost and subject to approval of such projects by the Competent Authority.

<b>Sl. No.</b>	<b>Delegated Powers</b>	<b>Executive Director</b>	<b>Directors/Heads of Laboratories in pay scale Rs 16,400-450-20,000 &amp; above (See Note iii. below for other pay scales)</b>
80.	Approve Amendment to Purchase Orders not involving any financial implications (including electrical, civil & horticulture work).	Full powers upto the financial limits for original approval	Full powers upto the financial limits for original approval
81.	Amendments to Purchase Orders involving financial implications due to change in statutory levies, upward revision of prices, increase in quantity, change in terms of payment, change in specifications, change in delivery terms, modification of agreed terms & conditions etc.	Full powers upto the financial limits for original approval	Full powers upto the financial limits for original approval
82.	Repairs & maintenance of Centre's campus	Upto Rs 50 lakhs. Cases beyond with approval of EC	Upto Rs 5 lakhs
83.	Telephonic quotation including web based purchases	Upto Rs 1 lakhs. Cases beyond with approval of EC.	Upto Rs 25,000/-
84.	Cash purchases	Upto Rs 1 lakhs. Cases beyond with approval of EC.	Upto Rs 10,000/-
85.	Purchase of scientific & Technical books, periodical, Journals	Full powers as per Purchase Procedure	Upto Rs.25,000/- as per purchase procedure
86.	Refund of Security Deposit / EMD and Caution Money Deposits	Full powers upto the financial limits for original approval	Full powers upto the financial limits for original approval
87.	Insurance, freight charges etc.	Full powers	Full powers
88.	Payment of Demurrage/ Wharfage charges	Full powers	Full powers upto a maximum of 10% of order value.
89.	Entering into AMC of equipments	Full powers	Full powers subject to AMC charges falling within 10% of the procurement value subject to financial limits of original approval.
90.	Waiver of terms of contracts, reduction / waiver of penalties stipulated in the contract. Reasons to be recorded in writing.	Full powers upto the financial limits for original approval.	Full powers upto the financial limits for original approval.

<b>Sl. No.</b>	<b>Delegated Powers</b>	<b>Executive Director</b>	<b>Directors/Heads of Laboratories in pay scale Rs 16,400-450-20,000 &amp; above (See Note iii. below for other pay scales)</b>
91.	Sanction secured advance to other organizations / firms / suppliers	Full powers as per purchase procedure	Full powers as per purchase procedure
92.	Sanction unsecured advance for specialist works / materials / transport or materials / other purchases.	Full powers as per purchase procedure subject to financial limits for original approval	Approval of Executive Director must be taken for making unsecured advance payments to private parties.
93.	Authorize payment to claims of Clearing Agents as per terms of appointment of Clearing Agent.	Full powers	Full powers
94.	Advertisement charges (i) Press and publicity matters (ii) Recruitment/Tender Notifications	Full powers subject to guidelines  Full powers	-  Full powers in case of advertisement through DAVP; Upto Rs.50,000/- otherwise
95.	Printing charges	Upto Rs 20 lakhs per annum. Cases beyond with approval of EC.	Upto Rs 5 lakhs p.a.
<b>Planning and Execution of Works</b>			
96.	Administrative approval for works included in the Budget.	Upto Rs. 50 lac in each case	Up to Rs. 5 lac in each case.
97.	Technical sanctions to detailed estimates:	Full powers up to the financial limits for original approval.	Full powers up to the financial limits for original approval.
98.	Excess over administrative approval	Full powers up to 30% of the financial limits for original approval	Full powers up to 10% of the financial limits for original approval
99.	Excess over estimate	Up to 30% of works cost subject to the financial limits for original approval	Up to 10% of works cost subject to the financial limits for original approval
100.	Grant of extension of time of contracts, reduction, waiver of penalties stipulated in the contract.	Full powers without reduction or waiver of penalty and up to Rs 10,000/- where extension of time is with reduction or waiver of penalties. Reasons to be recorded in writing.	Full powers without reduction or waiver of penalty
101.	Powers to sanction rates for additional/substituted items:	Full powers.	Full powers.

**Note:**

- i. The delegated power are to be exercised in accordance with the rules and procedures prescribed from time to time on the subject or such other direction as may be issued by the Govt. of India / Governing Council from time to time.
- ii. The Executive Director shall be the Head of Department for all purposes.
- iii. Directors (Acting) in a grade below Rs. 16,400-450-20,000 acting as Head of Laboratory will have a maximum financial sanctioning power of Rs.1 lac. Any expenditure beyond Rs 1 lac shall be referred to the Headquarters at Pune for sanction by Competent Authority.
- iv. Financial concurrence should be obtained in all cases where expenditure incurred or to be incurred is in excess of Rs. 10,000/-.
- v. The Powers delegated shall be exercised in conformity with the rules/ procedures formulated by the Society, and subject to budget provision availability of funds and following normal purchase/stores procedures and administrative procedures.
- vi. Principal Investigators of Sponsored Project can approve expenditure upto Rs.5,000/- in respect of procurement of consumables/raw-materials as approved in the Project Proposal.
- vii. Library-in-charge can purchase scientific & Tech books upto Rs.2,000/-



## DELEGATION OF POWERS

### 18.3. To REGISTRAR, ADMINISTRATIVE OFFICERS AT LABORATORIES

Sl. No.	Delegated Powers	Registrar	Administrative Officers at Laboratories
<b>Leave: -</b>			
1.	Sanction leave to Group A Staff working under him except study leave & special disability leave.	Full powers upto 60 days, beyond 60 days with concurrence of the Executive Director	-
2.	Sanction leave to Group B, C & D Staff working under him except study leave & special disability leave.	Full powers upto 60 days, beyond 60 days with concurrence of the Executive Director	Full powers upto 60 days, beyond 60 days with concurrence of the Director
3.	Approve tour and sanction traveling allowance to Group B, C & D Staff working under him.	Full powers	Full powers
4.	Sanction OTA to employees of the Society, as per rules	Full Powers	Full Powers
5.	Sanction claims on account of LTC/ medical reimbursement as per rules in respect of employees	Full Powers	Full Powers
6.	To admit claims on account of TA/ LTC/ Medical reimbursement submitted after the stipulated period	Full powers up to 1 month.	Full powers up to 1 month.
7.	Sanction reimbursement of conveyance hire charges incurred for official purposes	Full Powers	Full Powers
8.	Approve purchase of stationery and other consumable stores	up to Rs. 50,000/- in each case.	up to Rs. 10,000/- in each case.
9.	Approve Purchase of books (required for Administration wing)	up to Rs. 10,000/- per annum	up to Rs. 2,000/- per annum
10.	Approve Purchase of Furniture as per Purchase Procedure	up to Rs. 25,000/- on each occasion	-
11.	Approve emergent purchases (including civil & electrical)	Upto Rs.25,000/-	-
12.	Approve purchase of stores/contracts	Upto Rs.50,000/-	Upto Rs.5000/-
13.	Approve Purchase of Electrical and other electronic equipments	Rs. 10,000/- in each case	-
14.	Approve Purchase of crockery etc. for office.	Rs. 5,000/- in each case	Rs. 5,000/- in each case
15.	POL for vehicles:	Full Powers.	Full Powers.
16.	Purchase of Newspapers and periodicals for office use	Rs. 2,000/- per month	Rs. 2,000/- per month
17.	Payment of bills on account of Postage, telegram, telephones	Full Powers	Full Powers
18.	Printing	Rs. 25,000/- in each case	-
19.	Binding of books & records:	Rs. 10,000/- per annum.	-

<b>Sl. No.</b>	<b>Delegated Powers</b>	<b>Registrar</b>	<b>Administrative Officers at Laboratories</b>
20.	Repairs to Vehicles including spare parts	Rs. 10,000/- in each case subject to annual ceiling of Rs. 20,000/-	Rs. 10,000/- in each case subject to annual ceiling of Rs. 20,000/-
21.	Repairs to furniture & equipments	Rs. 5,000/- in each case subject to annual ceiling of Rs. 1 lac.	Rs. 5,000/- in each case subject to annual ceiling of Rs. 1 lac.
22.	Repairs & maintenance of Society's campus:	Rs. 5,000/- in each case subject to annual ceiling of Rs. 1 lac.	Rs. 5,000/- in each case subject to annual ceiling of Rs. 1 lac.
23.	Legal expenses	Up to Rs. 5,000/- in each case.	Up to Rs. 5,000/- in each case.
24.	Expenditure on hospitality	Up to Rs. 3,000/- per month	Up to Rs. 3,000/- per month
25.	Employment of casual labour	Up to Rs. 5,000/- per month at approved rates, subject to the condition that the same person will not be employed for more than 30 days in a year.	Up to Rs. 5,000/- per month at approved rates, subject to the condition that the same person will not be employed for more than 30 days in a year.
26.	Refund of Security Deposit/ EMD and Caution Money Deposits	Full powers on advice of Chief Finance Officer	Full powers on advice of Finance Officer
27.	Payment of electricity & water charges/ license fee/ rent/ municipal & other taxes	Full Powers.	Full Powers.
28.	Demurrage	Up to Rs. 5000/-, not exceeding the value of the material	Up to Rs. 1000/-, not exceeding the value of the material
29.	Insurance and service contracts of equipments	Full Powers	Full Powers
30.	Certifying hire charges of vehicles at rates approved by competent authority of State Govt. or as per rate contract entered by the Centre.	Full Powers	Full Powers
31.	Hiring of equipment/ furniture	up to Rs. 5,000/- per month	up to Rs. 5,000/- per month
32.	To execute agreements, contracts etc. on behalf of the Society	Full Powers	Full Powers
33.	Any other item of contingent expenditure not otherwise provided	Rs. 10,000/- in each case.	Rs. 1,000/- in each case.
34.	Appointments of Group C and D employees, temporary staff in equivalent level, all types of apprentices / trainees on the recommendations of duly constituted selection committee.	Full powers	Full powers

Sl. No.	Delegated Powers	Registrar	Administrative Officers at Laboratories
35.	Probation - Declare satisfactory completion of probation and to extend the period of probation in respect of Group C & D officials	Full powers	-
36.	Promotions on the recommendations of the DPC as approved procedure in respect of Group C & D employees	Full powers	-
37.	Acceptance of resignation of Group C & D officials, temporary staff in equivalent levels, apprentices,	Full powers	-
38.	Termination of services of Group C & D officials, temporary staff in equivalent level on probation and apprentices.	Full powers	-
39.	Disciplinary powers	Disciplinary authority in respect of Group C and D officials	-
40.	Fixation of Pay To fix initial pay of Group C & D employees on appointment by granting not more than 5 advance increments on the recommendation of the selection committee	Full powers as per rules	Full powers as per rules
41.	Fixation of Pay on promotion of employees as per rules and with financial concurrence	Full powers as per rules	Full powers as per rules
42.	To sign offer of appointment, promotion and other communications to employees, apprentices, trainees, temporary staff	All cases	All cases except promotion orders of Group A & B staff
43.	Advise drawl of increment where all normal conditions are fulfilled	Full powers	Full powers
44.	Verify bills for purchase of air tickets, rail tickets arranged on approval of tour programme by competent authority	Full powers	Full powers
45.	Verify bills in respect of contracts for security, sanitation, cleaning, horticulture, canteen or any other outsourced facility as per contracts finalized with approval of competent authority	Full powers	Full powers

**Note:**

- i. The delegated power are to be exercised in accordance with the rules and procedures prescribed from time to time on the subject or such other direction as may be issued by the Govt. of India / Governing Council from

time to time.

- ii. Financial concurrence should be obtained in all cases where expenditure incurred or to be incurred is in excess of Rs. 10,000/-.
- iii. The Powers delegated shall be exercised in conformity with the rules/ procedures formulated by the Society, and subject to budget provision, availability of funds and following normal purchase/stores procedures and administrative procedures.
- iv. The Registrar in the Headquarters and Administrative Officers in the Laboratories shall be Head of Office for all purpose.

## DELEGATION OF POWERS

### 18.4. To CHIEF FINANCE OFFICER & FINANCE OFFICERS AT LABORATORIES

Sl. No.	Delegated Powers	Chief Finance Officer	Finance Officers at Laboratories
1.	Verify and pass all bills in respect of pay and allowances, TA, LTC, Medical Reimbursements, OTA, Honorarium etc. Disallowance from claims made by employees of the Society will be approved by the Finance Officer in respect of employees up to and including pay scales of Rs. 10,000 to 15,200 and the Head of Laboratory in other cases.	Full Powers	Full Powers
2.	Pay and allowances	Full powers	Full powers
3.	Power to pass for payment all claims for supplies services etc. in accordance with rules and with reference to sanction of competent authority.	Full powers	Full Powers
4.	Sanction of refund of revenue, earnest money deposit or security deposits.	Full powers	Full Powers
5.	To draw and disburse pay bills, TA bills and all other bills pertaining to establishment as well as contingents bills.	Full Powers	Full Powers
6.	Other bills	Full powers	Full Powers
7.	Investments in short term deposits in accordance with Govt. guidelines and at the highest interest rate offered by acceptable financial institutions	Full powers	Full Powers
8.	Write off of overpayments made to employees and external agencies where recovery is impossible and that the recovery will cause undue hardship	Up to Rs 1000/- in each case.	Up to Rs 1000/- in each case
9.	Sign cheques for payments to be made on behalf the Centre	Rs. 50,000/- singly and above Rs.50,000/- along with any other Officer duly empowered by the Executive Director	Rs. 10,000/- singly and above Rs. 10,000/- along with any other Officer duly empowered by the Executive Director

**Note: -** i) The delegated power are to be exercised in accordance with the rules and procedures prescribed from time to time and subject to such other direction as may be issued by the competent authority from time to time.

- ii) Officers shall exercise financial powers only where specific allocation of funds is available.
- iii) As regards procurement, recommendations of Standing Purchase Committee are required where order value is above Rs 50,000/- before placement of Purchase Orders.
- iv) Wherever no rules are available or where there is ambiguity in interpretation of the Rules, specific provision under the Govt. Rules shall be followed.
- v) In cases where a claim pertains to the official himself who is delegated the powers, approval of the next higher authority to be obtained.
- vi) The accounts of the Society shall be open for inspection/ special audit by the Administrative Ministry.
- vii) Chief Finance Officer of C-MET and the Finance Officers in Laboratories shall be personally responsible if a payment has been made with approval of an authority who is not delegated the powers to approve the particular proposal.
- viii) Chief Finance Officer of C-MET and the Finance Officers in Laboratories shall bring to the notice of the competent authority, defects in approvals, if any given without prior financial concurrence and merely because an approval has been given by the competent authority, Chief Finance Officer of C-MET and the Finance Officers in Laboratories shall not be absolved of their responsibility for irregular payments.

