



शरीरमाद्यं रक्तु धर्मस्त्वन्म

**ALL INDIA INSTITUTE OF MEDICAL SCIENCES**

**AGENDA**

**FOR THE 161<sup>ST</sup> MEETING OF THE  
GOVERNING BODY**

TO BE HELD ON : Monday, 11<sup>th</sup> March, 2024

TIME :

PLACE :

**ALL INDIA INSTITUTE OF MEDICAL SCIENCES****Present composition of the Governing Body Members**

- |   |                               |
|---|-------------------------------|
| 1. <b>Dr. Mansukh Mandaviya</b><br>Minister of Health & Family Welfare<br>Nirman Bhawan, New Delhi – 110011   | Chairman                      |
| 2. <b>Dr. Anil Jain, M.P (Rajya Sabha)</b><br>D-244, Anupam Garden,<br>Saiyad Ul Ajaib, New Delhi-68  | Member                        |
| 3. <b>Shri Apurva Chandra</b><br>Secretary (H&FW)<br>Ministry of Health & Family Welfare<br>Govt. of India,<br>Nirman Bhawan, New Delhi – 110011                                    | Member<br>(w.e.f. 1.08.2023)  |
| 4. <b>Shri K. Sanjay Murthy</b><br>Secretary to the Govt. of India<br>Department of Higher Education,<br>Ministry of Education,<br>Shastri Bhawan, New Delhi-110001                 | Member                        |
| 5. <b>Shri Jaideep Kr. Mishra</b><br>Addl. Secretary and Financial Adviser<br>Ministry of Health & Family Welfare,<br>Govt. of India,<br>Nirman Bhawan, New Delhi – 110011          | Member<br>(Ex-Officio)        |
| 6. <b>Dr. Atul Goel</b><br>Director General of Health Services<br>Govt. of India<br>Nirman Bhawan, New Delhi – 110011   | Member<br>(Ex-Officio)        |
| 7. <b>Dr. Kameshwar Prasad</b><br>H.N.224, Hauz Khas Apartment,<br>Aurobindo Road, New Delhi-110016   | Member<br>(w.e.f. 28.04.2022) |
| 8. <b>Dr. Pranjal Modi</b><br>Vice Chancellor<br>Gujarat University of Transplantation Sciences,<br>Opp. Trauma Centre, Civil Hospital Campus,<br>Asarwa, Ahmedabad-380016, Gujarat | Member<br>(w.e.f. 28.4.2022)  |
| 9. <b>Prof. Yogesh Singh</b><br>Vice Chancellor<br>University of Delhi, Delhi – 110007  | Member                        |



- |   |                              |
|---|------------------------------|
| <b>10. Prof. Vijay Kumar Shukla</b><br>Rector & Vice Chancellor,<br>Banaras Hindu University,<br>Varanasi-221005, U.P | Member<br>(w.e.f. 28.4.2022) |
| <b>11. Prof. M. Srinivas</b><br>Director, AIIMS   | Member Secretary             |
| <b>12. Additional Secretary/Joint Secretary,</b><br>INI Section-I, MoHFW, Nirman Bhawan, ND                           | Special Invitee              |
| <b>13. Dr. K.K. Verma</b><br>Dean, AIIMS  | Special Invitee              |
| <b>14. Shri Karan Singh</b><br>Addl. Director (Admn.), AIIMS  | Special Invitee              |
| <b>15. Ms. Divya Yanamadala</b><br>Sr. Financial Adviser  | Special Invitee              |

**AGENDA FOR THE 161<sup>ST</sup> GOVERNING BODY MEETING TO BE HELD ON 11.03.2024 OF AIIMS, NEW DELHI.**

<b>ITEM NO.</b>	<b>DESCRIPTION</b>	<b>PAGE NO.</b>
<b>GB-161/1</b>	Confirmation of the minutes of the 160 <sup>th</sup> meeting of the Governing Body held on 13 <sup>th</sup> December, 2023 in the Dr. Ramalingaswami Board Room, AIIMS, New Delhi.	<b>1 - 14</b>
<b>GB-161/2</b>	Action Taken Report on the minutes of the 160 <sup>th</sup> meeting of the Governing Body held on 13 <sup>th</sup> December, 2023 in the Dr. Ramalingaswami Board Room, AIIMS, New Delhi.	<b>14 (i) to 14 (xx)</b>
<b>GB-161/3</b>	To consider the proposal for Ex-Post Facto ratification – decision of President, AIIMS for retention of lien of Dr. L. Gopichandran, Associate Professor, College of Nursing at the AIIMS, New Delhi.	<b>15 - 16</b>
<b>GB-161/4</b>	To consider the proposal for ratification of voluntary retirement granted to Prof. S.V.S. Deo, Professor and HOD of Surgical Oncology, Dr. BRAIRCH from the service of this Institute w.e.f. 01.02.2024 (F.N.).	<b>17 - 23</b>
<b>GB-161/5</b>	To consider the proposal for ex-post-facto ratification of voluntary retirement to Dr. Manmohan Singh, Professor of Neurosurgery from the service of this Institute w.e.f. 16.01.2024 (F.N.).	<b>24 - 31</b>
<b>GB-161/6</b>	To consider the proposal for ratification of voluntary retirement granted to Dr. Arvind Chaturvedi, Professor and Head of Neuroanaesthesiology and Critical Care, N.S. Centre from the service of this Institute w.e.f. 09.02.2024 (F.N.).	<b>32 - 39</b>
<b>GB-161/7</b>	To consider the representation of Dr. Amar Ranjan Singh, Additional Professor of Laboratory Oncology, Dr. BRAIRCH, AIIMS, New Delhi for his promotion to the Grade of Professor under Assessment Promotion Scheme (APS) at AIIMS, New Delhi.	<b>40 - 76</b>
<b>GB-161/8</b>	To consider the proposal for ex-post facto approval of the recommendations of the Standing Selection Committee meeting held on December 24, 2023 for the position of Medical Superintendent on deputation basis at AIIMS, New Delhi.	<b>77 - 89</b>
<b>GB-161/9</b>	To consider proposal for Ex-post Facto approval to objective Screening Criteria to be used to screen applicants to shortlist them to be called for interview for faculty posts (other than faculty of college of Nursing) at AIIMS, New Delhi	<b>90 - 127</b>

<b>GB-161/10</b>	To consider the representation of Dr. Ritesh Kumar Netam, Associate Professor of Physiology, AIIMS, New Delhi for his promotion to the Grade of Additional Professor under Assessment Promotion Scheme (APS) at AIIMS, New Delhi.	<b>128 - 152</b>
<b>GB-161/11</b>	To consider the proposal for Centre for medical innovation and entrepreneurship.	<b>153 - 327</b>
<b>GB-161/12</b>	Any other item with the permission of the Chair	



**NOTE FOR THE GOVERNING BODY**

**ITEM NO. GB-161/1**

**Confirmation of the minutes of the 160th meeting of the  
Governing Body held on 13th December, 2023 in the Dr.  
Ramalingaswami Board Room, AIIMS, New Delhi**

**Through Special Messenger**  
**By Speed Post**

Item No. GB-161/1

**ALL INDIA INSTITUTE OF MEDICAL SCIENCES**

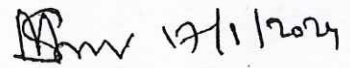
Ansari Nagar, New Delhi-29  
Dated: 17.01.2024

No.F. 2-1/2023-Genl. (GB-160)

**MEMORANDUM**

**Subject:- Final minutes of the 160<sup>th</sup> Meeting of the Governing Body held on 13<sup>th</sup> December, 2023 at 05:00 P.M. in the Dr. Ramalingaswami Board Room, AIIMS, New Delhi.**

The Final Minutes of the meeting of Governing Body held on 13<sup>th</sup> December, 2023 at 05:00 P.M. in the Dr. Ramalingaswami Board Room, AIIMS, New Delhi as approved by the Chairman of the Governing Body is being circulated to Chairman and all the Members of the Governing Body for information.

  
(PROF. M. SRINIVAS)  
DIRECTOR &  
MEMBER SECRETARY

Encl. As above

**The Chairman and all the  
Members of the Governing Body.**

2

**No. V-16020/159/2023-INI-1**  
Government of India  
Ministry of Health & Family Welfare  
Department of Health & Family Welfare  
Nirman Bhawan, New Delhi  
Dated 17-01-2024

To

The Director,  
AIIMS, New Delhi,  
Ansari Nagar,  
New Delhi-110029

**Subject:** Minutes of the 160<sup>th</sup> Governing Body meeting of AIIMS, New Delhi held on 13.12.2023 under the Chairmanship of Hon'ble HFM- reg.

Sir,

I am directed to refer to the subject mentioned above and to forward the approved Minutes of the 160<sup>th</sup> Governing Body meeting of AIIMS, New Delhi held on 13.12.2023 under the Chairmanship of Hon'ble HFM in the Dr. Ramalingaswami Board Room of AIIMS, New Delhi. The Institute is requested to take further necessary action accordingly.

**Encl.: As above.**

Yours faithfully,

Signed by

Bishnu Pada Kirtania

Date: 17-01-2024 11:11:06  
(Bishnu P Kirtania)

Under Secretary to the Government of India  
Tel. No. (011) 23061843(O)

Copy for information to:-

- (i) PS to Hon'ble HFM, MoHFW, New Delhi
- (ii) PSO to Secretary(HFW), MoHFW, New Delhi
- (iii) PPS to JS(INI), MoHFW, New Delhi
- (iv) Director(INI), MoHFW, New Delhi
- (v) Section Officer, O/o Hon'ble MoS (SPSB/BPP), MoHFW, New Delhi



**MINUTES OF THE 160<sup>TH</sup> MEETING OF THE GOVERNING BODY OF AIIMS, NEW DELHI HELD ON 13<sup>TH</sup> DECEMBER 2023 AT 05:00 P.M. UNDER THE CHAIRMANSHIP OF HON'BLE UNION MINISTER OF HEALTH & FAMILY WELFARE IN THE DR. RAMALINGASWAMI BOARD ROOM, AIIMS, NEW DELHI.**

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The 160<sup>th</sup> meeting of the Governing Body of AIIMS, New Delhi was held on 13<sup>th</sup> December, 2022 at 05.00 P.M. in the Dr. Ramalingaswami Board Room, AIIMS, New Delhi under the Chairmanship of Hon'ble Union Minister of Health & Family Welfare. The list of members who attended the meeting physically/virtually is as follows:-

- |  |                                |
|--|--------------------------------|
| 1. Dr. Mansukh Mandaviya<br>Minister of Health & Family Welfare<br>Nirman Bhawan, New Delhi – 110011   | Chairman                       |
| 2. Dr. Anil Jain, M.P (Rajya Sabha)<br>D-244, Anupam Garden,<br>Salyad UI Ajaib, New Delhi-68  | Member                         |
| 3. Shri Sudhansh Pant<br>Secretary (H&FW)<br>Ministry of Health & Family Welfare<br>Govt. of India,<br>Nirman Bhawan, New Delhi – 110011                                     | Member                         |
| 4. Shri Jaideep Kr. Mishra<br>Addl. Secretary and Financial Adviser<br>Ministry of Health & Family Welfare,<br>Govt. of India,<br>Nirman Bhawan, New Delhi – 110011          | Member                         |
| 5. Dr. Kameshwar Prasad<br>Director<br>Rajendra Institute of Medical Sciences,<br>Bariatu, Ranchi-834009, Jharkhand  | Member                         |
| 6. Dr. Pranjal Modi<br>Vice Chancellor<br>Gujarat University of Transplantation Sciences,<br>Opp. Trauma Centre, Civil Hospital Campus,<br>Asarwa, Ahmedabad-380016, Gujarat | Member                         |
| 7. Prof. Vijay Kumar Shukla<br>Rector & Vice-Chancellor,<br>Banaras Hindu University,<br>Varanasi-221005, U.P  | Member                         |
| 8. Dr. Atul Goel<br>Director General of Health Services<br>online)   | Member<br>(Attended virtually) |



Govt. of India  
Nirman Bhawan, New Delhi – 110011

9. Prof. M. Srinivas  
Secretary  
Director, AIIMS

Member

Dr. K. Sanjay Murthy, Secretary, Department of Higher Education and Prof. Yogesh Singh, Vice Chancellor, Delhi University could not attend the meeting.

The quorum for the meeting was fulfilled.

Smt. Bharati Pravin Pawar, Hon'ble Minister of State, Health & Family Welfare and Shri S.P. Singh Baghel, Hon'ble Minister of State, Health & Family Welfare also attended the meeting.

Ms. Ankita Mishra Bundela, Joint Secretary, MoHFW, Prof.K.K Verma, Dean (Academics), AIIMS, New Delhi, Shri Karan Singh, Addl. Director (Admn.), AIIMS, New Delhi and Shri.Mritunjaya Saini, Sr. Financial Advisor, AIIMS, New Delhi attended the meeting as Special Invitees.

The deliberations on the agenda items are as follows:-

**ITEM NO. GB-160/01**

**CONFIRMATION OF THE MINUTES OF THE 159TH MEETING OF THE GOVERNING BODY HELD ON 6TH DECEMBER, 2022 IN THE DR. RAMALINGASWAMI BOARD ROOM, AIIMS, NEW DELHI.**

The Governing Body confirmed the minutes of the 159<sup>th</sup> Governing Body Meeting held on 6<sup>th</sup> Dec, 2022, as no comments were received from any of the members.

**ITEM NO. GB-160/02**

**ACTION TAKEN REPORT ON THE MINUTES OF THE 159TH MEETING OF THE GOVERNING BODY HELD ON 6TH DECEMBER, 2022 IN THE DR. RAMALINGASWAMI BOARD ROOM, AIIMS, NEW DELHI.**

Director, AIIMS apprised the members about the action taken on the decisions made in the 159<sup>th</sup> Governing Body meeting held on 06.12.2022.

**ITEM No.GB-160/03**

**RATIFICATION OF THE MINUTES OF THE 223RD MEETING OF THE STANDING FINANCE COMMITTEE HELD ON 2ND DECEMBER, 2022 IN THE MINISTRY OF HEALTH AND FAMILY WELFARE, NIRMAN BHAWAN, NEW DELHI.**

The Governing Body ratified the minutes of the 223<sup>rd</sup> meeting of the Standing Finance Committee.

**ITEM No GB-160/04**





**RATIFICATION OF THE MINUTES OF THE 224TH MEETING OF THE STANDING FINANCE COMMITTEE HELD ON 29TH MARCH, 2023 IN THE MINISTRY OF HEALTH AND FAMILY WELFARE, NIRMAN BHAWAN, NEW DELHI.**

The Governing Body ratified the minutes of the 224<sup>th</sup> meeting of the Standing Finance Committee.

**ITEM No GB-160/05**

**RATIFICATION OF THE MINUTES OF THE 225<sup>TH</sup> MEETING OF THE STANDING FINANCE COMMITTEE HELD ON 31<sup>ST</sup> JULY, 2023 IN THE MINISTRY OF HEALTH AND FAMILY WELFARE, NIRMAN BHAWAN, NEW DELHI.**

The Governing Body ratified the minutes of the 225<sup>th</sup> meeting of the Standing Finance Committee.

**ITEM No GB-160/06**

**RATIFICATION OF THE MINUTES OF THE 226TH MEETING OF THE STANDING FINANCE COMMITTEE HELD ON 30TH NOVEMBER, 2023 IN THE DR. RAMALINGASWAMI BOARD ROOM, AIIMS, NEW DELHI.**

The Governing Body ratified the minutes of the 226<sup>th</sup> meeting of the Standing Finance Committee.

**ITEM No GB-160/07**

**TO CONSIDER THE PROPOSAL FOR RATIFICATION OF APPROVAL OF THE PRESIDENT, AIIMS FOR PLACEMENT OF 40% OF PROFESSORS OF AIIMS, NEW DELHI IN HIGHER ADMINISTRATIVE GRADE (LEVEL-15).**

The Governing Body deliberated the proposal and ratified the same.

**ITEM No GB-160/08**

- A. TO CONSIDER APPROVING THE PROCESS FOR DETERMINATION OF SENIORITY AMONG PROFESSORS APPOINTED THROUGH DIRECT RECRUITMENT AND PROMOTED THROUGH ASSESSMENT PROMOTION SCHEME (APS) AT AIIMS, NEW DELHI.
- B. FILLING UP THE VACANT POSTS OF PROFESSORS UNDER DIRECT RECRUITMENT MODE AT AIIMS, NEW DELHI.
- C. THE ASSESSMENT PROMOTION SCHEME AND PROCESS FOR DETERMINATION OF INTER-SE SENIORITY BETWEEN DIRECT RECRUITS AND APS PROMOTEES MAY BE INCLUDED IN THE AIIMS REGULATIONS.

- A. The Governing Body deliberated the proposals and, based on the recommendations of the Mr. P.K. Pradhan committee, approved the following :  
The inter-se seniority between direct recruits and those given promotion under Assessment Promotion Scheme (APS) will be fixed as follows:



Direct Recruitment: Seniority to direct recruits from the date of their appointment to the post.

APS promotion: Those promoted to that level under APS, from the date of their eligibility and fitness ("from 1st of July in the year for which one is promoted under APS").

Faculty promoted under APS should not be asked to apply for selection to a post of the same level under direct recruitment.

Before recruitment of Professors in direct mode, the issue of seniority among direct and APS may be considered, and seniority list be finalized.

The process of APS should be streamlined with regular promotions.

- B. Recruitment to the posts of Professors under Direct Recruitment mode was approved . Only exceptionally brilliant candidates who score an average grade of A+ in the interview will be eligible for selection.
- C. It was approved that the assessment promotion scheme and process for determination of inter-se seniority between direct recruits and APS promotees be included in the AIIMS Regulations.

Also, after detailed deliberation the Governing Body decided that-

- i. In case of multiple Direct Recruits through same advertisement, their inter-se merit as adjudged by the Selection Committee will prevail.
- ii. In cases of date being same for direct recruits and APS, APS will be placed higher in the list.

On inquiry by the Governing Body Members, Director AIIMS Delhi informed that currently there is no direction from any Court regarding the above proposed arrangement for fixation of inter-se seniority . The Governing Body observed that in future in case any direction is issued by any court in the matter, it shall be duly considered.

#### ITEM No GB-160/09

**CONTINUATION OF DISCUSSION FOR DIRECTION ON ITEM NO.GB-158/23 DATED 18.06.2021.**

The Governing Body deliberated the matter extensively and directed for constitution of a Committee for further examination and recommendation in view of the representations received in this context.

#### ITEM No GB-160/10

**TO CONSIDER THE PROPOSAL FOR RATIFICATION OF REVISED RECRUITMENT RULES FOR THE POST OF MEDICAL SUPERINTENDENT AT AIIMS, NEW DELHI.**

The Governing Body considered and ratified the proposal.



**ITEM No GB-160/11**

TO CONSIDER EX-POST FACTO APPROVAL OF THE RECOMMENDATIONS OF THE STANDING SELECTION COMMITTEE HELD DURING THE MONTH OF DECEMBER, 2022 FOR RECRUITMENT TO THE POST OF ASSISTANT PROFESSOR IN VARIOUS DISCIPLINES AND ASSOCIATE PROFESSOR (COLLEGE OF NURSING) AT AIIMS, NEW DELHI.

The Governing body considered and accorded ex-post facto approval.

**ITEM No GB-160/12**

TO CONSIDER THE DIRECTIONS OF HON'BLE PARLIAMENTARY STANDING COMMITTEE FOR WELFARE OF SCHEDULED CASTE AND NATIONAL COMMISSION FOR SCHEDULED CASTE REGARDING RESTORATION OF INTER-SE-SENIORITY OF DR. BIPLAB MISHRA ON HIS PROMOTION TO THE POST OF ADDITIONAL PROFESSOR W.E.F. 01.07.2012.

After detailed deliberations the Governing Body directed the Institute to further examine the matter in view of the representations received on the subject.

**ITEM No GB-160/13**

TO CONSIDER THE PROPOSAL FOR SEEKING APPROVAL OF RESIDENTIAL ACCOMMODATION RULES 2023.

The Governing Body directed to refer the proposal to the Estate Committee for approval before placing the same before the Governing body for consideration.

**ITEM No GB-160/14**

TO CONSIDER THE PROPOSAL FOR GRANT OF EX-POST-FACTO APPROVAL FOR THE EXTENSION OF DR. RANJAN GUPTA'S PROBATION PERIOD FOR A PERIOD OF TWO YEARS I.E. UPTO 02.11.2020.

The Governing Body considered the matter and accorded ex-post facto approval subject to the outcome of O.A. No.1785/2022 and M.A. No.3164/2023.

**ITEM No GB-160/15**

TO CONSIDER THE PROPOSAL FOR EX-POST FACTO RATIFICATION DECISION OF PRESIDENT, AIIMS FOR RETENTION OF LIEN TWO ASSOCIATE PROFESSORS, COLLEGE OF NURSING AT THE AIIMS, NEW DELHI

The Governing Body considered and ratified the decision.

**ITEM No GB-160/16**

TO CONSIDER THE REPRESENTATION OF DR. MAROOF AHMAD KHAN, ADDITIONAL PROFESSOR & HEAD OF THE DEPARTMENT OF BIostatistics, AIIMS FOR RECONSIDERATION OF HIS PROMOTION TO THE NEXT GRADE OF





**PROFESSOR UNDER ASSESSMENT PROMOTION SCHEME (APS) AT AIIMS, NEW DELHI.**

The Governing Body deliberated the representation given by Dr Maroof Ahmad Khan and upheld the decision of the Standing Selection Committee.

**ITEM No GB-160/17**

**TO CONSIDER THE REPRESENTATION OF DR. ASMITA PATIL, ADDITIONAL PROFESSOR IN THE DEPARTMENT OF PHYSIOLOGY, AIIMS, FOR RECONSIDERATION OF HER PROMOTION TO THE NEXT GRADE OF PROFESSOR UNDER ASSESSMENT PROMOTION SCHEME (APS) AT AIIMS, NEW DELHI.**

The Governing Body deliberated the representation given by Dr. Asmita Patil and upheld the decision of the Standing Selection Committee.

**ITEM No GB-160/18**

**TO CONSIDER THE APPEAL OF SH. PRADEEP KUMAR, MEDICAL LABORATORY TECHNOLOGIST, JPNA TRAUMA CENTRE, AIIMS, NEW DELHI AGAINST THE PENALTY OF "REDUCTION TO A LOWER STAGE IN TIME SCALE OF PAY OF THE POST OF MEDICAL LAB TECHNOLOGIST FOR A PERIOD OF ONE YEAR IN THE TIME SCALE OF PAY I.E. LEVEL-07, WITH FURTHER DIRECTIONS THAT THE SAID SHRI PRADEEP KUMAR, MEDICAL LAB TECHNOLOGIST, AIIMS WILL NOT EARN INCREMENTS OF PAY DURING THE PERIOD OF SUCH REDUCTION AND ON THE EXPIRY OF SUCH PERIOD, THE REDUCTION WILL NOT HAVE THE EFFECT OF POSTPONING THE FUTURE INCREMENTS OF HIS PAY, AFTER IMPOSITION OF PENALTY" AS AN OUTCOME OF A DISCIPLINARY PROCEEDINGS UNDER CCS (CCA) RULES, 1965.**

The Governing Body considered the Appeal of Sh. Pradeep Kumar and decided to maintain status quo.

**ITEM No GB-160/19**

**TO CONSIDER THE APPEAL OF MS. SHALINI GUPTA, NURSING OFFICER, JPNATC, AIIMS, NEW DELHI AGAINST THE PENALTY OF "REDUCTION TO A LOWER STAGE IN TIME SCALE OF PAY BY ONE STAGE FOR A PERIOD OF TWO YEARS, WITHOUT CUMULATIVE EFFECT AND NOT ADVERSELY AFFECTING HER PENSION.**

The Governing Body considered the Appeal of Ms. Shalini Gupta and decided to maintain status quo.

**ITEM No GB-160/20**

**RATIFICATION OF DECISION OF PRESIDENT (AIIMS) FOR INITIATION OF DISCIPLINARY PROCEEDING AGAINST DR. ATUL KUMAR, THE THEN CHIEF, DR. R.P. CENTRE, AIIMS, NEW DELHI UNDER RULE 14 OF CCS(CCA) RULES, 1965.**

The Governing Body ratified the decision to initiate disciplinary proceedings against Dr





Atul Kumar.

ITEM No GB-160/21

RATIFICATION OF DECISION OF PRESIDENT (AIIMS) FOR INITIATION OF DISCIPLINARY PROCEEDING AGAINST DR. ANOOP DAGA, THE THEN MEDICAL SUPERINTENDENT, DR. R.P. CENTRE, AIIMS, NEW DELHI UNDER RULE 14 OF CCS(CCA) RULES, 1965.

The Governing Body ratified the decision to initiate disciplinary proceedings against Dr Anoop Daga.

ITEM No GB-160/22

RATIFICATION OF DECISION OF PRESIDENT (AIIMS) FOR INITIATION OF DISCIPLINARY PROCEEDING AGAINST DR. SHIKHA GUPTA, ASSOCIATE PROFESSOR & OFFICER IN-CHARGE (STATIONERY STORES), DR. R.P. CENTRE, AIIMS, NEW DELHI UNDER RULE 14 OF CCS(CCA) RULES, 1965.

The Governing Body ratified the decision to initiate disciplinary proceedings against Dr Shikha Gupta.

ITEM No GB-160/23

RATIFICATION OF DECISION OF PRESIDENT (AIIMS) FOR INITIATION OF DISCIPLINARY PROCEEDING AGAINST DR. SWATI PHULJELE AALOK, ADDITIONAL PROFESSOR & OFFICER IN-CHARGE (GENERAL STORES), DR. R.P. CENTRE, AIIMS, NEW DELHI UNDER RULE 14 OF CCS(CCA) RULES, 1965.

The Governing Body ratified the decision to initiate disciplinary proceedings against Dr Swati Phuljele Aalok.

ITEM No GB-160/24


RATIFICATION OF DECISION OF PRESIDENT (AIIMS) FOR INITIATION OF DISCIPLINARY PROCEEDING AGAINST SHRI RAKESH KUMAR SHARMA, SENIOR STORES OFFICER, DR. R.P. CENTRE FOR OPHTHALMIC SCIENCES, AIIMS, NEW DELHI UNDER RULE 14 OF CCS(CCA) RULES, 1965.

The Governing Body ratified the decision to initiate disciplinary proceedings against Sh Rakesh Kumar Sharma.

ITEM No GB-160/25

RATIFICATION OF DECISION OF PRESIDENT (AIIMS) FOR INITIATION OF DISCIPLINARY PROCEEDING AGAINST MS. MEENAKSHI DABRAL, ACCOUNT OFFICER, DR. R.P. CENTRE FOR OPHTHALMIC SCIENCES, AIIMS, NEW DELHI UNDER RULE 14 OF CCS(CCA) RULES, 1965.

The Governing Body ratified the decision to initiate disciplinary proceedings against Ms.



ITEM No GB-160/26

RATIFICATION OF DECISION OF PRESIDENT (AIIMS) FOR INITIATION OF DISCIPLINARY PROCEEDING AGAINST SHRI RAM PAL SINGH, ASSTT. STORES OFFICER, DR. R.P. CENTRE FOR OPHTHALMIC SCIENCES, AIIMS, NEW DELHI UNDER RULE 14 OF CCS(CCA) RULES, 1965.

The Governing Body ratified the decision to initiate disciplinary proceedings against Sh. Ram Pal Singh.

ITEM No GB-160/27

RATIFICATION OF DECISION OF PRESIDENT (AIIMS) FOR INITIATION OF DISCIPLINARY PROCEEDING AGAINST SHRI DHARAM PAL SINGH, ASSTT. STORES OFFICER, MAIN HOSPITAL, AIIMS, NEW DELHI UNDER RULE 14 OF CCS(CCA) RULES, 1965.

The Governing Body ratified the decision to initiate disciplinary proceedings against Sh. Dharam Pal Singh.

ITEM No GB-160/28

RATIFICATION OF DECISION OF PRESIDENT (AIIMS) FOR INITIATION OF DISCIPLINARY PROCEEDING AGAINST SHRI MANOJ KUMAR, JR. ADMINISTRATIVE OFFICER, DR. R.P. CENTRE, AIIMS, NEW DELHI UNDER RULE 14 OF CCS(CCA) RULES, 1965.

The Governing Body ratified the decision to initiate disciplinary proceedings against Sh. Manoj Kumar.

ITEM No GB-160/29

RATIFICATION OF DECISION OF PRESIDENT (AIIMS) FOR INITIATION OF DISCIPLINARY PROCEEDING AGAINST SHRI KHAJANT SINGH, SR. ADMINISTRATIVE ASSISTANT, DR. R.P. CENTRE FOR OPHTHALMIC SCIENCES, AIIMS, NEW DELHI UNDER RULE 14 OF CCS(CCA) RULES, 1965.

The Governing Body ratified the decision to initiate disciplinary proceedings against Sh. Khajant Singh.

ITEM No GB-160/30

RATIFICATION OF DECISION OF PRESIDENT (AIIMS) FOR INITIATION OF DISCIPLINARY PROCEEDING AGAINST SHRI JITENDER KUMAR, HOSPITAL ATTENDANT, GRADE-III, DR. R.P. CENTRE FOR OPHTHALMIC SCIENCES, AIIMS, NEW DELHI UNDER RULE 14 OF CCS(CCA) RULES, 1965.

The Governing Body ratified the decision to initiate disciplinary proceedings against Sh. Jitender Kumar.





ITEM No GB-160/31

TO CONSIDER & RATIFY THE IMPOSITION OF PENALTY UNDER CCS(CCA) RULES 1965 IN RESPECT OF MR. AJAY KUMAR SHARMA, CHIEF TECHNICAL OFFICER & CHARGED OFFICIAL (GROUP "A").

The Governing Body considered and ratified the imposition of penalty on Mr Ajay Kumar Sharma.

ITEM No GB-160/32

TO CONSIDER & RATIFY THE IMPOSITION OF PENALTY UNDER CCS (CCA) RULES 1965 IN RESPECT OF MR. SATISH CHAND, DEPUTY NURSING SUPERINTENDENT & CHARGED OFFICIAL (GROUP "A").

The Governing Body considered and ratified the imposition of penalty on Mr Satish Chand.

ITEM No GB-160/33

RATIFICATION OF PENALTY OF "REMOVAL FROM SERVICE" AGAINST SH. SAMEER ARORA, CHIEF TECHNICAL OFFICER (RT), DR.BRAIRCH, AIIMS, NEW DELHI

The Governing Body considered and ratified the imposition of penalty on Sh. Sameer Arora.

ITEM No GB-160/34

TO CONSIDER THE PROPOSAL FOR EX-POST-FACTO RATIFICATION OF VOLUNTARY RETIREMENT GRANTED TO PROF. ANJAN TRIKHA, PROFESSOR OF ANAESTHESIOLOGY, PAIN MEDICINE & CRITICAL CARE FROM THE SERVICE OF THIS INSTITUTE W.E.F. 31.01.2022 (F.N.).

The Governing Body considered and ratified the voluntary retirement granted to Prof. Anjan Trikha.

ITEM No GB-160/35

TO CONSIDER THE PROPOSAL FOR EX-POST-FACTO RATIFICATION OF VOLUNTARY RETIREMENT GRANTED TO PROF. ARTI KAPIL, PROFESSOR OF DEPARTMENT OF MICROBIOLOGY FROM THE SERVICE OF THIS INSTITUTE W.E.F. 10.01.2023 (F.N.).

The Governing Body considered and ratified voluntary retirement granted to Prof. Arti Kapil.

ITEM No GB-160/36

TO CONSIDER THE PROPOSAL FOR EX-POST-FACTO RATIFICATION OF





VOLUNTARY RETIREMENT TO DR. RAJESH MALHOTRA, PROFESSOR & HOD OF ORTHOPAEDICS AND CHIEF OF JPNATC FROM THE SERVICE OF THIS INSTITUTE W.E.F. 15.06.2023 (F.N.)

The Governing Body considered and ratified voluntary retirement granted to Prof. Rajesh Malhotra.

ITEM No GB-160/37

TO CONSIDER THE PROPOSAL FOR EX-POST-FACTO RATIFICATION OF VOLUNTARY RETIREMENT GRANTED TO PROF. SUNDEEP KUMAR MISHRA, PROFESSOR OF CARDIOLOGY FROM THE SERVICE OF THIS INSTITUTE W.E.F. 10.09.2022.

The Governing Body considered and ratified voluntary retirement granted to Prof. Sundeep Kumar Mishra.

ITEM No GB-160/38

TO CONSIDER THE PROPOSAL FOR RATIFICATION OF VOLUNTARY RETIREMENT GRANTED TO PROF. ATUL SHARMA, PROFESSOR AND HOD OF MEDICAL ONCOLOGY, DR. B.R.A.I.R.C.H. FROM THE SERVICE OF THIS INSTITUTE W.E.F. 10.08.2023 (F.N.)

The Governing Body considered and ratified voluntary retirement granted to Prof. Atul Sharma.

ITEM No GB-160/39

TO CONSIDER THE PROPOSAL FOR RATIFICATION OF THE VOLUNTARY RETIREMENT GRANTED TO PROFESSOR SANJAY KUMAR AGARWAL, PROFESSOR AND HOD OF NEPHROLOGY, FROM THE SERVICE OF THIS INSTITUTE EFFECTIVE SEPTEMBER 15, 2023 (FORENOON).

The Governing Body considered and ratified voluntary retirement granted to Prof. Sanjay Kumar Agarwal.

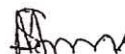
ITEM No GB-160/40

TO CONSIDER THE PROPOSAL FOR RATIFICATION OF VOLUNTARY RETIREMENT GRANTED TO PROF. M.V. PADMA, PROFESSOR AND HOD OF NEUROLOGY AND CHIEF OF N.S. CENTRE FROM THE SERVICE OF THIS INSTITUTE W.E.F. 16.10.2023 (F.N.)

The Governing Body considered and ratified voluntary retirement granted to Prof. M.V Padma.

ITEM No GB-160/41

TO CONSIDER THE PROPOSAL OF VOLUNTARY RETIREMENT FROM THE SERVICE OF THE INSTITUTE IN RESPECT OF MRS. ANNA GEORGE, ASSISTANT NURSING SUPERINTENDENT (GROUP "A" STAFF) W.E.F. 06.03.2023 (A/N).



The Governing Body considered and ratified voluntary retirement granted to Mrs. Anna George.

**ITEM No GB-160/42**

**TO CONSIDER THE PROPOSAL OF VOLUNTARY RETIREMENT FROM THE SERVICE OF THE INSTITUTE IN RESPECT OF MRS. MARYKUTTY THOMAS, ASSISTANT NURSING SUPERINTENDENT (GROUP "A" STAFF) W.E.F. 15.11.2023 A/N.**

The Governing Body considered and ratified voluntary retirement granted to Mrs. Mary kutty Thomas.

**ITEM No GB-160/43**

**TO CONSIDER THE PROPOSAL OF VOLUNTARY RETIREMENT FROM THE SERVICE OF THE INSTITUTE IN RESPECT OF MRS. VIMAL THAKRAL, ADMINISTRATIVE OFFICER (GROUP "A" STAFF) W.E.F. 31.07.2022 A/N.**

The Governing Body considered and ratified voluntary retirement granted to Mrs. Vimal Thakral.

**ITEM No GB-160/44**

**TO CONSIDER THE PROPOSAL OF VOLUNTARY RETIREMENT FROM THE SERVICE OF THE INSTITUTE IN RESPECT OF MR. R. SANTOSH, ADMINISTRATIVE OFFICER (GROUP "A" STAFF) W.E.F. 13.03.2022 A/N.**

The Governing Body considered and ratified voluntary retirement granted to Mr. R.Santosh.

**ITEM No GB-160/45**

**TO CONSIDER THE PROPOSAL OF VOLUNTARY RETIREMENT FROM THE SERVICE OF THE INSTITUTE IN RESPECT OF MR. MANJUL RASTOGI, SUPERINTENDENT ENGINEER (GROUP "A" STAFF) W.E.F. 31.12.2020 A/N.**

The Governing Body considered and ratified voluntary retirement granted to Mr. Manjul Rastogi.

**ITEM No GB-160/46**

**TO CONSIDER THE PROPOSAL OF VOLUNTARY RETIREMENT FROM THE SERVICE OF THE INSTITUTE IN RESPECT OF MRS. NEELAM D. JAMES, SUPT. PHYSIOTHERAPIST (GROUP "A" STAFF) W.E.F. 06.05.2020 A/N.**

The Governing Body considered and ratified voluntary retirement granted to Mrs. Neelam D. James.

**ITEM No GB-160/47**





TO CONSIDER THE PROPOSAL OF VOLUNTARY RETIREMENT FROM THE SERVICE OF THE INSTITUTE IN RESPECT OF MR. VINOD KUMAR SHARMA, EXECUTIVE ENGINEER (GROUP "A" STAFF) W.E.F. 30.04.2022 A/N.

The Governing Body considered and ratified voluntary retirement granted to Mr. Vinod Kumar Sharma.

ITEM No GB-160/48

TO CONSIDER THE MINUTES OF THE 121ST ACADEMIC COMMITTEE MEETING HELD ON 09.02.2023 AT AIIMS, NEW DELHI.

The Governing body noted that as recommendations of the 121<sup>st</sup> Academic Committee meeting held on 09.02.2023 at AIIMS, New Delhi have financial implications, therefore the same should be placed before the Standing Finance Committee for consideration and thereafter placed before the Governing Body. The recommendation of the committee regarding the functioning of centres, formation of divisions and units at AIIMS needs detailed deliberation.

ITEM No GB-160/49

TO CONSIDER THE SENIORITY LIST PREPARED FOR FACULTY MEMBERS AT AIIMS, NEW DELHI.

The Governing body considered and approved the proposal, subject to outcome of C.W.P. No.12056/2019 and C.M.A. No.52788/2022.


TABLE AGENDA

ITEM No GB-160/50

TO CONSIDER THE PROPOSAL FOR OPERATIONALIZATION OF CENTRAL ARMED POLICE FORCES INSTITUTE OF MEDICAL SCIENCES(CAPFIMS), MAIDANGARHI, AS CAMPUS OF AIIMS, NEW DELHI UNDER THE NAME 'AIIMS-CAPFIMS'

The Governing body considered and approved the proposal for operationalization of CAPFIMS, Maidangarhi as campus of AIIMS, New Delhi under the name 'AIIMS-CAPFIMS Campus'.

The meeting ended with a vote of thanks to the Chair and all those present.

  
17.1.2024

(PROF. M. SRINIVAS)  
Member Secretary, GB,  
AIIMS, New Delhi



(MANSUKH MANDAVIYA)  
Chairman, GB AIIMS, New Delhi



**NOTE FOR THE GOVERNING BODY**

**ITEM NO. GB-161/2**

**Action Taken Report on the minutes of the 160th meeting of the Governing Body held on 13th December, 2023 in the Dr. Ramalingaswami Board Room, AIIMS, New Delhi.**

Item No. GB-161/2

**ACTION TAKEN ON THE MINUTES OF THE 160<sup>TH</sup> MEETING OF THE GOVERNING BODY HELD ON 13<sup>TH</sup> DECEMBER, 2023 AT 05:00 P.M. IN THE DR. RAMALINGASWAMI BOARD ROOM, AIIMS, NEW DELHI.**

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DECISION	ACTION TAKEN
<p><b><u>ITEM NO. GB-160/01</u></b></p> <p><b>CONFIRMATION OF THE MINUTES OF THE 159TH MEETING OF THE GOVERNING BODY HELD ON 6TH DECEMBER, 2022 IN THE DR. RAMALINGASWAMI BOARD ROOM, AIIMS, NEW DELHI.</b></p> <hr/> <p>The Governing Body confirmed the minutes of the 159th Governing Body Meeting held on 6th December, 2022 as no comments were received from any of the members.</p>	<p><b>Noted</b></p>
<p><b><u>ITEM NO. GB-160/02</u></b></p> <p><b>ACTION TAKEN REPORT ON THE MINUTES OF THE 159TH MEETING OF THE GOVERNING BODY HELD ON 6TH DECEMBER, 2022 IN THE DR. RAMALINGASWAMI BOARD ROOM, AIIMS, NEW DELHI.</b></p> <hr/> <p>Director, AIIMS apprised the members about the action taken on the decisions made in the 159th Governing Body meeting held on 06.12.2022.</p>	<p><b>Noted</b></p>
<p><b><u>ITEM No.GB-160/03</u></b></p> <p><b>RATIFICATION OF THE MINUTES OF THE 223RD MEETING OF THE STANDING FINANCE COMMITTEE HELD ON 2ND DECEMBER, 2022 IN THE MINISTRY OF HEALTH AND FAMILY WELFARE, NIRMAL BHAWAN, NEW DELHI.</b></p>	

<p>The Governing Body ratified the minutes of the 223rd meeting of the Standing Finance Committee.</p>	<p>Noted</p>
<p><b><u>ITEM No GB-160/04</u></b>  <b>RATIFICATION OF THE MINUTES OF THE 224TH MEETING OF THE STANDING FINANCE COMMITTEE HELD ON 29TH MARCH, 2023 IN THE MINISTRY OF HEALTH AND FAMILY WELFARE, NIRMAN BHAWAN, NEW DELHI.</b></p> <p>The Governing Body ratified the minutes of the 224th meeting of the Standing Finance Committee.</p>	<p>Noted</p>
<p><b><u>ITEM No GB-160/05</u></b>  <b>RATIFICATION OF THE MINUTES OF THE 225TH MEETING OF THE STANDING FINANCE COMMITTEE HELD ON 31ST JULY, 2023 IN THE MINISTRY OF HEALTH AND FAMILY WELFARE, NIRMAN BHAWAN, NEW DELHI.</b></p> <p>The Governing Body ratified the minutes of the 225th meeting of the Standing Finance Committee.</p>	<p>Noted</p>
<p><b><u>ITEM No GB-160/06</u></b>  <b>RATIFICATION OF THE MINUTES OF THE 226TH MEETING OF THE STANDING FINANCE COMMITTEE HELD ON 30TH NOVEMBER, 2023 IN THE DR. RAMALINGASWAMI BOARD ROOM, AIIMS, NEW DELHI.</b></p> <p>The Governing Body ratified the minutes of the 226th meeting of the Standing Finance Committee.</p>	<p>Noted</p>



<p align="center"><b><u>ITEM No GB-160/07</u></b></p> <p><b>TO CONSIDER THE PROPOSAL FOR RATIFICATION OF APPROVAL OF THE PRESIDENT, AIIMS FOR PLACEMENT OF 40% OF PROFESSORS OF AIIMS, NEW DELHI IN HIGHER ADMINISTRATIVE GRADE (LEVEL-15).</b></p> <hr/> <p>The Governing Body deliberated the proposal and ratified the same.</p>	<p align="center"><b>Noted</b></p>
<p align="center"><b><u>ITEM No GB-160/08</u></b></p> <p><b>A. TO CONSIDER APPROVING THE PROCESS FOR DETERMINATION OF SENIORITY AMONG PROFESSORS APPOINTED THROUGH DIRECT RECRUITMENT AND PROMOTED THROUGH ASSESSMENT PROMOTION SCHEME (APS) AT AIIMS, NEW DELHI.</b></p> <p><b>B. FILLING UP THE VACANT POSTS OF PROFESSORS UNDER DIRECT RECRUITMENT MODE AT AIIMS, NEW DELHI.</b></p> <p><b>C. THE ASSESSMENT PROMOTION SCHEME AND PROCESS FOR DETERMINATION OF INTER-SE SENIORITY BETWEEN DIRECT RECRUITS AND APS PROMOTEES MAY BE INCLUDED IN THE AIIMS REGULATIONS.</b></p> <hr/> <p>A. The Governing Body deliberated the proposals and, based on the recommendations of the Mr. P.K. Pradhan committee, approved the following:</p>	<p>In pursuance of the decision of the Governing Body, action is being taken on the process of determination of seniority among Professors</p>

<p>The inter-se seniority between direct recruits and those given promotion under Assessment Promotion Scheme (APS) will be fixed as follows:</p> <p>Direct Recruitment : Seniority to direct recruits from the date of their appointment to the post.</p> <p>APS promotion : Those promoted to that level under APS, from the date of their eligibility and fitness ("from 1st of July in the year for which one is promoted under APS").</p> <p>Faculty promoted under APS should not be asked to apply for selection to a post of the same level under direct recruitment.</p> <p>Before recruitment of Professors indirect mode, the issue of seniority among direct and APS may be considered, and seniority list be finalized.</p> <p>The process of APS should be streamlined with regular promotions.</p> <p>B. Recruitment to the posts of Professors under Direct Recruitment mode was approved. Only exceptionally brilliant candidates who score an average grade of A+ in the interview will be eligible for selection.</p> <p>C. It was approved that the assessment promotion scheme and process for determination of inter-se seniority between direct recruits and APS promotees be included in the AIIMS regulations.</p> <p>Also, after detailed deliberation the Governing Body decided that:</p>	<p>appointed through direct recruitment and promoted through the assessment promotion scheme, filling the vacant posts of Professor under direct recruitment mode, and inclusion of the process for determination of inter-se seniority in the AIIMS Regulations</p>
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<p>i. In case of multiple direct recruits through same advertisement, their inter-se merit as adjudged by the Selection Committee will prevail.</p> <p>ii. In cases of date being same for direct recruits and APS, APS will be placed higher in the list.</p> <p>On inquiry by the Governing Body Members, Director AIIMS, Delhi informed that currently there is no direction from any Court regarding the above proposed arrangement for fixation of inter-se seniority. The Governing Body observed that in future in case any direction is issued by any court in the matter, it shall be duly considered.</p>	
<p align="center"><b><u>ITEM No GB-160/09</u></b></p> <p><b>CONTINUATION OF DISCUSSION FOR DIRECTION ON ITEM NO.GB-158/23 DATED 18.06.2021.</b></p> <p>The Governing Body deliberated the matter extensively and directed for constitution of a committee for further examination and recommendation in view of the representations received in this context.</p>	<p>A committee in this regard has been framed by the Research Section with the approval of the Director, AIIMS and the meeting of the committee was held on 06.03.2024 under the Chairmanship of Dean (Research). The minutes of the meeting are being submitted.</p>
<p align="center"><b><u>ITEM No GB-160/10</u></b></p> <p><b>TO CONSIDER THE PROPOSAL FOR RATIFICATION OF REVISED RECRUITMENT RULES FOR THE POST OF MEDICAL SUPERINTENDENT AT AIIMS, NEW DELHI.</b></p> <p>The Governing Body considered and ratified the proposal.</p>	<p align="center"><b>Noted</b></p>

<p align="center"><b><u>ITEM No GB-160/11</u></b></p> <p><b>TO CONSIDER EX-POST FACTO APPROVAL OF THE RECOMMENDATIONS OF THE STANDING SELECTION COMMITTEE HELD DURING THE MONTH OF DECEMBER, 2022 FOR RECRUITMENT TO THE POST OF ASSISTANT PROFESSOR IN VARIOUS DISCIPLINES AND ASSOCIATE PROFESSOR (COLLEGE OF NURSING) AT AIIMS, NEW DELHI.</b></p> <hr/> <p>The Governing body considered and accorded ex-post facto approval.</p>	<p align="center"><b>Noted</b></p>
<p align="center"><b><u>ITEM No GB-160/12</u></b></p> <p><b>TO CONSIDER THE DIRECTIONS OF HON'BLE PARLIAMENTARY STANDING COMMITTEE FOR WELFARE OF SCHEDULED CASTE AND NATIONAL COMMISSION FOR SCHEDULED CASTE REGARDING RESTORATION OF INTER-SE- SENIORITY OF DR. BIPLAB MISHRA ON HIS PROMOTION TO THE POST OF ADDITIONAL PROFESSOR W.E.F. 01.07.2012.</b></p> <hr/> <p>After detailed deliberations the Governing Body directed the Institute to further examine the matter in view of the representations received on the subject.</p>	<p>In pursuance of the Governing Body's directions, action is being taken to further examine the matter in view of the representations received on the subject.</p>



<p align="center"><b><u>ITEM No GB-160/13</u></b></p> <p><b>TO CONSIDER THE PROPOSAL FOR SEEKING APPROVAL OF RESIDENTIAL ACCOMMODATION RULES 2023.</b></p> <hr/> <p>The Governing Body directed to refer the proposal to the Estate Committee for approval before placing the same before the Governing Body for consideration.</p>	<p>Approval of Director, AIIMS accorded for placing the rule before Standing Estate Committee. Further, action under process.</p>
<p align="center"><b><u>ITEM No GB-160/14</u></b></p> <p><b>TO CONSIDER THE PROPOSAL FOR GRANT OF EX-POST-FACTO APPROVAL FOR THE EXTENSION OF DR. RANJAN GUPTA'S PROBATION PERIOD FOR A PERIOD OF TWO YEARS I.E. UPTO 02.11.2020.</b></p> <hr/> <p>The Governing body considered the matter and accorded ex-post facto approval subject to the outcome of O.A. No.1785/2022 and MA No.3164/2023.</p>	<p align="center"><b>Noted</b></p>
<p align="center"><b><u>ITEM No GB-160/15</u></b></p> <p><b>TO CONSIDER THE PROPOSAL FOR EX-POST FACTO RATIFICATION DECISION OF PRESIDENT, AIIMS FOR RETENTION OF LIEN TWO ASSOCIATE PROFESSORS, COLLEGE OF NURSING AT THE AIIMS, NEW DELHI</b></p> <hr/> <p>The Governing body considered and ratified the decision.</p>	<p align="center"><b>Noted</b></p>

<p align="center"><b><u>ITEM No GB-160/16</u></b></p> <p><b>TO CONSIDER THE REPRESENTATION OF DR. MAROOF AHMAD KHAN, ADDITIONAL PROFESSOR &amp; HEAD OF THE DEPARTMENT OF BIostatISTICS, AIIMS FOR RECONSIDERATION OF HIS PROMOTION TO THE NEXT GRADE OF PROFESSOR UNDER ASSESSMENT PROMOTION SCHEME (APS) AT AIIMS, NEW DELHI.</b></p> <hr/> <p>The Governing Body deliberated the representation given by Dr Maroof Ahmad Khan and upheld the decision of the Standing Selection Committee.</p>	<p>The Governing Body upheld the decision of the Standing Selection Committee. The decision of G.B. is conveyed to Dr. Maroof Ahmad Khan vide this Office Memorandum No.6-78/2012- Estt.- I dated 04.03.2024</p>
<p align="center"><b><u>ITEM No GB-160/17</u></b></p> <p><b>TO CONSIDER THE REPRESENTATION OF DR. ASMITA PATIL, ADDITIONAL PROFESSOR IN THE DEPARTMENT OF PHYSIOLOGY, AIIMS, FOR RECONSIDERATION OF HER PROMOTION TO THE NEXT GRADE OF PROFESSOR UNDER ASSESSMENT PROMOTION SCHEME (APS) AT AIIMS, NEW DELHI.</b></p> <hr/> <p>The Governing Body deliberated the representation given by Dr. Asmita Patil and upheld the decision of the Standing Selection Committee.</p>	<p>The Governing Body upheld the decision of the Standing Selection Committee. The decision of G.B. is conveyed to Dr. Asmita Patil vide this Office Memorandum No.6-77/2012- Estt.- I dated 04.03.2024.</p>
<p align="center"><b><u>ITEM No GB-160/18</u></b></p> <p><b>TO CONSIDER THE APPEAL OF SH. PRADEEP KUMAR, MEDICAL LABORATORY TECHNOLOGIST, JPNA TRAUMA CENTRE, AIIMS, NEW DELHI AGAINST THE PENALTY OF "REDUCTION TO A</b></p>	



<p>LOWER STAGE IN TIME SCALE OF PAY OF THE POST OF MEDICAL LAB TECHNOLOGIST FOR A PERIOD OF ONE YEAR IN THE TIME SCALE OF PAY I.E. LEVEL-07, WITH FURTHER DIRECTIONS THAT THE SAID SHRI PRADEEP KUMAR, MEDICAL LAB TECHNOLOGIST, AIIMS WILL NOT EARN INCREMENTS OF PAY DURING THE PERIOD OF SUCH REDUCTION AND ON THE EXPIRY OF SUCH PERIOD, THE REDUCTION WILL NOT HAVE THE EFFECT OF POSTPONING THE FUTURE INCREMENTS OF HIS PAY, AFTER IMPOSITION OF PENALTY" AS AN OUTCOME OF A DISCIPLINARY PROCEEDINGS UNDER CCS (CCA) RULES, 1965.</p>	
<p>The Governing body considered the Appeal of Sh. Pradeep Kumar and decided to maintain status quo.</p>	<p>Noted</p>
<p><u>ITEM No GB-160/19</u></p> <p>TO CONSIDER THE APPEAL OF MS. SHALINI GUPTA, NURSING OFFICER, JPNATC, AIIMS, NEW DELHI AGAINST THE PENALTY OF "REDUCTION TO A LOWER STAGE IN TIME SCALE OF PAY BY ONE STAGE FOR A PERIOD OF TWO YEARS, WITHOUT CUMULATIVE EFFECT AND NOT ADVERSELY AFFECTING HER PENSION.</p> <p>The Governing body considered the Appeal of Ms. Shalini Gupta and decided to maintain status quo.</p>	<p>Noted</p>

<p align="center"><b><u>ITEM No GB-160/20</u></b></p> <p><b>RATIFICATION OF DECISION OF PRESIDENT (AIIMS) FOR INITIATION OF DISCIPLINARY PROCEEDING AGAINST DR. ATUL KUMAR, THE THEN CHIEF, DR. R.P. CENTRE, AIIMS, NEW DELHI UNDER RULE 14 OF CCS(CCA) RULES, 1965.</b></p> <hr/> <p>The Governing body ratified the decision to initiate Disciplinary proceedings against Dr Atul Kumar.</p>	<p align="center"><b>Noted</b></p>
<p align="center"><b><u>ITEM No GB-160/21</u></b></p> <p><b>RATIFICATION OF DECISION OF PRESIDENT (AIIMS) FOR INITIATION OF DISCIPLINARY PROCEEDING AGAINST DR. ANOOP DAGA, THE THEN MEDICAL SUPERINTENDENT, DR. R.P. CENTRE, AIIMS, NEW DELHI UNDER RULE 14 OF CCS(CCA) RULES, 1965.</b></p> <hr/> <p>The Governing body ratified the decision to initiate Disciplinary proceedings against Dr Anoop Daga.</p>	<p align="center"><b>Noted</b></p>
<p align="center"><b><u>ITEM No GB-160/22</u></b></p> <p><b>RATIFICATION OF DECISION OF PRESIDENT (AIIMS) FOR INITIATION OF DISCIPLINARY PROCEEDING AGAINST DR. SHIKHA GUPTA, ASSOCIATE PROFESSOR &amp; OFFICER IN-CHARGE (STATIONERY STORES), DR. R.P. CENTRE, AIIMS, NEW DELHI UNDER RULE 14 OF CCS(CCA) RULES, 1965.</b></p> <hr/> <p>The Governing body ratified the decision to initiate Disciplinary proceedings against Dr. Shikha Gupta.</p>	<p align="center"><b>Noted</b></p>



<p align="center"><b><u>ITEM No GB-160/23</u></b></p> <p><b>RATIFICATION OF DECISION OF PRESIDENT (AIIMS) FOR INITIATION OF DISCIPLINARY PROCEEDING AGAINST DR. SWATI PHULJELE AALOK, ADDITIONAL PROFESSOR &amp; OFFICER IN-CHARGE (GENERAL STORES), DR. R.P. CENTRE, AIIMS, NEW DELHI UNDER RULE 14 OF CCS(CCA) RULES, 1965.</b></p> <hr/> <p>The Governing body ratified the decision to initiate Disciplinary proceedings against Dr. Swati Phuljele Aalok.</p>	<p align="center">Noted</p>
<p align="center"><b><u>ITEM No GB-160/24</u></b></p> <p><b>RATIFICATION OF DECISION OF PRESIDENT (AIIMS) FOR INITIATION OF DISCIPLINARY PROCEEDING AGAINST SHRI RAKESH KUMAR SHARMA, SENIOR STORES OFFICER, DR. R.P. CENTRE FOR OPHTHALMIC SCIENCES, AIIMS, NEW DELHI UNDER RULE 14 OF CCS(CCA) RULES, 1965.</b></p> <hr/> <p>The Governing body ratified the decision to initiate Disciplinary proceedings against Sh. Rakesh Kumar Sharma.</p>	<p align="center">Noted</p>
<p align="center"><b><u>ITEM No GB-160/25</u></b></p> <p><b>RATIFICATION OF DECISION OF PRESIDENT (AIIMS) FOR INITIATION OF DISCIPLINARY PROCEEDING AGAINST MS. MEENAKSHI DABRAL, ACCOUNT OFFICER, DR. R.P. CENTRE FOR OPHTHALMIC SCIENCES, AIIMS, NEW DELHI UNDER RULE 14 OF CCS(CCA) RULES, 1965.</b></p> <hr/> <p>The Governing body ratified the decision to initiate Disciplinary proceedings against Ms. Meenakshi Dabral.</p>	<p align="center">Noted</p>

<p align="center"><b><u>ITEM No GB-160/26</u></b></p> <p><b>RATIFICATION OF DECISION OF PRESIDENT (AIIMS) FOR INITIATION OF DISCIPLINARY PROCEEDING AGAINST SHRI RAM PAL SINGH, ASSTT. STORES OFFICER, DR. R.P. CENTRE FOR OPHTHALMIC SCIENCES, AIIMS, NEW DELHI UNDER RULE 14 OF CCS(CCA) RULES, 1965.</b></p> <hr/> <p>The Governing body ratified the decision to initiate Disciplinary proceedings against Sh. Ram Pal Singh.</p>	<p align="center">Noted</p>
<p align="center"><b><u>ITEM No GB-160/27</u></b></p> <p><b>RATIFICATION OF DECISION OF PRESIDENT (AIIMS) FOR INITIATION OF DISCIPLINARY PROCEEDING AGAINST SHRI DHARAM PAL SINGH, ASSTT. STORES OFFICER, MAIN HOSPITAL, AIIMS, NEW DELHI UNDER RULE 14 OF CCS(CCA) RULES, 1965.</b></p> <hr/> <p>The Governing body ratified the decision to initiate Disciplinary proceedings against Sh. Dharam Pal Singh.</p>	<p align="center">Noted</p>
<p align="center"><b><u>ITEM No GB-160/28</u></b></p> <p><b>RATIFICATION OF DECISION OF PRESIDENT (AIIMS) FOR INITIATION OF DISCIPLINARY PROCEEDING AGAINST SHRI MANOJ KUMAR, JR. ADMINISTRATIVE OFFICER, DR. R.P. CENTRE, AIIMS, NEW DELHI UNDER RULE 14 OF CCS(CCA) RULES, 1965.</b></p> <hr/> <p>The Governing body ratified the decision to initiate Disciplinary proceedings against Sh Manoj Kumar.</p>	<p align="center">Noted</p>



<p align="center"><b><u>ITEM No GB-160/29</u></b></p> <p><b>RATIFICATION OF DECISION OF PRESIDENT (AIIMS) FOR INITIATION OF DISCIPLINARY PROCEEDING AGAINST SHRI KHAJANT SINGH, SR. ADMINISTRATIVE ASSISTANT, DR. R.P. CENTRE FOR OPHTHALMIC SCIENCES, AIIMS, NEW DELHI UNDER RULE 14 OF CCS(CCA) RULES, 1965.</b></p> <hr/> <p>The Governing body ratified the decision to initiate Disciplinary proceedings against Sh. Khajant Singh.</p>	<p align="center">Noted</p>
<p align="center"><b><u>ITEM No GB-160/30</u></b></p> <p><b>RATIFICATION OF DECISION OF PRESIDENT (AIIMS) FOR INITIATION OF DISCIPLINARY PROCEEDING AGAINST SHRI JITENDER KUMAR, HOSPITAL ATTENDANT, GRADE-III, DR. R.P. CENTRE FOR OPHTHALMIC SCIENCES, AIIMS, NEW DELHI UNDER RULE 14 OF CCS(CCA) RULES, 1965.</b></p> <hr/> <p>The Governing body ratified the decision to initiate Disciplinary proceedings against Sh. Jitender Kumar.</p>	<p align="center">Noted</p>
<p align="center"><b><u>ITEM No GB-160/31</u></b></p> <p><b>TO CONSIDER &amp; RATIFY THE IMPOSITION OF PENALTY UNDER CCS(CCA) RULES 1965 IN RESPECT OF MR. AJAY KUMAR SHARMA, CHIEF TECHNICAL OFFICER &amp; CHARGED OFFICIAL (GROUP "A").</b></p> <hr/> <p>The Governing body considered and ratified the imposition of penalty on Mr Ajay Kumar Sharma.</p>	<p align="center">Noted</p>

<p align="center"><b><u>ITEM No GB-160/32</u></b></p> <p><b>TO CONSIDER &amp; RATIFY THE IMPOSITION OF PENALTY UNDER CCS (CCA) RULES 1965 IN RESPECT OF MR. SATISH CHAND, DEPUTY NURSING SUPERINTENDENT &amp; CHARGED OFFICIAL (GROUP "A").</b></p> <hr/> <p>The Governing body considered and ratified the imposition of penalty on Mr. Satish Chand.</p>	<p align="center"><b>Noted</b></p>
<p align="center"><b><u>ITEM No GB-160/33</u></b></p> <p><b>RATIFICATION OF PENALTY OF "REMOVAL FROM SERVICE" AGAINST SH. SAMEER ARORA, CHIEF TECHNICAL OFFICER (RT), DR.BRAIRCH, AIIMS, NEW DELHI</b></p> <hr/> <p>The Governing body considered and ratified the imposition of penalty on Mr. Sameer Arora.</p>	<p align="center"><b>Noted</b></p>
<p align="center"><b><u>ITEM No GB-160/34</u></b></p> <p><b>TO CONSIDER THE PROPOSAL FOR EX-POST-FACTO RATIFICATION OF VOLUNTARY RETIREMENT GRANTED TO PROF. ANJAN TRIKHA, PROFESSOR OF ANAESTHESIOLOGY, PAIN MEDICINE &amp; CRITICAL CARE FROM THE SERVICE OF THIS INSTITUTE W.E.F. 31.01.2022 (F.N.).</b></p> <hr/> <p>The Governing body considered and ratified the voluntary retirement granted to Prof Anjan Trikha.</p>	<p align="center"><b>Noted</b></p>
<p align="center"><b><u>ITEM No GB-160/35</u></b></p> <p><b>TO CONSIDER THE PROPOSAL FOR EX-POST-FACTO RATIFICATION OF VOLUNTARY RETIREMENT GRANTED TO PROF. ARTI KAPIL,</b></p>	



<p><b>PROFESSOR OF DEPARTMENT OF MICROBIOLOGY FROM THE SERVICE OF THIS INSTITUTE W.E.F. 10.01.2023 (F.N.).</b></p> <hr/> <p>The Governing body considered and ratified voluntary retirement granted to Prof. Arti Kapil.</p>	<p>Noted</p>
<p><b><u>ITEM No GB-160/36</u></b></p> <p><b>TO CONSIDER THE PROPOSAL FOR EX-POST-FACTO RATIFICATION OF VOLUNTARY RETIREMENT TO DR. RAJESH MALHOTRA, PROFESSOR &amp; HOD OF ORTHOPAEDICS AND CHIEF OF JPNATC FROM THE SERVICE OF THIS INSTITUTE W.E.F. 15.06.2023 (F.N.)</b></p> <hr/> <p>The Governing body considered and ratified voluntary retirement granted to Prof. Rajesh Malhotra.</p>	<p>Noted</p>
<p><b><u>ITEM No GB-160/37</u></b></p> <p><b>TO CONSIDER THE PROPOSAL FOR EX-POST-FACTO RATIFICATION OF VOLUNTARY RETIREMENT GRANTED TO PROF. SUNDEEP KUMAR MISHRA, PROFESSOR OF CARDIOLOGY FROM THE SERVICE OF THIS INSTITUTE W.E.F. 10.09.2022.</b></p> <hr/> <p>The Governing body considered and ratified voluntary retirement granted to Prof. Sundeep Kumar Mishra.</p>	<p>Noted</p>
<p><b><u>ITEM No GB-160/38</u></b></p> <p><b>TO CONSIDER THE PROPOSAL FOR RATIFICATION OF VOLUNTARY RETIREMENT GRANTED TO PROF. ATUL SHARMA, PROFESSOR AND HOD OF MEDICAL ONCOLOGY, DR.</b></p>	

<p><b>B.R.A.I.R.C.H. FROM THE SERVICE OF THIS INSTITUTE W.E.F. 10.08.2023 (F.N.)</b></p> <hr/> <p>The Governing body considered and ratified voluntary retirement granted to Prof. Atul Sharma.</p>	<p>Noted</p>
<p><b><u>ITEM No GB-160/39</u></b></p> <p><b>TO CONSIDER THE PROPOSAL FOR RATIFICATION OF THE VOLUNTARY RETIREMENT GRANTED TO PROFESSOR SANJAY KUMAR AGARWAL, PROFESSOR AND HOD OF NEPHROLOGY, FROM THE SERVICE OF THIS INSTITUTE EFFECTIVE SEPTEMBER 15, 2023 (FORENOON).</b></p> <hr/> <p>The Governing body considered and ratified voluntary retirement granted to Prof. Sanjay Kumar Agarwal.</p>	<p>Noted</p>
<p><b><u>ITEM No GB-160/40</u></b></p> <p><b>TO CONSIDER THE PROPOSAL FOR RATIFICATION OF VOLUNTARY RETIREMENT GRANTED TO PROF. M.V. PADMA, PROFESSOR AND HOD OF NEUROLOGY AND CHIEF OF N.S. CENTRE FROM THE SERVICE OF THIS INSTITUTE W.E.F. 16.10.2023 (F.N.)</b></p> <hr/> <p>The Governing body considered and ratified voluntary retirement granted to Prof. M.V Padma.</p>	<p>Noted</p>
<p><b><u>ITEM No GB-160/41</u></b></p> <p><b>TO CONSIDER THE PROPOSAL OF VOLUNTARY RETIREMENT FROM THE SERVICE OF THE INSTITUTE IN RESPECT OF MRS. ANNA GEORGE,</b></p>	



<p><b>ASSISTANT NURSING SUPERINTENDENT (GROUP "A" STAFF) W.E.F. 06.03.2023 (A/N).</b></p> <p>The Governing body considered and ratified voluntary retirement granted to Mrs. Anna George.</p>	<p><b>Noted</b></p>
<p><b><u>ITEM No GB-160/42</u></b></p> <p><b>TO CONSIDER THE PROPOSAL OF VOLUNTARY RETIREMENT FROM THE SERVICE OF THE INSTITUTE IN RESPECT OF MRS. MARYKUTTY THOMAS, ASSISTANT NURSING SUPERINTENDENT (GROUP "A" STAFF) W.E.F. 15.11.2023 A/N.</b></p> <p>The Governing body considered and ratified voluntary retirement granted to Mrs. Marykutty Thomas.</p>	<p><b>Noted</b></p>
<p><b><u>ITEM No GB-160/43</u></b></p> <p><b>TO CONSIDER THE PROPOSAL OF VOLUNTARY RETIREMENT FROM THE SERVICE OF THE INSTITUTE IN RESPECT OF MRS. VIMAL THAKRAL, ADMINISTRATIVE OFFICER (GROUP "A" STAFF) W.E.F. 31.07.2022 A/N.</b></p> <p>The Governing body considered and ratified voluntary retirement granted to Mrs. Vimal Thakral.</p>	<p><b>Noted</b></p>
<p><b><u>ITEM No GB-160/44</u></b></p> <p><b>TO CONSIDER THE PROPOSAL OF VOLUNTARY RETIREMENT FROM THE SERVICE OF THE INSTITUTE IN RESPECT OF MR. R. SANTOSH, ADMINISTRATIVE OFFICER (GROUP</b></p>	

<p><b>“A” STAFF) W.E.F. 13.03.2022 A/N.</b></p> <hr/> <p>The Governing body considered and ratified voluntary retirement granted to Mr. R.Santosh.</p>	<p>Noted</p>
<p><b><u>ITEM No GB-160/45</u></b></p> <p><b>TO CONSIDER THE PROPOSAL OF VOLUNTARY RETIREMENT FROM THE SERVICE OF THE INSTITUTE IN RESPECT OF MR. MANJUL RASTOGI, SUPERINTENDENT ENGINEER (GROUP “A” STAFF) W.E.F. 31.12.2020 A/N.</b></p> <hr/> <p>The Governing body considered and ratified voluntary retirement granted to Mr. Manjul Rastogi.</p>	<p>Noted</p>
<p><b><u>ITEM No GB-160/46</u></b></p> <p><b>TO CONSIDER THE PROPOSAL OF VOLUNTARY RETIREMENT FROM THE SERVICE OF THE INSTITUTE IN RESPECT OF MRS. NEELAM D. JAMES, SUPT. PHYSIOTHERAPIST (GROUP “A” STAFF) W.E.F. 06.05.2020 A/N.</b></p> <hr/> <p>The Governing body considered and ratified voluntary retirement granted to Mrs. Neelam D James.</p>	<p>Noted</p>
<p><b><u>ITEM No GB-160/47</u></b></p> <p><b>TO CONSIDER THE PROPOSAL OF VOLUNTARY RETIREMENT FROM THE SERVICE OF THE INSTITUTE IN RESPECT OF MR. VINOD KUMAR SHARMA, EXECUTIVE ENGINEER (GROUP “A” STAFF) W.E.F. 30.04.2022</b></p>	



<p>A/N.</p> <p>The Governing body considered and ratified voluntary retirement granted to Mr. Vinod Kumar Sharma.</p>	<p>Noted</p>
<p><b><u>ITEM No GB-160/48</u></b></p> <p><b>TO CONSIDER THE MINUTES OF THE 121ST ACADEMIC COMMITTEE MEETING HELD ON 09.02.2023 AT AIIMS, NEW DELHI.</b></p> <p>The Governing Body noted that as recommendations of the 121<sup>st</sup> Academic Committee Meeting held on 09.02.2023 at AIIMS, New Delhi have financial implications, therefore, the same should be placed before the Standing Finance Committee for consideration and thereafter placed before the Governing Body. The recommendations of the Committee regarding the functioning of Centres, formation of divisions and Units at AIIMS needs detailed deliberation.</p>	<p>The matter is under consideration of the competent authority.</p>
<p><b><u>ITEM No GB-160/49</u></b></p> <p><b>TO CONSIDER THE SENIORITY LIST PREPARED FOR FACULTY MEMBERS AT AIIMS, NEW DELHI.</b></p> <p>The Governing body considered and approved the proposal, subject to outcome of CWP No.12056/2019 and CMA No.52788/2022.</p>	<p>Noted</p>
<p><b><u>TABLE AGENDA</u></b></p> <p><b><u>ITEM No GB-160/50</u></b></p> <p><b>TO CONSIDER THE PROPOSAL FOR OPERATIONALIZATION OF CENTRAL ARMED POLICE FORCES INSTITUTE OF MEDICAL SCIENCES(CAPFIMS),</b></p>	

**MAIDANGARHI, AS CAMPUS OF  
AIIMS, NEW DELHI UNDER THE  
NAME 'AIIMS-CAPFIMS'**

Governing body considered and approved the proposal for operationalization of CAPFIMS, Maidangarhi as campus of AIIMS, New Delhi under the name 'AIIMS-CAPFIMS Campus'.

The revised MoA for operationalisation of CAPFIMS, Maidangarhi as a campus of AIIMS New Delhi has been shared with MHA for approval. After approval of the same, the MoA will be signed. After completion of all pending works including statutory approvals and availability of services (electricity, water, etc. ), AIIMS shall take up the campus. The MHA will procure basic medical equipment and furniture and AIIMS shall begin recruitment of the sanctioned manpower as soon as the order for the medical equipment and furniture is placed by MHA. Subsequently, AIIMS plans to fully operationalise the AIIMS-CAPFIMS campus along with all patient care and academic services.

The next meeting in this regard is scheduled on 6th March 2024 at 3:30 PM under the chairmanship of Union Home Secretary.



**NOTE FOR THE GOVERNING BODY**

**ITEM NO. GB-161/3**

**To consider the proposal for Ex-Post Facto ratification –  
decision of President, AIIMS for retention of lien of Dr. L.  
Gopichandran, Associate Professor, College of Nursing at the  
AIIMS, New Delhi**

No.F. 6-83/2012 Estt.I.  
NOTE FOR THE GOVERNING BODY

Item No. GB/ 1613

TO CONSIDER THE PROPOSAL FOR EX-POST FACTO RATIFICATION -  
DECISION OF PRESIDENT, AIIMS FOR RETENTION OF LIEN OF DR. L.  
GOPICHANDRAN, ASSOCIATE PROFESSORS, COLLEGE OF NURSING  
AT THE AIIMS, NEW DELHI.

\*\*\*\*\*

1. INTRODUCTION-

1. Dr. L. Gopichandran, Associate Professors of College of Nursing was selected as Assistant Professor at NIMHANS, Bangalore and had submitted his technical resignation w.e.f. 26.09.2023 (A.N.) with request to retain Lien to the post of Associate Professor in Nursing, College of Nursing, AIIMS, New Delhi for the period of 2 years from the date of resignation from the Institute.

2. ADMINISTRATIVE COMMENTS -

2.1. Based on the Section-22 of Schedule I of AIIMS Regulations, 2019 (Amended), the Director, AIIMS, New Delhi is the Competent Authority for accepting resignation in respect of all Group 'A' Officers except in case of Professor and Additional Professor.

As per Section-25 of AIIMS Regulations, 2019 (amended), the Governing Body is the competent authority for allowing retention of lien to Group A Officers in the Institute.

2.2. Accordingly his request for retention of the lien was put up to President, AIIMS New Delhi.

President AIIMS, New Delhi had very kindly approved the proposal for retention of lien in r/o Dr. L. Gopichandran in his capacity as Chairman of the Governing Body. He had directed that this case may be put up before the Governing Body for ratification in the upcoming Governing Body meeting.

3. APPROVAL SOUGHT

Accordingly, the proposal for retention of lien for a period of two years from the date of resignation in r/o Dr. L. Gopichandran is submitted for ratification by the Governing Body.

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**ALL INDIA INSTITUTE OF MEDICAL SCIENCES  
ANSARI NAGAR, NEW DELHI - 29**

No.F.6-85.2012 Estt.I (Part III)

Dated: 1 SEP 2022

OFFICE MEMORANDUM

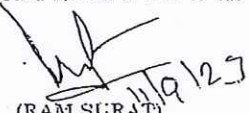
**Subject:-** Acceptance of Technical Resignation from the post of Associate Professor, College of Nursing, AIIMS, New : Dr. L. Gopichandran, Associate Professor, College of Nursing at the AIIMS, New Delhi.

\*\*\*\*\*

With reference to his letter dated the 24<sup>th</sup> August, 2023 on the subject cited above, Dr. L. Gopichandran, Associate Professor, College of Nursing is informed that the Competent Authority has been pleased to accept technical resignation tendered by him from the post of Associate Professor, College of Nursing w.e.f. 26.09.2023 (A.N.) to join the post of Assistant Professor of Nursing at NIMHANS, Bangalore.

Dr. L. Gopichandran is advised to handover the charge of Associate Professor in Nursing, College of Nursing to the Professor-Cum-Principal, College of Nursing in the afternoon of 26.09.2023 and submit his charge relinquishment report along with a 'No Demand Certificate' to the undersigned.

Dr. L. Gopichandran is also advised to return the Identity Card/EHS Card issued to him to the Security Officer and Faculty Cell respectively.

  
(RAM SURAT)

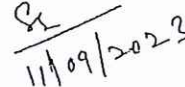
ASSTT. ADMINISTRATIVE OFFICER

Dr. L. Gopichandran  
Associate Professor of College of Nursing  
The Professor-Cum-Principal, College of Nursing

Copy to:-

1. The Dean (Academic Research), AIIMS
2. The Dean (Examination), AIIMS
3. The Medical Superintendent, AIIMS
4. The Accounts Section II & III
5. The General Section
6. The Deputy Chief Security Officer
7. The Academic Section
8. The Asstt. Engineer (Telephone)
9. The Estate Section
10. The Dr. B.B. Dixit Library
11. The National Medical Library (DGHS), Ansari Nagar, New Delhi
12. The Central Animal Facility
13. The Bill Clerk, Main Hosp./Dr. R.P. Centre/C.N. Centre Dr. B.R.A. ICMH
14. The Computer Facility
15. The Administrative Officer (Research)
16. The Officer-in-charge (Vehicles) → Nothing is due
17. The Officer-in-charge, EHS (R-7701)
18. The Medical Institute Theft. & Credit Society Ltd.
19. Media & Protocol Division

It is requested that a 'No Demand Certificate' in favour of Dr. L. Gopichandran may kindly be issued at an early date.

  
11/09/2023

Copy for information please:

1. The PPS to Director, AIIMS
2. The P. & P.R.O. AIIMS
3. The Recruitment Cell
4. The Pension Cell
5. The AGR Cell, AIIMS
6. The RTI Cell, AIIMS
7. The SC&ST Cell, AIIMS
8. GPF Section

(ASSTT. ADMINISTRATIVE OFFICER)

**NOTE FOR THE GOVERNING BODY**

**ITEM NO. GB-161/4**

**To consider the proposal for ratification of voluntary retirement granted to Prof. S.V.S. Deo, Professor and HOD of Surgical Oncology, Dr. BRAIRCH from the service of this Institute w.e.f. 01.02.2024 (F.N.)**

NOTE FOR THE GOVERNING BODY

Item No. G.B/161/4

TO CONSIDER THE PROPOSAL FOR RATIFICATION OF VOLUNTARY RETIREMENT GRANTED TO PROF. S.V.S. DEO, PROFESSOR AND HOD OF SURGICAL ONCOLOGY, DR. B.R.A. IRCH FROM THE SERVICE OF THIS INSTITUTE W.E.F. 01.02.2024 (F.N.).

1. INTRODUCTION

- 1.1 Dr. S.V.S. Deo, Professor & HOD of Surgical Oncology, Dr. B.R.A. IRCH vide his letter dated 26.09.2023 and 21.12.2023 had requested for voluntary retirement w.e.f. 01.02.2024 (Forenoon), from the service of the Institute for personal reasons (Annexure-I).
- 1.2 Dr. S.V.S. DEO had joined the Institute on 04.07.1995. He had completed more than 28 years of qualifying service at the Institute excluding period of Extra Ordinary Leave (with-out medical certificate) from 6.1.1996 to 19.2.1996 and 14.7.1997 to 28.7.1997) (Total 2 months). He was due to superannuate on 30.11.2028. Since he had completed more than 28 years of qualifying service he was fulfilling the requisite condition for voluntary retirement. There was no vigilance/disciplinary case pending/contemplated against him at the time of grant of voluntary retirement.

2. ADMINISTRATIVE COMMENTS:-

2.1 In the above context, the following is submitted:-

- (i) AIIMS Regulations have no provision for VRS.

Regulation 30 (4) of AIIMS Regulation, 2019 provides as under :

*"Any employee of the Institute may, by giving notice of not less than three months in writing to the appointing authority, retire from the service after he has attained the age of fifty years, if he is in Group A or Group B service or post and had entered the service of the Institute before attaining the age of thirty-five years and in all other cases after he has attained the age of fifty-five years."*

Regulation No. 35 of the AIIMS Regulations, 2019 has provision as under:-

*"In respect of matters not provided for in these regulations, the rules as applicable to the Central Government servants regarding the general condition of service, pay, allowances including traveling and daily allowances, leave salary, joining time, foreign service terms and orders and decisions issued in this regard by the Central Government from time to time shall apply to the employees of the Institute."*



- (ii) The Rule 43 of CCS (Pension) Rules, 2021 stipulates that a Government Servant after completing 20 years of qualifying service can seek voluntary retirement from the service by giving notice of not less than 3 months in writing to the appointing authority.
- (iii) As per Item No. 1(ii) of the Schedule II under AIIMS Regulations, 2019 , the Appointing Authority for Group A posts at AIIMS, New Delhi is Governing Body. Accordingly, in this case Governing Body is the competent authority to grant permission for voluntary retirement from the service of the Institute.

In this case, provisions of Rule 43 of CCS (Pension) Rules, 2021 are applicable. Since Dr. S.V.S. Deo had completed more than 28 years of qualifying service at the Institute, he was fulfilling the requirement as per the Rule referred above.

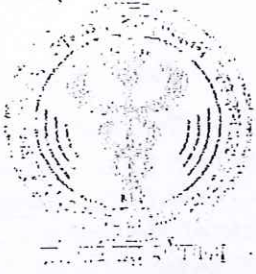
Honorable HFM had considered this case & approved the request of Dr. S.V.S. Deo for voluntary retirement in his capacity as Chairman, Governing Body, AIIMS, New Delhi with directions that the Institute will get it ratified subsequently by the Governing Body (Annexure-II).

Dr. S.V.S. Deo has been granted voluntary retirement from the service of the Institute w.e.f. 01.02.2024 (FN).

### 3. APPROVAL SOUGHT

In view of the above, approval accorded by Hon'ble President, AIIMS in capacity as Chairman of the Governing Body, AIIMS, New Delhi granting voluntary retirement to Dr. S.V.S. Deo w.e.f. 01.02.2024 (FN) is submitted before the Governing Body for consideration & ratification.

\*\*\*\*\*



Tel : 91-11-29575234 (off), E-mail -

19

Prof. S.V.S. Deo  
Head, Department of Surgical Oncology  
Head, Delhi Cancer Registry  
BRA-IRCH & National Cancer Institute  
All India Institute of Medical Sciences  
New Delhi - 110029, India

Dt 26 Sept 2023

To  
The Director  
All India Institute of Medical Sciences,  
New Delhi

Through proper channel

**Subject:** VRS from post of Professor and Head, Department of Surgical Oncology and services of All India Institute of Medical Sciences

Dear Sir,

Through this letter, I am hereby submitting my letter for seeking VRS from the services of All India Institute of Medical Sciences, New Delhi effective from 26<sup>th</sup> December, 2023.

This is really a difficult decision after working at AIIMS for 35 years in various positions. This decision is entirely because of personal reasons.

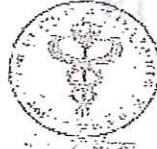
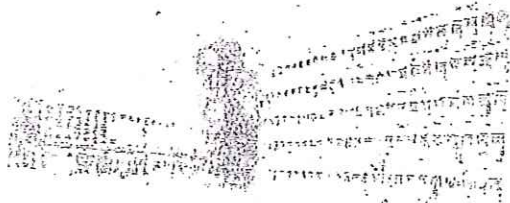
I would like to thank you and the AIIMS administration for providing me with a highly gratifying working and learning experience. Because of this excellent working environment, I could contribute for the establishment of Department of Surgical Oncology at AIIMS & NCI. I am happy to inform you that we have a clear succession plan in capable hands of the department faculty.

Thanking You

Regards

(Dr SVS Deo)

Forwarded  
1  
Sushil Kumar  
26/9/2023



20

Prof. S.V.S Deo

Head, Department of Surgical Oncology  
Dr. BRA-IRCH & National Cancer Institute  
In-charge, Delhi Cancer Registry  
All India Institute of Medical Sciences  
New Delhi-110029, India

21<sup>st</sup> Dec 2023

To  
The Director  
AIIMS (Faculty Cell)  
New Delhi

Sub: Change of date for relieving from services of AIIMS due to VRS  
Ref: Application of VRS letter submitted on 26 th September

Dear Sir

I have submitted a letter for VRS on 26 th September which has been recently approved. I would like to be relived from AIIMS on 1st February 2024 as I have some important pending clinical , research and administrative work . Request to revise my last working day at AIIMS as 31 st January 2024.

Thanking You  
Regards

(Dr SVS Deo)

44. 67  
27/12/2023

Forwarded!  
21/12/2023



21

04/12/2023 05:32 PM

MANISHA SAXENA  
DEPUTY DIRECTOR ADMIN, AIIMS

Note # 41

05/12/2023 10:51 AM

DIRECTOR AIIMS SRINIVAS.M  
DIRECTOR, AIIMS

Note # 42

ok

06/12/2023 03:16 PM

SRINIVAS.M  
DIRECTOR, AIIMS

Note # 43

07/12/2023 08:33 AM

B.S.GILL  
SENIOR ADMINISTRATIVE OFFICER, AIIMS

Note # 44

07/12/2023 08:58 AM

RAM SURAT  
ASSISTANT ADMINISTRATIVE OFFICER, AIIMS

Note # 45

07/12/2023 12:38 PM

RAM SURAT  
ASSISTANT ADMINISTRATIVE OFFICER, AIIMS

Note # 46

Ref. above.

In response to office memorandum of even number dated the 7th December, 2023 requesting to Dr. S. V. S. Deo, HOD of Surgical Oncology, Dr. B.R.A. IRCH to reconsider your decision and continue to serve the Institute.

22

In response to aforesaid memorandum now Dr. S. V. S. Deo has informed that he has taken this decision after due deliberation of all personal and professional issues and finally decided to proceed with VRS from AIIMS mainly due to personal issues. He has therefore, requested to kindly approve his VRS as per rules and regulation of AIIMS at the earliest which may be seen at correspondence no. 15

The proposal at Note No # 16 is for grant of Voluntary Retirement in favour of Dr. S.V.S. Deo, Professor & Head, Department of Surgical Oncology, Dr. B.R.A. IRCH w.e.f. 26.12.2023 (forenoon) is in order & he fulfills the requisite requirement of the Rule-43 of the CCS (Pension) Rules, 2021.

The above proposal is therefore, submitted to the Honourable President, AIIMS, New Delhi for kind consideration & approval please.

07/12/2023 10:43 PM

GAGAN CHOPRA  
JUNIOR ADMINISTRATIVE OFFICER, AIIMS

Note # 47

08/12/2023 08:31 AM

RAM SURAT  
ASSISTANT ADMINISTRATIVE OFFICER, AIIMS

Note # 48

Pursuant to the directive in the matter, Dr. S.V.S. Deo was requested to reconsider his decision to opt for the Voluntary Retirement Scheme (VRS) and continue his services at the institute.

In his response, Dr. Deo confirmed that his decision to proceed with VRS is final and rests on thorough consideration of both personal and professional reasons. He further cites personal matters as the primary factor for his choice.

Given Dr. Deo's stance, a proposal is submitted for granting VRS effective December 26, 2023 (morning). Dr. Deo meets the eligibility criteria outlined in Rule-43 of the CCS (Pension) Rules, 2021.

This proposal seeks approval by the President of AIIMS, New Delhi, who chairs the Institute's Governing Body. Upon approval, the Institute will seek ratification from the Governing Body.

23

08/12/2023 09:50 AM

B.S.GILL  
SENIOR ADMINISTRATIVE OFFICER, AIIMS

Note # 49

President AIIMS is the competent authority to grant approval on this request. Submitted for kind consideration.

08/12/2023 12:58 PM

SANJAY KUMAR ARYA  
PROFESSOR, AIIMS

Note # 50

08/12/2023 06:05 PM

MANISHA SAXENA  
DEPUTY DIRECTOR ADMIN, AIIMS

Note # 51

09/12/2023 12:14 PM


DIRECTOR AIIMS SRINIVAS.M  
DIRECTOR, AIIMS

Note # 52

submitted to the Honourable President, AIIMS, New Delhi for kind consideration & approval please.

11/12/2023 07:18 PM

SRINIVAS.M  
DIRECTOR, AIIMS

(HFM) / President AIIMS  




**NOTE FOR THE GOVERNING BODY**

**ITEM NO. GB-161/5**

**To consider the proposal for ex-post-facto ratification of  
voluntary retirement to Dr. Manmohan Singh, Professor of  
Neurosurgery from the service of this Institute w.e.f.**

**16.01.2024 (F.N.)**

NOTE FOR THE GOVERNING BODY

Item No. G.B/161/5

TO CONSIDER THE PROPOSAL FOR RATIFICATION OF VOLUNTARY RETIREMENT GRANTED TO DR. MANMOHAN SINGH, PROFESSOR OF NEURO-SURGERY FROM THE SERVICE OF THIS INSTITUTE W.E.F. 16.01.2024 (F.N.).1. INTRODUCTION

- 1.1 Dr. Manmohan Singh, Professor of Neurosurgery vide his letter dated 21.10.2023 had requested for voluntary retirement w.e.f. 16.01.2024 (Forenoon), from the service of the Institute for personal reasons (Annexure-I).
- 1.2 Dr. Manmohan Singh had joined the Institute on 07.06.2003. He had completed more than 20 years of qualifying service at the Institute. He was due to superannuate on 31.10.2037. Since he had completed more than 20 years of qualifying service he was fulfilling the requisite condition for voluntary retirement. There was no vigilance/disciplinary case pending/contemplated against him at the time of grant of voluntary retirement.

2. ADMINISTRATIVE COMMENTS:-

- 2.1 In the above context, the following is submitted:-

- (i) AIIMS Regulations have no provision for VRS.

Regulation 30 (4) of AIIMS Regulation, 2019 provides as under :

*"Any employee of the Institute may, by giving notice of not less than three months in writing to the appointing authority, retire from the service after he has attained the age of fifty years, if he is in Group A or Group B service or post and had entered the service of the Institute before attaining the age of thirty-five years and in all other cases after he has attained the age of fifty-five years."*

Regulation No. 35 of the AIIMS Regulations, 2019 has provision as under:-

*"In respect of matters not provided for in these regulations, the rules as applicable to the Central Government servants regarding the general condition of service, pay, allowances including traveling and daily allowances, leave salary, joining time, foreign service terms and orders and decisions issued in this regard by the Central Government from time to time shall apply to the employees of the Institute."*

- (ii) The Rule 43 of CCS (Pension) Rules, 2021 stipulates that a Government Servant after completing 20 years of qualifying service can seek voluntary retirement from the service by giving notice of not less than 3 months in writing to the appointing authority.
- (iii) As per Item No. 1(ii) of the Schedule II under AIIMS Regulations, 2019, the Appointing Authority for Group A posts at AIIMS, New Delhi is Governing Body. Accordingly, in this case Governing Body is the competent authority to grant permission for voluntary retirement from the service of the Institute.

In this case, provisions of Rule 43 of CCS (Pension) Rules, 2021 are applicable. Since Dr. Manmohan Singh had completed more than 20 years of qualifying service at the Institute, he was fulfilling the requirement as per the Rule referred above.

Honorable HFM had considered this case & approved the request of Dr. Manmohan Singh for voluntary retirement in his capacity as Chairman, Governing Body, AIIMS, New Delhi with directions that the Institute will get it ratified subsequently by the Governing Body (Annexure-II).

Dr. Manmohan Singh has been granted voluntary retirement from the service of the Institute w.e.f. 16.01.2024 (FN).

### 3. APPROVAL SOUGHT

In view of the above, approval accorded by Hon'ble President, AIIMS in capacity as Chairman of the Governing Body, AIIMS, New Delhi granting voluntary retirement to Dr. Manmohan Singh w.e.f. 16.01.2024 (FN) is submitted before the Governing Body for consideration & ratification.

\*\*\*\*\*



तंत्रिका विज्ञान केन्द्र  
अखिल भारतीय आयुर्विज्ञान संस्थान  
अंसरी नगर, नई दिल्ली-११००२९



26

NEURO SCIENCES CENTRE  
All India Institute of Medical Science  
ANSARI NAGAR, NEW DELHI - 110 02  
TELEPHONES : 26588500, 26588700, 26589900  
FAX : 91- 11 -26588663, 26588664  
Website : www.aiims.ac.in, www.aiims.edu

Dated 21<sup>st</sup> October 2023

DATE : .....

To  
The Director,  
AIIMS,  
New Delhi-11029

Through Proper Channel

Subject: Application under section 30 (4) of All India Institute of medical Sciences Regulations 1999 for Voluntary Retirement from Service of the Institute with post retirement pensionary benefits as per rules

Respected Sir,

I joined All India Institute of Medical Sciences in 1999 as senior resident in the department of Neurosurgery. After completing my Senior residency I joined as Assistant Professor of Neurosurgery in June 2003.

Currently I have been working as Professor of Neurosurgery Since 2014. I have completed more than 20 years as faculty member of this Institute. I enjoyed working in this esteemed Institute which also gave me the opportunity to learn and grow.

Due to personal reasons, I wish to seek Voluntary Retirement from the service of the Institute w.e.f. 15<sup>th</sup> January 2024 (Afternoon)

I would request you to grant approval to my request for Voluntary retirement from the service with post retirement pensionary benefits as per rules. I may be relieved on 16<sup>th</sup> January 2024 (Afternoon).

I shall be grateful to your office.

Thanks and Regards

डॉ. मनमोहन सिंह  
Dr. MANMOHAN SINGH  
M.S., M.Ch.

अचार्य/Professor

Dr. Manmohan Singh  
अ.मा.आ.से., नई दिल्ली/A.I.I.M.S., New Delhi-110029  
Professor

Department of Neurosurgery  
All India Institute of Medical Sciences  
New Delhi-110029

21/10/23  
Dr. Shashank Shinde  
Professor & Head  
Department of Neurosurgery &  
Gamma Knife Centre,  
All India Institute of Medical Sciences,  
New Delhi-110029

88 27

Note # 18

Request forwarded by the HOD of Neuro-Surgery.

We may considered his request for issuing of 'No Objection Certificate' for renewal/re-issued of his Indian Passport, subject to vigilance clearance.

Submitted for kind consideration please.

07/11/2023 04:55 PM

RAM SURAT  
ASSISTANT ADMINISTRATIVE OFFICER, AIIMS

Note # 19

07/11/2023 08:19 PM

B.S.GILL  
SENIOR ADMINISTRATIVE OFFICER, AIIMS

Note # 20

Yes, please.

07/11/2023 11:25 PM

SANJAY KUMAR ARYA  
PROFESSOR, AIIMS

Note # 21

08/11/2023 08:19 AM

B.S.GILL  
SENIOR ADMINISTRATIVE OFFICER, AIIMS

Note # 22

08/11/2023 08:30 AM

RAM SURAT  
ASSISTANT ADMINISTRATIVE OFFICER, AIIMS

Note # 23

Subject: Grant of Voluntary Retirement - Dr. Manmohan Singh, Professor of Neurosurgery at the AIIMS, New Delhi.(TOC 1243671 &1282286)

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Dr. Manmohan Singh, Professor of Neurosurgery vide his



28

letter dated 21<sup>st</sup> October, 2023 has requested that he may be granted Voluntary Retirement as per VRS Scheme w.e.f. 16.01.2024 (FN) due to personal reasons with waived off the remaining notice period falls short as per rules i.e. from 16.01.2024 to 20.01.2024.

In this connection, it may be stated that Dr. Manmohan Singh joined the Institute as faculty member on 07.06.2003 and presently working till-date. His service period in AIIMS, New Delhi from 07.06.2003 till-date has been verified by the Account Section (Audit) stating that he had not granted any Extra Ordinary Leave With-out Pay (EOL). Therefore, Dr. Manmohan Singh has completed more than 20 years & 6 months of qualifying service at present at this Institute and he fulfils the requisite requirement for voluntary retirement. No vigilance case is pending/contemplated against Dr. Manmohan Singh as intimated by the Vigilance Cell, AIIMS. As per office records, Dr. Manmohan is not under any bond. His date of birth is 09.10.1972 and he is due for superannuation from the service of this Institute on 31.10.2037 (65 years).

Rule 43 of CCS (Pension) Rules, 2021 stipulates that after completing 20 years of qualifying service can seek voluntary retirement from the service by giving notice of not less than 3 months in writing to the appointing authority. The appointing authority at its discretion can accept a notice of less than 3 months, but commutation of pension can be applied for only after the expiry of normal notice period of three months. Since, Dr. Manmohan Singh has completed more than 20 years and 6 months of service at this Institute and he fulfill the requisite requirement of the Rule 43 of the CCS (Pension), Rules, 2021.

i. Regulation 30 (4) of AIIMS Regulation, 2019 provides as under :-

*"Any employee of the Institute may, by giving notice of*

*not less than three months in writing to the appointing*

*authority, retire from the service after he has attained*

*the age of fifty years, if he is in Group A or Group B*

*service or post and had entered the service of the*

*Institute before attaining the age of thirty-five years*

*and in all other cases after he has attained the age*



29

of

*fifty-five years."*

- ii. The AIIMS Regulations, 2019 (as amended) have no provisions for VRS. However, the Regulation No. 35 of the AIIMS Regulations, 2019 (as amended) provides as under:-

*"In respect of matters not provided for in these regulations, the rules as applicable to the Central Government servants regarding the general condition of service, pay, allowances including traveling and daily allowances, leave salary, joining time, foreign terms and orders and decisions issued in this regard by the Central Government from time to time shall apply to the employees of the Institute"*

Hence, provisions of Rule 43 of CCS (Pension) Rules, 2021 are applicable.

In accordance with the Item No. 22 of the AIIMS Regulations, 2019 (as amended), the Governing Body (Appointing Authority) is the competent authority to permit the faculty members to seek voluntary retirement from the service of the Institute. Since, the meeting of the Governing Body is not likely to held near future, therefore, the proposal may be submitted to the Honorable President, AIIMS, New Delhi for kind consideration & approval.

In view of the above, it is proposed that Dr. Manmohan Singh, Professor of Neuro-surgery may be granted voluntary retirement from the service of the Institute w.e.f. 16.01.2024 (FN) as he fulfills the requisite requirement of the Rule-43 of the CCS (Pension), Rules, 2021 subject to the condition that he will be required to take 'No Objection Certificate' from the Institute in the event of his accepting any commercial employment within one year from the date of his voluntary retirement in accordance with the

30

Rule 10 of CCS (Pension) Rules, 1972 and Regulation No. 35 of the AIIMS Regulations, 2019 (as amended). Notice period falls short i.e. from 16.1.2024 to 20.01.2024 may be waived off, subject to condition that the commutation of pension can only be applied after the expiry of normal notice period of three months i.e. after 20.01.2024.

The above proposal is therefore, submitted to the Honorable President, AIIMS, New Delhi for kind consideration & approval.

30/11/2023 02:49 PM

GAGAN CHOPRA  
JUNIOR ADMINISTRATIVE OFFICER, AIIMS

Note # 24

The proposal at Note No # 23 is for grant of Voluntary Retirement in favour of Dr. Manmohan Singh, Professor of Neuro-Surgery w.e.f. 16.01.2024 (forenoon) is in order & he fulfills the requisite requirement of the Rule-43 of the CCS (Pension) Rules, 2021.

The above proposal is therefore, submitted to the Honourable President, AIIMS, New Delhi for kind consideration & approval please.

Sr. A.O. (FC) - on leave

30/11/2023 03:26 PM

RAM SURAT  
ASSISTANT ADMINISTRATIVE OFFICER, AIIMS

Note # 25

Submitted for kind consideration of President AIIMS.

01/12/2023 08:43 AM

SANJAY KUMAR ARYA  
PROFESSOR, AIIMS

Note # 26

08/12/2023 08:05 PM

MANISHA SAXENA  
DEPUTY DIRECTOR ADMIN, AIIMS

Note # 27

31

09/12/2023 11:45 AM

DIRECTOR AIIMS SRINIVAS.M  
DIRECTOR, AIIMS

Note # 28

submitted to the Honourable President, AIIMS, New Delhi for kind  
consideration & approval please.

10/12/2023 06:47 PM

SRINIVAS.M  
DIRECTOR, AIIMS

(HAM)/  
President, AIIMS



**NOTE FOR THE GOVERNING BODY**

**ITEM NO. GB-161/6**

**To consider the proposal for ratification of voluntary retirement granted to Dr. Arvind Chaturvedi, Professor and Head of Neuroanaesthesiology and Critical Care, N.S. Centre from the service of this Institute w.e.f. 09.02.2024 (F.N.)**

NOTE FOR THE GOVERNING BODY

Item No. G.B/161/5

TO CONSIDER THE PROPOSAL FOR RATIFICATION OF VOLUNTARY RETIREMENT GRANTED TO DR. ARVIND CHATURVEDI, PROFESSOR AND HEAD OF NEUROANAESTHESIOLOGY AND CRITICAL CARE, N. S. CENTER FROM THE SERVICE OF THIS INSTITUTE W.E.F. 09.02.2024 (F.N.).

1. INTRODUCTION

- 1.1 Dr. Arvind Chaturvedi, Professor & HOD of Neuroanaesthesiology and Critical Care vide his letter dated 10.11.2023 had requested for voluntary retirement w.e.f. 09.02.2024 (Forenoon), from the service of the Institute for personal reasons (Annexure-I).
- 1.2 Dr. Arvind Chaturvedi had joined the Institute on 17.09.1993. He had completed more than 28 years of qualifying service at the Institute excluding period of Extra Ordinary Leave (with-out medical certificate) from 8.2.1999 to 23.2.1999, 27.1.2000 to 2.6.2000 and 12.5.2014 to 4.4.2016 (Total 2 years, 4 months and 16 days). He was due to superannuate on 31.10.2026. Since he had completed more than 28 years of qualifying service he was fulfilling the requisite condition for voluntary retirement. There was no vigilance/disciplinary case pending/contemplated against him at the time of grant of voluntary retirement.

2. ADMINISTRATIVE COMMENTS:-

2.1 In the above context, the following is submitted:-

- (i) AIIMS Regulations have no provision for VRS.

Regulation 30 (4) of AIIMS Regulation, 2019 provides as under :

*"Any employee of the Institute may, by giving notice of not less than three months in writing to the appointing authority, retire from the service after he has attained the age of fifty years, if he is in Group A or Group B service or post and had entered the service of the Institute before attaining the age of thirty-five years and in all other cases after he has attained the age of fifty-five years."*

Regulation No. 35 of the AIIMS Regulations, 2019 has provision as under:-

*"In respect of matters not provided for in these regulations, the rules as applicable to the Central Government servants regarding the general condition of service, pay, allowances including traveling and daily allowances, leave salary, joining time, foreign service terms and orders and decisions issued in this regard by the Central Government from time to time shall apply to the employees of the Institute."*

- (ii) The Rule 43 of CCS (Pension) Rules, 2021 stipulates that a Government Servant after completing 20 years of qualifying service can seek voluntary retirement from the service by giving notice of not less than 3 months in writing to the appointing authority.
- (iii) As per Item No. 1(ii) of the Schedule II under AIIMS Regulations, 2019, the Appointing Authority for Group A posts at AIIMS, New Delhi is Governing Body. Accordingly, in this case Governing Body is the competent authority to grant permission for voluntary retirement from the service of the Institute.

In this case, provisions of Rule 43 of CCS (Pension) Rules, 2021 are applicable. Since Dr. Arvind Chaturvedi had completed more than 28 years of qualifying service at the Institute, he was fulfilling the requirement as per the Rule referred above.

Honorable HFM had considered this case & approved the request of Dr. Arvind Chaturvedi for voluntary retirement in his capacity as Chairman, Governing Body, AIIMS, New Delhi with directions that the Institute will get it ratified subsequently by the Governing Body (Annexure-II).

Dr. Arvind Chaturvedi has been granted voluntary retirement from the service of the Institute w.e.f. 09.02.2024 (FN).

### 3. APPROVAL SOUGHT

In view of the above, approval accorded by Hon'ble President, AIIMS in capacity as Chairman of the Governing Body, AIIMS, New Delhi granting voluntary retirement to Dr. Arvind Chaturvedi w.e.f. 09.02.2024 (FN) is submitted before the Governing Body for consideration & ratification.

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10<sup>th</sup> November, 2023

Annexure-I

To

The Director

All India Institute of Medical Sciences (AIIMS)

New Delhi

THROUGH PROPER CHANNEL

Subject- Notice for Voluntary Retirement (VRS) of Dr Arvind Chaturvedi from AIIMS, New Delhi

Respected Sir,

The undersigned joined this premier institute on 14<sup>th</sup> July 1990, as a Senior Resident in the Department of Anaesthesiology & Critical Care. After completing Senior Residency, I joined as Assistant Professor in the Department of Neuroanaesthesiology & Critical Care on 17<sup>th</sup> September, 1993. I maintained a creditable academic record and gradually got promoted to Associate Professor, Additional Professor, in a timely manner and eventually occupied the post of Professor in the Department in July 2008. Subsequently, I became Professor (HAG) & Head of the Department of Neuroanaesthesiology & Critical care and have been occupying this post since July 2016.

Throughout my career, I learned and augmented my skills in all aspects of clinical work, teaching and research. I contributed significantly to the best of my best ability as Professor & Head of the Department. It was my constant endeavour to contribute to the persistent growth and improvement of the department in clinical work, teaching, research and administration, in keeping with the mission and mandate of the institute. I also maintained cordial relations with my Senior and Junior colleagues, students and staff members in the department and the institute throughout my tenure.

I had the honor of being one of the founding faculty members for the Course on DM Neuroanaesthesiology & Critical care in 2002, the first of its kind in India. I was also part of the founding faculty of the PDF Fellowship in Neurocritical care in 2017 at AIIMS New Delhi. I mentored more than 25 DM Students and more than 10 Fellowship students for research projects and training in the department.

I organized many conferences & workshops, in which I participated as speaker & chairperson, and published more than 115 research papers. In my tenure, the Department has grown from 5 faculty members and one Professor in 1993 to now 15 faculty members and 10 Professors, with 10 more Asst professor posts, approved by different committees, and the same are in the final stage of Government approval.

After having served the institution for more than 33 years (at the age of 62 years), I hereby submit that due to certain personal commitments, I am seeking Voluntary Retirement from the institute, and this letter may kindly be considered as my 3-month advance notice in respect of the same. I wish to be relieved from the institute on 9<sup>th</sup> February, 2024 after noon.

I will be grateful if you could consider my request for seeking Voluntary Retirement (VRS) from AIIMS, New Delhi favorably.

Thanking you

Yours Sincerely

Dr. Arvind Chaturvedi

Professor & Head

Department of Neuroanaesthesiology & Critical care, N.S. Center, AIIMS

Phone- 9871045824

Email - c.arvind61@yahoo.in

Dr. Arvind Chaturvedi  
Professor & Head  
Dept. of Neuroanaesthesiology & Critical Care  
N.S. Center, AIIMS, New Delhi 110029

प्रो. अरवि चतुर्वेदी / Prof. A. Chaturvedi  
मुख्य अधिकारी, न्यूरो-आनेस्थीसियोलॉजी & क्लिनिकल केयर  
Chief Neuroanesthesiology & Critical Care  
N.S. Center, AIIMS, New Delhi-110029

10/11/23



36

the AIIMS Regulations, 2019 (as amended).

The above proposal is therefore, submitted to the Honorable President, AIIMS, New Delhi for kind consideration & approval.

30/11/2023 03:46 PM

GAGAN CHOPRA  
JUNIOR ADMINISTRATIVE OFFICER, AIIMS

Note # 23

Please put-up as discuss

30/11/2023 04:09 PM

RAM SURAT  
ASSISTANT ADMINISTRATIVE OFFICER, AIIMS

Note # 24

discussed and re-submitted

Subject: Grant of Voluntary Retirement - Dr. Arvind Chaturvedi, Professor and Head of Neuroanaesthesiology and Critical Care, N. S. Center, AIIMS, New Delhi. Correspondence no. 35

Ref F.R.

Dr. Arvind Chaturvedi, Professor and Head of Neuroanaesthesiology and Critical Care vide his letter dated the 10<sup>th</sup> November, 2023 has requested that he may be granted Voluntary Retirement as per VRS Scheme w.e.f. 09<sup>th</sup> February, 2024 (FN) due to certain personal commitments and given three months notice period starting from 10.11.2023. His above request has been forwarded & recommended by the Chief of N. S. Centre.

In this connection, it may be stated that Dr. Arvind Chaturvedi joined the Institute as faculty member on 17.09.1993 and presently working till-date. His service period in AIIMS, New Delhi from 17.09.1993 till-date has been verified by the Account Section (Audit) stating that he had been granted Extra Ordinary Leave With-out Pay (EOL) (with-out medical certificate) from 8.2.1999 to 23.2.1999, 27.1.2000 to 2.6.2000 and 12.5.2014 to 4.4.2016 (Total 2 years, 4 months and 16 days). Therefore, Dr. Arvind Chaturvedi has completed more than 28 years of qualifying service at present at this Institute and he fulfills the requisite requirement for voluntary retirement. No vigilance case & legal case are pending/contemplated against Dr. Arvind Chaturvedi as intimated by the Vigilance Cell, AIIMS and legal cell AIIMS, New Delhi which may be seen at correspondence no. 30-36. As per office records, Dr. Arvind Chaturvedi is not under any bond.



His date of birth is 24.10.1961 and he is due for superannuation from the service of this Institute on 31.10.2026 (65 years).

Rule 43 of CCS (Pension) Rules, 2021 stipulates that after completing 20 years of qualifying service can seek voluntary retirement from the service by giving notice of not less than 3 months in writing to the appointing authority. The appointing authority at its discretion can accept a notice of less than 3 months, but commutation of pension can be applied for only after the expiry of normal notice period of three months. Since, Dr. Arvind Chaturvedi has completed more than 28 years of service at this Institute and he fulfils the requisite requirement of the Rule 43 of the CCS (Pension), Rules, 2021.

i. Regulation 30 (4) of AIIMS Regulation, 2019 provides as under :-

*"Any employee of the Institute may, by giving notice of not less than three months in writing to the appointing authority, retire from the service after he has attained the age of fifty years, if he is in Group A or Group B service or post and had entered the service of the Institute before attaining the age of thirty-five years and in all other cases after he has attained the age of fifty-five years."*

i i ) The AIIMS Regulations, 2019 (as amended) have no provisions for VRS. However, the Regulation No. 35 of the AIIMS Regulations, 2019 (as amended) provides as under:-

*"In respect of matters not provided for in these regulations, the rules as applicable to the Central Government servants regarding the general condition of service, pay, allowances including traveling and daily allowances, leave salary, joining time, foreign service terms and orders and decisions issued in this regard by the Central Government from time to time shall apply to the employees of the Institute."*

Hence, provisions of Rule 43 of CCS (Pension) Rules, 2021 are applicable.

In accordance with the Item No. 22 of the AIIMS Regulations, 2019 (as amended), the Governing Body (Appointing Authority) is the competent authority to permit the faculty members to seek voluntary retirement from the service of the Institute. Since, the meeting of the Governing Body is not likely to held near future, therefore, the proposal may be submitted to the Honorable

38

President, AIIMS, New Delhi for kind consideration & approval.

According to Rule of 10 of CCS (Pension) Rules, if a pensioner who, immediately before his/her retirement was a member of the Central Service Group 'A' wishes to accept any commercial employment before the expiry of one year from the date of his/her retirement, he/she shall obtain the previous sanction of the Government of such acceptance by submitting an application in Form-25.

In view of the above, it is proposed that Dr. Arvind Chaturvedi, Professor & Head, Department of Neuro-Anaesthesiology and Critical Care may be granted voluntary retirement from the service of the Institute w.e.f. 09<sup>th</sup> February, 2024 (FN) as he fulfills the requisite requirement of the Rule-43 of the CCS (Pension), Rules, 2021 subject to the condition that he will be required to take 'No Objection Certificate' from the Institute in the event of his accepting any commercial employment within one year from the date of his voluntary retirement in accordance with the Rule 10 of CCS (Pension) Rules, 1972 and Regulation No. 35 of the AIIMS Regulations, 2019 (as amended).

The above proposal is therefore, submitted to the Honorable President, AIIMS, New Delhi for kind consideration & approval.

30/11/2023 04:30 PM

GAGAN CHOPRA  
JUNIOR ADMINISTRATIVE OFFICER, AIIMS

Note # 25

The proposal at Note No # 24 is for grant of Voluntary Retirement in favour of Dr. Arvind Chaturvedi, Professor & Head, Department of Neuro-Anaesthesiology & Critical Care w.e.f. 09.02.2024 (forenoon) is in order & he fulfills the requisite requirement of the Rule-43 of the CCS (Pension) Rules, 2021.

The above proposal is therefore, submitted to the Honourable President, AIIMS, New Delhi for kind consideration & approval please.

Sr. A.O. (FC) - on leave

30/11/2023 04:41 PM

RAM SURAT  
ASSISTANT ADMINISTRATIVE OFFICER, AIIMS

Note # 26

Submitted for kind consideration of President AIIMS.



88 39

01/12/2023 08:47 AM

SANJAY KUMAR ARYA  
PROFESSOR, AIIMS

Note # 27

08/12/2023 08:04 PM

MANISHA SAXENA  
DEPUTY DIRECTOR ADMIN, AIIMS

Note # 28

09/12/2023 11:50 AM


DIRECTOR AIIMS SRINIVAS.M  
DIRECTOR, AIIMS

Note # 29

submitted to the Honourable President, AIIMS, New Delhi for kind  
consideration & approval please.

10/12/2023 06:49 PM

SRINIVAS.M  
DIRECTOR, AIIMS

(HSM) President AIIMS)  




**NOTE FOR THE GOVERNING BODY**

**ITEM NO. GB-161/7**

**To consider the representation of Dr. Amar Ranjan Singh,  
Additional Professor of Laboratory Oncology, Dr. BRAIRCH,  
AIIMS, New Delhi for his promotion to the Grade of Professor  
under Assessment Promotion Scheme (APS) at AIIMS, New  
Delhi**

## NOTE FOR THE GOVERNING BODY

Item No. GB/ 161/7

TO CONSIDER THE REPRESENTATION OF DR. AMAR RANJAN SINGH, ADDITIONAL PROFESSOR OF LABORATORY ONCOLOGY, DR. BRA IRCH, AIIMS, NEW DELHI FOR HIS PROMOTION TO THE GRADE OF PROFESSOR UNDER ASSESSMENT PROMOTION SCHEME (APS) AT AIIMS, NEW DELHI.

\*\*\*\*\*

### 1. INTRODUCTION

1.1 Dr. Amar Ranjan became eligible for promotion to the level of Professor of Laboratory Oncology at Dr. BRA IRCH under the Assessment Promotion Scheme (APS) for the July 1, 2023 promotion cycle, after having completed four years of service as an Additional Professor.

1.2 He appeared before the Standing Selection Committee on October 31, 2023, for assessment for promotion to the grade of Professor under the APS.

1.3 The Standing Selection Committee did not recommend Dr. Singh for promotion to the grade of Professor of Laboratory Oncology at Dr. BRA IRCH.

1.4 In a letter dated November 14, 2023 (Annexure 1), Dr. Amar Ranjan Singh, Additional Professor of Laboratory Oncology at Dr. BRA IRCH, requested a review of the decision.

1.5 Dr. Amar Ranjan Singh claims in his representation that he was mentally harassed and demoralized by Dr. Jyoti Kotwal, one of the external experts, during his APS interview for the Professor position. Despite demonstrating consistent excellence with 'Outstanding' ratings in his annual performance reviews by his superiors for the past 11 years while working in the department, he was not recommended for promotion.

He contends that he met all eligibility criteria, including extramural grants, teaching, research outputs, and clinical services. However, he raises concerns about the expertise of Dr. Jyoti Kotwal, who works in the private sector and lacks specialization in his specific field of ovarian cancer and other routine areas.

Dr. Singh further requests that at least one expert be called from a government institute, citing potential personal enmity between himself and Dr. Jyoti Kotwal, which he believes jeopardized an impartial assessment.

He argues that the questions posed during the interview focused on areas where he lacks experience, attributing this to Dr. Kotwal's personal motives.

Additionally, he expresses concerns about a close friendship between Dr. Ritu Gupta and Dr. Jyoti Kotwal, noting a meeting between them two days before the APS interview at a conference organized by Dr. Gupta. He alleges that Dr. Gupta initially provided negative remarks, which were later rectified upon his complaint.

Dr. Singh claims that Dr. Ritu Gupta has been harassing him in his clinical work and research, and that this is known to the current and past department heads. He emphasizes that his 11-year career, primarily focused on ovarian cancer and forensic pathology, should not be overshadowed by a 10-minute interaction under potentially unfair circumstances. He



clarifies that his involvement in routine hematology reporting is limited to morphology due to restricted access to advanced laboratories.

#### ADMINISTRATIVE COMMENTS:

2.1 The reasons for not promoting Dr. Amar Ranjan Singh as recorded in the Standing Selection Committee's minutes are as bellow:- (Annexure-II)

- o Subject knowledge does not commensurate with the position of Professor.
- o Conceptually lacking in his day to day Hemato-oncology reporting.
- o Lack of communication basic concepts.
- o Could not answer basic questions on CML, MPN etc. about the bone marrow morphology.

2.2 The candidate has submitted a representation citing possibility of bias against one of the experts which needs consideration by the Governing Body.

2.2. Institute Body's had discussed the issue of mechanism to deal with appeals against decisions of Standing Selection Committee in APS vide Agenda Item No. IB/5 of its meeting held on January 15, 1997. IB had decided as follows:-

- The Governing Body will assess appeals to determine their validity.
- If an appeal/representation presents reasonable grounds, it shall be referred back to the full Selection Committee for reconsideration, with different expert assistance than those involved in the initial selection.
- The appellant must be granted a personal hearing by the Selection Committee (Annexure-III).

The aforementioned decision was subsequently confirmed by the Institute Body at its meeting on June 17, 1998.

ACR/APARs grading of Dr Singh for the last 11 years are as under:-

1.	2012-2013	-	Very Good
2.	2013-2014	-	Very Good
3.	2014-2015	-	Very Good
4.	2015-2016	-	Very Good
5.	2016-2017	-	Very Good
6.	2017-2018	-	Very Good
7.	2018-2019	-	Very Good
8.	2019-2020	-	Outstanding
9.	2020-2021	-	Outstanding
10.	2021-2022	-	Outstanding
	(01.04.2021 to 30.09.2021)		
11.	01.10.2021 to 31.03.2022	-	Well above standard

#### APPROVAL SOUGHT

The appeal of Dr Amar Ranjan Singh is submitted for kind consideration and further directions.

The Director, AIIMS, New Delhi, has approved the submission of this matter to the Governing Body for consideration and direction.

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16/11/2023

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Annexure-I

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Laboratory Oncology, Dr. B. R. A.I.R.C.H., AIIMS, New Delhi  
(Through proper channel)

Date: 14.11.2023

To,

The Director,

AIIMS, New Delhi

Subject: Representation against APS-interview for Grade of Professor held on 31.10.2023

Respected Sir,

With utmost grief, I submit to you that I have been mentally harassed and demoralized by one of the external experts during my APS interview for the grade of professor. I have been regularly working for last 11 years and have been graded as "Outstanding" in all my APARs. All the requisite eligibility criteria which include, extramural grants, teaching, research outputs and clinical services, are fulfilled.

I was bullied in a planned manner by the external expert, Dr Jyoti Kotwal, who is currently working in some private hospital and carries no knowledge and expertise of my research area (Ovarian cancer) as well as routine work (including Forensic Pathology). It is pertinent to note that both the experts who were called for my APS are from the Non-Government, Profit making organization. It is my humble submission that at least one of the experts should have been from the government institutes.

I would also like to bring to your kind consideration that I am acquainted to Dr Jyoti Kotwal for the last five years. She has shown evidence of personal enmity with me on multiple occasions. I am confident that I cannot be assessed impartially in her presence. It was also evident from her behavior during my interview. Her attitude was full of malafide intentions. She purposefully asked me about molecular hematology where I have never worked.

In addition, I also would like to bring to your notice that I have been discriminated by Dr Ritu Gupta, Officer In-charge Laboratory Oncology Services in sharing of departmental work (Copy attached, Annexure II). I have never been posted in Molecular Lab in my entire career.

Dr Jyoti Kowal also happens to be a close friend of Dr Ritu Gupta (evident by her presence just 2 days before my interview [29.10.2023] in the conference organized by Dr Ritu Gupta, (copy attached). At this point, it is also important to inform that Dr Ritu Gupta has also spoiled my APAR which was later rectified after my representation. Dr Ritu has been harassing me in my routine clinical work and research which is also known to our current chief Dr Sushma Bhatnager and even to ex Chiefs Dr G K Rath & Dr Lalit Kumar.

I would like to kindly submit that, I should not be judged only on the basis of 10 minutes of malafide interaction rather it should be on my 11 years profile. My area of research mainly comprises of ovarian cancer and Forensic Pathology. The routine hematology reporting is also

Mr. A.K. Q

part of my work but it is limited to morphology only, as I have never been allowed to work in advance laboratories.

Please find the attached summary of my work in the Annexure 1 followed by the detailed attachments.

Thanking you,

Yours faithfully,

*Amar Ranjan Singh*  
Amar Ranjan Singh 14.11.2023

Additional Professor

ATTACHMENTS:

1. Interaction of Dr J Kotwal with Dr Ritu Gupta TWO days before the date of interview
2. Complaint against Dr Ritu Gupta for spoiling my APAR
3. Corrected ACR
4. Summary of my work in the Annexure 1
5. Works in detail
6. Problems created by Dr Ritu Gupta (Annexure II)

CCT:

1. Chairman, Standing Selection Committee, AIIMS, Delhi

*Familiar*

*Subant*  
14/11/2023

Dr. Ritu Gupta, Assistant Professor & Head  
Department of Onco-Anesthesiology & Palliative Medicine  
Post Graduate School, All India Institute of Medical Sciences, New Delhi, India



## Event Highlights

- 12 hours of academic extravaganza
- Topics covering cutting research and clinical applications in cellular analysis
- MI-FlowCyt standard & Flow Cytometry Data Presentation
- Assay validation of quantitative rare event analysis
- Cytometry Analysis and Deep Learning
- Changing Paradigms of Automation in Flow Cytometry
- Flow cytometry to Single-cell Sequencing
- Understanding Disease Biology at Single Cell Level
- Travel awards, TCS award for Basic and Clinical Cytometry work, Awards poster & oral presentation
- CME Credits from Delhi Medical Council\*
- Multiple workshops covering Basics to Multi-Omics

\*Awarded

## Workshops

## Dates

Measurable Residual Disease (MRD)	26-27 October, 2023
Basics of Flow Cytometry	26 October, 2023
Transplant Immunology	26 October, 2023
Primary Immunodeficiency Disorders	27 October, 2023
Advancing Research Through Cell Sorting	27 October, 2023
Multi-Omics at the Single Cell Level	27 October, 2023

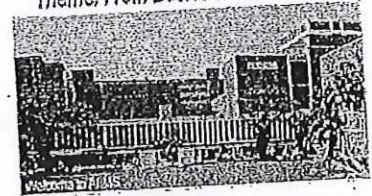
Dear Friends

On behalf of the organizing committee of the 15<sup>th</sup> Annual conference of The Cytometry Society (TCS) New Delhi, India, it gives us immense pleasure to invite you for an academic extravaganza in the specialty of cytometry at the All India Institute of Medical Sciences (AIIMS), New Delhi. The programme is scheduled from 26th October - 29th October 2023, with two days dedicated to the Annual Meeting of The Cytometry Society (26th & 27th October 2023). This parallel hands-on workshops on 26th & 27th October 2023. This meeting will be a realistic opportunity for better understanding of the technology of Cell cytometry and its impact in medical and basic sciences. The objective of this meeting is to share the valuable research along with very valuable expert perspectives gathered while managing the clinical and research facilities in this arena. The guidelines, recommendations, and expert opinions presented here will be an amalgamation of the current information with the pre-existing knowledge.

Confirmed International faculty include Prof. (Dr) Sindhu Cherian (University of Washington, Seattle, WA, USA), besides, all the key opinion leaders at the National level will be participating in this event. The meeting is envisaged to provide a unique platform for medical practitioners as well as basic scientists and researchers to meet and exchange ideas and information on the most recent innovations, trends, and concerns with the experienced faculty of internationally recognized authorities in the fields of Cytometry. We hope that this meeting will disseminate the new information far and wide and benefit all the attendees. The organizing committee of the 15<sup>th</sup> TCS Annual Conference & Workshops welcomes you one & all. We are extremely delighted to host this integrative event at our center and sincerely hope that you shall enjoy the scientific deliberations in similar enthusiasm as we have had in getting this together.



The Cytometry Society-India  
15th Annual Conference & Workshops  
26th-29th October, 2023  
Theme: From Basics to Multi-Omics



Patrons  
Dr. M. Srinivas  
Director, AIIMS, New Delhi  
Dr. Sushma Bhatnagar  
Chief, Dr. BRAIRCH, AIIMS, New Delhi  
Organizing Chairperson  
Dr. Ritu Gupta  
President, The Cytometry Society-India



15th TCS Annual Meeting 2023  
Venue: JLN Auditorium, AIIMS, New Delhi  
Dates: 28th & 29th October, 2023  
Theme: From Basics to Multi-Omics



Printed by: 10/28/2023

Scientific Program: Day 1					
28th October, 2023					
Plenary Session					
Session Chaird By - Prof. Tejinder Singh & Prof. DK Mitra					
Time Slot	Topic/Event	Speaker			
9:00 - 9:45	Journey of Flow Cytometry in India	Dr. Sumet Gujral			
9:45 - 10:15	Imauguration & Welcome Address				
TEA/COFFEE/BREAK					
Session 1: Chaird By - Prof. Sameer Bakshi & Prof. Punit Kaur					
10:45 - 11:30	MI-FlowCyt standard & Flow Cytometry Data Presentation - Issues and remedies thereof	Dr. Sindhu Cherian			
11:30 - 12:00	Dissecting hematological malignancies: Flow-cytometry & Single-cell sequencing	Dr. Ritu Gupta			
12:00 - 12:30	The Ooh, The Aah and The Ouch of - Assay validation of quantitative rare event data acquisition	Dr. Umil Chatterjee			
12:30 - 13:00	Cytometry Analysis and Deep Learning	Dr. Anubha Gupta			
LUNCH/BREAK					
Session 2: Chaird By - Prof. Vibha Tandon & Prof. Kalpana Luthra					
14:00 - 14:30	The cellular path to pathogenesis- A tale of 3 viruses	Dr. Vainav Patel			
14:30 - 15:00	Flow-cytometry approach for diagnosis classification and monitoring of T-cell CLPD	Dr. Prashant Tembhare			
15:00 - 15:30	Chasing the immune checkpoint molecules in HIV-TB co-infection	Dr. Sunil Arora			
15:30 - 16:00	The Future of Discovery: Bridging the intersection of spatial imaging with high parameter spectral flow cytometry	Dr. Robert Balderns			
TEA/COFFEE/BREAK					
Session 3: TCS Best Paper Awards' Presentations					
Chaird By - Prof. Jitendra Kumar, Prof. Anur Das Gupta, Prof. H. Krishnamurthy					
16:15 - 16:30	TCS Best Paper Awards' Presentation- Basic Science				
16:30 - 16:45	TCS Best Paper Awards' Presentation- Clinical				
Session 4: Poster Evaluation & TCS EC Meeting					

Scientific Program: Day 2			
29th October, 2023			
Plenary Session			
Chaird By - Prof. Sanjay K Gupta & Dr. Tanima Deyvadi			
Time Slot	Topic/Event	Speaker	
9:00 - 9:45	Getting Ready for MRD Assessment in the Era of Immunotherapy	Dr. Sindhu Cherian	
9:45 - 10:30	Special Session Chaird By - Dr. Anil Handoo & Dr. Sindhu Laxal	Dr. H. Krishnamurthy	
10:50-11:00	TEA/COFFEE/BREAK		
Session 1: Parallel Sessions - Basic Sciences (Conference Hall, First Floor)			
Chaird By - Dr. Vineeta Agarwal & Dr. Deepika Thakral			
11:00 - 11:20	Tumour associated MDSCs in WM	Dr. Vaishali Bhardwaj	
11:20 - 11:40	Disease Biology at Single Cell Resolution	Dr. Sunil Raghuvar	
11:40 - 12:00	Unlocking the role of proinsulin in type-1 diabetes from a key autoantigen to a primary therapeutic target	Dr. Naresh Sachdev	
12:00 - 12:20	Mesenchymal Stem Cells-Platelet Interactions and wound healing	Dr. Ananya Bhatt	
Session 1: Parallel Sessions - Clinical Sciences (JLN Auditorium)			
Chaird By - Dr. Manu Goyal, Dr. Namrata Awasthi, Dr. Chandan Kumar			
11:00 - 11:20	Translational approach for assay mean expansion in a clinical flow cytometry lab	Dr. Paresh Jain	
11:20 - 11:40	Immunophenotype variants of normal populations- Circumventing pitfalls in MRD reporting	Dr. Kunal Sehgal	
11:40 - 12:00	Diagnosis beyond typical immunophenotypic fingerprint entities - Myelodysplasia - A Pattern Approach	Dr. P.G. Subramanian	
12:00 - 12:20	Going beyond conventional flow cytometric testing - Platelet Activation Tests	Dr. Ravi Datta	
12:20 - 13:00	General Body Meeting of TCS		
13:00 - 14:00	LUNCH/BREAK		
Session 2: Parallel Sessions (Oral Papers)			
Clinical Science- Judges: Dr. Minakshi Kotra, Dr. Tushar Sehgal, Dr. Surika Singh			
Basic Sciences- Judges: Prof. Sunil Raghuvar, Dr. Surender Shrivastava, Dr. Priyavardhana			
14:00-15:30	Oral Papers- Clinical Sciences (JLN Auditorium)		
14:00-15:30	Oral papers- Basic Sciences (Conference Hall)		
15:30-15:45	TEA/COFFEE/BREAK		
Session 3: Chaird By - Dr. Gurima Jain & Dr. Anurita Saraf			



F.No. 17-34/(Comm. 293) ACR CU/Estt I

Laboratory Oncology Unit, Dr. B. R. A.-I.R.C.H., AIIMS, New Delhi  
(Through proper channel)

To,

The Senior Administrative Officer,  
AIIMS, New Delhi

Date: Jan 12, 2021

Sub: Request to review adverse remarks given by Professor In-Charge, Lab Oncology, IRCH, AIIMS, New Delhi for the ACR, Assessment Year 2018-19

Respected Sir,

I wish to bring in your kind attention that Dr Ritu Gupta has put adverse remarks in my ACR, which is below the optimum level. At my center I have been involved in teaching, research and patient care services sincerely. But such a remark is certainly disappointing.

I also want to convey that Dr Ritu Gupta is not entitled to write my ACR, as Lab Oncology is not a notified Department vide letter No. F. 20-56/71- Estt I (2013-14) (Copy attached).

From the ACR proceedings it appears that she knowingly introduced herself with mala fide intention in writing my remarks.

I have frequently acknowledged verbally as well as in writing to the honorable Chief, IRCH, regarding hurdles created by Dr Ritu Gupta during my all kinds of works like patients care services, not offering equipment for diagnostic or research purposes, creating problem in sending research projects. Written proof of all these complaints are available with me, which may be produced on demand.

I wish to make representation over adverse remarks made by her, which needs to be rectified by The Chief, IRCH.

Thanking you.

Yours faithfully

*Amar*

Dr Amar Ranjan Singh  
Additional Professor

डॉ. अमर रंजन, एम.डी., पथोलोजी  
Dr. AMAR RANJAN, M.D. Pathology  
अवर अध्यापक/Additional Professor  
प्रयोगशाला अनुसंधान एकाग Laboratory Oncology Unit  
डी.बी.आर.आई. कैंसर अस्पताल  
Dr. B.R.A.I.R. Cancer Hospital  
आ.भा.आ.सी., नई दिल्ली  
All India Institute of Medical Sciences, New Delhi

May grading as  
Reporting officer should be  
recorded as "outstanding"

12/1/21

डॉ. जी.के. रेड्डी, एम.डी., डी.बी.आर.आई. कैंसर अस्पताल  
Dr. J.K. Reddy, M.D., Dr. B.R.A.I.R. Cancer Hospital  
अवर अध्यापक/Additional Professor  
प्रयोगशाला अनुसंधान एकाग Laboratory Oncology Unit  
डी.बी.आर.आई. कैंसर अस्पताल  
Dr. B.R.A.I.R. Cancer Hospital  
आ.भा.आ.सी., नई दिल्ली  
All India Institute of Medical Sciences, New Delhi

- General professional knowledge whether wide, thorough and up-to-date. *Average knowledge*
- ii. Competence in clinical skills or laboratory skill pertaining to his discipline. *Average skill - 50*

#### V. ADMINISTRATIVE ABILITY

- i. Organising ability.
- ii. Initiative and drive
- iii. Capacity to work in a team.
- iv. General administrative efficiency.

*Average*

- VI. Assessment of the Officer's overall work in his/ her particular position.

Exceptionally brilliant/Outstanding /Well above average standard/Good average man/The average men fairly competent but without special ability or initiative/ Insufficient initiative and capacity for work without constant supervision/ Indifferent but just worth retaining/ Not worth retaining in the present position.

#### GENERAL REMARKS

(Make any general comments you think desirable e.g. special remarks on any characteristics not brought out. Do you agree with the officer's own account of work recorded in this report or is there anything you wish to modify or add)?

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*[Signature]*

Signature of Reporting Officer.....

Designation.....

Date:- .....

*8.5 18/3/19*

डॉ० रीतु गुप्ता / Dr. RITU GUPTA  
प्रभारी आचार्य / Professor & Officer-in-Charge  
प्रयोगशाला अणुवैज्ञान / Laboratory Oncology  
डॉ० बी. रा. अ. सं. रौ. के. सं. / Dr. B.R.A. S.C.  
अ. मा. आ. सं. नई दिल्ली / A.M.S., New Delhi



डॉ० जी. के. राथ, एम. बी. / Dr. G. K. Rath, M.B.  
आचार्य विकिरण अणुवैज्ञान / Professor of Radiation Oncology  
एवं प्रमुख, डॉ० बी. रा. अ. सं. रौ. के. सं. / & Chief, Dr. B.R.A. S.C.  
एवं अध्यक्ष, राष्ट्रीय कैंसर संस्थान / & Head, National Cancer Institute  
(अ. मा. आ. सं. नई दिल्ली) भारत / (AIIMS, New Delhi) India



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61.	Amar Ranjan, Harshita Dubey, Pranay Tanwar, Plasmablastic myeloma vs plasmablastic lymphoma, a diagnostic dilemma; Blood Res Vol. 55, No. S2, Sept. 2020, P. 277.	0.399	Corres. author
62.	Amar Ranjan, Harshita Dubey, Garima Jain, Pranay Tanwar, Chandan Kumar, Role of bone marrow aspirate in the diagnosis of testicular tumour; Blood Res Vol. 55, No. S2, Sept. 2020, P. 286.	0.399	Corres. author
63.	Ekta Rahul, Amar Ranjan, Harshita Dubey; Mantle cell lymphoma of eyelid; Blood Res Vol. 55, No. S2, Sept. 2020, P. 274	0.399	Corres. author
64.	Harshita Dubey, Amar Ranjan; Primary non hodgkin lymphoma of ovary: a rare case report; Blood Res Vol. 55, No. S2, Sept. 2020, P. 274	0.399	Corres. author
65.	Harshita Dubey, Amar Ranjan; Myeloproliferative neoplasm: a rare case report; Blood Res Vol. 55, No. S2, Sept. 2020, P. 300.	0.399	Corres. author



66.	Pranay Tanwar, Imran Haider, Dimpay Gupta, <b>Amar Ranjan</b> , Sameer Bakhshi; Prevalence of wilms tumor-1 (wt1) gene mutation in cases of acute myeloid leukemia from a tertiary referral centre in india; Blood Res Vol. 55, No. S2, Sept. 2020, P. 186	0.399	Cq- Author
67.	Lawanya Ranjan, Rani Kumari Mahkam, <b>Amar Ranjan</b> , Digital fitness tracking apparatus in oncology, Blood Res Vol. 55, No. S2, Sept. 2020, P. 287	0.399	Corres. author
68.	RK Mahkam, Lawanya Ranjan, <b>Amar Ranjan</b> ; physical therapy in cancer, miles to go in developing countries, Blood Res Vol. 55, No. S2, Sept. 2020, P. 289	0.399	Corres. author
69.	Utkarsh Dubey, <b>Amar Ranjan</b> , Harshita Dubey, Recent advancements in digital health innovation in management of cancer; Blood Res Vol. 55, No. S2, Sept. 2020, P. 290	0.399	Corres. author
70.	<b>Amar R</b> , Pranay T, Rimlee D, plasmablastic lymphoma and plasmablastic myeloma; is the two an outcome of single disease process? Blood Res. No. Suppl.2, Aug 2019	0.399	Corres. author
71.	Harshita D, <b>Amar R</b> , Pranay T; Megakaryocytes in peripheral blood smears in a case of chronic myeloid leukemia, Blood Res. No. Suppl.2, Aug 2019	0.399	Corres. author
72.	<b>Amar R</b> , Pranay T; pattern of presentations in plasma cell leukemia in India, Blood Res. No. Suppl.2, Aug 2019	0.399	Corres. author
73.	Pranay T, Dimpay G, <b>Amar R</b> , Sameer B; Comparative evaluation of WT1 gene expression at diagnosis and end of induction of acute myeloid leukemia as a biomarker for therapy response; Blood Res. No. Suppl.2, Aug 2019	0.399	Co- author
<b>BOOK CHAPTERS</b>			
1	Aggarwal J, Ranjan A, Midha U, Dubey H, Dutta R, Gupta S; Oxidative Stress in Breast Cancer; "Perspective of Recent Advances in Medical Science Vol.3", Chapter 5 Print ISBN: 978-81-961090-4-2, eBook ISBN: 978-81-961090-0-4, DOI: 10.9734/bpi/pramr/v4/4047B <a href="https://www.bookpi.org/bookstore/product/perspective-of-recent-advances-in-medical-research-vol-4/">https://www.bookpi.org/bookstore/product/perspective-of-recent-advances-in-medical-research-vol-4/</a>	Corresponding Author	
2	Aggarwal J, Ranjan A, Khan M.A., Dubey H, Midha U, Dutta R, Recent Advances in the Management of Neurological Disorders: Raising Hopes and Future Challenges, for "Perspective of Recent Advances in Medical Research, Vol.3." Chapter 4 Print ISBN: 978-81-960791-8-5, eBook ISBN: 978-81-960791-3-0; DOI: 10.9734/bpi/pramr/v3/4024B <a href="https://www.bookpi.org/bookstore/product/perspective-of-recent-advances-in-medical-research-vol-3/">https://www.bookpi.org/bookstore/product/perspective-of-recent-advances-in-medical-research-vol-3/</a>	Corres. author	
3	Dubey H, Modi M, Verma S, Sinha R, Goel H, Ranjan A, Tanwar P, Chopra A, Rahul E, Ranjan L, Verma N. Role of Human Epididymis Protein 4 in Tumour Angiogenesis. In Recent Advances, New Perspectives and Applications in the Treatment of Ovarian Cancer 2022 Jul 8. IntechOpen. DOI:10.5772/intechopen.105678	Corres. author	
4	Mahto, K. K., Prasad, P., Kumar, M., Dubey H., Ranjan, A. Role of CRISPR Technology in Gene Editing of Emerging and Re-emerging Vector Borne Disease. In: Puerta-Guardo, H., Manrique-Saide, P., editors. Mosquito Research - Recent Advances in Pathogen Interactions, Immunity, and Vector Control Strategies. London: IntechOpen; 2022. Available from: <a href="https://www.intechopen.com/online-first/81476">https://www.intechopen.com/online-first/81476</a> doi: 10.5772/intechopen.104100	Co-Author	
5	Ranjan A, Dubey H, Pramanik R, Sethi D, Tanwar P, Ranjan L, Chandrashekhara SH, Wadhwani M. Determination of Lymphoma without Peripheral Lymphadenopathy: An Approach to Definitive Diagnosis by Flowcytometry. Issues and Developments in Medicine and Medical Research Vol. 6. 2022 Feb 4:131-43.	Corres. author	
6	Ranjan A, Rizwan A, Ranjan L, Dubey H, Ray MD. Research and Publication: Importance in the 21st Century. In Multidisciplinary Approach to Surgical Oncology Patients 2021 (pp. 143-149). Springer, Singapore.	Corres. author	



## Funded Research Grants

## Principal Investigator

S. No	Title	Date/Year	Funding Agency	Budget (Lakh)	Status
1	Evaluation of thrombopoietin as a marker of sepsis in post operative cases of gastrointestinal malignancy	09/09/2015 to 08/09/2016	AIIMS, New Delhi	4.00	Completed A-348
2	Evaluation of HE4 level in epithelial ovarian cancer for diagnosis & monitoring of therapy	01.08.2017 to 31.07.2022	ICMR, New Delhi	40.0	Completed I-971
3	Prognostic evaluation of thrombopoietin following surgery in gastrointestinal cancer patients	06.09.2018 to 05.09.2019	Oncology Forum, New Delhi	1.50	Completed N01896
4	Analysis of expression of biomarkers in ovarian cancer	26.08.2019 to 25.08.2021	AIIMS, New Delhi	10.00	(A-698)
5	Clinicopathological correlation of Mantle cell lymphoma, single center study	09.03.2021	Non-funded project	0.00	
6	Establishment of diagnostic scoring system for Plasmablastic lymphoma	25.09.2021	Non-funded project	0.00	
7	Establishing the cause in sudden unexplained deaths in Young [TASK FORCE PROJECT]	March 2023- Feb 2028	ICMR, New Delhi	2.00 Crore	Ongoing

MBBS Mentorship Program  
AIIMS, DELHI

1	To evaluate the role of thrombopoietin as a biomarker for sepsis in post-operative cases of thoraco-abdominal surgery Candidates: Mr Saransh Verma & Mr ARA Haque	17.08.22	One year scheme	2.00	UG-45
2	Clinical evaluation of IEX1 & FOXJ1 gene expression in ovarian cancer Candidates: Mr Jitendra Yadav & Mr. Raghaven Khandal	25.05.2022	One year scheme	2.00	UG-43
3	Evaluation of HE4 as a prognostic biomarker in breast cancer Candidates: Mr Kuldeep Meena & Mr. Soyeab Aftab		Under IEC consideration	2.00	

## Guide in thesis (PhD Student)

Ph.D.	Finding novel diagnostic and prognostic biomarkers in ovarian cancer Candidate: Ms Harshita Dubey	Feb 2020 - 23	NA	NA	Ongoing
SRF	Role of Cancer Testis Antigen gene 45 (CT45) as a Diagnostic and Prognostic biomarker in Ovarian Cancer	11.11.2022			Ongoing
PDF	Evaluation of therapeutic effect of Carica papaya leaf extract on chemotherapy induced thrombocytopenia in ovarian cancer	Awaited			



## Non-funded Research Projects:

S.No	Title	Date	status
1	Clinicopathological correlation of Mantle cell lymphoma, single centre study	09.03.2021	ongoing
2	Establishment of diagnostic scoring system for Plasmablastic lymphoma	25.09.2021	ongoing
3	Finding a predictive biomarker for spread of cancer cell in central nervous system	28.04.2023	ongoing

## Services: Routine reporting of

- Bone marrow/ PBF/ Flow-cytometer/ Cytology
- Forensic Pathology Reporting: Doing it single handedly for last 10 years

## UNDERTAKING

I, solemnly affirm that the information furnished above is true and correct in all respects to the best of my knowledge.

Place: 15.11.23

Amar Ranjan Singh  
Signature of the Candidate

**Annexure II****Problems created by Dr Ritu Gupta, Professor In-Charge, Lab Oncology, IRCH, AIIMS, New Delhi**

The behavior of Dr Ritu Gupta has always been discriminating towards me. She has been doing my work harassment for the last 6 years after she assumed the position of Officer-In charge. Despite the fact known to her, that she is not the eligible officer to report on my APAR, she deliberately marked my APAR "below average" (copy Attached). She instigates technical staff against me. She also tried to encroach laboratory space allotted to me by the Director. She shows her vindictive behavior against me at multiple platforms such as in the laboratory as well as other departments and academic forums. She insulted me in front of all technical staff and faculty members on Feb 5<sup>th</sup>, 2023. She has been publically doing my character assassination and makes fun of me in front of other faculty members.

She doesn't forward my applications for research projects and conferences and always put demeaning remarks. She also played a pivotal role in stopping the routine clinical services of tumor markers started by me at Dr. BRA-IRCH. She even tried to stop my service of USG guided Cytology, however could not do so due to active & supportive intervention by Chief, Dr Sushma Bhatnagar. She was not allowing me to report in the advance laboratories, which was started after intervention by the current Chief.

She has been violating all the institutional rules for Good Governance/transparent administration and not allowing me to buy any equipment for routine patient care services. She does not take my inputs in buying any high end equipment. She favors certain faculty members and vendors. Her instruments specifications are usually favored for specific brands and the specification is being signed by scientist as faculty members. She has been using institutional resources for her own research, which is absolutely against the mandate of AIIMS as well as funding agencies.

**I come from a very humble and underprivileged background from a village of Bihar. I am under severe mental stress and feeling worthless due to continuous work harassment. It appears to me that I have done nothing in my life. I am also feeling that all the sacrifices made by me and my parents have gone waste.**

I also request a fair enquiry of her conduct as a biased administrator and also to look into procurements done by her in last 5 years. I am attaching following documents in the support of my allegations:



- i. General professional knowledge whether wide, thorough and up-to-date. *Average knowledge*
- ii. Competence in clinical skills or laboratory skill pertaining to his discipline. *Average skill - sub*

V. ADMINISTRATIVE ABILITY

- i. Organising ability
- ii. Initiative and drive
- iii. Capacity to work in a team.
- iv. General administrative efficiency.

*Average*

VI. Assessment of the Officer's overall work in his/ her particular position

Exceptionally brilliant/Outstanding /Well above average standard/Good average man/The average men fairly competent but without special ability or initiative/ Insufficient initiative and capacity for work without constant supervision/ Indifferent but just worth retaining/ Not worth retaining in the present position.

GENERAL REMARKS

(Make any general comments you think desirable, e.g. special remarks on any characteristics not brought out. Do you agree with the officer's own account of work recorded in this report or is there anything you wish to modify or add?)

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*[Handwritten signature]*

Signature of Reporting Officer..... *25/6/19*

Designation.....

Date.....



डॉ० जी.के.रथ, एम. डी./Dr. G. K. Rath, M.D.  
आचार्य विकिरण अणुविविज्ञान/Professor of Radiation Oncology  
एवं प्रमुख, सी.सी.आर.अ.सी.के.अ./& Chief, DR. B.R.A.R.C.H.  
एवं अध्यक्ष, राष्ट्रीय कैंसर संस्थान/Head, National Cancer Institute  
(अ.भा.अ.सं. नई दिल्ली) भारत/(AIIMS, New Delhi) India



डॉ० रितु गुप्ता/Dr. RITU GUPTA  
प्रभारी आचार्य / Professor & Officer-in-Charge  
प्रयोगशाला अणुविविज्ञान / Laboratory Oncology  
डॉ० बी.रा.अ.सी.के.अ. संस्थान/Dr. B.R.A. I.R.C.  
अ.भा.अ.सं. नई दिल्ली/AIIMS, New Delhi



## Event Highlights

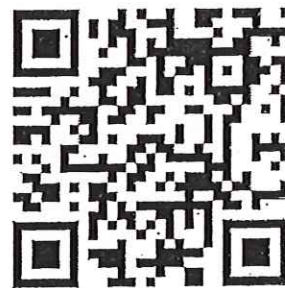
- 32 hours of academic extravaganza
- Topics covering cutting research and clinical applications in cellular analysis.
- MI-FlowCyt standard & Flow Cytometry Data Presentation
- Assay validation of quantitative rare event analysis
- Cytometry Analysis and Deep Learning
- Changing Paradigms of Automation in Flow Cytometry
- Flow-cytometry to Single-cell Sequencing
- Understanding Disease Biology at Single Cell Level
- Travel awards; TCS award for Basic and Clinical Cytometry work; Awards poster & oral presentations.
- CME Credit hours from Delhi Medical Council\*
- Multiple workshops covering Basics to Multi-Omics

\*Awaited

Workshops	Dates
Measurable Residual Disease (MRD)	26-27 October, 2023
Basics of Flow Cytometry	26 October, 2023
Transplant Immunology	26 October, 2023
Primary Immunodeficiency Disorders	27 October, 2023
Advancing Research Through Cell Sorting	27 October, 2023
Multi-Omics at the Single Cell Level	27 October, 2023

## For Registration

Website: <https://cytomteryindia.org/registration>



Scan QR Code

## Dear Friends

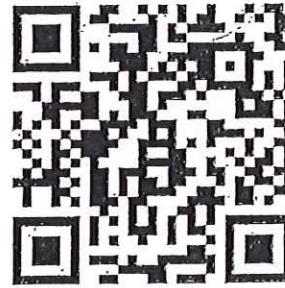
On behalf of the organizing committee of the 15<sup>th</sup> Annual conference of The Cytometry Society (TCS) [[www.tcs.res.in](http://www.tcs.res.in)], India, it gives us immense pleasure to invite you for an academic extravaganza in the speciality of cytometry at the All India Institute of Medical Sciences (AIIMS), New Delhi. The programme is scheduled from 26th October -29th October 2023, with two days dedicated to the Annual Meeting of The Cytometry Society (28th & 29th October) preceded by multiple parallel hands-on workshops on 26th & 27th October 2023. This meeting will be a realistic opportunity for better understanding of the technology of Cell cytometry and its impact in medical and basic sciences. The objective of this meeting is to share the valuable research along with very valuable expert perspectives gathered while managing the clinical and research facilities in this arena. The guidelines, recommendations, and expert opinions presented here will be an amalgamation of the current information with the pre-existing knowledge.

Confirmed international faculty include Prof. (Dr) Sindhu Cherian (University of Washington, Seattle, WA, USA), besides, all the key opinion leaders at the National level will be participating in this event. The meeting is envisaged to provide a unique platform for medical practitioners as well as basic scientists and researchers to meet and exchange ideas and information on the most recent innovations, trends, and concerns with the experienced faculty of internationally recognized authorities in the fields of Cytometry. We hope that this meeting will disseminate the new information far and wide and benefit all the attendees.

The organizing committee of the 15th TCS Annual Conference & Workshops welcomes you one & all. We are extremely delighted to host this integrative event at our center and sincerely hope that you shall enjoy the scientific deliberations in similar enthusiasm as we have had in getting this together.

## For Abstracts & Awards

Website: <https://cytomteryindia.org/abstract>

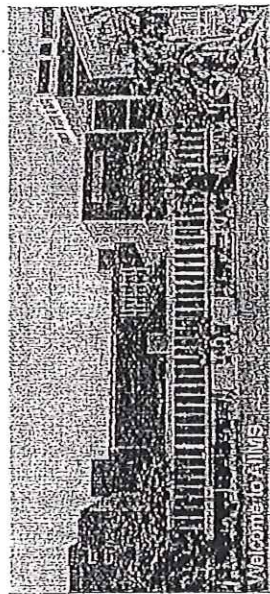


Scan QR Code



## The Cytometry Society-India 15th Annual Conference & Workshops 26th -29th October, 2023

Theme: From Basics to Multi-Omics



## Patrons

Dr. M. Srinivas

Director, AIIMS, New Delhi

Dr. Sushma Bhatnagar  
Chief, Dr. BRAIRCH, AIIMS, New Delhi

## Organizing Chairperson

Dr. Ritu Gupta

President, The Cytometry Society-India

## Organizing Secretary

Dr. Anil Handoo

Vice-President, The Cytometry Society-India

## Co-Organizing Secretary

Dr. Nitin Dayal

EC Member, The Cytometry Society-India

## Organizing Committee

Dr. Sanjeev K. Gupta      Dr. Sachin Jain  
Dr. Smeeta G.              Dr. Gurvinder Kaur  
Dr. Deepshi Thakral        Dr. Lata Rani  
Dr. Rupesh Srivastava      Mr. G. Srinivas  
Dr. Sandeep Rai              Mrs. Saroj Singh  
Dr. Kamal Gulati

## Venue

All India Institute of Medical Sciences, New Delhi



11/14/23, 1:17 PM

Welcome to Rediffmail: Inbox

rediffmail

55  
Mailbox of dr.amarranjan

Subject: Request to stop any new Service in R. No 421

From: amar ranjan<dr.amarranjan@rediffmail.com> on Wed, 15 Feb 2023 09:55:10

To: <sushmabhatnagar1@gmail.com>

Cc: <drritugupta@gmail.com>, <maheshbelagere@gmail.com>

---

1 attachment(s) - IMG\_20230215\_094206.jpg (3.77MB)

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Dear Madam,

Dr Ritu has started hematology staining and several other services in R. No. 421, which was being used for "Cytology staining" and Research Tests by my PhD Student Harshita Dubey. My Data Entry Operator used to st there. My own Room is 6'x8' size, much smaller than usual room size. Harshita's research samples, equipment and many personal items are there. THAT ROOM IS ALLOTTED IN MY NAME (COPY ATTACHED)

The needful may kindly be done on urgent basis.

Thanking you,

Yours faithfully,

Amar Ranjan



operational support. Dr Amar Ranjan would provide back-up support. Dr Pranay Tanwar goes on leave during the development of this facility [Action: All concerned]

b) Starting a Histopathology lab to start with for Bone marrow & Lymph Node biopsy in Room No. 421 to cater to the patients at Dr BRAIRCH. As decided earlier by the Enquiry Committee and subsequently endorsed by the Oversight Committee, Dr Amar Ranjan should be given the responsibility to develop this facility. He has already undergone training at ACIREC and should plan to start limited HCT/Tumour marker tests in due course of time. Prof D N Rao agreed to provide technical support and invited him to get associated with his dept which was carrying out tests on cancer patients from Medical Oncology. Prof Rajive Kumar would provide operational support with regard to technical manpower and Senior residents. Dr Pranay Tanwar would provide back-up support when he goes on leave during the development of this new facility [Action: All concerned]

c) Research Laboratory in Room no 156. As decided earlier by the Enquiry Committee, this room had been allotted to Dr Ritu Gupta, Additional Professor. She informed that she had shifted her research equipment (procured from Research funds) to that room and had requested the Engineering division for requisite renovation works.

Prof. Rajive Kumar had sent a letter to Chief, Dr BRAIRCH dated 27-07-16 requesting for a research lab and informing that Dr Ritu Gupta has kept Room no 419 and 419A in addition to Room 156. This issue had also been raised by Prof H P Pati and comments on the same had been sought from Dr Ritu Gupta. She had informed that Room no 419A is being used for culture work as room 156 is under renovation. Room no 419 is being used for sample collection and sample preparation for Myeloma lab due to space constraint there. After discussion, the Committee decided that the number of sample for myeloma is small & therefore she should vacate Room 419 immediately and sample for myeloma will be collected in Room no 8 where all blood samples are collected. Room 419A to be vacated by her once renovation is completed in Room 156 in accordance with earlier decision. Myeloma lab should continue in Room 414 where it was earlier. As regards request of Prof. Rajive for a research lab, this issue could not be discussed and would be taken up in subsequent meeting.

d) Cyto-genetics laboratory. This issue was discussed during the meetings held on 2<sup>nd</sup> and 20<sup>th</sup> July and it was informed that a Cyto-genetics work station costing about 70 lakh would be required. Members were informed that Dept of Medical Oncology had projected for this item which had been approved by competent authority. It was decided that this item being a high cost item should

*[Handwritten signatures and initials at the bottom of the page]*



Laboratory Oncology Unit, Dr. B. R. A.-I.R.C.H., AIIMS, New Delhi  
(Through proper channel)

To,

Date: March 15, 2022

The HOD,  
Department of Pathology,  
AIIMS, New Delhi

Sub: Regarding posting in Immuno-histochemistry (IHC) Lab

Dear Sir,

Ms Harshita Dubey, is a PhD Student in Lab Oncology Unit, who has IHC works in her thesis. She needs training for IHC technique. She may kindly be allowed for the same in your department.

Thanking you.

Yours faithfully

Dr. Amar Ranjan  
Additional Professor

डॉ. अमर रंजन, एम.डी. पथोलोजी  
Dr. AMAR RANJAN, M.D. Pathology  
अपर आचार्य/Additional Professor  
प्रयोगशाला अर्बुदविज्ञान एकक / Laboratory Oncology Unit  
डॉ. बी. रा. अ. रौ. कैंसर अस्पताल  
Dr. B.R.A. I. R. Cancer Hospital  
अ. भा. आ. रा., नई दिल्ली  
All India Institute of Medical Sciences, New Delhi

Dr. Ritu Please see

see

Since Dr. Amar Ranjan Singh is  
Chief Guide for the PhD student  
& he himself is holding the keys to  
the departmental Bone marrow biopsy  
lab & requisite IHC infrastructure,  
he is advised to train the student  
responsibly. If help is desired from  
Pathology department, Dr. Singh may  
pursue the same at his own  
level.

19/3/22

File

Dr. Anand may speak to  
HOD Pathology on personal level  
Jual  
19/3

Laboratory Oncology Unit, Dr. B. R. A.-I.R.C.H., AIIMS, New Delhi

To,

Date: Jan 18, 2021

The PHA,

IRCH, AIIMS, New Delhi

Sub: Regarding Tumor Marker Services

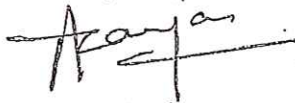
Respected Sir,

Tumor Marker Services were being run at IRCH in association with Biochemistry Dept since 2016-17 after recommendation of Oversight Committee. This service was discontinued after havoc of COVID 2019. On dated Oct 10, 2020; I got letter from Biochemistry Dept to restart it again. Regarding this I sent letter to Dr Ritu Gupta twice who didn't reply me yet. I am attaching all the relevant copies.

I request you to help me to restart this service again.

Thanking you.

Yours faithfully,



Dr. Amar Ranjan

Assistant Professor

डॉ. अमर रंजन, एम.डी. पथोलॉजी  
Dr. AMAR RANJAN, M.D. Pathology  
अपर आचार्य/Additional Professor  
प्रयोगशाला अर्बुदविज्ञान एकाग / Laboratory Oncology Unit  
डॉ. भी. रा. अ. रो. कैंसर अस्पताल  
Dr. B.R.A. I. R. Cancer Hospital  
अ.भा.आ.सं., नई दिल्ली  
All India Institute of Medical Sciences, New Delhi

Attachments:

1. 1<sup>st</sup> letter to Dr Ritu Gupta
2. Letter from Biochemistry Dept
3. 1<sup>st</sup> letter to Dr Ritu Gupta

If I remember correctly, it was decided during Covid pandemic that all tumor marker tests will be done at NCI Core Lab. It would not be prudent to duplicate service when AIIMS has invested in the Core Lab. We may inform Dept of Biochemistry accordingly.

Dear Sir,

I am the S/C of Tumor Marker services at IRCH. Who & who took the decision? Is this the way of running a dept? I would like to have a copy of decision.

Please be aware that Tu. Marker services at NCI is chargeable, whereas it was free at IRCH.



डॉ० नीता म-ई.ए.ए.ओ-इफ्.गो.पू.स

दिनांक/Date 26/2/20

WHERE IN THE / Faculty Cell  
 ACCOUNT NO. 110028  
 ALL IN THE / New Date 110028  
 DATE / 11/01/01  
 SIGNATURE / Date  
 316

26/1/2020

डॉ. रितु गुप्ता / Dr. RITU GUPTA  
अध्यक्ष एवं प्रभारी अधिनीति / Professor & Officer-in-Charge  
प्रयोगशाला अशुंविज्ञान एवं राष्ट्रीय कैंसर संस्थान-प्रयोगशाला, झज्जर  
Laboratory Oncology & National Cancer Institute-Laboratory, Jhajar  
जी.पी.टी.अ. ३, डी.टी.ई.अ. ३, झज्जर, नई दिल्ली / Dr. BRARCH, AIIMS, New Delhi

Faculty cell  
Cv<sup>2</sup>

649216 (2020) IRLD

Laboratory Oncology Unit, Dr. B. R. A.I - R.C.H., AIIMS, New Delhi  
(Through proper channel)

To,

Date: Jan 14, 2020

The Dean,

Academic Section,


AIIMS, New Delhi-110029


Sir,

I wish to have a student who seeks observer ship at our Institute. One student may kindly be sent to my department, so that I will be able to perform my works relatively in smooth manner.

Thanking you.

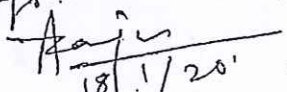
Yours faithfully

  
Dr. Amar Ranjan  
Assistant Professor

 डॉ० अमर रंजन, एम.डी. (पैथोलॉजी)  
Dr. AMAR RANJAN, M.D. (Pathology)  
सह आचार्य / Associate Professor  
प्रयोगशाला अर्थविज्ञान इकाई / Laboratory Oncology Unit  
डॉ. बी. रा. अ. रंजन अस्पताल / Dr. B. R. A.I.R.C.H.  
अखिल भारतीय आयुर्विज्ञान संस्थान, नई दिल्ली  
All India Institute of Medical Sciences, New Delhi-110029

Dr. Amar Ranjan Sir  
Kindly specify under which  
scheme rule the above request  
is being submitted.

8.5 OKS  
17/1/2020

Dear Madam,  
This application is as per the rules of Institute  
for short term fellowship programme.  
  
18/1/20

fwd to seniors :

It is not clear ~~from~~ from the above  
request as to under what rule &  
process this can be accommodated. A blank  
P.T.O.



from pupae !

61

approval for a student cannot be  
given by the department.

P. S. SPS  
27/1/2020



डॉ. रितु गुप्ता / Dr. RITU GUPTA  
आचार्य एवं प्राचीन अधिकारी / Professor & Officer-in-Charge  
प्रयोगशाला अंतर्मुखित्व एवं राष्ट्रीय कैंसर संस्थान-प्रयोगशाला, जेएनएच  
Laboratory Oncology & National Cancer Institute-Laboratory, Jharkhand  
डॉ. रितु गुप्ता, नई दिल्ली / Dr. RITU GUPTA, New Delhi

(Through proper channel)

अनुसंधान अनुभाग/ Research Section  
अ.पा.आ.स. नई दिल्ली/AIIMS, New Delhi  
21 DEC 2015  
Date: Dec 1  
प्राप्त किया/Received

19/12

OFFICIATING CHIEF

OFFICIATING CHIEF  
DR. B. R. A. I. R. C. M.  
J.M.S., New Delhi-110029



[illegible]

64

600694/2019/IRCH

Laboratory Oncology Unit, Dr. B. R. A.I.R.C.H., AIIMS, New Delhi

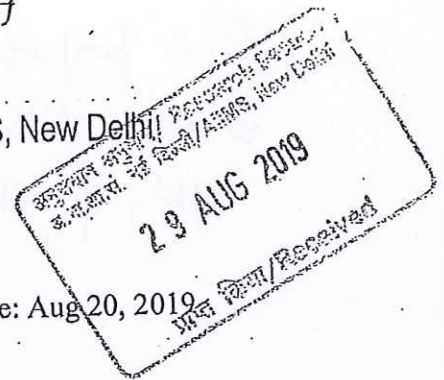
(Through proper channel)

उत्तुल्लेख अनुमति/Research Section  
डॉ. बी. आ. अग्रवाल/AIIMS, NEW DELHI-29

30 AUG 2019

आवृत्ति संख्या/DIARY NO. 10211

Date: Aug 20, 2019



To,

The Dean Research,  
Research Section,

AIIMS, New Delhi-110029

Subject: National Post Doctorate Fellowship Program for Dr Rani Deepak advertized  
by Dept of Health Research, New Delhi

Madam,

Please find attached application of Dr Rani Deepak for applying DHR- Fellowship Program for Women Scientists. The proposed research project is "Evaluation of Cell Free DNA in peripheral blood as a biomarker in the diagnosis and therapeutic monitoring of ovarian cancer".

Thanking you.

Yours faithfully

Dr. Amar Ranjan  
Assistant Professor

डॉ. अमर रंजन राय/Dr. AMAR RANJAN, MD  
असिस्टेंट प्रोफेसर/Assistant Professor  
उत्तुल्लेख अनुमति, Laboratory Oncology Unit  
डॉ. बी. आ. अग्रवाल, Institute of Health Research  
आयुर्वेदिक विभाग, आई आईसी-29  
Institute of Medical Sciences, New Delhi-110029

RD to Dr. Amar R. Ranjan  
2 weeks  
Date

Dr. R. Gupta  
21/8/19

डॉ. रीतु गुप्ता/Dr. RITU GUPTA  
प्रभारी आचार्य / Professor & In-charge  
प्रयोगशाला अनुमति / Laboratory Oncology  
डॉ. बी. आ. अग्रवाल, आई आईसी-29, A.I.R.C.H.  
अमरा, सं. नई दिल्ली/A.I.R.C.H., New Delhi-110029

Dr. Ranjan

This proposal was sent by you  
earlier with a different title  
directly to Research Section. The  
concerned faculty may clarify the  
discrepancy & submit single proposal  
complete & correct in all aspects.



That proposal was wrongly sent directly to research section. With minor rectification in title I have been applying the same again. Kindly do the needful

*[Signature]*  
26/8/19

Fund is remains:

The department has no benchmark space to spare for additional fellows. No additional office/lab or bench space would be made available to Dr. AR Singh as the fellow for this work at Lab Oncology, IRCH.

*[Signature]*  
28/8/19

डॉ० रितु गुप्ता / Dr. RITU GUPTA  
प्रभारी आचार्य / Professor & Officer-in-Charge  
प्रयोगशाला अतुलविज्ञान / Laboratory Oncology  
डॉ० बी. रा. अ. सं. रौ. कैंसर अस्पताल / Dr. B.R.A., IRCH  
अ. भा. आ. सं. नई दिल्ली / A.I.M.S., New Delhi-110029

forwarded *[Signature]* Rule  
*[Signature]*  
29/8

डॉ. रतु गुप्ता DR. RATU GUPTA  
प्रोफेसर & Officer in Charge  
B.R. &  
NEW DELHI-110022



Laboratory Oncology Unit, Dr. B. R. A.-I.R.C.H., AIIMS, New Delhi  
(Through proper channel)

To,

Date: Aug 9, 2017

The Chief,  
IRCH, AIIMS, New Delhi

Respected Sir,

Please find attachment enlisting the name of equipments to be purchased in the financial year 2017-18. Specifications for the equipments will be submitted in due course of time.

Thanking you.

Yours faithfully

*Amar*

Dr. Amar Ranjan

Assistant Professor

डॉ. अमर रंजन, एमडी/Dr. AMAR RANJAN, MD  
सहायक प्राध्यापक/Assistant Professor  
प्रयोगशाला अंतर्गत/Under Laboratory Oncology Unit  
लोकस रंजीत मेमोरियल/Institute Rotary Cancer Hospital  
अखिल भारतीय आयुर्विज्ञान संस्थान, नई दिल्ली-110029  
All India Institute of Medical Sciences, New Delhi-110029

*Dr Amar*  
*please do*  
*NA as advised*  
*by the head*  
*9/8/17*  
*19/8/17*

End to chief, IRCH with the following request  
for NA as per letter:-

- ① The enclosed list of equipments is not duly signed by the requisitioner himself.
  - ② The requisitioner has already been asked to give a detailed presentation on feasibility of carrying out utilization of equipments requested (especially for biochemical tests) and has not responded till date.
- In view of the above, the enclosed list is not recommended - 9.5 gms  
28/11

**Details of Proposals 20, 218**  
**BUDGET ASSESSMENT COMMITTEE, AIIMS, New Delhi**

S. No.	Name of equipment	Quantity required	Approximate cost of the Equipment	Is this first time requirement or the up gradation of the existing Equipment	Quantity of the Equipment already present in the dept	How many of these Equipment are functional in the depart	Brief justification of the purchase of the Equipment	Availability of the manpower and the space for the Equipment	Whether the Equipment is used for the clinical work or research work	If for research, can this Equipment be purchased from the project fund	Name and the designation of the requesting faculty
1	Biomarker measuring unit	one	30 Lacs	First time purchase	Nil	Nil	Required for assessment of Tumor markers	Available	Clinical patient care services and research	Will be used for clinical services	Dr. Amar Ranjan Asst. Prof. of Lab Oncology, Dr. B.R.A.I.R AIIMS
2	ELISA reader with washer	One	5 Lacs	First time purchase	Nil	Nil	Required for Viral markers	Available	—do—	—do—	—do—
3	Coagulation analyzer	One	40 Lacs	First time purchase	Nil	Nil	Required for coagulation profile	Available	—do—	—do—	—do—
4	Fully automated Biochemistry analyzer	Two	50 Lacs	First time purchase	Nil	Nil	Required to start Biochemistry services	Available	—do—	—do—	—do—
5	Deep freezer (-86 C)	Three	21 lacs	First time purchase	Nil	Nil	Required to start Biochemistry services.	Available	—do—	—do—	—do—
6	Critical care markers (Mispa-i2/3)	02	5 lacs	First time purchase	Nil	Nil	Required to start CRP, ASO, RF, etc	Available	—do—	—do—	—do—
7	Deep freezer (-40 C)	02	14 lac	1st time purchase	One	One	Required to start Biochemistry services	Available	—do—	—do—	—do—
8	Specific protein assay	02	5 lacs	1st time purchase	One	One	Required to start critical care analysis services	Available	—do—	—do—	—do—

Certified that above mentioned equipments are required for clinical/ research and educational/ teaching purpose

Signature of Faculty member

Signature of Chief



69

**Rediffmail**

Mailbox of dr.amarranjan@rediffmail.com

Print

Cancel

From: amar ranjan<dr.amarranjan@rediffmail.com>

To: <gkrath@rediffmail.com>

Subject: Working on ELISA reader in Dr Ritu Gupta's Lab

Date: Thu, 18 May 2017 20:37:51 IST

Cc: <gkrath2006@gmail.com>

Respected Sir,

I was to take reading on ELISA Reader in R. No. 156 at 6.00 PM after consulting with DR RITU GUPTA. But the Room was locked. Lastly i took the reading in Medical Oncology Lab. This is for your kind information.

Regards,

Your sincerely,

Dr.Amar Ranjan,MD

Assistant Professor,Room No. 422, Cancer Institute, All India Institute of Medical Sciences (AIIMS), New Delhi-110029, INDIA

Mob.+91-9968328620, WhatsApp No. 8800480443 Tel: 011-29575411

Print

Cancel





**ALL INDIA INSTITUTE OF MEDICAL SCIENCES**  
**ANSARI NAGAR, NEW DELHI-110029**

Minutes of the Meeting of HR Sub-Committee held on December 1, 2023 at 3:00 PM to Consider recommendations of the Standing Selection Committee of AIIMS, New Delhi for promotion of faculty members to next higher grade under Assessment Promotion Scheme.

\*\*\*\*\*

The meeting of the HR Sub-Committee was held under the chairmanship of Shri Sudhansh Pant, Secretary (Health), on December 1, 2023, at 3:00 PM at MoHFW, Nirman Bhawan, New Delhi, to consider the recommendations of the Standing Selection Committee of AIIMS, New Delhi, for promotion of faculty members to the next higher grade under the Assessment Promotion Scheme. The following members of the committee attended the meeting:-

- |                              |   |                    |
|------------------------------|---|--------------------|
| 1) Shri Sudhansh Pant        | - | Chairman           |
| 2) Dr. Atul Goel             | - | Member             |
| 3) Shri Jaideep Kumar Mishra | - | Member             |
| 4) Dr. M. Srinivas           | - | Member - Secretary |

The Committee was informed that the Governing Body, in its meeting held on October 10, 2017, vide agenda item No. GB-155/6, had decided to constitute HR Sub-Committee to approve the recommendations of Standing Selection Committee, before these recommendations are submitted to President, AIIMS, New Delhi for approval.

This will allow the selected candidates to join without waiting for the Governing Body Meeting. Ex-post-facto approval of the Governing Body is obtained subsequently.

The HR Sub-Committee was informed that the Standing Selection Committee had meetings in Phase-1 from October 29, 2023, to November 1, 2023) and in Phase-2 from November 19, 2023, to November 22, 2023 to assess eligible faculty member for promotion under the Assessment Promotion Scheme (APS).

*(Signatures of Shri Sudhansh Pant, Dr. Atul Goel, Shri Jaideep Kumar Mishra, and Dr. M. Srinivas)*

3) From Additional Professor to Professor for the batch w.e.f. 01.07.2013:-

S.No	Name of faculty members	Department/Specialty	Recommendation of the Standing Selection Committee (FIT/UNFIT)
01	Dr. Asmita Patil	Physiology	FIT
02	Dr. Maroof A. Khan	Biostatistics	FIT
03	Dr. Archana Singh-I	Biochemistry	FIT
04	Dr. Renu Bhatia	Physiology	FIT
05	Dr. Prabhoo Dayal	Psychiatry for NDDTC	FIT
06	Dr. Amar Ranjan Singh	Laboratory Oncology	UNFIT

Detailed remarks as recorded by the Standing Selection Committee while declaring various faculty members UNFIT for promotion are reproduced below:-

1. Sl. No. 56. - Dr. Barre Vijaya Prasad from Assistant Professor of Clinical Psychology to the grade of Associate Professor of Clinical Psychology for the batch w.e.f. 01-07-2023 :-

- "No clarity about assessment of Children with Neurodevelopmental disorders in terms of tool to be used and disability quantification
- He was not able to explain thoroughly Psycho-social Rehabilitation of severely mentally ill.
- The candidate is not aware of recent developments in the area of his work. He is also not aware of new recommended disability guidelines.
- He has no knowledge about the recommendations of approaches to be used for reaching the community.
- He was not able to answer about the barriers in using western tests in Indian population".

2. Sl. No. 19 - Dr. Ritesh Kumar Netam from Associate Professor of Physiology to the grade of Additional Professor of Physiology for the batch w.e.f. 01-07-2023:-

- "Research Publications: No publication as first or corresponding author.
- Response to questions unsatisfactory".



3. Sl. No. 48 - Dr. Asem Rangita Chanu from Associate Professor of P.M. & R. to the grade of Additional Professor of P.M. & R. for the batch w.e.f. 01-07-2023:-


- "Prolonged absence during assessment period, poor responses to interview questions, poor research output".

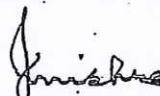
4. Sl. No. 6 - Dr. Amar Ranjan Singh from Additional Professor of Laboratory Oncology (Dr. BRA, IRCH) to the grade of Professor of Laboratory Oncology (Dr. BRA, IRCH) for the batch w.e.f. 01-07-2023:-


- "Subject knowledge does not commensurate with the position of Professor.
- Conceptually lacking in his day to day Haemato-oncology reporting.
- Lack of communicating basic concepts.
- Could not answer basic questions on CML, MPN etc. about the bone marrow morphology.
- The candidate has submitted a representation citing possibility of bias against one of the experts which needs consideration by the Governing Body".

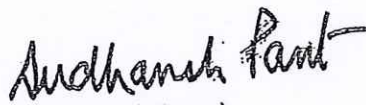
After careful consideration, the HR Sub-Committee approved the recommendations of the Standing Selection Committee for the promotion of eligible Assistant Professors, Associate Professors, and Additional Professors to Associate Professors, Additional Professors, and Professors, respectively as above.

The meeting concluded with a vote of thanks to the Chair.

  
(Dr. Atul Goel)  
Member

  
(Jaideep Kumar Mishra)  
Member

  
(Dr. M. Srinivas)  
Member Secretary

  
(Sudhansh Pant)  
Chairman

GOVERNMENT OF INDIA  
MINISTRY OF HEALTH & FAMILY WELFARE  
NEW DELHI-110011

Mrs. Sunila Basant  
Joint Secretary  
Tele: 301-6730

D.O. No. V.16020/66/96-ME(PG)  
Dated: 28th October, 1996

Dear Dr. Dave,

As you may be aware that in the meeting of the Institute Body of AIIMS held on 21st August, 1996. The President AIIMS informed that a Group had been constituted with the following members to come out within 15 days with suggestions for making selections transparent and more participatory:

1. Dr. L.K. Bhutani, Director, AIIMS (since retired)
2. Dr. Narendra Behari, DGHS
3. Shri Vijay Singh, JS (FA)
4. Smt. Sunila Basant, JS(SB)

I enclose herewith a copy of the recommendations of the Group. The recommendations have been approved by the Minister of State for Health & Family Welfare/President, AIIMS.

I would request you to take necessary action to implement the recommendations under intimation to this Ministry at the earliest.

With regards,

Yours sincerely,

sd/-  
(SUNILA BASANT)

Dr. P.K. Dave,  
Director  
AIIMS,  
New Delhi.



In the meeting of the Institute Body of AIIMS held 21.8.96, the President, AIIMS informed (IB/3) that a group has been constituted with the following members to come up within 15 days with suggestions for making the selections transparent and more participatory:-

1. Dr. L.K. Bhutani, Director, AIIMS
2. Dr. Narendra Bihari, DGMS
3. Shri Vijay Singh, JS (FA)
4. Smt. Sunila Basant, JS(SB).

Accordingly Dr. Bhutani, Dr. Bihari, Shri Singh and Smt. Basant met on two occasions. We noted the provisions of the AIIMS Act, Rules and Regulations that the Governing Body is the appointing authority for Group 'A' posts (other than Director). There is a Standing Selection Committee for making selections. The services of outside experts are also taken while making selections. The recommendations of the Standing Selection Committee are advisory in nature.

We considered the functioning of the Selection Committee. As per the present practice only the experts give gradings. Perhaps the members of the Selection Committee could also give markings/gradings. The experts leave after giving gradings before the selection is made. It is suggested that the experts should remain till the selection process is over. To make selections more transparent, the gradings/markings given by the members of the Standing Selection Committee should be kept as records which could be scrutinised by the Governing Body in case of need.

In case of appeals the Governing Body should scrutinise the appeals as to whether they should be entertained.

If any appeal/representation has a reasonable basis, this should be referred back to the full Selection Committee for reconsideration. The experts assisting the Committee during reconsideration should not be the same who participated in the original selection. The appellant should invariably be given the opportunity of a personal hearing by the Selection Committee.

The alternative of setting up another ad hoc Comm. to go into appeals would not be advisable in view of likely complications.

(DR. L.K. BHUTANI)  
Director  
A.I.I.M.S.  
(since retired)

Sd/-  
(VIJAY SINGH)  
Joint Secretary (FA)  
M/o Health & F.W.

sd/-  
(DR. NARENDRA BIHARI)  
Director General of  
Health Services

Sd/-  
(SUNILA BASANT)  
Joint Secretary (SB)  
M/o Health & F.W.



93

178

The Institute Body on 18.09.1997 after considering the aforesaid agenda item, decided as under:

"The report of the Sub-Committee along with the suggestions made in the agenda item Body, however, felt that in appeal(s), when the cases are referred back to the Selection Body, the individual may be interviewed with new technical experts. The Institute the candidates will continue to be valid for one year, extendable by six months".

The aforesaid decision was confirmed by the Institute Body in its meeting held on 17.06.1998

The above matter is placed before the Standing Selection Committee for kind perusal.

\*\*\*\*\*

Approved:

TC  
P

**NOTE FOR THE GOVERNING BODY**

**ITEM NO. GB-161/8**

**To consider the proposal for ex-post facto approval of the recommendations of the Standing Selection Committee meeting held on December 24, 2023 for the position of Medical Superintendent on deputation basis at AIIMS, New Delhi**



NOTE FOR GOVERNING BODY

Item No. GB/ 161/8

Consideration/Ex-Post Facto Approval of the Recommendations of the Standing Selection Committee Meetings held on December 24, 2023, for the Position of Medical Superintendent on Deputation Basis at AIIMS, New Delhi.

\*\*\*\*\*

(1) INTRODUCTION

1.1 One position for Medical Superintendent was advertised to be filled on deputation basis for AIIMS, New Delhi, on February 6, 2023 (Annexure I).

1.2 Eight candidates had applied for the position.

1.3 The Screening Committee, based on RR e shortlisted five candidates to be called for interviews subject to receipt of all documents. One candidate's controlling authority did not provide the required documents despite sending reminder. As a result, only four candidates could be called for interview.

1.4 The Standing Selection Committee meetings was held on December 24, 2023, to interview the four shortlisted candidates for the post of Medical Superintendent position on deputation basis for AIIMS, New Delhi.

1.5 All four shortlisted candidates appeared in the interview.

(2) ADMINISTRATIVE COMMENTS

2.1 The Governing Body is the Appointing Authority for faculty posts in accordance with Item No.19(ii) of Schedule-I of the AIIMS Regulations, 2019(as amended).

2.2 At present, constitution of Standing Selection Committee of AIIMD New Delhi is as below:

1. Dr. Kameshwar Prasad	-	Chairman
2. Dr. Atul Goel	-	Member
3. Prof. Vijay Kumar Shukla	-	Member
4. Dr. S. Venkatesh	-	Member
5. Prof. Yogesh Singh	-	Member
6. Prof. K. Vijay Raghvan	-	Member
7. Dr. Prem Nair	-	Member
8. Prof. M. Srinivas	-	Member-Secretary

2.3 Standing Selection Committee made recommendation for appointment to the post of Medical Superintendent as under (Annexure II):

Name of the selected candidate - Dr. Nirupam Madan

Name of candidate in wait list - Dr. Arun Gupta

- 2.4 Governing Body, in its meeting held on October 10, 2017, under agenda item GB-155/6, had decided that AIIMS, New Delhi, will establish a mechanism (HR Module) approved by the President of AIIMS for authorizing the appointment of candidates selected by the Standing Selection Committee.

This would enable candidates to join their posts without waiting for a Governing Body meeting. An agenda will thereafter be placed before governing Body for seeking ex-post-facto approval for this appointment.

Presently constitution of HR Sub-Committee for AIIMS New Delhi is as below:

1.	Secretary, Ministry of Health & Family Welfare, Government of India	--	Chairman
2.	Director General of Health Services, Government of India	--	Member
3.	Additional Secretary and Financial Adviser	--	Member
4.	Director, AIIMS, New Delhi	--	Member-Secretary

- 2.5. As per the mandate of Governing body, the recommendations of the Standing Selection Committee for the post of Medical Superintendent were placed before H R subcommittee. H R Sub-Committee endorsed the recommendations made by Standing Selection Committee (Annexure III).

With the President's approval (Annexure IV), appointment letter was issued to Dr. Nirupam Madaan for the post of Medical Superintendent at AIIMS, New Delhi.

### 3. APPROVAL SOUGHT

The proposal is submitted before the Governing Body for ex-post facto approval of the Standing Selection Committee's recommendation to appoint Dr Nirupam Madaan to the post of Medical Superintendent on deputation basis at AIIMS, New Delhi .

\*\*\*\*\*



79

## ALL INDIA INSTITUTE OF MEDICAL SCIENCES

FACULTY CELL

Web: www.aiims.edu

Dated 01.02.2023

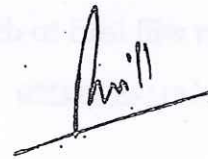
Advt. No. AIIMS/New Delhi/Fac. Rect/2023/1

**VACANCY NOTICE FOR FILLING UP THE POST OF MEDICAL SUPERINTENDENT ON DEPUTATION BASIS AT AIIMS, NEW DELHI.**

All India Institute of Medical Sciences (AIIMS) New Delhi, an autonomous body, established under an act of Parliament as an Institute of National Importance, invites applications to fill up the post of Medical Superintendent on DEPUTATION BASIS at AIIMS, New Delhi with the following prescribed criteria:-

No. of post	01 (on Deputation basis)
Educational qualification and experience	<p><u>Educational Qualification</u></p> <p>i) A medical qualification included in Schedule I &amp; II or part II of the third Schedule of the Indian Medical Council Act of 1956 (candidates possessing the qualifications included in Part II of the third Schedule should also fulfill the conditions specified in Section 13(3) of the Act.</p> <p>ii) A postgraduate qualification i.e. MD/MS or a recognized qualification equivalent thereto in any Medical Discipline</p> <p>OR</p> <p>Master's Degree in Hospital Administration from a recognized Institution/university or a recognized qualification equivalent thereto.</p> <p><u>Experience</u></p> <p>14 years teaching and/or research experience after obtaining the postgraduate qualification in the specialty or Master's Degree in Hospital Administration of which at least 7 years should be in the administration of a major hospital in a senior position.</p>
Pay Scale	Level-14-A-Rs.168900-220400/-(Plus NPA as per rules) as per 7th CPC.
Maximum age limit	58 years

The interested officers who fulfill the above qualifications/eligible may submit their application in the prescribed proforma at Annexure-I through proper channel to the Director, All India Institute of Medical Sciences, Ansari Nagar, New Delhi-110608. Last date of submission of application is 30 days from the date of publication of advertisement notice in national dailies. The envelope containing the application(s) should be superscribed "Application for the post of Medical Superintendent, AIIMS, New Delhi on Deputation Basis".



--2/-

- II. Period of deputation including period of deputation in another ex-cadre post held immediately preceding this appointment in the same or some other organization/department of Central Govt. shall ordinarily not exceed initially three years.
- III. Maximum age limit for applying for the aforesaid post on deputation is 58 years on the closing date of receipt of applications.
- IV. While forwarding the application as per the enclosed format, following documents may positively be furnished by the sponsoring authority:-
- i. Confidential reports (Photocopies of the APARs/ACRs with each page attested) for the last five years.
  - ii. Cadre clearance
  - iii. Vigilance clearance and Integrity certificate, and
  - iv. Statement showing major or minor penalties, if any, imposed during the last ten years.
  - v. Supporting documents related to qualification, experience etc.
- V. The deputation will be governed by the standard terms and conditions of deputation provided under Department of Personnel & Training's OM/order No. 06/08/2009-Estt.(Pay II) dated 17.06.2010 issued/amended from time to time.
- VI. Applications received after last date will not be considered under any circumstances. Incomplete applications and applications not routed through proper channel are to be rejected straightaway. AIIMS, New Delhi will not be responsible for any postal delay.
- VII. The Director, AIIMS, New Delhi reserves the right to cancel the exercise, at any stage without assigning any reason thereof.
- VII. The candidates working in private organization/institute etc are not eligible to apply for this post.
- VIII. Applicants are advised to visit AIIMS website [www.aiims.edu](http://www.aiims.edu), under the Head "Notices & Recruitment" for updates regarding this advertisement. All future updates shall be published only on our website.
- IX. Canvassing in any form will lead to disqualification of candidature.

For Clarification & Inquiries : 011-26594220

Encl: Application form





S8 81

Application for the post of Medical Superintendent (ON DEPUTATION BASIS)  
at AIIMS, New Delhi

1	Name and address in BLOCK letters		Affix Recent Passport size Color photograph			
2	Date of birth (in Christian era)					
3	Date of retirement where presently working					
4	Educational Qualification					
5	Whether educational and other qualifications required for the post are satisfied (if any qualification has been treated as equivalent to the one prescribed in the rules, state the authority for the same).					
	Qualifications / Experience		Required	Possessed by the officer		
	Essential					
6	Please state clearly whether in the light of entries made by you above, you meet the requirements of the post Yes/No					
7	Details of employments (in chronological order) after acquiring essential post graduate qualification. Enclose a separate sheet duly authenticated by your signature, if the space below is insufficient.					
	Organization	Post Held	From	To	Pay-band and Grade Pay (Scale of Pay if in pre-revised scale of pay)	Nature of Duties

*Amil*

8	Nature of present employment (i.e. adhoc, temporary, quasi-permanent or permanent)	
9	In case the present employment is held on deputation/contract basis, Please state : a. the date of initial appointment b. period of appointment on deputation/contract c. name of the parent office/organization to which you belong	
10	Additional details about present employment, please state whether working under : a. Central Government b. State Government c. Autonomous Organization d. Government undertaking e. Other	
11	Present Pay Level in which working	
12	Total emoluments per month now drawn	
13	Additional information, if any which you would like to mention in support of your suitability for the post. Enclose a separate sheet, if the space is insufficient.	
14	Contact Nos. :- 1) Office 2) Residence 3) Mobile 4) e-mail address	

Date : \_\_\_\_\_

Signature of the candidate : \_\_\_\_\_

Countersigned : \_\_\_\_\_

Address : \_\_\_\_\_

(Employer/Authorized Officer)

*Amil*



83

**RECOMMENDATION OF THE STANDING SELECTION COMMITTEE MEETING  
HELD ON 24.12.2023 FOR SELECTION TO THE POST OF MEDICAL  
SUPERINTENDENT-(ON DEPUTATION BASIS) AT THE AIIMS, NEW DELHI.**

#####

The meeting of Standing Selection Committee under the Chairmanships of Dr. Kameshwar Prasad, Former Director, Rajendra Institute of Medical Sciences (RIMS), Ranchi for selection to the post of Medical Superintendent (on deputation basis) held on 24<sup>th</sup> December, 2023 at 10:00 AM in the Director Committee Room. The following members of the selection committee attended the meeting: -

1.	Dr. Kameshwar Prasad, Former Director, Rajendra Institute of Medical Sciences(RIMS), Ranchi	:	Chairman
2.	Dr. Atul Goel, Director General of Health Services, MOHFW, Govt of India, New Delhi.	:	Member
3.	Prof. Vijay Kumar Shukla, Rector & vice-Chancellor, Banaras Hindu University (BHU), Varanasi	:	Member
4.	Dr. S. Venkatesh, Principal Advisor, DGHS, New Delhi.	:	Member
5.	Dr. Prem Nair, Medical Director, Amrita Institute of Medical Sciences, Kochi, Kerala.	:	Member
6.	Dr. M. Srinivas, Director, AIIMS, New Delhi	:	Member Secretary

Following members of the committee could not attend the meeting:

1.	Prof. Yogesh Singh, Vice-Chancellor, University of Delhi, New Delhi.	Member
2.	Prof. K. Vijay Raghavan, Former Principal Scientific Advisor, Bangalore.	Member

At the outset, it was ascertained that persons under consideration for the post of Medical Superintendent (on deputation basis) were not related to any of the members / Chairman of the Selection Committee.




At the outset, it was ascertained that persons under consideration for the post of Medical Superintendent (on deputation basis) were not related to any of the members / Chairman of the Selection Committee.

For assessment of candidates for this specialty, Dr. Maj. Gen. Jagtar Singh, VSM (Retd.), Former Addl. DG (Army Medical Services) and Air Marshal Dr. Pawan Kapoor, AVSM, VSM & Bar (Retd.), Former DGMS (IAF) assisted the Standing Selection Committee as Technical Advisors/External Experts.

The Committee noted that the Recruitment Rules and vacancy position for the post of Medical Superintendent (on deputation basis) as under:-

1	Name of the post	:	Medical Superintendent (on deputation basis)
2	No of Post	:	01
3	Upper Age Limit	:	58
4	Classification	:	Group – 'A'
5	Scale of Pay	:	Level-14-A-Rs. 168900-220400/- (Plus NPA as per rules) as per 7 <sup>th</sup> CPC
6	Mode of Selection	:	On DEPUTATION basis
7	Essential Educational qualification and experience		<p><b><u>Educational Qualification</u></b></p> <p>i) A medical qualification included in Schedule I &amp; II or part II of the third Schedule of the Indian Medical Council Act of 1956(candidates possessing the qualifications included in Part II of the third Scheduled should also fulfill the conditions specified in Section 13(3) of the Act.</p> <p>ii) A postgraduate qualification i.e. MD/MS or a recognized qualification equivalent thereto in any Medical Discipline</p> <p style="text-align: center;">OR</p> <p>Master's Degree in Hospital Administration from a recognized Institution/university or a recognized qualification equivalent thereto.</p> <p><b><u>Experience</u></b></p> <p>14 years teaching and/or research</p>



			<p>experience after obtaining the postgraduate qualification in the specialty or Master's Degree in Hospital Administration of which at least 7 years should be in the administration of a major hospital in a senior position.</p> <p>Period of deputation including period of deputation in another ex-cadre post held immediately preceding this appointment in the same or some other organization/department of Central Govt. shall ordinarily not exceed initially three years)</p>
8	Last Date of Receipt of Application	:	08.04.2023
9	Total Number of Received of Applications / Date of Screening of Applications	:	8 / 05.06.2023 & 08.09.2023
10	Total shortlisted candidates for interview by screening committee	:	4

Total 04 candidates appeared / attended interview. After assessing the performance of the candidates in the interview as well as grading in their Annual Confidential Reports / APARs, the Standing Selection Committee recommended DR. NIRUPAM MADAN for the post of Medical Superintendent (on deputation basis).

**WAIT LIST:**

Sl. No.	Name of the candidate
1	DR. ARUN GUPTA

The meeting ended with a vote of thanks to the chair.

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*[Signature]*  
24/12/2023

*[Signature]*  
24/12/2023

ALL INDIA INSTITUTE OF MEDICAL SCIENCES  
ANSARI NAGAR, NEW DEHI-110029

Minutes of the meeting of HR-Sub-Committee held on 11.01.2024 at 12.30 p.m. in the Chamber of Secretary, Govt. of India, MoHFW, Nirman Bhawan, New Delhi to consider the recommendations of the Standing Selection Committee for selection to the post of Medical Superintendent [on deputation basis in Pay Level-14-A-Rs.168900-220400/- (Plus NPA as per rules ) as per 7<sup>th</sup> CPC] at the AIIMS, New Delhi.

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The Governing Body, in its meeting held on 10.10.2017 vide agenda item No.GB-153/6, approved the implementation of an HR Module at AIIMS, New Delhi. This module will streamline the appointment process, allowing selected candidates to join immediately, with ex-post-facto approval by the Governing Body. In this process, the Standing Selection Committee's recommendations for selected candidates will first be considered and approved by the HR-Sub-Committee. Then, these recommendations will be submitted to the President, AIIMS, for consideration and approval, as the President chairs the Governing Body. Next, the selected candidate will be offered an appointment, with ex-post-facto approval of the Governing Body subsequently obtained.

Following the President's approval, an HR Sub-Committee was established to consider recommendations from the Institute's Standing Selection Committee. The HR sub-committee comprises the following members:

1.	Secretary, Government of India, Ministry of Health & Family Welfare.	-	Chairman
2.	Director General of Health Services, Government of India	-	Member
3.	Additional Secretary and Financial Adviser, Govt. of India, MoHFW.	-	Member
4.	Director, AIIMS, New Delhi	-	Member-Secretary

The HR Sub-Committee met on 11th January 2024 at 12.30 PM under the Chairpersonship of the Secretary, Ministry of Health & Family Welfare, at the Secretary's Chamber, Nirman Bhawan, New Delhi. The meeting aimed to consider/approve recommendations from the Standing Selection Committee meeting held on 24th December 2023 for the selection of a qualified candidate for the post of Medical Superintendent (on deputation basis) in Pay Level-14-A (Rs. 168900-220400/- plus NPA as per rules) as per 7<sup>th</sup> CPC. Following members

-2/-



attended the meeting:-

01. Dr. Atul Goel, Member  
Director General of Health  
Services(DGHS), Govt. of India,  
Ministry of Health & Family Welfare,  
Nirman Bawan, New Delhi.
02. Sh. Jaideep Kumar Mishra, Member ON TOUR  
Additional Secretary and Financial  
Advisor, Govt. of India,  
Ministry of Health & Family Welfare,  
Nirman Bawan, New Delhi.
03. Prof. M. Srinivas, Member-Secretary  
Director, AIIMS, New Delhi

The Committee was informed that the post of Medical Superintendent was advertised in February 2023 for deputation in Pay Level-14-A (Rs. 168,900-220,400, plus NPA as per rules) under the 7th CPC. Eight candidates applied. The Screening Committee, based on established eligibility criteria, qualifications, and experience, shortlisted five candidates for interviews, subject to complete document submission. However, the controlling authority of one candidate failed to provide the required documents. Consequently, only four candidates were interviewed.

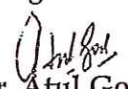
The Standing Selection Committee convened on December 24th, 2023, to interview the four shortlisted candidates for the Medical Superintendent (deputation basis) position at AIIMS, New Delhi. All four candidates were present for the Committee's evaluation. Each candidate was interviewed, and the Committee's recommendations were sealed in an envelope.


The sealed envelope containing the Standing Selection Committee's recommendations was opened in the presence of the HR Sub-Committee.


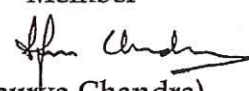
The HR Sub-Committee reviewed and approved the Standing Selection Committee's recommendations for the Medical Superintendent (deputation) position. The approved recommendations for this post are listed below:-

Name of the Selected Candidate	Name of the Waitlisted Candidate
DR. NIRUPAM MADHAN	DR. ARUN GUPTA

The meeting concluded with a vote of thanks to the Chairperson.

  
( Dr. Atul Goel )  
Member

  
( Dr. M. Srinivas )  
Member- Secretary

  
(Jaideep Kumar Mishra)  
Member  
  
(Apurva Chandra)  
Chairperson

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88

CONFIDENTIAL

**ALL INDIA INSTITUTE OF MEDICAL SCIENCES  
[FACULTY CELL]**

No.F.14-4/2022-Estt.(FC)

Ansari Nagar, New Delhi-110029

Dated the: 17 JAN. 2024

**Subject:** To consider the recommendations of the Standing Selection Committee for selection to the post of Medical Superintendent [on deputation basis in Pay Level-14-A-Rs.168900-220400/- (Plus NPA as per rules ) as per 7<sup>th</sup> CPC] at the AIIMS, New Delhi.

\*\*\*\*\*

It is submitted that AIIMS, New Delhi had initiated the process to fill up one post of Medical Superintendent and same was advertised in February 2023 for deputation basis in Pay Level-14-A (Rs. 168,900-220,400, plus NPA as per rules) under the 7<sup>th</sup> CPC. Last date of application was 09.02.2023 which was extended 2 times to give wider publicity and attract more number of applicants. The last date of application after these extensions was 08.04.2023. Eight candidates applied for this post. The Screening Committee shortlisted five candidates for interviews, subject to document submission. The controlling authority of one candidate did not provide the desired documents upto the last date given for this purpose. Accordingly candidature of this applicant was cancelled. Consequently, only four candidates were called for interview.

The Standing Selection Committee meeting was convened on December 24<sup>th</sup>, 2023, to interview the four shortlisted candidates who had been called for the post of Medical Superintendent. All four candidates had reported to appear before Standing Selection Committee. Each candidate was interviewed, and the Standing Selection Committee's recommendations were sealed in an envelope.

The post of Medical Superintendent (deputation) is in the Level- 14-A of pay matrix is Group A post and the Governing Body is the Appointing Authority for faculty posts in accordance with Item No.1(b) of Scheduled II of the AIIMS Regulations, 2019 (as amended).

The Governing Body in its meeting held on 10.10.2017 under agenda item No.GB-153/6 had decided that AIIMS, New Delhi will put in place a mechanism (HR Module) with the approval of the President, AIIMS to approve the appointment of the candidates selected by the standing Selection Committee, so that selected candidates can join without waiting for the meeting of the Governing Body and ex-post-facto approval of Governing Body is to be obtained subsequently.

HR Sub-Committee is in place at AIIMS, New Delhi. Constitution of this Committee is as under:

1.	Secretary, Government of India, Ministry of Health & Family Welfare,	-	Chairman
2.	Director General of Health Services, Government of India	-	Member
3.	Additional Secretary and Financial Adviser, Government of India	-	Member
4.	Director, AIIMS, New Delhi	-	Member-Secretary

O/o the Minister of H&amp;FW

Computerised

FTS No. 3504833

Date 17-01-2024



--2--

The recommendations of the Standing Selection Committee duly approved by the HR-Sub Committee in its meeting held on 11.01.2024 are submitted for kind consideration of the Hon'ble President, AIIMS.

**The President, AIIMS**

Encl.: As above

(Prof. M. Srinivas)  
Director, AIIMS, New Delhi

Director (AIIMS)

April  
19114

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**NOTE FOR THE GOVERNING BODY**

**ITEM NO. GB-161/9**

**To consider proposal for Ex-post Facto approval to objective Screening Criteria to be used to screen applicants to shortlist them to be called for interview for faculty posts (other than faculty of college of Nursing) at AIIMS, New Delhi**



NOTE FOR GOVERNING BODY

Item No. GB/161/9

To consider proposal for Ex-Post Facto Approval to Objective Screening Criteria to be used to screen applicants to shortlist them to be called for interview for faculty posts ( other than faculty of College of Nursing) at AIIMS New Delhi.

**Introduction**

1.1 AIIMS, New Delhi regularly recruits faculty members. To ensure that the selection process is rigorous and sufficient time is there for Standing Selection Committee to examine applicants, a review of the existing system was done. Till the last selection, all applications were screened at two levels:

- Departmental Level: Applications are assessed and short listing is done on the basis of recruitment rules, for the advertised position.
- Final Screening : A committee chaired by the Director, AIIMS, used to reviews the recommendation made by the departmental committee and if the applicant was meeting RR for the post, they were shortlisted to be called for interview.
- Notably, in this scheme, there was no mechanism to limit the number of eligible candidates to be called for interview.

1.2 To limit the no of eligible applicants to be called for interview for each post in the ratio of 10:1, AIIMS New Delhi considered to develop objective criteria for short listing applicants.

**2) ADMINISTRATIVE COMMENTS**

2.1 On April 18, 2023, a meeting was called by the Director, AIIMS, This was attended by Chiefs of Centers/Head of Departments. In this meeting, this issue was discussed. Following extensive discussions, an Internal Committee was formed to draft objective criteria for short listing candidates at screening stage in the ratio of 10:1, where applicants are more than 10 against any one post for faculty selection. The committee took into account inputs received from various departments on this matter and made recommendations. These recommendations were presented to the HR Sub-Committee on May 18, 2023, for consideration (Annexure-1). During this meeting, it was decided that list of shortlisted

candidate names is to be displayed on the AIIMS website, and for interviews after screening, no. of candidates called will be limited would be 20 to 1 post.

2.2 The HR Sub-Committee discussed this matter in a series of meetings held on May 18, 22, and 25, 2023. The minutes of these meetings are annexed in **Annexure-2**.

During its May 18 and 22, 2023 meetings, the HR Sub-Committee gave following directions to further develop the draft objective criteria:

- To reduce the number of criteria and increasing the objectivity of each parameters.
- To discuss the draft with Standing Selection Committee (SSC) members.
- Committee advised that once these are revised and approved by HR subcommittee, AIIMS should obtain approval of President AIIMS for these criteria.

2.3 SSC meeting was held on May 23, 2023. After taking into consideration the directions of HR Sub-Committee, the SSC members proposed changes in the objective criteria. Minutes of this meeting and relevant email correspondence from SSC members are available in **Annexure-3**.

2.4 The internal committee at AIIMS met on June 12, 2023 (**Annexure-4**) and incorporate all the suggestion received from HR Sub-Committee as well as SSC.

2.5 Revised draft of objective criteria was examined by HR Sub-Committee in its meeting held on June 15, 2023 . This Committee approved the revised draft. While approving, HR Sub-Committee recommended as follows:

- To update year of NIRF ranking while issuing advertisement for recruitment, depending on the year of recruitment, for the medical stream.
- To review these objective criteria before new recruitment (**Annexure-5**).

2.6 As advised by the HR Sub-Committee (**Annexure-6**), the committee that had drafted the criteria revised the NIRF ranking year in the approved draft. This draft objective criteria document was submitted to the Honorable President of AIIMS for consideration.

2.7 The Honorable President of AIIMS suggested reconsidering the criteria and omitting the NIRF ranking aspect to ensure equal opportunities for all medical graduates (**Annexure-7**). This was intended to prevent undue advantage to graduates passing from institutions with higher rankings.



2.8 Consequently, a meeting of the Standing Selection Committee (SSC) was held on September 5, 2023, to review the objective criteria after taking into consideration of the directions of President AIIMS. SSC revised the draft objective criteria further (Annexure-8).

2.9 These revised criteria were then discussed in the HR Sub-Committee for meeting held on December 1, 2023 (Annexure-9). The HR Sub-Committee approved the revised draft with the following suggestions:

- Publicly announce the short listing criteria beforehand in recruitment notices on the institute website for candidate information.
- Inform all applicants of the criteria upon application submission.
- Use the objective criteria scores solely for short listing; exclude them from the interview process.
- Consider maintaining a 10:1 short listing ratio (shortlisted candidates: number of posts) for each position.

2.10 The revised objective criteria approved by the HR Sub-Committee on December 1, 2023 (Annexure-8) were submitted to the Honorable President of AIIMS, New Delhi, for approval. The President, AIIMS has approved the revised document & other recommendations of HR Sub-Committee in this regard. (Annexure-10)

2.11 The institute published the approved objective criteria on its website on December 22, 2023 (Annexure-11).

2.12 After notification of approved objective criteria, it was brought to the notice that inadvertently, there was a typographic mistake. In Section 1, Sl.No.3, line 2 of objective criteria for Non-Medical candidates, B.Sc. word was used while it should have been M.Sc. This typographic error was corrected & document with this correction was published on website. (Annexure-12)

### 3. APPROVAL SOUGHT

Objective criteria for short listing Assistant Professor Candidate in various specialties through direct recruitment, approved by Honorable President of AIIMS, New Delhi are submitted for the Governing Body's consideration and ex-post facto approval.



# Recommendations of the Committee constituted for development of objective criteria for screening of faculty recruitment applications.

Ref: No. F.14-2/2023-Estt. (FC)

The committee of three members consisting of Prof. Rajiv Narang, Prof. VK Iyer and Prof. Prasan Chatterjee held a meeting at 12.00 PM on 20<sup>th</sup> of April 2023 under the chairmanship of Prof. Rajiv Narang. All suggestions submitted by the Heads of Departments received till date were read and summarised. Further meetings were also held and opinions of members of faculty and administration were also taken. Following recommendations are based on the discussions held.

1. The application form of candidates applying for Assistant Professor jobs at AIIMS should continue to be a computerised online application system and all information being collected presently to continue as before.
2. A scheme of "Objective Screening Score" as shown in the Table can be used to shortlist candidates to be called for interview, if the number of applicants versus number of vacancies exceeds the ratio of 20:1.
3. This scoring scheme is purely for screening of candidates to be called for interview. Selection will be based on marks given by the selection committee based on interview performance.
4. The scoring scheme may be published in the advertisement.
5. The score obtained must be verified by the department during scrutiny of all applications received.
6. Separate score rank list should be prepared for medical and non-medical streams for posts where both are eligible.
7. This screening criteria is not for shortlisting of Nursing College candidates. Based on inputs received from the Principal of the Nursing College, a written exam for screening of candidates for such posts is being planned.

*Rajiv Narang*  
Prof. Rajiv Narang

*VK Iyer*  
Prof. VK Iyer

*Prasan Chatterjee*  
Prof. Prasan Chatterjee



Table: Objective Screening Score

S. No.	SCREENING SCORE PARAMETER	Scoring method	Max score
	<b>SECTION 1: ACADEMIC &amp; PROFESSIONAL ACHIEVEMENTS</b> 40 MARKS		
1	MBBS/BDS from NIRF 2022 Top 50 colleges	2	2
2	BSc 1 <sup>st</sup> division (>60%)		
3	University gold medal/ University topper (undergraduate) in MBBS/BDS/BSc or NTSE scholar	3	3
4	PG (MD/MS/MD5) from NIRF 2022 Top 10 (5 marks); Top 11-20 (4 marks); Top 21- 30 (3 marks); Top 31-40 (2 marks); Top 41- 50 (1 mark) ranked Medical/Dental colleges	1-5 as mentioned	5
5	MSc 1 <sup>st</sup> division (>60%: 1 mark), (>65%: 2 marks), (>70%: 3 marks), (>75%: 4 marks); (>80%: 5 marks)		
6	University Gold medal/ university topper in PG/MSc or KVPY/INSPIRE Scholarship recipient (completed)	3	3
7	Acad SR (completed) / Non Acad SR (minimum 2 out of the 3 years required) done from NIRF 2022 Top 10 (5 marks); Top 11-20 (4 marks); Top 21- 30 (3 marks); Top 31-40 (2 marks); Top 41- 50 (1 mark) ranked Medical/Dental colleges	1-5 as mentioned	5
8	PhD from INI (=3 marks) or International (Non SAARC) PhD (=5 marks)		
9	Completed Fellowship from Medical college or funded fellowship from DST/CSIR/ICMR (Minimum 6 months)	2 per	4
10	International Fellowship (minimum 6 months) or Newton-Bhabha/Indo-US Fellowship (completed)	4	4
11	BCLS course or attended molecular biology workshop (at least 1 week duration) from govt college	1	1
12	ACLS course or ICMR STS Award	1	1
13	ATLS/NALS/PALS course or Mouse workshop (at least 1 week duration) from govt college	1	1
14	Post Doc Fellowship received (National Award CSIR/ ICMR/ DHR/ DST/ Ramakrishna/ Ramalingaswamy/ International fellowship for Independent Research)	4	4
15	Work experience (more than the essential post-MD experience required) as Assistant Professor in Govt. Medical College - 1 mark per completed year	1-3	3
16	Log Book/equivalent certificate of procedures done during JR/MSc duly signed by faculty/supervisor (Upload PDF)	1	1
17	Log Book/ equivalent certificate of procedures done during SR/PhD duly signed by faculty/supervisor (Upload PDF)	1	1
18	Recommendation letter from HOD/Unit head /Professor/Faculty under whom directly worked during SR/PhD, 1 mark per letter	1 per	2
	Subtotal:		40
	<b>SECTION 2: RESEARCH AND PUBLICATIONS</b> 30 MARKS		
1	Pubmed Indexed publication (2 marks for each original research article, 1 mark each for others, upload PMID number and PDF of paper)	1 per	6
2	Book Chapter published (1 mark for each, upload chapter PDF)	1 per	2
3	Thesis publication (MD/MS/DM/MCh/MSc/PhD) ; 1 mark for each published thesis, upload PDF of paper)	1 per	2
4	Publication score (1 x Impact factor of journal in 2022 Clarivate), added up for all papers	Actual	5
5	Publication in journal with impact factor of 4 or above (using 2022 Clarivate regardless of publication year)	4	4
6	Google Scholar H Index Number (all time; upload printout)	Actual	3
7	Funded project from ICMR/ DST/SERB/DBT/ CSIR/International (2 marks for	1-2 as	4

Rajiv M.

10/5/23

Rajiv M.  
10/5/23



	project as PI or CoPI; 1 mark for project as coinvestigator)	per	
8	Patent (2 marks per patent)	2 per	4
	Subtotal:		30
	<b>SECTION 3: TEACHING AND PRESENTATIONS</b>		
	<b>30 MARKS</b>		
1	Attended workshop or course in medical/science education (FAIMER/ AIIMS CMET/ JIPMER/ MAMC/ CME)	1	1
2	Attended Basic Course Workshop in Medical Education Technologies (NMC)	1	1
3	Attended Advance Course in Medical Education (ACME) (NMC)	1	1
4	Attended Curriculum Implementation Support Program (CISP) (NMC)	1	1
5	Oral Presentation in National Conference (2 marks per presentation)	2	4
6	Poster Presentation in National Conferences (1 mark per poster)	1	2
7	Oral Presentation International Conferences organised by scientific association (3 marks per presentation)	3 per	6
8	Poster Presentation in International Conference organised by scientific association (2 per poster)	2 per	4
9	Lecture delivered in a conference as faculty (2 marks per lecture)	2 per	4
10	Award received for paper/poster in conference (2 marks per award)	2 per	6
	Subtotal:		30
	<b>TOTAL:</b>		<b>200</b>

### Abbreviations used in table:

NIRF: National Institutional Ranking Framework, Ministry of Education  
 NTSE: National Talent Search Exam  
 KVPY: Kishore Vigyan Protsahan Yojana  
 Acad: Academic (DM etc)  
 JR: Junior Resident  
 SR: Senior Resident  
 INI: Institutes of National Importance, Govt of India  
 SAARC: South Asian Association for Regional Cooperation  
 BCLS: Basic Course in life support  
 ACLS: Advanced course in life support  
 NALS: Neonatal advanced life support  
 PALS: Pediatric advanced life support  
 ATLS: Advanced Trauma life support  
 HOD: Head of Department  
 PMID: PubMed Identification number  
 FAIMER: Foundation for Advancement of International Medical Education and Research  
 JIPMER: Jawaharlal Institute of Postgraduate Medical Education and Research  
 MAMC: Maulana Azad Medical College  
 CME: Continuing Medical Education (Conference)  
 AIIMS CMET: Center for Medical Education and Training  
 NMC: National Medical Commission

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*Revised*  
10/5/23

*Willy*  
10/5/23

*Ram*  
10/5/23



ALL INDIA INSTITUTE OF MEDICAL SCIENCES  
ANSARI NAGAR, NEW DELHI 110029

Minutes of the Meeting of HR Sub-Committee under the Chairmanship of Secretary (Health), Ministry of Health & Family Welfare held on 18<sup>th</sup> May, 2023, 22<sup>nd</sup> May, 2023 and 25<sup>th</sup> May, 2023 in the Chamber of Secretary (Health) at MoHFW, Nirman Bhawan, New Delhi.

The meetings of the HR Sub-Committee was held on 18<sup>th</sup> May, 2023, 22<sup>nd</sup> May, 2023 and 25<sup>th</sup> May, 2023 under the Chairmanship of Shri Rajesh Bhushan, Secretary (Health), Ministry of Health & Family Welfare in the Chamber of Secretary (Health) at MoHFW, New Delhi.

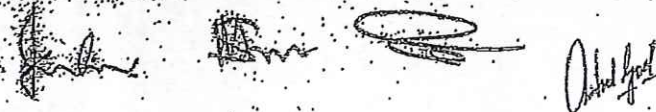
Following members attended the meeting:-

01. Dr. Anil Gopal  
Director General of Health Services (DGHS),  
Ministry of Health & Family Welfare,  
Nirman Bhawan, New Delhi.
02. Sh. Jydeep Kumar Mishra  
Additional Secretary and Financial Advisor,  
Ministry of Health & Family Welfare,  
Nirman Bhawan, New Delhi.
03. Prof. M. Srinivas  
Director, AIIMS, New Delhi.

The deliberations on the agenda item and decision is as follows:

To consider the recommendations of the Committee constituted for development of objective criteria for screening of application for faculty recruitment at the AIIMS, New Delhi.

HR Sub-Committee was informed that AIIMS, New Delhi is in the process of initiating recruitment for approximately 200 faculty posts under Mission Recruitment. For the full post, it has been considered to review the existing process of faculty selection and make it more objective and transparent. As per present practice, after candidates apply for the post, two stage screening is being done. Initially screening is being done at departmental level, where applications are scrutinized on the basis of extant recruitment rules, eligibility criteria and qualification laid down for the post. After first stage of screening, the Screening Committee under Chairmanship of the Director, AIIMS again goes through the laid down recruitment rules, eligibility criteria and required qualification/experience possessed by the candidates and finalize the screening process. All candidates who fulfill the eligibility criteria are called for interview. There is no provision of short listing of eligible candidates to a certain maximum number to be called for interview in the present scheme of faculty selection.





A meeting was held under the chairmanship of the Director, AIIMS on 18.04.2023 with all Chief of Centres/Head of the Department to discuss and decide on introducing objective criteria for short listing of candidates for upcoming selection/recruitment of faculty members at the AIIMS, New Delhi. After detailed discussion on the matter, an Internal Committee was constituted to draft methodology for short listing of candidates to be followed for faculty selection. Inputs received from various departments on the objective criteria were provided to the above committee to finalize the draft methodology. The Internal Committee after deliberation has made recommendations which is placed before the HR-Sub Committee for consideration. The Committee was also informed that the names of shortlisted candidates will be displayed on the AIIMS website. The shortlisted candidate will be called for the interview in the ratio of 1:20.

The HR-Sub Committee considered the matter and opined that the AIIMS, New Delhi may go ahead with short listing of candidates as per the draft template for 'Medical' and 'Non-Medical' candidates as proposed by the Committee constituted for this purpose after discussing it with members of the Standing Selection Committee and with prior approval of the President, AIIMS. The objective criteria for short listing of applications for recruitment of faculty is at Annexure-I.

(Dr. Anil Goel)  
Member

(Jaideep Kumar Mishra)  
Member

(Dr. M. Srinivas)  
Member Secretary

(Rajesh Bhushan)  
Chairperson



**ALL INDIA INSTITUTE OF MEDICAL SCIENCES  
NEW DELHI - 110 029.**

**MINUTES**

**Subject: Minutes of the Selection Committee Meeting held on Tuesday, 23<sup>rd</sup> May 2023.**

A meeting of the Selection Committee was called to discuss the forthcoming Selection Criteria of the Faculty positions at AIIMS, New Delhi. The following Members of the Committee attended the meeting physically:


- |                                     |                                |
|-------------------------------------|--------------------------------|
| 1. Dr. Kameshwar Prasad             | - Chairman Selection Committee |
| 2. Dr. Venkatesh                    | - Member                       |
| 3. Dr. M. Srinivas, Director, AIIMS | - Member Secretary             |

The following Members joined virtually:

- |                                 |          |
|---------------------------------|----------|
| 1. Dr. V.K. Shukla, Rector, BHU | - Member |
| 2. Dr. Atul Goel, DGHS, GoI     | - Member |

The following discussions were held and the recommendations were made

- Objective criteria for screening of candidates was deliberated, modified and finalised. (Annex - I)
- A brief discussion was held on the AIIMS notification No. F-20-1/2022 (Creation of RR)/Revi.Framing/Nonn.Clat Modifi.etc)-Estt.-I, dated 7<sup>th</sup> February 2023. It was noted that then there is inconsistency in experience requirement across the various disciplines. Members unanimously recommended that the experience in any NMC recognised institution in the disciplines/subjects concerned after obtaining the qualifying degree should be accepted for eligibility in all the disciplines/subjects.



**(Dr. Atul Goel)**  
Member

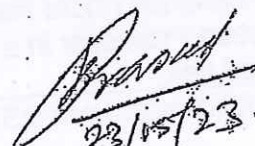
**(Dr. Venkatesh)**  
Member

**(Dr. V.K. Shukla)**  
Member



**(Dr. M. Srinivas)**  
Member Secretary

23/5/2023



**(Dr. Kameshwar Prasad)**  
Chairman

23/5/23



25May2023

S. No.	OBJECTIVE SCREENING SCORE	Scoring method	Max score
<b>SECTION 1- Medical: ACADEMIC &amp; PROFESSIONAL ACHIEVEMENTS: 35 MARKS</b>			
1	UG (MBBS/BDS) from NIRF 2022 Top 10 (5 marks); Top 11-20 (4 marks); Top 21-30 (3 marks); Top 31-40 (2 marks); Top 41-50 (1 mark) ranked Medical/Dental colleges/institutes/university	1-5 as mentioned	5
2	University gold medal in MBBS/BDS	2	2
3	PG (MD/MS/MDS) from NIRF 2022 Top 10 (5 marks); Top 11-20 (4 marks); Top 21-30 (3 marks); Top 31-40 (2 marks); Top 41-50 (1 mark) ranked Medical/Dental colleges/institutes/university	1-5 as mentioned	5
4	University gold medal in MD/MDS	2	2
5	Academic SR (completed) / Non-Academic SR (minimum 2 out of the 3 years required) done from NIRF 2022 Top 10 (5 marks); Top 11-20 (4 marks); Top 21-30 (3 marks); Top 31-40 (2 marks); Top 41-50 (1 mark) ranked Medical/Dental colleges	1-5 as mentioned	5
6	Work experience (more than the essential experience required) as Assistant Professor in a Government Medical College - 1 mark per completed year	1-5	5
7	International Fellowship from non-LMIC country: <1 month=1 mark; 1 to <2 month=2 marks; 2 to <3 months=3 marks; 3 to <6 months=4 marks; ≥6 months=5 marks	1-5 as mentioned	5
8	Served in Armed Forces- 1 mark for each completed year in concerned speciality post-MD/MS/MDS	1 per	3
9	NELS (National Emergency Life Support) / ACLS (Advanced Cardiac Life Support) course or Additional courses in the subject.	1-3	3
<b>Subtotal:</b>			<b>35</b>
<b>SECTION 1- Non-medical: ACADEMIC &amp; PROFESSIONAL ACHIEVEMENTS: 35 MARKS</b>			
1	BSc 1 <sup>st</sup> division (>60%)		
2	University gold medal in BSc	5	5
3	MSc done from NAAC A++/ NIRF 2022 Top 10 (5 marks); A+ / Top 11-20 (4 marks); A / Top 21-30 (3 marks); B++ / Top 31-40 (2 marks); B+ / Top 41-50 (1 mark) ranked (NAAC: College/Insti-	1-5 as mentioned	5
4	University gold medal in MSc	2	2
5	PhD done from NAAC A++/ NIRF 2022 Top 10 (5 marks); A+ / Top 11-20 (4 marks); A / Top 21-30 (3 marks); B++ / Top 31-40 (2 marks); B+ / Top 41-50 (1 mark) ranked (NAAC: College/Insti-	1-5 as mentioned	5
6	Work experience (more than the essential experience required) as Assistant Professor in a Government College - 1 mark per completed year	1-5	5
7	Funded fellowship from DST/CSIR/ICMR/Newton Bhabha/Indo US	5	5



Re: Objective screening criteria

From : drsvenkatesh1@gmail.com

Thu, May 25, 2023 04:32 PM

Subject : Re: Objective screening criteria

To : Srinivas.M <director@aiims.gov.in>

Cc : Mr. Rajesh Bhushan <secyhrw@nic.in>  
kp0704@gmail.com, director@iimsranchi.ac.in,  
drkameshwarprasad@gmail.com, Prof (Dr) Atul Goel  
<dghs@nic.in>, vkshuklabhu@gmail.com,  
vc@du.ac.in, K VijayRaghavan  
<vijayraghavan@gov.in>, md@aiims.amrita.edu,  
srinivasem@gmail.com, SRINIVAS M  
<prof.srinivas@aiims.gov.in>

I am in agreement with the document.

A suggestion for consideration:

Just as we have provided marks for Service in Armed Forces after PG for Medical posts, we may also consider this for Non-Medical posts. For example, we have Short Service Commission for Nursing Officers also.

Regards,

S Venkatesh

On Thu, May 25, 2023 at 2:55 PM Srinivas.M <director@aiims.gov.in> wrote:

Respected Sir,

Kindly find attached the document for your kind perusal please.

With regards

Sincerely

Amarjeet Singh  
Office of the Director  
AIIMS, New Delhi



5/24/23, 11:43 AM

Email

101

Email

Srinivas.M

**Re: Objective screening criteria**

**From :** Prof (Dr) Atul Goel <dghs@nic.in>  
**Subject :** Re: Objective screening criteria  
**To :** drkameshwarprasad@gmail.com, Srinivas.M  
<director@aiims.gov.in>  
**Cc :** Atul Goel <atul.goel28@hmc-hosp.gov.in>

Thu, May 25, 2023 03:32 PM

Seen. It is OK.

(Atul Goel)

**From:** drkameshwarprasad@gmail.com  
**To:** "Srinivas.M" <director@aiims.gov.in>  
**Cc:** "K VijayRaghavan" <vijayraghavan@gov.in>, "Mr Rajesh Bhushan" <secyhw@nic.in>, "Prof (Dr) Atul Goel" <dghs@nic.in>, "SRINIVAS.M" <prof.srinivas@aiims.gov.in>, director@rimsranchi.ac.in, drsvenkatesh1@gmail.com, kp0704@gmail.com, md@aims.amrita.edu, srinivasem@gmail.com, vc@du.ac.in, vkshuklabhu@gmail.com  
**Sent:** Thursday, May 25, 2023 3:07:54 PM  
**Subject:** Re: Objective screening criteria

Dear Mr Amarjeet:

Thank you. Slight correction as indicated Pl make 'International/advanced' and add 'minimum two weeks' in the last point no 9.

Rest is ok.

Thanks

Kprasad

On Thu, 25 May 2023 at 2:55 PM, Srinivas.M <director@aiims.gov.in> wrote:  
Respected Sir

Kindly find attached the document for your kind perusal please.

With regards

Sincerely

Amarjeet Singh  
Office of the Director  
AIIMS, New Delhi

Prof. (Dr.) Kameshwar Prasad,  
Director & Chief Executive Officer, Rajendra Institute of Medical Sciences,  
Ranchi-834009, Jharkhand, India.

(Former Prof. & Head of Department of Neurology, Chief Neurologist)



Email

---

Re: Objective screening criteria

From : vkshuklabhu@gmail.com

Thu, May 25, 2023 03:24 PM

Subject : Re: Objective screening criteria

To : Srinivas.M &lt;director@allms.gov.in&gt;

Dear Dr Srinivas

Thanks for your mail and attachment. I have gone through it and approve the same.

With Regards

V K Shukla

Rector

BHU

Sent from my iPhone

On 25-May-2023, at 2:55 PM, Srinivas.M &lt;director@allms.gov.in&gt; wrote:

Respected Sir

Kindly find attached the document for your kind perusal please.

With regards

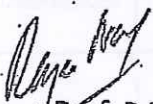
Sincerely

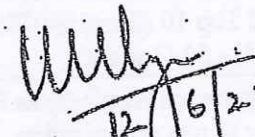
Amarjeet Singh  
Office of the Director  
AllMS, New Delhi

&lt;Objective screening criteria-25may23.pdf&gt;

**Final Report of the Committee constituted for development of objective criteria for screening of faculty recruitment applications at AIIMS, New Delhi**

Objective Screening Criteria for shortlisting candidates for interview for the post of Assistant Professor, if the number of applicants exceeds 20 for each post, is attached for medical and non medical candidates, along with a list of abbreviations used. This scoring system is purely for screening of candidates to be called for interview. Selection will be based on marks given by the selection committee based on interview performance. These criteria are not meant for faculty in the nursing college.

  
Prof. R Narang

  
12/6/23  
Prof. VK Iyer

  
Dr. Prasun Chatterjee

Dated: 12<sup>th</sup> June 2023



Objective screening score – Final version after Nirman Bhavan Meeting of 25<sup>th</sup> May 2023**OBJECTIVE SCREEN SCORE - MEDICAL STREAM**

S. No.	OBJECTIVE SCREENING SCORE	Scoring method	Max score
	<b>SECTION 1: ACADEMIC &amp; PROFESSIONAL ACHIEVEMENTS (medical): 35 MARKS</b>		
1	UG (MBBS/BDS) from NIRF ranked medical/dental 2022 Top 10 (5 marks); Top 11-20 (4 marks); Top 21- 30 (3 marks); Top 31-40 (2 marks), Top 41- 50 (1 mark).	1-5 as mentioned	5
2	MBBS/BDS from a government medical college.	2	2
3	PG (MD/MS/MDS) from NIRF ranked medical/dental 2022 Top 10 (5 marks); Top 11-20 (4 marks); Top 21- 30 (3 marks); Top 31-40 (2 marks), Top 41- 50 (1 mark).	1-5 as mentioned	5
4	MD/MS/MDS from a government medical college.	2	2
5	Academic SR (completed) / Non-Academic SR (minimum 2 out of the 3 years required) done from NIRF ranked medical/dental 2022 Top 10 (5 marks); Top 11-20 (4 marks); Top 21- 30 (3 marks); Top 31-40 (2 marks), Top 41- 50 (1 mark).	1-5 as mentioned	5
6	Work experience (more than the essential experience required) as Faculty in a Government Medical College - 1 mark per completed year in one organization.	1-5	5
7	International Fellowship from non-IMIC country: 1- <2 months =1 mark; 2 to <3 months =2 marks; 3 to <4 months = 3 marks, 4 to <6 months = 4 marks; ≥6 months = 5 marks	1-5 as mentioned	5
8	Served in Armed Forces- 1 mark for each completed year	1 per	4
9	NRELS (National Emergency Life Support)/ ACLS (Advanced Cardiac Life Support) course or Additional course in the subject.	2	2
	<b>Subtotal:</b>		<b>35</b>
	<b>SECTION 2: RESEARCH AND PUBLICATIONS: 35 MARKS</b>		
1	Pubmed Indexed publication (2 marks for each original research article, 1 mark for each case report/review/letter to editor (upload PMID number and PDF of paper)	1-2 as per	8
2	Thesis publication (MD/MS/DM/MCh/PhD); 3 marks for each published thesis, (upload PDF of paper)	3 per	6
3	Google Scholar h-index number (all time; upload printout).	Actual	5
4	Book Chapter published (2 mark for each, upload chapter PDF)	2 per	4
5	Funded project from ICMR/ DST/SERB/DBT/ CSIR/international (4 marks for project as principal investigator (PI) or CoPI; 2 mark for project as coinvestigator)	2-4 as per	6
6	Accepted Patent (3 marks per patent)	3 per	6
	<b>Subtotal:</b>		<b>35</b>
	<b>SECTION 3: TEACHING AND PRESENTATIONS: 30 MARKS</b>		
1	Oral Presentation/lecture in National Conference/Workshop (2 marks per presentation)	2 per	6
2	Poster Presentation in National Conferences (1 mark per poster)	1 per	3
3	Oral Presentation/Lecture in International Conferences organized by scientific association	4	4
4	Poster Presentation in International Conference organized by scientific association (3 marks per poster)	3 per	6
5	Attended Basic Course Workshop in Medical Education Technologies (NMC)	2	2
6	Attended Advanced Course in Medical Education (ACME) (NMC)	2	2
7	NMC course in Biomedical Research	2	2
8	Attended Curriculum Implementation Support Program (CISP) (NMC)	2	2
9	International (e.g. FAIMER) / advanced course in research methodology 15 days to 1 month (1 mark); 1-3 months (2 marks); more than 3 months (3 marks)	1-3 as mentioned	3
	<b>Subtotal:</b>		<b>30</b>
	<b>TOTAL:</b>		<b>100</b>



**Abbreviations used in the tables:**

UG: Undergraduate

NIRF: National Institutional Ranking Framework, Ministry of Education

NAAC: National Assessment and Accreditation Council

Acad: Academic (DM, MCh etc)

JR: Junior Resident

SR: Senior Resident

LMIC: Low and Medium Income Countries (World Bank country classification)

PMID: PubMed Identification number

FAIMER: Foundation for Advancement of International Medical Education and Research

NMC: National Medical Commission

Naji M  
12/6/23

Wali  
12/6/23

Pram



ALL INDIA INSTITUTE OF MEDICAL SCIENCES  
ANSARI NAGAR, NEW DELHI-110029

Minutes of the Meeting of HR-Sub-Committee under the Chairmanship of Secretary (Health), Ministry of Health & Family Welfare held on 18<sup>th</sup> May, 2023, 22<sup>nd</sup> May, 2023, 25<sup>th</sup> May, 2023 and 15<sup>th</sup> June, 2023 in the Chamber of Secretary (Health) at MoHFW, Nirman Bhawan, New Delhi.

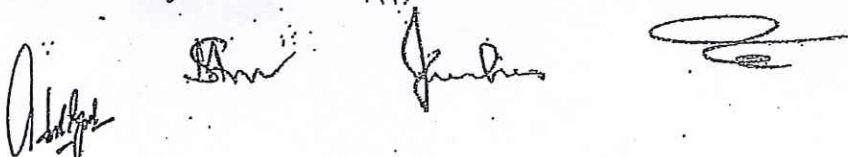
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The meetings of the HR-Sub Committee was held on 18th May, 2023, 22<sup>nd</sup> May, 2023 AM, 25<sup>th</sup> May, 2023 and 15th June, 2023 under the Chairmanship of Shri Rajesh Bhushan, Secretary (Health), Ministry of Health & Family Welfare in the Chamber of Secretary (Health) of MoHFW, New Delhi to discuss the issue for development of objective criteria for screening/short listing of applications of candidates for faculty recruitment at the AIIMS, New Delhi.

Following members attended the meetings:-

01. Dr. Atul Goel,  
Director General of Health  
Services(DGHS),  
Ministry of Health & Family Welfare,  
Nirman Bawan, New Delhi.
02. Sh. Jaideep Kumar Mishra,  
Additional Secretary and Financial Advisor,  
Ministry of Health & Family Welfare,  
Nirman Bawan, New Delhi.
03. Prof. M. Srinivas,  
Director, AIIMS, New Delhi

HR Sub-Committee was informed that AIIMS, New Delhi is in the process of initiating recruitment for approximately 200 faculty posts under Mission Recruitment. For the purpose, it has been considered to review the existing process of faculty selection and make it more objective and transparent. As per present practice, after candidates apply for the post, two stage screening is being done. Initially screening is being done at departmental level, where applications are scrutinized on the basis of extant recruitment rules/eligibility criteria and qualification laid down for the post. After first stage of screening, the Screening Committee under Chairmanship of the Director, AIIMS again goes through the laid down recruitment rules, eligibility criteria and required qualification/experience possessed by the candidates and finalize the screening process. All candidates who fulfill the eligibility criteria are called for interview. There is no provision of short listing of eligible candidates to a certain maximum number to be called for interview in the present scheme of faculty selection.





A meeting was held under the Chairmanship of the Director, AIIMS on 18.04.2023 with all Chief of Centres/Head of the Department to discuss and decide on introducing objective criteria for short listing of candidates for upcoming selection/recruitment of faculty members at the AIIMS, New Delhi. After detailed discussion on the matter, an Internal Committee was constituted to draft methodology for short listing of candidates to be followed for faculty selection. Inputs received from various departments on the objective criteria were provided to the above committee to finalize the draft methodology. The Internal Committee after deliberation has made recommendations which was placed before the HR-Sub Committee for consideration. The Committee was also informed that the names of shortlisted candidates will be displayed in the AIIMS website. The shortlisted candidate will be called for the interview in the ratio of 1:20.

The HR Sub Committee considered the objective criteria developed by the AIIMS, New Delhi in series of meetings and suggested that :-

- (i) reduce the number of sub-parameters and make them more objective.
- (ii) Draft template developed for the purpose may be discussed with the members of the Standing Selection Committee.
- (iii) After criteria are finalized, approval of the President, AIIMS may be sought.

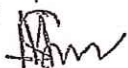
After taking into consideration the suggestions given by the HR-Sub-Committee, the objective criteria were revised and the same placed before the Committee in its meeting held on 15th June, 2023 for consideration.

The HR-Sub-Committee approved the revised criteria. The Committee suggested that (i) for Medical Stream, NRI ranking year should be for the year in which recruitment/advertisement held / (ii) Criteria should be reviewed regularly before recruitment/ (The objective criteria as approved for short listing of applications for recruitment of faculty are attached as Annexure-I).

Meeting ended with the thanks to the Chair.

  
(Dr. Atul Goel)  
Member

  
(Jaideep Kumar Mishra)  
Member

  
(Dr. M. Srinivas)  
Member- Secretary

  
(Rajesh Bhushan)  
Chairperson



## OBJECTIVE SCREEN SCORE - MEDICAL STREAM

S. No.	OBJECTIVE SCREENING SCORE	Scoring method	Max score
	<b>SECTION 1: ACADEMIC &amp; PROFESSIONAL ACHIEVEMENTS (medical):</b> <b>35 MARKS</b>		
1	UG (MBBS/BDS) from NIRF ranked medical/dental 2023 Top 10 (5 marks); Top 11-20 (4 marks); Top 21-30 (3 marks); Top 31-40 (2 marks), Top 41-50 (1 mark)	1-5 as mentioned	5
2	MBBS/BDS from a government medical college.	2	2
3	PG (MD/MS/MDS) from NIRF ranked medical/dental 2023 Top 10 (5 marks); Top 11-20 (4 marks); Top 21-30 (3 marks); Top 31-40 (2 marks), Top 41-50 (1 mark)	1-5 as mentioned	5
4	MD/MS/MDS from a government medical college.	2	2
5	Academic SR (completed) / Non-Academic SR (minimum 2 out of the 3 years required) done from NIRF ranked medical/dental 2023 Top 10 (5 marks); Top 11-20 (4 marks); Top 21-30 (3 marks); Top 31-40 (2 marks), Top 41-50 (1 mark)	1-5 as mentioned	5
6	Work experience (more than the essential experience required) as Faculty in a Government Medical College - 1 mark per completed year in one organization.	1-5	5
7	International Fellowship from non-LMIC country: 1- <2 months = 1 mark; 2 to <3 months = 2 marks; 3 to <4 months = 3 marks, 4 to <6 months = 4 marks; ≥6 months = 5 marks	1-5 as mentioned	5
8	Served in Armed Forces- 1 mark for each completed year	1 per	4
9	NELS (National Emergency Life Support)/ ACLS (Advanced Cardiac Life Support) course or Additional course in the subject.	2	2
	<b>Subtotal:</b>		<b>35</b>
	<b>SECTION 2: RESEARCH AND PUBLICATION: 35 MARKS</b>		
1	Pubmed Indexed publication (2 marks for each original research article, 1 mark for each case report/review/letter to editor (upload PMID number and PDF of paper)	1-2 as per	8
2	Thesis publication (MD/MS/DM/MCh/PhD); 3 marks for each published thesis, (upload PDF of paper)	3 per	6
3	Google Scholar h-index number (all time; upload printout)	Actual	5
4	Book Chapter published (2 marks for each, upload chapter PDF)	2 per	4
5	Funded project from ICMR/ DST/SERB/DBT/ CSIR/international (4 marks for project as principal investigator (PI) or CoPI; 2 marks for project as coinvestigator)	2-4 as per	6
6	Accepted Patent (3 marks per patent)	3 per	6
	<b>Subtotal:</b>		<b>35</b>
	<b>SECTION 3: TEACHING AND PRESENTATION: 30 MARKS</b>		
1	Oral Presentation/lecture in National Conference/Workshop (2 marks per presentation)	2 per	6
2	Poster Presentation in National Conferences (1 mark per poster)	1 per	3
3	Oral Presentation/Lecture in International Conferences organized by scientific association	4	4
4	Poster Presentation in International Conference organized by scientific association (3 marks per poster)	3 per	6
5	Attended Basic Course/Workshop in Medical Education Technologies (NMC)	2	2
6	Attended Advanced Course in Medical Education (ACME) (NMC)	2	2
7	NMC course in Biomedical Research	2	2
8	Attended Curriculum Implementation Support Program (CISP) (NMC)	2	2
9	International (e.g. FAIMER) / advanced course in research methodology 15 days to 1 month (1 mark); 1-3 months (2 marks); more than 3 months (3 marks)	1-3 as mentioned	3
	<b>Subtotal:</b>		<b>30</b>
	<b>TOTAL:</b>		<b>100</b>

Ray M  
20/6/23

Ullah  
20/6/23

Pras  
20/6/23



## OBJECTIVE SCREENING SCORE FOR NON-MEDICAL STREAM

S. No.	OBJECTIVE SCREENING SCORE	Scoring method	Max score
	<b>SECTION 1: ACADEMIC &amp; PROFESSIONAL ACHIEVEMENTS: (Non-medical) 35 MARKS</b>		
1	BSc 1st division (>60%)	5	5
2	BSc from a government college.	2	2
3	MSc done from NAAC ranked College/Institute/university A++ (5 marks); A+ (4 marks); A (3 marks); B++ (2 marks), B+ (1 mark) (Use medical NIRF 2023, if NAAC ranking not available)	1-5 as mentioned	5
4	MSc from a government college.	2	2
5	PhD done from NAAC ranked College/Institute/university A++ (5 marks); A+ (4 marks); A (3 marks); B++ (2 marks), B+ (1 mark) (Use medical NIRF if no NAAC)	1-5 as mentioned	5
6	Work experience (more than the essential experience required) as Assistant Professor in a Government College - 1 mark per completed year in one organization.	1-5	5
7	Funded fellowship from DST/CSIR/ICMR/Newton Bhabha/Indo US	5	5
8	Post Doc Fellowship received (National Award CSIR/ ICMR/ DHR/ DST/ Ramanujan/ Ramalingaswamy/ International fellowship for independent Research)	6	6
	<b>Subtotal:</b>		<b>35</b>
	<b>SECTION 2: RESEARCH AND PUBLICATION: 35 MARKS</b>		
1	Pubmed Indexed publication (2 marks for each original research article, 1 mark for each case report/review/letter to editor (upload PMID number and PDF of paper)	1-2 as per	8
2	Thesis publication (MSc/PhD); 3 marks for each published thesis, upload PDF of paper)	3 per	6
3	Google Scholar h-index number (all time; upload printout)	Actual	5
4	Book Chapter published (2 marks for each, upload chapter PDF)	2 per	4
5	Funded project from ICMR/ DST/SERB/DBT/ CSIR/international (4 marks for project as principal investigator (PI) or CoPI; 2 marks for project as coinvestigator)	2-4 as per	6
6	Accepted Patent (3 marks per patent)	3 per	6
	<b>Subtotal:</b>		<b>35</b>
	<b>SECTION 3: TEACHING AND PRESENTATION: 30 MARKS</b>		
1	Oral Presentation/lecture in National Conference/Workshop (2 marks per presentation)	2 per	6
2	Poster Presentation in National Conferences (1 mark per poster)	1 per	3
3	Oral Presentation/Lecture in International Conferences organized by scientific association	4	4
4	Poster Presentation in International Conference organized by scientific association (3 marks per poster)	3 per	6
5	Attended Basic Course Workshop in Medical Education Technologies (NMC)	2	2
6	Attended Advanced Course in Medical Education (ACME) (NMC)	2	2
7	NMC course in Biomedical Research	2	2
8	Attended Curriculum Implementation Support Program (CISP) (NMC)	2	2
9	International (e.g. FAIMER) / advanced course in research methodology 15 days to 1 month (1 mark); 1-3 months (2 marks); more than 3 months (3 marks)	1-3 as mentioned	3
	<b>Subtotal:</b>		<b>30</b>
	<b>TOTAL:</b>		<b>100</b>

Rev. by  
20/6/23

20/6/23

20/6/23



UG: Undergraduate

NIRF: National Institutional Ranking Framework, Ministry of Education

NAAC: National Assessment and Accreditation Council.

Acad: Academic (DM, MCh etc)

JR: Junior Resident

SR: Senior Resident

LMIC: Low and Medium Income Countries (World Bank country classification)

PMID: PubMed Identification number

FAIMER: Foundation for Advancement of International Medical and Research

*Naresh*  
*20/6/23*

*Wu*  
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*Poo*  
*20/6/23*

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अ०.मो०आ०सो  
A. I. I. M. S.

**CONFIDENTIAL**

**ALL INDIA INSTITUTE OF MEDICAL SCIENCES  
[FACULTY CELL]**

No.F.14-4/2022-Estt.(FC)

Ansari Nagar, New Delhi-110029

Dated the:

22 JUN 2023

**Subject: To consider the recommendations of the Committee constituted for development of objective criteria for screening of faculty recruitment applications at the AIIMS, New Delhi.**

\*\*\*\*\*

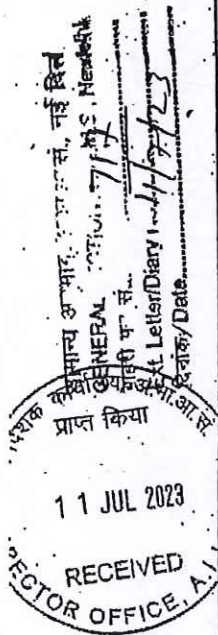
AIIMS, New Delhi is in the process of initiating recruitment for approximately 200 faculty posts under Mission Recruitment. For the purpose, it has been considered to review the existing process of faculty selection and make it more objective and transparent. As per present practice, after candidates apply for the post, two stage screening is being done. Initially screening is being done at departmental level, where applications are scrutinized on the basis of extant recruitment rules/eligibility criteria and qualification laid down for the post. After first stage of screening, the Screening Committee under Chairmanship of the Director, AIIMS again goes through the laid down recruitment rules, eligibility criteria and required qualification/experience possessed by the candidates and finalize the screening process. All candidates who fulfill the eligibility criteria are called for interview. There is no provision of short listing of eligible candidates to a certain maximum number to be called for interview in the present scheme of faculty selection.

A meeting was held under the Chairmanship of the Director, AIIMS on 18.04.2023 with all Chief of Centres/Head of the Department to discuss and decide on introducing objective criteria for short listing of candidates for upcoming selection/recruitment of faculty members at the AIIMS, New Delhi. After detailed discussion on the matter, an Internal Committee was constituted to draft methodology for short listing of candidates to be followed for faculty selection. Inputs received from various departments on the objective criteria were provided to the above committee to finalize the draft methodology. The Internal Committee after deliberation has made recommendations, which were placed before the HR Sub Committee for consideration on 18.05.2023 (Annexure-1). The Committee was informed that the names of shortlisted candidates will be displayed in the AIIMS website. The shortlisted candidate will be called for the interview in the ratio of 1:20.

The HR Sub Committee considered the objective criteria developed by the AIIMS, New Delhi in a series of meetings held on 18th May, 2023, 22nd May, 2023, and 25th May, 2023. Minutes of HR Sub Committee are at Annexure-2.

HR Sub Committee had advised as follows:

- reduce the number of sub-parameters and make them more objective.
- Draft template developed for the purpose may be discussed with the members of the Standing Selection Committee.
- After criteria are finalized, approval of the President, AIIMS may be sought.





As per the advice of HR Sub Committee, to get inputs, a meeting with the member of the Selection Committee was held on 23rd May, 2023 to discuss objective criteria to be used for screening of applicant for faculty positions at AIIMS, New Delhi. Members of the SSC considered the draft of objective criteria and approved the same with some suggestions. Minutes of this meeting and copy of e-mail received from the members of SSC may kindly be seen at Annexure-3.

After having considered inputs from Standing Selection Committee, the objective criteria were revised and were placed before the Committee in its meeting held on 15th June, 2023 for consideration. Annexure-4.

The HR Sub Committee approved the revised criteria. (Minutes of HR Sub Committee are placed at Annexure-5.)

While approving these criteria, Committee suggested that:

- (i) for Medical Stream, NIRE ranking year should be for the year in which recruitment advertisement is held.
- (ii) Criteria should be reviewed regularly before recruitment.

Objective criteria as approved by HR Sub Committee in its meeting held on 15.06.2023 are submitted for approval of the Hon'ble President, AIIMS, New Delhi. The Institute will get it ratified subsequently from the Governing Body.

The President, AIIMS

(Prof. M. Srinivas)  
Director, AIIMS, New Delhi

Encl. As above.

Pl discuss

11/7/2023

Meeting → SSC → HR

11/8/2023

They have agreed to record N.R.F. rank etc. & make general provisions without any advantage to N.R.F. rank etc. 11/8/2023





शरीरमात्रं खलु धर्मसाधनम्  
आ.भा.आ.स.  
A.I.I.M.S.

17/8/2023

Continued: ---

The objections raised were:

① Top NIAF Institutes are being  
weightage  
(they were ~~opportunity~~ ~~---~~ ~~---~~)

② Government College experience  
is counted

etc

Hence urgent meeting of SSC  
(Standing Selection Committee) followed  
by the Committee please

*[Signature]*

14/8/2023

pic (FC)

SV4  
14/8/2023

SV 40 (FC)

*[Signature]*  
16/8/23

Adm (FC) H



Objective screening score – 1.11.23 (3:30 PM)

**OBJECTIVE SCREENING SCORE - MEDICAL STREAM**

S. No.	OBJECTIVE SCREENING SCORE	Scoring method	Max score
	<b>SECTION 1: ACADEMIC &amp; PROFESSIONAL ACHIEVEMENTS (medical): 35 MARKS</b>		
1	MBBS/BDS from Private College/Deemed University (2 marks), Government college (4 Marks) NIRF ranked medical/dental 2023 Top 50 college (6 marks)	2-6 as mentioned	6
2	NTSC Scholarship winner in school	1	1
3	MD/MS/MDS from Private College/Deemed University (2 marks), Government College (4 marks), NIRF ranked medical/dental 2023 Top 50 college (6 marks)	2-6 as mentioned	6
4	Academic SR (completed) / Non-Academic SR (minimum 2 out of the 3 years post MD experience required) done from Private College/Deemed Univ (2 marks), Government College (4 marks) NIRF ranked medical/dental 2023 Top 50 college (6 marks);	2-6 as mentioned	6
5	Work experience (more than the essential experience required) as Faculty in a Private Medical College/Deemed University (1 mark per completed year in one organization.) Government Medical College – (2 marks per completed year in one organization), INI (3 marks per completed year in one organization.)	1-6 as mentioned	6
6	International Fellowship from non-LMIC country: 1 to <2 months = 1 mark; 2 to <3 months = 2 marks; 3 to <4 months = 3 marks; 4 to <6 months = 4 marks; ≥6 months = 5 marks	1-5 as mentioned	5
7	Served in Armed Forces- 1 mark for each completed year	1 per	3
8	BCLS (Basic Cardiac Life Support) course	1	1
9	NELS (National Emergency Life Support)/ ACLS (Advanced Cardiac Life Support) course	1	1
	<b>Subtotal:</b>		<b>35</b>
	<b>SECTION 2: RESEARCH AND PUBLICATIONS: 35 MARKS</b>		
1	Pubmed Indexed publication (2 marks for each original research article, 1 mark for each case report/review/letter to editor (upload PMID number and PDF of paper)	1-2 as per	8
2	Thesis publication (MD/MS/DM/MCh/PhD); 3 marks for each published thesis, (upload PDF of paper)	3 per	6
3	Google Scholar h-index number (all time; upload printout)	Actual	5
4	Book Chapter published (2 mark for each, upload-chapter PDF)	2 per	4
5	Funded project from ICMR/ DST/SERB/DBT/ CSIR/international (4 marks for project as principal investigator (PI) or CoPI; 2 mark for project as coinvestigator)	2-4 as per	6
6	Accepted Patent (3 marks per patent)	3 per	6
	<b>Subtotal:</b>		<b>35</b>
	<b>SECTION 3: TEACHING AND PRESENTATIONS: 30 MARKS</b>		
1	Oral Presentation/lecture in National Conference/Workshop (2 marks per presentation)	2 per	6
2	Poster Presentation in National Conferences (1 mark per poster)	1 per	3
3	Oral Presentation/Lecture in International Conferences organized by scientific association	4	4
4	Poster Presentation in International Conference organized by scientific association (3 marks per poster)	3 per	6
5	Attended Basic Course Workshop in Medical Education Technologies (NMC)	2	2
6	Attended Advanced Course in Medical Education (ACME) (NMC)	2	2
7	NMC course in Biomedical Research	2	2
8	Attended Curriculum Implementation Support Program (CISP) (NMC)	2	2
9	International (e.g. FAIMER) / advanced course in research methodology 15 days to 1 month (1 mark); 1-3 months (2 marks); more than 3 months (3 marks)	1-3 as mentioned	3
	<b>Subtotal:</b>		<b>30</b>
	<b>TOTAL:</b>		<b>100</b>

1/11/2023

1/11/2023

B

1/11/2023



## OBJECTIVE SCREENING SCORE FOR NON-MEDICAL STREAM

S. No.	OBJECTIVE SCREENING SCORE	Scoring method	Max score
	<b>SECTION 1: ACADEMIC &amp; PROFESSIONAL ACHIEVEMENTS: (Non-medical) 35 MARKS</b>		
1	BSc 2 <sup>nd</sup> division or CGPA 5-7 from Private college /Deemed University (1 mark), BSc 2 <sup>nd</sup> division or CGPA 5-7 from Government college (2 marks), BSc 1 <sup>st</sup> division (>60) division or CGPA >7 from Private college /Deemed University (3 marks), BSc 1 <sup>st</sup> division (>60) or CGPA >7 from Government college (4 marks), University topper (6 Marks)	1-6 as mentioned	6
2	NTSC Scholarship winner in school	1	1
3	MSc 2 <sup>nd</sup> division or CGPA 5-7 from Private college /Deemed University (1 mark), MSc 2 <sup>nd</sup> division or CGPA 5-7 from Government college (2 marks), BSc 1 <sup>st</sup> division (>60) division or CGPA >7 from Private college /Deemed University (3 marks), BSc 1 <sup>st</sup> division (>60) or CGPA >7 from Government college (4 marks), University topper (6 Marks)	1-6 as mentioned	6
4	PhD done from Private college /Deemed University (2 marks); Government college (4 marks), INI (6 marks)	2-6 as mentioned	6
5	Work experience (more than the essential experience required) as Faculty in a Private Medical College/Deemed University (1 mark per completed year in one organization); Government Medical College – (2 marks per completed year in one organization), from INI (3 marks per completed year in one organization.)	1-6	6
6	Funded fellowship from DST/CSIR/ICMR/Newton Bhabha/Indo US	4	4
7	Post Doc Fellowship received (National Award CSIR/ ICMR/ DHR/ DST/ Ramanujam/ Ramalingaswamy/ International fellowship for independent Research)	6	6
	<b>Subtotal:</b>		<b>35</b>
	<b>SECTION 2: RESEARCH AND PUBLICATIONS: 35 MARKS</b>		
1	Pubmed Indexed publication (2 marks for each original research article, 1 mark for each case report/review/letter to editor (upload PMID number and PDF of paper)	1-2 as per	8
2	Thesis publication (MSc/PhD); 3 marks for each published thesis, upload PDF of paper)	3 per	6
3	Google Scholar h-index number (all time; upload printout)	Actual	5
4	Book Chapter published (2 mark for each, upload chapter PDF)	2 per	4
5	Funded project from ICMR/ DST/SERB/DBT/ CSIR/international (4 marks for project as principal investigator (PI) or CoPI; 2 mark for project as coinvestigator)	2-4 as per	6
6	Accepted Patent (3 marks per patent)	3 per	6
	<b>Subtotal:</b>		<b>35</b>
	<b>SECTION 3: TEACHING AND PRESENTATIONS: 30 MARKS</b>		
1	Oral Presentation/lecture in National Conference/Workshop (2 marks per presentation)	2 per	6
2	Poster Presentation in National Conferences (1 mark per poster)	1 per	3
3	Oral Presentation/Lecture in International Conferences organized by scientific association	4	4
4	Poster Presentation in International Conference organized by scientific association (3 marks per poster)	3 per	6
5	Attended Basic Course Workshop in Medical Education Technologies (NMC)	2	2
6	Attended Advanced Course in Medical Education (ACME) (NMC)	2	2
7	NMC course in Biomedical Research	2	2
8	Attended Curriculum Implementation Support Program (CISP) (NMC)	2	2
9	International (e.g. FAIMER) / advanced course in research methodology 15 days to 1 month (1 mark); 1-3 months (2 marks); more than 3 months (3 marks)	1-3 as mentioned	3
	<b>Subtotal:</b>		<b>30</b>
	<b>TOTAL:</b>		<b>100</b>

*[Signature]*

11/11/2023

*[Signature]*  
11/11/23

*[Signature]*  
11/11/23

*[Signature]*  
11/11/23



116

Minutes of the meeting of HR Sub-Committee held on December 1, 2023 at 3.00 PM to consider Revised Objective Criteria for Screening Faculty Recruitment Applications at the AIIMS, New Delhi.

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The meeting of the HR-Sub Committee for consideration of revised Objective Criteria for screening/short listing of faculty recruitment applications at AIIMS, New Delhi was held under the Chairmanship of the Secretary (Health) on 1.12.2023 at 3.00 p.m. at Ministry of Health & Family Welfare. The following members attended the meeting:-

1. Dr. Atul Goel, Director General of Health Services (DGHS), Ministry of Health & Family Welfare, Nirman Bhawan, New Delhi.
2. Shri Jaideep Kumar Mishra, Additional Secretary & Financial Advisor, Ministry of Health & Family Welfare, Nirman Bhawan, New Delhi.
3. Prof. M. Srinivas, Director, AIIMS, New Delhi.

The Committee was briefed about the background as follows:-

- The objective criteria developed by the Internal Committee of AIIMS, New Delhi -Annexure-I, were thoroughly reviewed and discussed by the HR Sub-Committee during a series of meetings held on May 18, 2023, May 22, 2023, and May 25, 2023. The detailed minutes of these HR Sub-Committee meetings are attached as Annexure-2.
- During its meetings on May 18 and 22, 2023, the HR Sub-Committee made the following suggestions:
  1. Reduce the number of sub-parameters and make them more objective.
  2. Discuss the draft template developed for this purpose with the members of the Standing Selection Committee (SSC).
  3. Obtain the approval of the President of AIIMS after finalizing the criteria.
- In view of the above, a meeting of the SSC was convened on May 23, 2023. After due deliberations & taking note of HR Sub-Committee's suggestions, the SSC members suggested changes to be made in the objective criteria. The minutes of

*[Signatures]*

this meeting and a copy of the corresponding email from the SSC members are attached as Annexure-3.

- To revise objective criteria as per suggestions of SSC, internal committee at AIIMS had held a meeting on June 12, 2023 (Annexure-4). The objective criteria were modified as per the directions of SSC.
- HR Sub-Committee endorsed these revised criteria during its meeting on June 15, 2023. The minutes of the HR Sub-Committee meeting are attached at Annexure-5.
- While approving these criteria, the HR Sub Committee recommended as below:
  - For the medical stream, the NIRF ranking year should be the year in which the recruitment advertisement is issued.
  - The criteria should be reviewed regularly before each recruitment cycle.
- Internal Committee which had drafted the objective criteria, changed year of NIRF ranking as per suggestion of HR Sub Committee-Annexure-6. This document was submitted to Honorable President of AIIMS for consideration.
- The Honorable President of AIIMS advised that the members of the Standing Selection Committee of AIIMS, New Delhi, and the HR Sub-Committee should reconsider these criteria and omit the criterion related to NIRF ranking to ensure equal opportunities for graduates of all medical colleges and institutions (Annexure-7).
- Accordingly, a meeting of the Standing Selection Committee was convened on September 5, 2023 to revisit the objective criteria. After detailed discussions & having considered observations of President AIIMS, the SSC has revised the objective criteria, as presented in Annexure-8. The changes made in the final draft can be seen at Annexure-9.

Accordingly, Final revised objective criteria for screening faculty recruitment applications at AIIMS, New Delhi, are submitted to the HR Sub-Committee for kind consideration. Upon approval by the HR Sub-Committee, the criteria will be submitted to the Honorable President of AIIMS for his kind consideration and approval.

*[Handwritten signatures]*

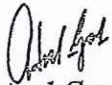



These revised Objective criteria were perused by HR-Sub Committee in its meeting held on 01.12.2023. The HR-Sub Committee unanimously endorsed the revised objective criteria. The Committee recommended that the revised criteria are to be used only for short listing of applicants for various faculty posts at AIIMS, New Delhi.

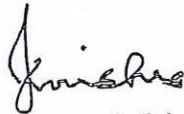
The Committee also made the following suggestions:-


- The objective criteria for shortlisting candidates should be published upfront for the information of candidates in the recruitment notice on Institute website. All applicants should be aware of these at the time of submission of their application.
- The scores obtained by the candidates as per objective criteria will be used only for short listing of the applicants. This score not be shared with the Standing Selection Committee at the time of the interview.
- The Institute may consider to have ratio of short listed candidates for each post to be 10: 1 (Short listed candidate : number of post).

The meeting concluded with a vote of thanks to the Chair.

  
(Dr. Atul Goel)  
Member

  
(Dr. M. Srinivas)  
Member

  
(Jaideep Kumar Mishra)  
Member

  
(Sudhansh Pant)  
Chairman



भारतीय चिकित्सा विज्ञान संस्थान  
अ०भा०आ०सं०  
A.I.I.M.S.

OSI

119

CONFIDENTIAL

ALL INDIA INSTITUTE OF MEDICAL SCIENCES  
[FACULTY CELL]

No.F.14-4/2022-Estt.(FC)

Ansari Nagar, New Delhi-110029

Dated the: 07 DEC 2023

Subject: To consider the recommendations of the Committee constituted for development of objective criteria for screening of faculty recruitment applications at the AIIMS, New Delhi.

\*\*\*\*\*

AIIMS, New Delhi is in the process of initiating recruitment for approximately 200 faculty posts under Mission Recruitment. For the purpose, it has been considered to review the existing process of faculty selection and make it more objective and transparent. As per present practice, after candidates apply for the post, two stage screening is being done. Initially screening is being done at departmental level, where applications are scrutinized on the basis of extant recruitment rules/eligibility criteria and qualification laid down for the post. After first stage of screening, the Screening Committee under Chairmanship of the Director, AIIMS again goes through the laid down recruitment rules, eligibility criteria and required qualification/experience possessed by the candidates and finalize the screening process. All candidates who fulfill the eligibility criteria are called for interview. There is no provision of short listing of eligible candidates to a certain maximum number to be called for interview in the present scheme of faculty selection.

A meeting was held under the Chairmanship of the Director, AIIMS on 18.04.2023 with all Chief of Centres/Head of the Department to discuss and decide on introducing objective criteria for short listing of candidates for upcoming selection/recruitment of faculty members at the AIIMS, New Delhi. After detailed discussion on the matter, an Internal Committee was constituted to draft methodology for short listing of candidates to be followed for faculty selection. Inputs received from various departments on the objective criteria were provided to the above committee to finalize the draft methodology. The Internal Committee after deliberation has made recommendations, which were placed before the HR-Sub Committee for consideration on 18.05.2023(Annexure-1). The Committee was informed that the names of shortlisted candidates will be displayed in the AIIMS website. The shortlisted candidate will be called for the interview in the ratio of 1:20.

The HR Sub Committee considered the objective criteria developed by the AIIMS, New Delhi in a series of meetings held on 18th May, 2023, 22nd May, 2023, and 25th May, 2023. Minutes of HR Sub Committee are at Annexure-2.

During its meetings on May 18 and 22, 2023, the HR Sub-Committee made the following suggestions:

1. Reduce the number of sub-parameters and make them more objective.
2. Discuss the draft template developed for this purpose with the members of the Standing Selection Committee (SSC).
3. Obtain the approval of the President of AIIMS after finalizing the criteria.

In view of the above, a meeting of the SSC was convened on May 23, 2023. After due deliberations & taking note of HR Sub-Committee's suggestions, the SSC members suggested changes to be made in the objective criteria. The minutes of this meeting and a copy of the corresponding email from the SSC members are attached as Annexure-3.

P.T.O.

O/o the Minister of H&FW  
Computerised  
FTS No. 3450983  
Date 12/12/2023



To revise objective criteria as per suggestions of SSC, internal committee at AIIMS had held a meeting on June 12, 2023 (Annexure-4). The objective criteria were modified as per the directions of SSC.

HR Sub-Committee endorsed these revised criteria during its meeting on June 15, 2023. The minutes of the HR Sub-Committee meeting are attached at Annexure-5.

- For the medical stream, the NIRF ranking year should be the year in which the recruitment advertisement is issued.
- The criteria should be reviewed regularly before each recruitment cycle.

Internal Committee which had drafted the objective criteria, changed year of NIRF ranking as per suggestion of HR Sub Committee-Annexure-6. This document was submitted to Honorable President of AIIMS for consideration.

The Honorable President of AIIMS suggested that the members of the Standing Selection Committee of AIIMS, New Delhi, and the HR Sub-Committee should reconsider these criteria and omit the criterion related to NIRF ranking to ensure equal opportunities for graduates of all medical colleges and institutions (Annexure-7).

Accordingly, a meeting of the Standing Selection Committee was convened on September 5, 2023 to revisit the objective criteria. After detailed discussions & having considered observations of President AIIMS, the SSC has revised the objective criteria, as presented in Annexure-8.

Revised objective criteria were placed before HR Sub Committee in its meeting held on 01.12.2023 for consideration. HR Sub Committee approve revised draft objective criteria with following suggestions(Annexure-9):

- The objective criteria for short listing candidates should be made public upfront in the recruitment notice on the Institute's website for the information of candidates. All applicants should be informed of these criteria at the time of application submission.
- The scores obtained by the candidates based on the objective criteria will be used exclusively for short listing applicants. These scores will not be shared with the Standing Selection Committee during the interview process.
- The Institute may consider maintaining a ratio of 10 short-listed candidates to 1 post (shortlisted candidates: number of posts) for each position.

Revised objective criteria(Annexure-8) as approved by HR Sub Committee in its meeting held on 01.12.2023 are submitted for approval of the Hon'ble President, AIIMS, New Delhi. These will be submitted subsequently for ratification by the Governing Body.



The President, AIIMS  
Encl.: As above

6/12/2023

(Prof. M. Srinivas)  
Director, AIIMS, New Delhi

Director(AIIMS)

4/12/23  
4701311/M

13/12/2023

121

No.F.14-4/2022-Estt(FC)-Objective Criteria  
ALL INDIA INSTITUTE OF MEDICAL SCIENCES  
(FACUTY CELL)

22 DEC 2023

Ansari Nagar, New Delhi-29.

Dated the :

**Subject:- Objective Criteria for screening/short listing of candidates for faculty recruitment at the AIIMS, New Delhi – Notification thereof.**

\*\*\*\*\*

AIIMS, New Delhi, is recruiting faculty regularly. Currently, the process involves two screening stages. The first stage occurs at the departmental level, where applications are carefully assessed against established recruitment rules, eligibility criteria, and advertised qualifications. Following this, a final screening is done by a committee, chaired by the Director, AIIMS. This committee reviews recommendations sent by the departments' short list candidates to be called for interview. All eligible candidates are then invited for interviews. In the present scheme there is no provision for limiting the number of short listed candidates to be called for interview. In a step towards a more transparent and merit-based faculty recruitment process, AIIMS, New Delhi, has developed objective criteria for candidate short listing. This initiative aims to attract and select the most qualified individuals to join its esteemed faculty ranks.

In a step towards a more transparent and merit-based faculty recruitment process, AIIMS, New Delhi, has developed objective criteria for short listing applicants. These have been approved by the competent authority.

To ensure a consistent and transparent selection process across disciplines, Objective criteria which will be used for shorting listing are outlined in Annexure-I will be used to short listing applicants for the post of Assistant Professor in various disciplines. This objective criteria have been approved by the President of AIIMS, New Delhi.

**The following are the key points of the process:-**

**For the post of Assistant Professor:**

**Application Process:**

- For more than 10 applicants per vacancy, the Objective Screening Score (Annexure-I) will be used to shortlist candidates for interviews.
- The Departmental Screening Committee will screen candidates based on submitted documents to determine eligibility to be called for interviews.

---2/-





- In case more than one candidate have similar score, then all with the same score will be called for interview even if the number of short listed candidates is more than 10 for that vacancy.

**Interview and Selection:**

- ☐ The screening score will be used only for short listing candidates for interviews and will not be factored into the final selection process.
- ☐ The list of shortlisted candidates will be displayed on the website.

**Verification and Disqualifications:**

- ☐ Shortlisted candidates must bring original documents for all parameters listed in the online application form for verification on the interview day.
- ☐ Failure to produce documents, providing false information, or any other illegal action will lead to disqualification and potential cancellation of candidacy at any stage.
- ☐ Detailed timelines for the entire process (application, short listing, interviews) will be available online.

**For Associate Professor and Tutor, College of Nursing:-**

- ☐ A written examination for screening applications for the post of Tutor in the College of Nursing will be conducted. Details regarding the exam will be uploaded on the website, and all eligible candidates will be notified accordingly.
- Eligible candidates will call for interview in the ratio and criteria as mentioned for the post of Assistant Professor above i.e. 1:10.

Above information is notified on AIIMS website for information of all concerned.

This issues with the approval of the Director, AIIMS.

  
(B.S. Gill)

Sr. Admn. Officer (Faculty Cell)

The Officer-Incharge, CF – With request to upload above on AIIMS Website.



123

## OBJECTIVE SCREEN SCORE - MEDICAL STREAM

S. No.	OBJECTIVE SCREENING SCORE	Scoring method	Max score
	<b>SECTION 1: ACADEMIC &amp; PROFESSIONAL ACHIEVEMENTS (medical): 35 MARKS</b>		
1	MBBS/BDS from Pvt. College/Deemed univ. (2 marks), Government college (4 Marks) NIRF ranked medical/dental 2023 Top 50 college (6 marks)	2-6 as mentioned	6
2	NTSC Scholarship winner in school	1	1
3	MD/MS/MDS from Pvt. College/Deemed Univ. (2 marks), Government College (4 marks), NIRF ranked medical/dental 2023 Top 50 college (6 marks)	2-6 as mentioned	6
4	Academic SR (completed) / Non-Academic SR (minimum 2 out of the 3 years post MD experience required) done from Pvt College/Deemed Univ (2 marks), Govt College (4 marks) NIRF ranked medical/dental 2023 Top 50 (6 marks);	2-6 as mentioned	6
5	Work experience (more than the essential experience required) as Faculty in a Private Medical College/Deemed University (1 mark per completed year in one organization.) Government Medical College - (2 marks per completed year in one organization; INI (3 marks per completed year in one organization.)	1-6 as mentioned	6
6	International Fellowship from non-LMIC country: 1 to <2 months = 1 mark; 2 to <3 months = 2 marks; 3 to <4 months = 3 marks; 4 to <6 months = 4 marks; ≥6 months = 5 marks	1-5 as mentioned	5
7	Served in Armed Forces- 1 mark for each completed year	1 per	3
8	BCLS (Basic Cardiac Life Support)/ course	1	1
9	NELS (National Emergency Life Support)/ ACLS (Advanced Cardiac Life Support) course.	1	1
	<b>Subtotal:</b>		<b>35</b>
	<b>SECTION 2: RESEARCH AND PUBLICATIONS: 35 MARKS</b>		
1	Pubmed Indexed publication (2 marks for each original research article, 1 mark for each case report/review/letter to editor (upload PMID number and PDF of paper)	1-2 as per	8
2	Thesis publication (MD/MS/DM/MCh/PhD); 3 marks for each published thesis, (upload PDF of paper)	3 per	6
3	Google Scholar h-index number (all time; upload printout)	Actual	5
4	Book Chapter published (2 mark for each, upload chapter PDF)	2 per	4
5	Funded project from ICMR/ DST/SERB/DBT/ CSIR/international (4 marks for project as principal investigator (PI) or CoPI; 2 mark for project as coinvestigator)	2-4 as per	6
6	Accepted Patent (3 marks per patent)	3 per	6
	<b>Subtotal:</b>		<b>35</b>
	<b>SECTION 3: TEACHING AND PRESENTATIONS: 30 MARKS</b>		
1	Oral Presentation/lecture in National Conference/Workshop (2 marks per presentation)	2 per	6
2	Poster Presentation in National Conferences (1 mark per poster)	1 per	3
3	Oral Presentation/Lecture in International Conferences organized by scientific association	4	4
4	Poster Presentation in International Conference organized by scientific association (3 marks per poster)	3 per	6
5	Attended Basic Course Workshop in Medical Education Technologies (NMC)	2	2
6	Attended Advanced Course in Medical Education (ACME) (NMC)	2	2
7	NMC course in Biomedical Research	2	2
8	Attended Curriculum Implementation Support Program (CISP) (NMC)	2	2
9	International (e.g. FAIMER) / advanced course in research methodology 15 days to 1 month (1 mark); 1-3 months (2 marks); more than 3 months (3 marks)	1-3 as mentioned	3
	<b>Subtotal:</b>		<b>30</b>
	<b>TOTAL:</b>		<b>100</b>



## OBJECTIVE SCREENING SCORE FOR NON-MEDICAL STREAM

S. No.	OBJECTIVE SCREENING SCORE	Scoring method	Max score
	<b>SECTION 1: ACADEMIC &amp; PROFESSIONAL ACHIEVEMENTS: (Non-medical) 35 MARKS</b>		
1	BSc 2 <sup>nd</sup> division or CGPA 5-7 from Private college/Deemed University (1 mark), BSc 2 <sup>nd</sup> division or CGPA 5-7 from Govt college (2 marks), BSc 1 <sup>st</sup> division (>60) division or CGPA >7 from Private college/Deemed university (3 marks), BSc 1 <sup>st</sup> division (>60) or CGPA >7 from Govt college (4 marks), University topper (6 Marks)	1-6 as mentioned	6
2	NTSC Scholarship winner in school	1	1
3	MSc 2 <sup>nd</sup> division or CGPA 5-7 from Private college/Deemed University (1 mark), MSc 2 <sup>nd</sup> division or CGPA 5-7 from Govt college (2 marks), BSc 1 <sup>st</sup> division (>60) division or CGPA >7 from Private college/Deemed University (3 marks), BSc 1 <sup>st</sup> division (>60) or CGPA >7 from Govt college (4 marks), University topper (6 Marks)	1-6 as mentioned	6
4	PhD done from Pvt. College/Deemed University (2 marks); Govt college (4 marks), INI (6 marks)	2-6 as mentioned	6
5	Work experience (more than the essential experience required) as Faculty in a Private Medical College/Deemed University (1 mark per completed year in one organization,) Government Medical College (2 marks per completed year in one organization, from INI (3 marks per completed year in one organization.)	1-6	6
6	Funded fellowship from DST/CSIR/ICMR/Newton Bhabha/Indo US	4	4
7	Post Doc Fellowship received (National Award CSIR/ ICMR/ DHR/ DST/ Ramanujam/ Ramalingaswamy/ International fellowship for independent Research)	6	6
	<b>Subtotal:</b>		<b>35</b>
	<b>SECTION 2: RESEARCH AND PUBLICATIONS: 35 MARKS</b>		
1	Pubmed Indexed publication (2 marks for each original research article, 1 mark for each case report/review/letter to editor (upload PMID number and PDF of paper)	1-2 as per	8
2	Thesis publication (MSc/PhD); 3 marks for each published thesis, upload PDF of paper)	3 per	6
3	Google Scholar h-index number (all time; upload printout)	Actual	5
4	Book Chapter published (2 mark for each, upload chapter PDF)	2 per	4
5	Funded project from ICMR/ DST/SERB/DBT/ CSIR/international (4 marks for project as principal investigator (PI) or CoPI; 2 mark for project as coinvestigator)	2-4 as per	6
6	Accepted Patent (3 marks per patent)	3 per	6
	<b>Subtotal:</b>		<b>35</b>
	<b>SECTION 3: TEACHING AND PRESENTATIONS: 30 MARKS</b>		
1	Oral Presentation/lecture in National Conference/Workshop (2 marks per presentation)	2 per	6
2	Poster Presentation in National Conferences (1 mark per poster)	1 per	3
3	Oral Presentation/Lecture in International Conferences organized by scientific association	4	4
4	Poster Presentation in International Conference organized by scientific association (3 marks per poster)	3 per	6
5	Attended Basic Course Workshop in Medical Education Technologies (NMC)	2	2
6	Attended Advanced Course in Medical Education (ACME) (NMC)	2	2
7	NMC course in Biomedical Research	2	2
8	Attended Curriculum Implementation Support Program (CISP) (NMC)	2	2
9	International (e.g. FAIMER) / advanced course in research methodology 15 days to 1 month (1 mark); 1-3 months (2 marks); more than 3 months (3 marks)	1-3 as mentioned	3
	<b>Subtotal:</b>		<b>30</b>
	<b>TOTAL:</b>		<b>100</b>

125

ALL INDIA INSTITUTE OF MEDICAL SCIENCES  
ANSARI NAGAR, NEW DELHI 110029

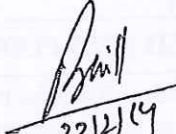
**CORRIGENDUM**

Reference Notification No. 14-4/2022-Estt(FC)-Objective Criteria dated December 22, 2023, regarding Objective Criteria for screening/short listing of faculty candidates at AIIMS, New Delhi, uploaded on the Institute website on December 22, 2023.

Please note that in Section 1, Serial No. 3 of the Non-Medical Stream of the Objective Criteria, the word "B.Sc." should be read as "M.Sc."

All other contents of the Objective Criteria remain unchanged.

Sd/-  
SR. ADMN. OFFICER (FACULTY CELL)

  
22/2/24



## OBJECTIVE SCREEN SCORE-MEDICAL STREAM

	OBJECTIVE SCREENING SCORE	Scoring method	Max score
	<b>SECTION 1: ACADEMIC &amp; PROFESSIONAL ACHIEVEMENTS (medical):35 MARKS</b>		
1	MBBS/BDS from Private College/Deemed University (2 marks), Government College (4 marks) NIRF ranked medical /dental 2023 Top 50 college (6 marks)	2-6 as mentioned	6
2	NTSC Scholarship winner in school	1	1
3	MD/MS/MDS from Private College/Deemed University (2 marks), Government College (4 marks) NIRF ranked medical /dental 2023 Top 50 college (6 marks)	2-6 as mentioned	6
4	Academic SR (completed)/Non-Academic SR (Minimum 2 out of 3 years post MD experience required) done from Private College/Deemed Univ (2 marks), Government College (4 marks) NIRF ranked medical /dental 2023 Top 50 college (6 marks)	2-6 as mentioned	6
5	Work experience (more than the essential experience required) as Faculty in from Private College/Deemed University (1 mark per completed year in one organization), Government Medical College- (2 marks per completed year in one organization), INI (3 marks per completed year in one organization.)	1-6 as mentioned	6
6	International Fellowship from non-LMIC country: 1- <2 months =1 mark; 2 to <3 months=2 marks; 3 to <4 months = 3 marks, 4 to <6 months = 4 marks; ≥6 months = 5 marks	1-5 as mentioned	5
7	Served in Armed Forces- 1 mark for each completed year	1per	3
8	BCLS (Basic Cardiac Life Support) course	1	1
9	NELS ( National Emergency Life Support )/ ACLS ( Advanced Cardiac Life Support ) course	1	1
	<b>Subtotal</b>		<b>35</b>
	<b>SECTION 2: RESEARCH AND PUBLICATION: 35 MARKS</b>		
1	Pubmed Indexed publication ( 2 marks for each original research article, 1 mark for each case report/review/letter to editor (upload PMID number and PDF of paper)	1-2 as per	8
2	Thesis publication ( MD/MS/DM/MCH/PhD); 3 marks for each published thesis, (upload PDF of paper)	3 per	6
3	Google Scholar h-index number ( all time; upload printout)	Actual	5
4	Book Chapter published ( 2 marks for each, upload chapter PDF)	2 per	4
5	Funded project from ICMR/ DST/ SERB/ DBT/ CSIR/ international ( 4 marks for project as principal investigator (PI) or CoPI; 2 marks for project as coinvestigator )	2-4 as per	6
6	Accepted Patent ( 3 marks per patent)	3 per	6
	<b>Subtotal:</b>		<b>35</b>
	<b>SECTION 3: TEACHING AND PRESENTATION: 30 MARKS</b>		
1	Oral Presentation/lecture in National Conference/Workshop (2 marks per presentation)	2 per	6
2	Poster Presentation in National Conferences ( 1 mark per poster)	1 per	3
3	Oral Presentation/Lecture in International Conference organized by scientific association	4	4
4	Poster Presentation in International Conference organized by scientific association ( 3 marks per poster)	3 per	6
5	Attended Basic Course Workshop in Medical Education Technologies (NMC)	2	2
6	Attended Advanced Course in Medical Education (ACME) (NMC)	2	2
7	NMC course in Biomedical Research	2	2
8	Attended Curriculum Implementation Support Program (CISP) (NMC)	2	2
9	International (e.g. FAIMER) / advanced course in research methodology 15 days to 1 month ( 1 mark); 1-3 months ( 2 marks); more than 3 months ( 3 marks)	1-3 as mentioned	3
	<b>Subtotal</b>		<b>30</b>
	<b>TOTAL</b>		<b>100</b>



## OBJECTIVE SCREENING SCORE FOR NON-MEDICAL STREAM

OBJECTIVE SCREENING SCORE		Scoring method	Max score
<b>SECTION 1: ACADEMIC &amp; PROFESSIONAL ACHIEVEMENTS (Non-medical):35 MARKS</b>			
1	Bsc 2 <sup>nd</sup> division or CGPA 5-7 from Private College/Deemed University (1 marks), Bsc 2 <sup>nd</sup> division or CGPA 5-7 from Government College (2 marks), Bsc 1 <sup>st</sup> division (>60) division or CGPA >7 from Private College/Deemed University (3 marks), Bsc 1 <sup>st</sup> division (>60) or CGPA >7 from Government College (4 marks), University topper (6 marks)	1-6 as mentioned	6
2	NTSC Scholarship winner in school	1	1
3	Msc 2 <sup>nd</sup> division or CGPA 5-7 from Private College/Deemed University (1 marks), Msc 2 <sup>nd</sup> division or CGPA 5-7 from Government College (2 marks), Msc 1 <sup>st</sup> division (>60) division or CGPA >7 from Private College/Deemed University (3 marks), Msc 1 <sup>st</sup> division (>60) or CGPA >7 from Government College (4 marks), University topper (6 marks)	1-6 as mentioned	6
4	PhD done from Private College/Deemed University (2 marks); Government College (4 marks), INI (6 marks);	2-6 as mentioned	6
5	Work experience (more than the essential experience required) as Faculty in a Private Medical College/deemed University (1 mark per completed year in one organization.) Government Medical College - (2 marks as per completed year in one organization) from INI (3 marks as per completed year in one organization.)	1-6 as mentioned	6
6	Funded fellowship from DST/CSIR/ICMR/Newton Bhabha/Indo US	4	4
7	Post Doc Fellowship received (National Award CSIR/ICMR/DHR/DST/Ramanujam/Ramalingaswamy/International fellowship for independent Research)	6	6
<b>Subtotal:</b>			<b>35</b>
<b>SECTION 2: RESEARCH AND PUBLICATION: 35 MARKS</b>			
1	Pubmed Indexed publication (2 marks for each original research article, 1 mark for each case report/review/letter to editor (upload PMID number and PDF of paper)	1-2 as per	8
2	Thesis publication (MSc/PhD); 3 marks for each published thesis, upload PDF of paper)	3 per	6
3	Google Scholar h-index number (all time; upload printout)	Actual	5
4	Book Chapter published (2 marks for each, upload chapter PDF)	2 per	4
5	Funded project from ICMR/DST/SERB/DBT/CSIR/international (4 marks for project as principal investigator (PI) or CoPI; 2 marks for project as co-investigator)	2-4 as per	6
6	Accepted Patent (3 marks per patent)	3 per	6
<b>Subtotal:</b>			<b>35</b>
<b>SECTION 3: TEACHING AND PRESENTATION: 30 MARKS</b>			
1	Oral Presentation/Lecture in National Conference/Workshop (2 marks per presentation)	3 per	6
2	Poster Presentation in National Conferences (1 mark per poster)	1 per	3
3	Oral Presentation/Lecture in International Conferences organized by scientific association	4	4
4	Poster Presentation in International Conference organized by scientific association (3 marks per poster)	3 per	6
5	Attended Basic Course Workshop in Medical Education Technologies (NMC)	2	2
6	Attended Advanced Course in Medical Education (ACME) (NMC)	2	2
7	NMC course in Biomedical Research	2	2
8	Attended Curriculum Implementation Support Program (CISP) (NMC)	2	2
9	International (e.g. FAIMER) / advanced course in research methodology 15 days to 1 month (1 mark); 1-3 months (2 marks); more than 3 months (3 marks)	1-3 as mentioned	3
<b>Subtotal:</b>			<b>30</b>
<b>TOTAL</b>			<b>100</b>



## **NOTE FOR THE GOVERNING BODY**

**ITEM NO. GB-161/10**

**To consider the representation of Dr. Ritesh Kumar Netam, Associate Professor of Physiology, AIIMS, New Delhi for his promotion to the Grade of Additional Professor under Assessment Promotion Scheme (APS) at AIIMS, New Delhi**

**NOTE FOR THE GOVERNING BODY**Item No. GB/ 161/10

**TO CONSIDER THE REPRESENTATION OF DR. RITESH KUMAR NETAM, ASSOCIATE PROFESSOR OF PHYSIOLOGY, AIIMS, NEW DELHI FOR HIS PROMOTION TO THE GRADE OF ADDITIONAL PROFESSOR UNDER ASSESSMENT PROMOTION SCHEME (APS) AT AIIMS, NEW DELHI.**

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**1. INTRODUCTION**

1.1 Dr. Ritesh Kumar Netam became eligible for the promotion to the next grade i.e. Additional Professor of Physiology under APS for the batch of 01.07.2023 after completion of a period of 3 years service as Associate Professor .

1.2 He appeared before the Standing Selection Committee to be assessed for promotion to the grade of Additional Professors under Assessment Promotion Scheme (APS) on 20.11.2023.

1.3 He was found 'UNFIT' by the Standing Selection Committee for promotion to the grade of Additional Professor of Physiology.

1.4 Dr. Ritesh Kumar Netam, Associate Professor of Physiology vide his representation/letter dated 02.02.2024 has made representation to review the decision (Annexure 1).

In his representation, he has stated following:-

- He has worked as faculty under two Head of Department (HODs): Prof. KK Deepak and Prof.KP Kochhar. Both the HODs have always entrusted him with challenging assignments & responsibilities over and above many of his colleagues and appreciated his academic, scientific & administrative capabilities all these years. This has been conveyed to him consistently for the past 7 years and he is sure this would have been included in his yearly assessment in the form of confidential reports. He is convinced of this because there have always been words of appreciation and motivation by all HODs. Moreover, anything to the contrary has never been conveyed to him either verbally or in writing. He



has never been issued a letter suggesting failure in any field of his service during the last 7 years.

- His scientific contributions have evolved consistently over the last seven years. With a lot of background work, he succeeded in getting five extramural projects which is a good external validation of merit and competency. These responsibilities were entrusted to him by government agencies of repute, after a rigorous evaluation of his research work, bio data and research potential by subject experts (who spend hours evaluating a research proposal along with the credentials/ capabilities of the investigator on a 66 competitive basis across the country. Sir, there were no compulsions for DST, ICMR and SERB, Ministry of Health to declare him fit, for receiving the resources of the Government of India to carry on research projects. These have been entrusted based on my capabilities.
- Despite having five total extramural projects, he has not received a promotion. He brought a total of 2.2 Crore to the Institute, but he was denied promotion- whereas his colleague without any extra mural projects did get the promotion. Please provide justice for this kind of discrimination. At my level, not a single person in my department has as many extramural projects as him and all of them are promoted and he is not.
- If criteria were used for assessing the publications, research projects, research quality & research experience, teaching & administrative capabilities, undergraduate & postgraduate student's evaluation etc objectively, it is definite that the promoted colleagues are not superior to the faculty not being promoted i.e. himself. The lack of an objective criteria and denying promotion to him is a clear indication of unfair and biased selection process. The selective elimination of certain faculty members for some personal favour to others is apparent from the way results have currently emerged.
- During the interview it was pointed out that he is not corresponding author in research papers. He is a mid-level faculty member and have published 6 articles in this assessment period. In all the published papers, 1<sup>st</sup> author name was given to postgraduate students for better career opportunity for them and corresponding authorship was given to senior professor with due respect. He was just following the prevailing custom of authorship.
- A similar case (no publications as corresponding author and no extra mural project) has been ignored in the same interview and promotion granted.
- He has 5 research articles as corresponding author under review. Due to long review periods these articles are not published yet (some are under review for more that 1.5 years). He was not able to present these during interview because interviewers were in a hurry to finish interview.
- He has informed regarding research articles under publication (under review) as corresponding author.

- He has established two new research facilities in the Department of Physiology in last 3-4 years:- (a) Gastro intestinal research facility (b) Studies on microgravity simulation
- During the assessment period, he was the Chief Guide of 3 MDs, 1 SRF, 1 MSc, 2 JRFs and 2 young Scientist. None of the promoted faculties are guiding any scientist. Only 3 young scientists are there in the Department and 2 scientists are working under my guidance.
- The following two new workshops have been conceived and implemented by him as in Annual Workshop conducted by Department of Physiology, TIPS (Technique in Physiological Sciences) 2023:
  - a. Assessment of esophageal motility in Human subjects
  - b. Recording of cardio vascular parameters in rodents
- **As a member of the Scheduled Tribe Community, he has reached this stage with a lot of hard work, and he wants to keep doing it, but his event has shaken all his confidence and motivation for doing it while he is being discriminated.**

Denial of a rightful promotion to me calls for an immediate, fair review and re-assessment by the selection committee so as to redress the injustice it has done to him. Further he has requested to review the decision. He is willing to submit any additional information required and also to appear before the selection committee or any other panel constituted by it to present my case and credentials.

## **2. ADMINISTRATIVE COMMENTS**

The reason of not promoting Dr. Ritesh Kumar Netam recorded in the Standing Selection Committee's minutes are as bellow:- **(Annexure-II)**

- 1. Research publication: No publication as first or corresponding author.**
- 2. Response to questions unsatisfactory.**

2.2. In this regard, it is submitted that Institute Body vide Agenda Item No. IB/5 in its meeting held on 15.01.1997 had decided about redressal mechanism in such cases as below:



"In case of appeals, the Governing Body should scrutinize the appeals as to whether they should be entertained. If any appeal/representation has a reasonable basis, the same should be referred back to the full Selection Committee for reconsideration and the experts assisting the Committee during reconsideration, should not be the same who participated in the original selection.

The appellant should invariably be given an opportunity of personal hearing by the Selection Committee".

The copy of Institute Body agenda and minutes are at Annexure-III.

The aforesaid decision was confirmed by the Institute Body in its meeting held on 17.06.1998"

### 3. APPROVAL SOUGHT

In view of the above, the representation of Dr. Ritesh Kumar Netam, Associate Professor of Physiology, AIIMS, New Delhi is placed before the Governing Body for their consideration & further directions

DIRECTOR, AIIMS, NEW DELHI has approved the submission of this matter to Governing Body for consideration.

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132

Date:02/02/2024

The Director,  
All India Institute of Medical Sciences  
New Delhi

(Through Proper Channel)

**Subject: Request for an objective & fair review of my application / interview for the Post of Additional Professor whereby I have been denied a rightful promotion.**

Dear Sir

I, Dr. Ritesh Kumar Netam, Associate Professor, and Department of Physiology request for an objective & fair review of my application / interview for the post of Additional Professor as I feel that I have been denied a rightful promotion on account of a one-sided and unequitable selection process.

To substantiate my fore said analysis & to reverse an injustice metted to me:

1. I joined AIIMS in 2010 as a postgraduate student and after finishing MD (2010-2012) and senior residency (2012-2015) from Department of Physiology, AIIMS, became Assistant Professor in 2016 based on my merit & hard work.
2. I got promoted to the post of Associate Professor in July 2022.
3. I was assessed for promotion to the grade of Additional professor w.e.f. Dec 2023, for which I was absolutely sure to succeed after giving 7 years of sincere hard work and developing two new area of research (from scratch) in the Department of Physiology, AIIMS, in Gastroenterology research facility and Microgravity simulation research. My brief bio data, as submitted to the Selection Committee is enclosed for your kind perusal.
4. The denial of promotion has come to me as a rude shock because of that I have lost my faith in the system of which I have been a part for the last 14 years of my most productive life
5. I wish to put up my case for a fair review to the Respectable Governing Body so that the denial of a rightful promotion to me is not merely an insensitive or probably a random decision to eliminate me for promoting someone else. I am both convinced & confident of being fit for the subject promotion, based on the reasons highlighting below for your review:
  1. Till now, I have worked as faculty under two Head of Departments (HODs): Prof. KK Deepak and Prof. KP Kochhar. Both the HODs have always entrusted me with challenging assignments & responsibilities over and above many of my colleagues and appreciated my academic, scientific & administrative capabilities all these years. This has been conveyed to me consistently for the past 7 years and I am sure this would have been included in my yearly assessment in the form of confidential reports. I am convinced of



133

this because there have always been words of appreciation and motivation by all HODs. Moreover, anything to the contrary has never been conveyed to me either verbally or in writing. I have never been issued a letter suggesting failure in anyfield of my service during the last 7 years.

- ii. In addition to above, from time to time, I have been called to take over academic and administrative responsibilities over and above several senior colleagues who were never entrusted with these responsibilities. Sir, were all the Heads of Department for last 7 years unfit to assess me or did the Selection Committee in this interview failed to do an objective assessment in the limited time span of mere seven (7) minutes accorded to me ?
- iii. My scientific contributions have evolved consistently over the last seven years. With a lot of background work, I succeeded in getting five extramural projects which is a good external validation of merit and competency. Below is the list of extramural funding I got in this assessment period (2020-2023).

S.No.	Source of Funding	Approval Year	Total Amount
1.	ICMR – Extramural Adhoc Neural mechanism of sleep deprivation Induced metabolic changes in rats.	Dec 2021	37,63,208/-
2.	ICMR Effect of regular exercise on cognitive and neurochemical disruptions in REM sleep deprived Alzheimer's disease rat model.	Dec 2021	15,90,000/-
3.	ICMR-DHR Effect of graded chronic exercise on synaptic dysfunction and amyloid precursor protein processing in sleep-deprived Alzheimer's disease rat model.	Jan 2023	50,25,838/-
4.	SERB Effect of long term exercise on synaptic abnormalities in sleep-deprived Alzheimer's disease rat model"	Feb 2023	27,26,520/-
5.	ICMR-Investigator Initiated short extramural; To study the efficacy of Irisin and leptin supplementation in treatment of sleep deprivation-Induced Alzheimer's disease rats.	Aug 2023	49,28,179/-
	<b>Total: Two Crore Twelve Lakh Thirty Five Thousand Nine Hundred Seventy Four</b>		<b>2,12,35,974/-</b>

In addition, I have worked towards getting the following Intramural projects:

S.No.	Source of Funding	Approval Year	Total Amount
1.	AIIMS (Early career Intramural): Effect of sleep deprivation on glucose sensitive neurons in arcuate nucleus in rats.	Nov 2020	8,78,000/-
2.	AIIMS (Early career Intramural collaborative); Effect of yoga-based lifestyle intervention on oxidative stress, inflammation, vascular endothelial function and autonomic tone in diabetic retinopathy patients.	July 2022	10,00,000/-
	<b>Total</b>		<b>187800/-</b>



These responsibilities were entrusted to me by above government agencies of repute, after a rigorous evaluation of my research work, bio data and research potential by subject experts (who spend hours evaluating a research proposal along with the credentials / capabilities of the investigator on a competitive basis across the country. Sir, there were no compulsions for DST, ICMR and SERB, Ministry of Health to declare me fit, for receiving the resources of the Government of India to carry on research projects. These have been entrusted based on my capabilities.

Despite having five total extramural projects, I have not received a promotion. I brought a total of 2.2 Crore to the Institute, but I was denied promotion—whereas my colleague without any extra mural projects did get the promotion. Please provide justice for this kind of discrimination. At my level, not a single person in my department has as many extramural projects as me and all of them are promoted and I am not.

If criteria were used for assessing the publications, research projects, research quality & research experience, teaching & administrative capabilities, undergraduate & postgraduate student's evaluation etc objectively, it is definite that the promoted colleagues are not superior to the faculty not being promoted i.e. myself. Sir, the lack of an objective criteria and denying promotion to me is a clear indication of unfair and biased selection process. The selective elimination of certain faculty members for some personal favour to others is apparent from the way results have currently emerged. I feel, denying promotion to me is not only an insult to hard work I have put in for the last 7 years but also a demotivating & demoralizing for me as well as the present & future faculty members and resident doctors, which needs to be corrected with immediate effect.

During the interview it was pointed out that I am not corresponding author in research papers. I am a mid-level faculty member and have published 6 articles in this assessment period. In all the published papers, 1st author name was given to postgraduate students for better career opportunity for them and corresponding authorship was given to senior professor with due respect. I was just following the prevailing custom of authorship. So, am I being punished for being fair to juniors or giving respect to seniors?

A similar case (no publications as corresponding author and no extra mural project) has been ignored in the same interview and promotion granted.

I have 5 research articles as corresponding author under review. Due to long review periods these articles are not published yet (some are under review for more than 1.5 years). I was not able to present these during interview because interviewers were in a hurry to finish interview.



My research articles under Publication (under review) as corresponding author are as follows:

1. Gupta U, Bir M, Jaryal AK, Singh A, Netam RK\*, Patel S, Garg B, Kandwal, Delayed occurrence of neurological deficit may masquerade as false negative intraoperative neuromonitoring: case report of two patients. P (Indian Journal of Orthopaedics)
  2. Gupta U, Bir M, Jaryal AK, Singh A, Netam RK\*, Kale S, Singh M, Tandon V, Borkar SK, Rath GD, Comparison of Monopolar and Bipolar stimulation protocol for mapping of motor cortex., World Neurosurgery.
  3. Anil AK, Netam RK\*, Jaryal AK, Deepak KK, Chandran DS, Parshad R, Makhariya G, Cardiovascular autonomic deficits in different types of achalasia patients.. Neurogastroenterology and Motility
  4. Netam RK\*; Sharma P; Roy A; Sharma B; Yadav RK; Mallick, HN; Jaiswal Short-term feeding of high fat diet induces neuroinflammation and oxidative stress in arcuate nucleus in rats. (Applied Physiology, Nutrition, and Metabolism)
  5. Bhatnaagar A, Deepak KK, Roy A, Sharma B, Roy A, Singh A, and Netam RK\*, Effect of 15 days of hindlimb unloading on baroreflex sensitivity and Carotid artery structure in rats. Journal of Experimental Biology.
- iv. I have established two new research facilities in the Department of Physiology in last 3-4 years:
- a) **Gastro Intestinal research facility:** This facility provides routine patient check-up of achalasia and esophageal motility disorders patients from Department of Surgical discipline in addition to serving as a research facility to postgraduate students.
  - b) **Studies on microgravity simulation:** I have established a new research facility that simulates microgravity in human and animal models for the first time in India.
- vii) Patient care services: I have been providing patient care services such as intraoperative neuromonitoring for deformity correction of scoliosis patients in orthopaedics and neurosurgery for three to four patients per week. One patient required roughly three to four hours, which translates to ten to twelve hours in a week and five hundred to six hundred hours in a year—something that none of my promoted faculty colleagues provide. Although it is recommended for all of us to provide patient care in the Institute, I don't think my efforts were appreciated or considered as achievements for encouraging me to take them forward. I have been giving this routine patient care service for more than 6 years, from which many of the patients have benefited. I have done extra hours of work beyond my routine duty hours, which are done by no one in the department.
- I am also doing diagnosis of patients of esophageal motility disorders, aerophagia, rumination syndrome, GERD and gastroparesis patients through high resolution



manometry, Electrogastrography and 24 hour ambulatory esophageal pH monitoring from department of surgical discipline and gastroenterology and nutrition, AIIMS, New Delhi

After doing so much more work compared to the other faculty members, I was not found fit for promotion, while others were. I believe this is an injustice. As a hospital, everyone should be encouraged to provide patient care services, but this is happening in the opposite manner. I think those who provide patient care are punished and have been discouraged.

v) During the assessment period. I was the Chief Guide of 3 MDs, 1 SRF, 1MSc, 2 JRFs and 2 young Scientist. None of the promoted faculties are guiding any scientist. Only 3 young scientists are there in the Department and 2 scientists are working under my guidance. I have put alot of afford to get extramural project and have recruited these scientists.

vi) The following two new workshops have been conceived and implemented by me as in Annual Workshop conducted by Department of Physiology, TIPS (Technique in Physiological Sciences) 2023:

- b) Assessment of esophageal motility in Human subjects
- c) Recording of cardio vascular parameters in rodents

As a member of the Scheduled Tribe Community, I have reached this stage with a lot of hard work, and I want to keep doing it, but his event has shaken all my confidence and motivation for doing it while I am being discriminated.

Denial of a rightful promotion to me calls for an immediate, fair review and re-assessment by the selection committee so as to redress the injustice it has done to me. I would like to request that you please review the decision and initiate the necessary corrective action immediately. I would be willing to submit any additional information required and also to appear before the selection committee or any other panel constituted by it to present my case and credentials. I hope my plea will be heard compassionately, and fair justice will be provided to me at the earliest.

Thanking you  
Yours Sincerely

Dr Ritesh Kumar Netam  
Associate Professor  
Physiology



डॉ. रितेश कुमार नेताम  
Dr. Ritesh Kumar Netam  
सह-आचार्य/Associate Professor  
शरीर विज्ञान विभाग/Deptt. of Physiology  
अ. भा. आ. सं., नई दिल्ली-110029



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Enclosed: Brief CV (2020-2023)

1. Publication In this period
2. Research Projects as Chief Investigator: -
3. Patient care services
4. New Research Facility stabilised in Department
5. New Work shops

881138

**1. Publication in this period (2020-2023)**

1. Jaiswal U, Yadav RK, Bhat MA, Kriplani A, Roy KK, **Netam RK**. Cytokine and growth factor profile in endometriosis: a multiplex analysis of peritoneal fluid to assess diagnostic utility. *Gynecol Endocrinol*. 2020 Aug;36(8):718–22.
2. Bir M, Gupta U, Jaryal AK, Singh A, **Netam R**, Kale SS, et al. Predictive value of Intraoperative D-wave and m-MEP neurophysiological monitoring in patients with preoperative motor deficits in immediate and late postoperative period. *J Craniovertebr Junction Spine*. 2021 Jan 1;12(1):26–32.
3. Anil A, Vanidassane I, **Netam R**, Pushpam D, Bakhshi S, Deepak K. Autonomic dysfunction in postoperative primitive neuroectodermal tumor of heart. *Annals of Clinical Neurophysiology*. 2021 Oct 29;23:126–9.
4. Bhat SY, Akhtar N, Sengupta Tripathy T, **Netam R**, Mallick H. Sleep and Vigilance Electroencephalographic and Electromyographic Events During Spontaneous and Final Arousal from Sleep: Study of the Sequence of Appearance and Significance. *Sleep and Vigilance*. 2021 Nov 27;3.
5. Sharma B, Roy A, Sengupta T, Vishwakarma LC, Singh A, **Netam R**, et al. Acute sleep deprivation induces synaptic remodeling at the soleus muscle neuromuscular junction in rat. *Sleep*, 2022, XX, 1-13
6. Sankalp, Dada T, Yadav RK, Sharma HB, **Netam RK**, Kochhar KP. Effect of Tratak (Yogic Ocular Exercises) on Intraocular Pressure in Glaucoma: An RCT. *Int J Yoga*. 2022;15(1):59–69.
7. Mittal S, Kumar A, Gunjan D, **Netam RK**, Anil AK, Suhani S, et al. Long-term outcomes of laparoscopic Heller's myotomy with angle of His accentuation in patients of achalasia cardia. *SurgEndosc [Internet]*. 2023 Nov 27 [cited 2023 Dec 23]; Available from: <https://doi.org/10.1007/s00464-023-10571-3>

**Under Process of Publication as corresponding author (2020-2023) (under review)**

1. Gupta U, Bir M, Jaryal AK, Singh A, **Netam RK\***, Patel S, Garg B, Kandwal, Delayed occurrence of neurological deficit may masquerade as false negative Intraoperative neuromonitoring: case report of two patients. *P (Indian Journal of Orthopaedics)*
2. Gupta U, Bir M, Jaryal AK, Singh A, **Netam RK\***, Kale S, Singh M, Tandon V, Borkar SK, Rath GD, Comparison of Monopolar and Bipolar stimulation protocol for mapping of motor cortex., *World Neurosurgery*.
3. Anil AK, **Netam RK\***, Jaryal AK, Deepak KK, Chandran DS, Parshad R, Makhariya G, Cardiovascular autonomic deficits in different types of achalasia patients.. *Neurogastroenterology and Motility*
4. **Netam RK\***; Sharma P; Roy A; Sharma B; Yadav RK; Mallick, HN; Jaiswal Short-term feeding of high fat diet induces neuroinflammation and oxidative stress in arcuate nucleus in rats. (*Applied Physiology, Nutrition, and Metabolism*)
5. Bhatnaagar A, Deepak KK, Roy A, Sharma B, Roy A, Singh A, and **Netam RK\***, Effect of 15 days of hindlimb unloading on baroreflex sensitivity and Carotid artery structure in rats. *Journal of Experimental Biology*.



881139

2. Research Projects as Chief Investigator/mentor:-

S.No.	Source of Funding	Year	Total Amount
1.	<b>AIIMS (Early career Intramural): <u>Chief Investigator</u></b> Effect of sleep deprivation on glucose sensitive neurons in arcuate nucleus in rats.	2021-2023	8,78,000/-
2.	<b>SERB (Core Research Grant) <u>Chief Investigator</u></b> Effect of long term exercise on synaptic abnormalities in sleep-deprived Alzheimer's disease rat model"	2023-2026	27,26,520/-
3.	<b>ICMR – Extramural Adhoc <u>Chief Investigator</u></b> Neural mechanism of sleep deprivation induced metabolic changes in rats.	2023-2026	37,63,208/-
4.	<b>ICMR-investigator initiated short extramural; <u>Chief Investigator</u></b> To study the efficacy of Irisin and leptin supplementation in treatment of sleep deprivation-Induced Alzheimer's disease rat model.	2023-2026	81,30,408/-
5.	<b>AIIMS (Early career Intramural collaborative); <u>Chief Investigator</u></b> Effect of yoga-based lifestyle intervention on oxidative stress, inflammation, vascular endothelial function and autonomic tone in diabetic retinopathy patients.	2022-2025	10,00,000/-
6.	<b>ICMR (Mentor)</b> Effect of regular exercise on cognitive and neurochemical disruptions in REM sleep deprived Alzheimer's disease rat model.	2023-2026	15,90,000/-
7.	<b>ICMR-DHR (Mentor)</b> Effect of graded chronic exercise on synaptic dysfunction and amyloid precursor protein processing in sleep-deprived Alzheimer's disease rat model.	2023-2026	50,25,838/-

3. Patient care;

Patient care services: I have been providing patient care services such as Intraoperative neuromonitoring for deformity. correction of scoliosis patients in orthopaedics and neurosurgery for three to four patients per week. One patient required roughly three to four hours, which translates to ten to twelve hours in a week and five hundred to six hundred hours in a year.

I have provided neuromonitoring to different types of cases such as Glioma, Drug resistant epilepsy, intra medullar tumors, brachial plexus tumor, awake craniotomy, CP angle tumors, Congenital scoliosis, Lipomeningocele with Tethered Cord Syndrome, conus lipoma.

I have been involved in the diagnosis of esophageal motility disorder patients from Department of Surgical disciplines by high resolution manometry in gastro intestinal lab of our department for diseases such as Achalasia Cardia, GERD, Areophagla & Rumination syndrome.

**4. New Research Facility established in Department:**

1. Gastrointestinal research lab (2019-2023)
2. Microgravity animal research (2021-2023)
3. Single neuronal unit recording in sleep neurophysiology lab (2020-2023)

**5. New Workshops in TIPS 2022 as convener**

1. Assessment of sleep and cardiovascular parameters in rodents
2. Assessment of Gastrointestinal motility in humans

**6. Teaching:**

**As Chief Guide:**

- 3 MD: Dr Aparajita, Dr Mamali, Dr Keerthi
- 1 SRF (Senior Research Fellow): Preeti
- 1MSc (Medical Physiology): Manasi
- 2 JRF (Junior Research Fellow) : Aparajita, Bhanu
- 2 young Scientist: Dr Binney, Dr Yashasvee

**As Co guide:**

- MD Physiology (6): Dr Abhjith, Dr Afsan, Dr Tanaya, Dr Shreya, Dr Heena, Dr Sankalp
- MScMedical Physiology(2): Harshita, Shaheen
- MS General Surgery: Dr Sukhda
- MCh(Minimal Invasive Surgery): Dr Sonali, Dr DKPatel
- Senior Research Fellow (2): Dr Reena, Dr Aliya
- Young Scientist: Dr Manoj

**As DC Member:**

- 4 PhD students: Naba, Garima, Sweta, Ghunjan



TOP - SECRET

ALL INDIA INSTITUTE OF MEDICAL SCIENCES  
ANSARI NAGAR, NEW DELHI-110029

Minutes of the Meeting of HR Sub-Committee held on December 1, 2023 at 3:00 PM to Consider recommendations of the Standing Selection Committee of AIIMS, New Delhi for promotion of faculty members to next higher grade under Assessment Promotion Scheme.

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The meeting of the HR Sub-Committee was held under the chairmanship of Shri Sudhansh Pant, Secretary (Health), on December 1, 2023, at 3:00 PM at MoHFW, Nirman Bhawan, New Delhi, to consider the recommendations of the Standing Selection Committee of AIIMS, New Delhi, for promotion of faculty members to the next higher grade under the Assessment Promotion Scheme. The following members of the committee attended the meeting:-

- |                              |   |                    |
|------------------------------|---|--------------------|
| 1) Shri Sudhansh Pant        | - | Chairman           |
| 2) Dr. Atul Goel             | - | Member             |
| 3) Shri Jaideep Kumar Mishra | - | Member             |
| 4) Dr. M. Srinivas           | - | Member - Secretary |

The Committee was informed that the Governing Body, in its meeting held on October 10, 2017, vide agenda item No. GB-155/6, had decided to constitute HR Sub-Committee to approve the recommendations of Standing Selection Committee, before these recommendations are submitted to President, AIIMS, New Delhi for approval.

This will allow the selected candidates to join without waiting for the Governing Body Meeting. Ex-post-facto approval of the Governing Body is obtained subsequently.

The HR Sub-Committee was informed that the Standing Selection Committee had meetings in Phase-1 from October 29, 2023, to November 1, 2023) and in Phase-2 from November 19, 2023, to November 22, 2023 to assess eligible faculty member for promotion under the Assessment Promotion Scheme (APS).

*Pant*      *Jaiswal*      *Sharma*      *Sharma*

172 faculty members appeared before Standing Selection Committee for assessment under this scheme. Details of the 172 faculty members interviewed by the Standing Selection Committee for promotion to the next higher grades under the Assessment Promotion Scheme (APS) are as follows:

Promotion Level	Number of Faculty Members
From Assistant Professor to Associate Professor	97
From Associate Professor to Additional Professor	69
From Additional Professor to Professor	6
Total	172

The Committee was informed that the composition of the Standing Selection Committee which had assessed these candidates was as below:-

- |       |                         |   |                  |
|-------|-------------------------|---|------------------|
| i.    | Dr. Kameshwar Prasad    | - | Chairman         |
| ii.   | Dr. Atul Goel           | - | Member           |
| iii.  | Dr. Vijay Kumar Shukla  | - | Member           |
| iv.   | Dr. S. Venkatesh        | - | Member           |
| v.    | Prof. Yogesh Singh      | - | Member           |
| vi.   | Prof. K. Vijay Raghavan | - | Member           |
| vii.  | Dr. Prem Nair           | - | Member           |
| viii. | Dr. M. Srinivas         | - | Member-Secretary |

The quorum of the Standing Selection Committee was met on all days when assessment was made. This Committee evaluated the suitability of eligible faculty members for promotion to the next higher grades under the Assessment Promotion Scheme (APS).

The Standing Selection Committee's recommendations for the promotion of 172 faculty members to the next level under the Assessment Promotion Scheme (APS) have been kept in sealed envelopes.

Sealed envelopes were opened in the presence of the HR Sub-Committee. HR Sub-Committee reviewed the recommendations of Standing Selection Committee. The list of faculty member who were declared Fit/Unfit for promotion by Standing Selection Committee is as below:-



1) From Assistant Professor to Associate Professor for the batch w.e.f. 01.07.2023 :-

Sl.No.	Name of the faculty members	Department/Specialty	Recommendations of Standing Selection Committee (Fit/Unfit)
1.	Dr. Subramani Vellayan	Radiotherapy (Medical Physics), Dr. B.R.A. IRCH	FIT
2.	Dr. Yudhyavir Brahmchari	Anaesthesiology (JPNATC)	FIT
3.	Dr. Rishi Dhawan	Clinical Haematology	FIT
4.	Dr. Santanu Kumar Bora	Neuro-Surgery	FIT
5.	Dr. Prakash Ranjan Mishra	Emergency Medicine	FIT
6.	Dr. Ajay Verma	Paediatric Surgery	FIT
7.	Dr. Rajesh Panwar	G.I. Surgery & Liver Transplantation	FIT
8.	Dr. Jyoti Sharma	Surgical Oncology (NCL, Jhajjar)	FIT
9.	Dr. Brajesh Kumar Ratre	Anaesthesiology, Dr. B.R.A. IRCH	FIT
10.	Dr. Prayas Sethi	Medicine	FIT
11.	Dr. Akash Kumar	Medical Oncology, NCL, Jhajjar	FIT
12.	Dr. Deepam Pushpam	Medical Oncology, Dr. B.R.A. IRCH	FIT
13.	Dr. Deepti Siddharthan	Cardiology	FIT
14.	Dr. Ved Prakash Meena	Medicine	FIT
15.	Dr. Satyavir Yadav	Cardiology	FIT
16.	Dr. Pradeep Ramakrishnan	CTVS	FIT
17.	Dr. Ankit Verma	Paediatrics	FIT

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18.	Dr. Diptiranjana Rout	Transfusion Medicine, NCI, Jhajjar	FIT
19.	Dr. Suriya Prakash M.	Physiology	FIT
20.	Dr. Vishal Gupta	Dermatology & Venereology	FIT
21.	Dr. Sidharth Sharma	Conservative Dentistry & Endodontics (CDER)	FIT
22.	Dr. Manpreet Kaur	Ophthalmology	FIT
23.	Dr. Pallvi Shukla	Preventive Oncology, Dr. B.R.A. IRCH	FIT
24.	Dr. Suman Sokhal	Neuro Anaesthesia	FIT
25.	Dr. Aditi Nanda	Prosthodontics Crown & Bridge (CDER)	FIT
26.	Dr. Rebika	Ophthalmology	FIT
27.	Dr. Shalini Achra	Psychiatry (NDDTC)	FIT
28.	Dr. Gopishankar Natanasabapathi	Radiotherapy (Medical Physics), Dr. B.R.A. IRCH	FIT
29.	Dr. Pradeep Sharma	Biophysics	FIT
30.	Dr. Krithika Rangarajan	Radio-Diagnosis, Dr. B.R.A. IRCH	FIT
31.	Dr. Arun Kumar S	Nephrology	FIT
32.	Dr. Amar Pujari	Ophthalmology	FIT
33.	Dr. Vikas H.	Hospital Administration	FIT
34.	Dr. Morankar Rahul Gangadhar Rao	Pedodontics & Preventive Dentistry (CDER)	FIT
35.	Dr. Kavneet Kaur	Pathology	FIT
36.	Dr. Aruna Nambirajan	Pathology	FIT
37.	Dr. Ruchi Rathore	Pathology	FIT
38.	Dr. Anu Gupta	Neurology	FIT
39.	Dr. Khangembam Bankim Chandra	Nuclear Medicine	FIT
40.	Dr. Mohan Lal Bairwa	Community Medicine	FIT

*Part* *June* *2019* *Ar*



41.	Dr. Ashutosh Mishra	Surgical Oncology, Dr. B.R.A. IRCH	FIT
42.	Dr. Sandeep Kumar Boriwal	Surgical Oncology, Dr. B.R.A. IRCH	FIT
43.	Dr. Siddhartha Kundu	Biochemistry	FIT
44.	Dr. Anika Dawar	Periodontology (CDER)	FIT
45.	Dr. Ummed Singh	Intensive Care (CTVS)	FIT
46.	Dr. Saurabh Galodha	G.I. Surgery & Liver Transplantation	FIT
47.	Dr. Anand Narayan Singh	G.I. Surgery & Liver Transplantation	FIT
48.	Dr. Dhanabalan Rajasekaran	Radiotherapy (Medical Physics), Dr. B.R.A. IRCH	FIT
49.	Dr. Junaid Alam	Surgery (JPNATC)	FIT
50.	Dr. Harikrishnaraju Sagiraju	Preventive Oncology, NCI, Jhajjar	FIT
51.	Dr. Jitendra Kumar Meena	Preventive Oncology, NCI, Jhajjar	FIT
52.	Dr. Anuja Pandit	Anaesthesiology, NCI, Jhajjar	FIT
53.	Dr. Jasmita	Haematology-Pathology	FIT
54.	Dr. Mukul Aggarwal	Clinical Haematology	FIT
55.	Dr. Ganesh Kumar V.	Haematology-Pathology	FIT
56.	Dr. Barre Vijaya Prasad	Clinical Psychology	UNFIT
57.	Dr. Vaibhav Patil	Neuro-Psychiatry	FIT
58.	Dr. Suneeta Meena	Laboratory Medicine	FIT
59.	Dr. Krushna Vasant Kumar Bhatt	Oral & Maxillofacial Surgery (CDER)	FIT
60.	Dr. Elavarasi A.	Neurology	FIT
61.	Dr. Bharathi M. Purohit	Public Health Dentistry (CDER)	FIT
62.	Dr. Anju Gupta	Anaesthesiology	FIT

*Part* *Final* *Done* *Done*

63.	Dr. Laxmitej Wundavalli	Hospital Administration, NCI, Jhajjar	FIT
64.	Dr. Sheetal Singh	Hospital Administration, JCI, Jhajjar	FIT
65.	Dr. Tushar Sehgal	Laboratory Medicine (Hematology) -Main	FIT
66.	Dr. Saurabh Wig	Anaesthesiology, NCI, Jhajjar	FIT
67.	Dr. Shweta Arun Bhopale	Anaesthesiology, NCI, Jhajjar	FIT
68.	Dr. Kelika Prakash	Anaesthesiology	FIT
69.	Dr. Ajisha Aravindan	Anaesthesiology	FIT
70.	Dr. G. Smeeta	Laboratory Oncology, Dr. B.R.A. IRCH	FIT
71.	Dr. Surendra Kumar Saini	Radiotherapy, Dr. B.R.A. IRCH	FIT
72.	Dr. Balbir Kumar	Anaesthesiology, NCI, Jhajjar	FIT
73.	Dr. Divya M.R.	Neurology	FIT
74.	Dr. Animesh Das	Neurology	FIT
75.	Dr. Mritunjay Kumar	Anaesthesiology	FIT
76.	Dr. Parin Chellani	Anaesthesiology	FIT
77.	Dr. Sulagna Bhattacharjee	Anaesthesiology	FIT
78.	Dr. Shreya Bharat Shah	Anaesthesiology	FIT
79.	Dr. Abhishek N.	Anaesthesiology	FIT
80.	Dr. Christopher Dass	Anaesthesiology	FIT
81.	Dr. Rudra Prosad Goswami	Rheumatology	FIT
82.	Dr. Abhinav Singhal	Nuclear Medicine, NCI, Jhajjar	FIT



83.	Dr. Vineet Choudhary	Biotechnology	FIT
84.	Dr. Mahendra Seervi	Biotechnology	FIT
85.	Dr. Pradeep Kumar	Clinical Haematology	FIT
86.	Dr. Aman Sharma	Radiation Oncology, NCI, Jhajjar	FIT
87.	Dr. Supriya Mallick	Radiation Oncology, NCI, Jhajjar	FIT
88.	Dr. Kalpa Jyoti Das	Nuclear Medicine, NCI, Jhajjar	FIT
89.	Dr. Prabhakar Singh	Anatomy (Electron Microscope)	FIT
90.	Dr. Nilanchali Singh	Obstetrics & Gynaecology	FIT
91.	Dr. Richa Vatsa	Obstetrics & Gynaecology	FIT
92.	Dr. Deepali Garg	Obstetrics & Gynaecology	FIT
93.	Dr. Archana Kumari	Obstetrics & Gynaecology	FIT
94.	Dr. Anju Singh	Obstetrics & Gynaecology	FIT
95.	Dr. Neha Varun	Obstetrics & Gynaecology	FIT
96.	Dr. Soniya Dhiman	Obstetrics & Gynaecology	FIT
97.	Dr. Anubhuti Rana	Obstetrics & Gynaecology	FIT

2) From Associate Professor to Additional Professor for the batch w.e.f. 01.07.2013:-

Sl. No.	Name of the faculty members	Department/Specialty	Recommendations of Standing Selection Committee (Fit/Unfit)
1.	Dr. Vilas D. Samrit	Orthodontics & Dentofacial Orthopaedics (CDER)	FIT
2.	Dr. Aditya Kumar Gupta	Paediatrics	FIT
3.	Dr. Uma Kanga	Transplant Immunology & Immunogenetics	FIT

4.	Dr. Animesh Ray	Medicine	FIT
5.	Dr. Saurabh Kedia	Gastroenterology	FIT
6.	Dr. Akshay Kumar	Emergency Medicine	FIT
7.	Dr. Meera Ekka	Emergency Medicine	FIT
8.	Dr. Deepak Gunjan	Gastroenterology	FIT
9.	Dr. Upendra Baitha	Medicine	FIT
10.	Dr. Vishnu V. Y.	Neurology	FIT
11.	Dr. Shikha Gupta	Ophthalmology (R.P.C)	Recommendations kept in a sealed cover due to pending vigilance clearance
12.	Dr. Souvik Maitra	Anaesthesiology	FIT
13.	Dr. Pratyusha Priyadarshini	Surgery (JPNATC)	FIT
14.	Dr. Atul Batra	Medical Oncology	FIT
15.	Dr. Amol Raheja	Neurosurgery	FIT
16.	Dr. Satish Kumar Verma	Neurosurgery	FIT
17.	Dr. Shorya Vardhan Azad	Ophthalmology (R.P.C)	FIT
18.	Dr. Akanksha	Physiology	FIT
19.	Dr. Ritesh Kumar Netam	Physiology	UNFIT
20.	Dr. Neetu Bhari	Dermatology & Venereology	FIT
21.	Dr. Juhi Bharti	Obstetrics & Gynaecology	FIT
22.	Dr. Danveer Bhadu	Rheumatology	FIT
23.	Dr. Roopa Rajan	Neurology	FIT
24.	Dr. Awadh Kishor Pandit	Neurology	FIT
25.	Dr. Dewang Angmo	Ophthalmology (R.P.C)	FIT



26.	Dr. Megha Brijwal	Microbiology	FIT
27.	Dr. Abdul Hakim Choudhary	Hospital Administration	FIT
28.	Dr. Hem Chandra Pandey	Transfusion Medicine	FIT
29.	Dr. Gopal Kumar Patidar	Transfusion Medicine	FIT
30.	Dr. Vikender Singh	Periodontology (CDER)	FIT
31.	Dr. Rahul Chourasia	Transfusion Medicine	FIT
32.	Dr. Akhil Kant Singh	Anaesthesiology	FIT
33.	Dr. Kanil Ranjith Kumar	Anaesthesiology (R.P. C)	FIT
34.	Dr. Raja Tiwari	Plastic Surgery	FIT
35.	Dr. Shashank Chauhan	Plastic Surgery	FIT
36.	Dr. Riyaz Ahmad Mir	Biochemistry	FIT
37.	Dr. Aanchal Kakkar	Pathology	FIT
38.	Dr. Rajesh Kumar Meena	Neuro-Surgery	FIT
39.	Dr. Siddharth Jain	Urology (JPNATC)	FIT
40.	Dr. Raj Kumar Manas	Plastic Surgery	FIT
41.	Dr. Geetanjali Gokaran Bade	Physiology	FIT
42.	Dr. Manoj Kumar	Urology	FIT
43.	Dr. Sanjay Kumar	Urology	FIT
44.	Dr. Neiwete Lomi	Ophthalmology (R.P.C)	FIT
45.	Dr. Prafulla Kumar Maharana	Ophthalmology (R.P.C)	FIT
46.	Dr. Roshan Mohanpant Bhad	Psychiatry (NDDTC)	FIT
47.	Dr. Gagan Hans	Psychiatry	FIT
48.	Dr. Asem Rangita Chanu	Physical Medicine & Rehabilitation	UNFIT
49.	Dr. Rakesh Kumar	Anaesthesiology	FIT

*Handwritten signatures and initials:*

50.	Dr. Nishant Patel	Anaesthesiology	FIT
51.	Dr. Pramod Kumar Gautam	Biochemistry	FIT
52.	Dr. Rakhee Yadav	Biochemistry	FIT
53.	Dr. Kiran Bala	Microbiology	FIT
54.	Dr. Mayank Singh	Medical Oncology (Lab)	FIT
55.	Dr. Chandra Prakash Prasad	Medical Oncology (Lab)	FIT
56.	Dr. Thoudam Debraj Singh	Medical Oncology (Lab), Dr. B.R.A.IRCH	FIT
57.	Dr. Arshad Ayub	Anaesthesiology (R. P. C)	FIT
58.	Dr. Dinesh Kumar Bagaria	Surgery (JPNATC)	FIT
59.	Dr. Om Prakash	Surgery	FIT
60.	Dr. Narendra Choudhary	Surgery (JPNATC)	FIT
61.	Dr. Abhinav Kumar	Surgery (JPNATC)	FIT
62.	Dr. Venkatesan Sampathkumar	Orthopaedics	FIT
63.	Dr. Samarth Mittal	Orthopaedics (JPNATC)	FIT
64.	Dr. Vivek Shankar	Orthopaedics	FIT
65.	Dr. Vikrant Manhas	Orthopaedics	FIT
66.	Dr. Rajesh Kumar Singh	Neurology	FIT
67.	Dr. Raja Pramanik	Medical Oncology	FIT
68.	Dr. Jyotirmoy Banerjee	Biophysics	FIT
69.	Dr. Ranjan Gupta	Rheumatology	Recommendations kept in sealed cover due to pending Court case.

*Part* *Final* *Dr* *Ab*



3) From Additional Professor to Professor for the batch w.e.f. 01.07.2013:-

S.No	Name of faculty members	Department/Specialty	Recommendation of the Standing Selection Committee (FIT/UNFIT)
01	Dr. Asmita Patil	Physiology	FIT
02	Dr. Maroof A. Khan	Biostatistics	FIT
03	Dr. Archana Singh-I	Biochemistry	FIT
04	Dr. Renu Bhatia	Physiology	FIT
05	Dr. Prabhoo Dayal	Psychiatry for NDDTC	FIT
06	Dr. Amar Ranjan Singh	Laboratory Oncology	UNFIT

Detailed remarks as recorded by the Standing Selection Committee while declaring various faculty members UNFIT for promotion are reproduced below:-

1. Sl. No. 56. - Dr. Barre Vijaya Prasad from Assistant Professor of Clinical Psychology to the grade of Associate Professor of Clinical Psychology for the batch w.e.f. 01-07-2023 :-

- "No clarity about assessment of Children with Neurodevelopmental disorders in terms of tool to be used and disability quantification
- He was not able to explain thoroughly Psycho-social Rehabilitation of severely mentally ill.
- The candidate is not aware of recent developments in the area of his work. He is also not aware of new recommended disability guidelines.
- He has no knowledge about the recommendations of approaches to be used for reaching the community.
- He was not able to answer about the barriers in using western tests in Indian population".

2. Sl. No. 19 - Dr. Ritesh Kumar Netam from Associate Professor of Physiology to the grade of Additional Professor of Physiology for the batch w.e.f. 01-07-2023:-

- "Research Publications: No publication as first or corresponding author.
- Response to questions unsatisfactory".

*[Signatures]*

3. Sl. No. 48 - Dr. Asem Rangita Chanu from Associate Professor of P.M. & R. to the grade of Additional Professor of P.M. & R. for the batch w.e.f. 01-07-2023:-

- "Prolonged absence during assessment period, poor responses to interview questions, poor research output".

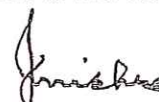
4. Sl. No. 6 - Dr. Amar Ranjan Singh from Additional Professor of Laboratory Oncology (Dr. BRA, IRCH) to the grade of Professor of Laboratory Oncology (Dr. BRA, IRCH) for the batch w.e.f. 01-07-2023:-


- "Subject knowledge does not commensurate with the position of Professor.
- Conceptually lacking in his day to day Haemato-oncology reporting.
- Lack of communicating basic concepts.
- Could not answer basic questions on CML, MPN etc. about the bone marrow morphology.
- The candidate has submitted a representation citing possibility of bias against one of the experts which needs consideration by the Governing Body".


After careful consideration, the HR Sub-Committee approved the recommendations of the Standing Selection Committee for the promotion of eligible Assistant Professors, Associate Professors, and Additional Professors to Associate Professors, Additional Professors, and Professors, respectively as above.

The meeting concluded with a vote of thanks to the Chair.

  
(Dr. Atul Goel )  
Member

  
(Jaideep Kumar Mishra )  
Member

  
(Dr. M. Srinivas )  
Member Secretary

  
(Sudhansh Pant )  
Chairman



**NOTE FOR THE GOVERNING BODY**

**ITEM NO. GB-161/11**

**To consider the proposal for Centre for medical innovation  
and entrepreneurship**

Item No. GB-16/11

Name of Centre: CENTRE FOR MEDICAL INNOVATION AND ENTREPRENEURSHIP

File No:

### INTRODUCTION

The Centre for Medical Innovation and Entrepreneurship (CMIE – AIIMS) was initiated at AIIMS, Delhi in March 2021 as a joint program of BIRAC (Biotechnology Industry Research Assistance Council) and AIIMS, New Delhi.

The CMIE is a “Bioincubator”/ “Bionest” that seeks to capitalize on indigenous academic innovations in the healthcare sector by enabling Indian start-ups to leverage the mentorship and guidance of AIIMS clinical and non-clinical faculty/scientists, and also by giving them access to advanced laboratory equipment and resources at AIIMS at nominal payment. In its selection of Start-ups to associate with, the CMIE prioritizes not only their potential for commercial impact, but also their potential social impact. The CMIE also enables AIIMS faculties and scientists to engage with outside talent to conduct translational research and build products to bring to the market.

Most INI technical and research institutions have had established Incubators such as the CMIE-AIIMS for several years and these have been successful in encouraging innovation and entrepreneurship (eg. Society for Innovation and Development- SID at IISc – Bengaluru; Foundation of Innovation and Technology Transfer-FIIT at IIT-Delhi; Society for Innovation and Entrepreneurship-SINE at IIT Mumbai; Startup Incubation and Innovation Centre-SIIC at IIT Kanpur, JNU Foundation for Innovation- JNUFI at JNU Delhi to name a few).

With this track record and background, permission is now sought to enable CMIE-AIIMS to convert to a not- for-profit, fully AIIMS owned, Section 8 Company under the provisions of the Companies Act 2013, to take forward its mandate of a bio-incubator.

### PROPOSAL

The All India Institute of Medical Sciences, New Delhi has, since its inception, undertaken more than 10,000 projects with public and private sponsored extramural grants. The AIIMS Research Section has also funded intramural projects. Many of these projects have generated high impact publications, and also influenced national policies. However, the AIIMS Research ecosystem is not geared to take the research through the translational stage of creating usable products for commercial success or social impact.



This is largely due to the limited understanding and skills amongst AIIMS faculty and researchers of the process of transitioning research outputs into the product development process which includes development of prototypes, product design and manufacturing optimization, understanding and addressing regulatory hurdles, and product commercialization. Further, AIIMS currently does not have a policy for engagement with entrepreneurial and start-up entities so that AIIMS innovations can be appropriately shepherded by other professionals with these skills.

In contrast, other Global Academic & Research Institutions and similar Institute of National Importance (IISc, IITs, NITs), have long encouraged not only research but also entrepreneurship and engagement with market and business entities. Such partnership is undertaken via "Incubators" which are typically independent entities linked to the parent institution with the mandate to nurture innovative ideas and handhold start-up entities by providing mentoring support for Innovation, IP protection, regulatory approvals, funding support, product development and commercialization.

The Government of India currently prioritizes product development and Entrepreneurial activity by having programs and policies such as Start-up India, Make-in-India, Invest India and policies like National Innovation and Start-up Policy (NISIP) for Students and Faculty/scientist (MHRD, 2019). The ICMR/DHR in 2022 released a policy on Biomedical Innovation and Entrepreneurship for Medical Professionals, Scientists and Technologists at Medical, Dental, Para-Medical Institutes/College released in 2022. The ICMR-DHR policy calls on Medical Institutions to set up Incubators named as the Office of Licensing of Innovation, Ventures and Entrepreneurship (OLIVE), and to encourage medical professionals to take up entrepreneurship.

AIIMS, New Delhi with the support of DBT-BIRAC (Biotechnology Industry Research Assistance Council). has initiated in 2021, such a "Bio-incubator" - i.e. the Centre for Medical Innovation and Entrepreneurship (CMIE-AIIMS). The CMIE enables engagement of AIIMS with start-up enterprises, providing them mentorship, while also enabling AIIMS faculties to engage with outside talent to conduct translational research and build products to bring to the market. The CMIE also seeks to capitalize on indigenous academic innovations in the healthcare sector by enabling Indian start-ups to leverage the mentorship and guidance of AIIMS clinical and non-clinical faculty/scientists, and also by giving them access to advanced laboratory equipment and resources at AIIMS at nominal payment. In its selection of Start-ups to associate with, the CMIE prioritizes their potential for social impact and commercial impact. The mandate of the CMIE- AIIMS is to -

- a. Be a platform for the partnership of AIIMS faculty and scientists with the entrepreneurial ecosystem;
- b. Nurture aspiring entrepreneurial minds within the institute to transform innovative ideas into feasible commercial entities
- c. Develop a network of partnerships with other incubators in India and also with organizations providing allied services and skill-sets relating to IP, technology prototype manufacturing, regulatory approval, funding and start-up venture/enterprise development etc. for innovative technologies
- d. Hold educational and training workshops/lectures to hone healthcare entrepreneurship.

The CMIE has been set up with initial funding for the first 3 years from DBT-BIRAC. As is the norm with other similar incubators supported by DBT-BIRAC, it is expected to be financially self-sustaining at the completion of its initial 3-year funding cycle from BIRAC (May 2024).

With this track record and background, permission is now sought to enable CMIE-AIIMS to convert to a not-for-profit, fully AIIMS owned, Section 8 Company under the provisions of the Companies Act 2013, to take forward its mandate as described above.

As an independent, Section 8, not for profit, but fully owned entity of AIIMS, the CMIE would be enabled to:

- a. Continue in its initiatives detailed above so as to build an ecosystem for innovation and start-ups by engaging with partners, incubating innovation, provide scientific mentorship, regulatory advice, upscaling, gap analysis of technologies, organizing need specific event focusing on entrepreneurship, technology assessment.
- b. Engage full time employees to support incubatees with IP and facilitate and monitor progress.
- c. Engage and partner with external entities for CSR funding as well as social impact financing
- d. Stay in line with the best practices of other institutes of higher learning across the world to enable AIIMS faculty to progress in science from publications, to patents, to products, and to entrepreneurial partnerships with Startup companies.



- e. Become self-sustaining entity by charging legitimate fees for services provided in line with other similar incubators at other institutions (eg. Society for Innovation and Development-SID at IISc – Bengaluru; Foundation of Innovation and Technology Transfer-FIIT at IIT Delhi; Society for Innovation and Entrepreneurship-SINE at IIT Mumbai; Startup Incubation and Innovation Centre-SIIC at IIT Kanpur, JNU Foundation for Innovation-JNUFI at JNU Delhi to name a few).
- f. To engage in appropriate contracts with Start-up companies for share in equity in line with practice at other similar incubators.
- g. Build an ecosystem to attract and engage with market-oriented organizations and entrepreneurs to create and facilitate academia – industry partnership.
- h. Undertake round the year activities for a dedicated incubation (as opposed to ad-hoc attention) which will yield desirable results.
- i. Engage experts and professionals who have expertise in incubation, and of which medical innovations will be a part, such that proven expertise can be deployed for faster accomplishment of results.
- j. Scout innovators and entrepreneurs with an eagle eye so as to identify truly innovative and transformative products beyond the merely me-too or reverse engineering products and services, and further to match the expectations that common people associate with AIIMS (Quality and Standards)
- k. Allow job opportunities to AIIMS trained Research Staff who can take up employment at the many Start-up companies incubating at the CMIE.
- l. Employ full time leadership and employees with the required skills sets.

**Rationale for choice of “Section 8 Not-for-profit” entity as appropriate SPV for CMIE – AIIMS**

1. Atal Innovation Mission (AIM) is a flagship initiative to promote the culture of innovation and entrepreneurship in India by NITI Aayog, Government of India. It has published “Guidelines for Setting Up of Special Purpose Vehicle (SPV) for Incubation Centres by Institutions - 2021” (Annexure I – pg. 61, SPV Guidelines).

The document indicate:

- i. “Host Institution” (in this case AIIMS, Delhi) should have 100% shareholding in the equity structure of the SPV.

- ii. Mandatory setting up a “Not-for-Profit Section 8 entity” or a “For profit company” under the Companies Act 2013. (Annexure I – pg. 61, SPV Guidelines).

Keeping in mind the ethos of AIIMS, New Delhi, it is proposed that the CMIE -AIIMS (AIIMS Bio-incubator) be established as a “not for profit” Section 8 Company.

2. The independent legal entity SPV model is the standard model being followed for innovation incubators attached to academic institutions and funded by BIRAC. Further it is the model followed by a host of INI Institutions named above (eg. SID at IISc – Bengaluru; FIIT at IIT Delhi; SINE at IIT Mumbai; SIIC at IIT Kanpur; JNUFI at JNU Delhi).
3. Conversion to Section 8 status would be in line with the funding mandate from BIRAC for CMIE, wherein the Eligibility Criteria recommends Bioincubators to be incorporated as an independent Indian legal entity (Annexure II – pg. 5, Eligibility Criteria).

It is expected that at the end of the funding cycle (3 years- March 2021-March 2024) the Incubator would transition to a self-sustaining SPV model. The same has been reiterated to CMIE at the Annual Advisory Board meetings (dt. 31<sup>st</sup> May 2022 & 4<sup>th</sup> Oct 2023) have reiterated the same. (Annexure III & Annexure IV).

The Section 8 Not for Profit framework as a SPV for CMIE-AIIMS further provides the following advantages:

- Oversight and Control: The Section 8 not-for-profit entity falls under the Companies Act, 2013 with statutory requirements for transparency. The entity under Section – 8 is required to hold minimum of four board meetings where the organisational update/way forward/financials are discussed. This ensures that the activities of the entity are regularly monitored and aligned with the objectives.
- Transparency: The Section 8 entity is required to adhere to the regulations under The Companies Act, 2013 and hence needs to submit the statutory and other filings to the Ministry of Corporate Affairs (MCA) and other statutory authorities. This facilitates more transparency as the external agencies can also access the documents through the MCA and other portals as required.
- Compliances: Since the Section 8 entity is governed by The Companies Act, 2013 it is required to adhere to multiple compliances. While more compliance implies more documentation, it also that the company is abiding by rules and the business is being conducted legally. The quantum of compliances and documentation including filings is



much higher in a Section 8 entity than a Society or Trust. Also, there are severe penalties for the violation of any provisions of the Act.

- Holding of Equity: CMIE – AIIMS, as part of its mandate in supporting start-ups and in keeping with the activities of similar other Incubators, may consider providing seed funds to incubating Start-ups in the form of equity investment. Section 8 entity enables such activity in an incubated start-up.
- Section 8 companies enjoy certain tax exemptions, making it more financially viable for them to provide support and resources to startups.

Registration as a Section 8 company can enhance the credibility and trustworthiness of a technology business incubator in the eyes of startups, investors, and government authorities. Many government grants and funding programs are specifically targeted at Section 8 companies engaged in innovation and incubation activities.

#### **CMIE – AIIMS, a Special Purpose Vehicle (SPV) of AIIMS, New Delhi**

Accordingly- permission is sought from the Governing Body AIIMS for-

- a. Approval to transition the “Centre for Medical Innovation & Entrepreneurship (CMIE-AIIMS)” as a not-for-profit Section 8 entity.

Approval that CMIE – AIIMS would be registered as a separate legal entity.

Subsequent to above approval, CMIE – AIIMS will register itself as a not-for-profit Section 8 entity following the process as mentioned in “Handbook for Non-Profit Incubator Managers” prepared by Atal Innovation Mission (AIM), Small Industries Development Bank of India (SIDBI), and Centre for Innovation Incubation and Entrepreneurship (CIIE – IIM-Ahmedabad). (Annexure V).

#### **ADMINISTRATIVE COMMENTS**

File sent to legal cell for opinion by The Director, AIIMS, New Delhi.

*RESPONSE FROM LEGAL CELL ENCLOSED - ANNEXURE-VI)*

**WHETHER PROPOSAL HAS THE APPROVAL OF CONCERNED COMMITTEE  
VIZ. ESTATE COMMITTEE/ACADEMIC COMMITTEE/SFC ETC.**

**APPROVAL SOUGHT**

CMIE – AIIMS, a Special Purpose Vehicle (SPV) of AIIMS, New Delhi

Accordingly- permission is sought from the Governing Body AIIMS for-

- a. Approval to transition the “Centre for Medical Innovation & Entrepreneurship (CMIE-AIIMS)” as a not-for-profit Section 8 entity.

Approval that CMIE – AIIMS would be registered as a separate legal entity.

- b. Memorandum of Association with the information of the representing officials.

A fully owned not-for-profit Section 8 not-for-profit entity of AIIMS, New Delhi with the following shareholding pattern:

i. AIIMS, New Delhi through the Director	–	96.0%
ii. Dean (Research), AIIMS, New Delhi	–	1.5%
iii. Dean (Academic), AIIMS, New Delhi	–	1.5%
iv. Senior Financial Advisor, AIIMS, New Delhi	–	1.0%

The above shareholders are ex-officio, and filings will be made to the Ministry of Corporate Affairs on the periodic changes to the names of the office holders.


- c. Article of Association stating the objectives, mandate, working principles of the entity.
- d. Board of Directors would be appointed in the Advisory Committee of CMIE – AIIMS who would overlook the functioning of the CMIE as per its mandate.
- e. Staff required for day-to-day running of the operation of CMIE – AIIMS:

**THIS HAS THE APPROVAL OF DIRECTOR**

Discussed with The Director for taking the proposal forward.

Signature:

Date:

52/2/24  
 आचार्य (जी) जीवन् सिंह तिलियल  
 Prof. (Dr.) Jeewan S. Tiliyal  
 सहायक (अनुसंधान) / Dean (Research)  
 अनुसंधान अनुभाग / Research Section  
 अ.भा.आ.सं., नई दिल्ली / AIIMS, New Delhi-29



Government of India  
NITI AAYOG  
Atal Innovation Mission

**GUIDELINES FOR SETTING UP OF ATAL INCUBATION CENTRES (AICs)**

**1.0 Background:**

The Government of India has set up the Atal Innovation Mission (AIM) at NITI Aayog. The overarching purpose of this Mission is to promote a culture of innovation and entrepreneurship in India. The Government realizes that there is a need to create world class incubation facilities across various parts of India with suitable physical infrastructure in terms of capital equipment and operating facilities, coupled with the availability of sectoral experts for mentoring the start-ups, business planning support, access to seed capital, industry partners, trainings and other relevant components required for encouraging innovative start-ups. Accordingly, AIM supports the establishment of Atal Incubation Centres (AICs) that would nurture innovative start-up businesses in their pursuit to become scalable and sustainable enterprises. The scheme is known as Atal Incubation Centre. The terms and conditions of the scheme are at Annexure I.

AIM invites applications for setting up AICs through the online application form provided at this URL - [ <http://aimapp2.aim.gov.in/aic2.0> | <http://aimapp2.aim.gov.in/aic2.0> ]

**2.0 Objectives of the Scheme:**

The objective of the scheme is to promote and establish world class incubation centres in specific subjects/sectors such as manufacturing, transport, energy, health, education, agriculture, water and sanitation etc. in India. These incubation centres would support and encourage innovative technology-based start-ups that have an application and/or impact in the core sectors of the economy. The incubation centres would provide the start-ups with necessary guidance, tech support, infrastructure, access to investors, networking, and facilitating a host of other resources that may be required for the start-up to survive and scale.

**3.0 Expected Functions of the AICs:**

- 3.1 Assist the incubatees in creating a sustainable, scalable & profitable business model
- 3.2 Build a dedicated, professional and strong team with adequate knowledge and experience in guiding start-ups, building business plans, facilitating investments, building networks etc. This team is also required to have technical knowledge of the sector focus of the incubator
- 3.3 Provide state-of-art physical lab and other infrastructure as well as value-added support services
- 3.4 Create a strong network of mentors who would provide sector specific knowledge & real-world practical guidance
- 3.5 Conduct events and inspirational programs to help develop an entrepreneurial ecosystem in the region
- 3.6 Provide trainings and mentorship to entrepreneurs

3.7 Forge partnerships and networks with academia, industry, funding sources, existing incubators and others for the start-ups to leverage.

3.8 Enable access to prototyping facilities, test beds, markets, and pilot implementation for the product/services.

3.9 An ideal application would be a collaboration between a corporate sector entity and a research oriented / academic institution with aligned areas of focus.

#### 4.0 Features of the Scheme:

4.1 The categories of entities that can apply for setting up AICs include higher educational institutions, R&D institutes, entities from the corporate sector, alternative investment funds registered with SEBI, business accelerators etc.

4.2 The applicants must be legal entities which include (but not restricted to) Societies registered under the Societies Registration Act 1860, Trusts registered under the Indian Trusts Act 1882, Private Limited companies (including Section 8 and Section 25 companies) registered under the Companies Act 1956 or Companies Act 2013, statutory bodies i.e. entities created through Acts of Parliament, Alternate Investment Funds registered with SEBI. It is to be noted that no change in the applicant's legal entity will be allowed at any stage in the application or during the project.

4.3 All applicants of the AIC Program must have a minimum 3 years of existence at the time of application or last date for the call of application.

4.4 Non-government applicants that are loss making in any of the previous three years will not be considered. However, special considerations may be given to incubators focusing on social impact or to institutions of eminence (subject to the approval of AIM Mission High Level Committee). Further, non-government applicants need to have minimum turnover which is twice the size of the annual tranche given by AIM in the preceding financial year.

4.5 AICs can also be established by one or more collaborating entities (Consortiums). In case a consortium is applying for the AIC, the financials of the Lead Member will be considered for the financial aspects mentioned in 4.4.

4.6 However, it may be noted that even if the applicant is profitable over the past three years, an overall and comprehensive assessment of the financials of the applicant will be undertaken during the due diligence process. If the applicant is not considered financially capable to sustain and operate the AIC, such an applicant will not be considered for the program.

4.7 AICs are encouraged to focus on a limited number of areas, which align with their core strengths. The AIC should have up to a maximum of three primary sectors of focus. An illustrative list of sectors has been provided in the online application form.

4.8 Final decision of the nature of the legal entity allowed to be an AIC incubator would be at the sole discretion of AIM.



## 5.0 Mechanism for Implementation of the AIC

5.1 Please note that that shortlisted applicant may use either of the options – a) to implement the AIC through the applicant who has applied to AIM i.e. the existing legal entity, or b) create a separate Special Purpose Vehicle (SPV) to implement the AIC. The process for the setting up of an SPV is set out in Annexure VIII of these guidelines. Please note that the SPV can either be a Section 8 or Private Limited Company but has to be limited by shares. **A Company limited by guarantee is not permitted to be used as an SPV.**

5.2 Further, if the applicant, that gets short-listed for setting up an AIC, is governmental in nature, it will have the option of accepting the Grants-in-aid themselves or alternatively may incorporate a SPV.

5.3 If the applicant, that gets short-listed for setting up an AIC, is non-governmental in nature, it is required to incorporate a separate SPV to implement the AIC mandatorily.

5.4 However, if any applicant, whether private or government, has an existing legal entity for exclusively operating a business incubator then the requirement for creating a separate SPV may be waived off and this existing legal entity being used as the business incubator may receive the grant. However, it may please be noted that the objectives, purpose and operations of the AIC should be distinct and not an extension of the current incubator.

5.5 If the AIC is proposed to be merely an extension/scale-up of the current incubator, then the applicant should apply through the Established Incubation Centre (EIC) program.

5.6 It is clarified that AIM retains the right at its discretion to require any AIC applicant to form an SPV for implementing the AIC.

5.7 The applicant can apply for scale up support at the end of the program subject to fulfilling the objectives and targets based on the performance of the AIC through the EIC program which may be notified in due course of time. Such support will only be granted by AIM at its sole discretion.

## 6.0 Funding Support:

6.1 Successful applicants would be provided grant-in-aid to set up the AIC for a maximum period of 5 years up to Rs 5 Crore (in case no lab facilities are established) and up to Rs. 10 Crore (in case sector specific lab facilities are established) to cover the capital and operational expenditures.

6.2 An AIC will be eligible for lab funding if it is establishing a sector-specific lab as per the incubator's sector focus. The exact amount of the grant shall be decided by AIM based on the application and business plan, as per the prevailing scheme.

6.3 A separate book of accounts which is third party auditable would need to be maintained for all expenses and utilization of AIM Grant in funds and required matching funds (where applicable). The Bank account should be opened in a public sector bank and should be interest bearing. A separate bank account should be opened for seed funds. The interest earned on the grant-in-aid should be reported to the AIM, NITI Aayog and returned to the Consolidated Fund of India at the end of each financial year, however, the interest

from Seed Fund account should be returned to the Seed Fund pool in the bank account (and not to Bharat Kosh).

6.4 In case the AIC is being implemented through setting up a new SPV, then the Grants-in- Aid shall be disbursed to the separate bank account of the SPV. Alternatively, if the AIC is being implemented through the applicant, then the applicant must create a new bank account for the purpose of holding, spending or disbursing funds for the purpose of the AIC.

6.5 Key aspects of funding based on the category of applicant is as below:

Type of Applicant	Matching Contribution	Maximum AIM Grant-in-Aid
Government Applicants:		
1. Government Academic / R&D	No matching contribution applicable	Up to Rs. 5 Crores (in case of no lab facility) Up to Rs. 10 Crores (in case of lab facility proposed)
2. Government Non-Academic	No matching contribution applicable	
Non -Government Applicants:		
3. Private Academic	At least 25% of the Grant-in-Aid amount provided by AIM	Up to Rs. 5 Crores (in case of no lab facility) Up to Rs. 10 Crores (in case of lab facility proposed)
4. Private Non-Academic	At least 100% of the Grant-in-Aid amount provided by AIM	
5. Private R&D	At least 100% of the Grant-in-Aid amount provided by AIM	

6.6 As mentioned in the table above, AIM shall provide a maximum of up to Rs. 10 crores. The rest of the project cost (Matching contribution and/or the Bridging cost for the project, if any) will be borne by funds that the applicant itself is providing, either directly or through other sources arranged by the applicant. It is clarified that the funds brought in by the applicant shall be independent of and in addition to the Grants in aid received from AIM. Further, note that Matching Contribution is defined as Applicant / Promoter / Host Institution's contribution as required by clause 6.5. Bridging Cost is defined as the cost borne by the Application / Promoter / Host Institution over and above their Matching Contribution as stated in the Budget approved for the AIC, if any.

6.7 Cost components mentioned in para 8.7 (given below) shall not be considered as project costs. The budget plan presented by the applicant should clearly demarcate all components of the project costs which are not eligible for funding by AIM.

6.8 In case the applicant forms the SPV to implement the AIC, the Grants-in-Aid will be transferred to the bank account of the SPV. If an SPV is not required to be formed, the Grants-in-Aid shall be transferred to the separate and exclusive bank account of the applicant. No third party / affiliate / sister concern organisation shall be allowed to receive the Grants-in-Aid in any circumstances whatsoever.

6.9 It is hereby clarified that all matching contribution / bridging costs need to be deposited in the dedicated bank account of the AIC and spent from this bank account. Any amount directly spent by the Promoter / Host Institution / any other third party towards the expenses of the AIC will not be considered as the applicant's matching contribution and or / bridging cost.



6.10 In case of private applicants that are non-academic, then the rental value of the building as per the registered lease agreement on pro- rata basis for the space allocated to the AIC can be considered as the applicant's contribution to the AIC in the project cost.

- This is subject to submission of the lease documents and the actual rent receipts.
- This consideration will be restricted to a maximum of 20% of the matching grant contribution provided by the AIC applicant.
- In case, there is a variation, the AIM team has the discretion to allow the limit to which the consideration will be made for the rent.
- The rental value will be considered only if it is being paid out of the new bank account created for the AIC.
- It may also be noted that the rental should be paid to the third party directly which should not be related in any way with the Host / Promoters of the applicant.
- In either case, (SPV or not) the rental value shall NOT be considered as host contribution if the space allotted to the AIC is owned by the applicant.

6.11 In case of applicants that are academic or R&D in nature, then the rental value of the building will not be considered in the project cost.

6.12 Each tranche of the grant-in-aid shall be disbursed only after the applicant provides proof of matching contribution and or / Bridging Cost that is to be brought in by the applicant itself (or through other sources) as monetary/cash contribution. In-kind contributions or contributions made before the Sanction is released, shall not be considered as matching contribution and or / Bridging Cost.

6.13 In case there is any matching contribution / bridging cost applicable, the applicant will be responsible for ensuring that the amount deposited in the dedicated bank account of the AIC complies / adheres with all applicable laws, government rules and regulations including FCRA, GFR, RBI regulations etc.

6.14 The amount of the matching contribution should be equal to or more than the amount of the tranche that is to be disbursed by NITI Aayog. Any machinery/infrastructure which was already present with the host institution before receiving the Grants-in-Aid from AIM, NITI Aayog cannot be considered as a matching contribution towards setting up the AIC.

6.15 The grant-in-aid shall be disbursed in a phased manner as per the budget plan submitted by the applicant and approved by the AIM directorate.

#### 7.0 AIC Team Guidelines:

7.1 The Grants-in-Aid shall be disbursed only after the applicant provides proof of having a full-time and qualified CEO identified and committed to operationalise the AIC.

7.2 In order to receive the grant, the profile of the short-listed candidate(s) for the CEO position should be submitted to AIM. The CEO and the rest of the AIC team has to be in place and engaged on a full-time basis within 30 days of receiving the Grant.

7.3 The CEO should have experience as an entrepreneur or in the startup ecosystem and have a strong understanding of starting companies, early stage investments, raising funds, technology and incubation.

S/he should be a dynamic changemaker dedicated to the AIC who has the enthusiasm and energy required to do the leg work that this position requires. The CEO must be a visionary to make the AIC self-sustainable.

7.4 The CEO of the AIC is required to be hired on a full-time basis. In case where the applicants are academic institutions / R&D labs, no in-house faculty members / scientists / researchers can be appointed the CEOs, if they are not full time and they continue to take lectures / deliver their regular duties as faculty / scientists.

7.5 If any blood relatives or related individuals by law of any director(s) or management officials of the applicant institution / officials / external consultant are appointed as CEO / Incubation Manager or any other key role in the AIC (whether part-time or full-time at the AIC), the same needs to be declared to AIM prior to such appointment.

#### 8.0 Budget Guidelines:

8.1 Expenditure on office furnishings, administration utility and maintenance, and office expenses should be kept to a minimum.

8.2 The larger part of the grant-in-aid should be spent on the core operation activities of the AIC as described in para 3.0 (Expected functions of the AIC).

8.3 The total grant-in-aid which can be spent towards capital expenditure (including sector specific equipment / lab, machinery, office equipment, furniture etc.) should not exceed Rs 3.5 crores and the grant-in-aid spent towards seed fund should not exceed Rs. 1 Crores.

8.4 The applicant may be allowed to deviate from the sub-head allocation of the approved budget plan (provided that the expenditure limits on major heads are maintained) up to an extent of 10% of the approved amount.

8.5 The Promoter / Host Institution or the SPV (as the case may be) will be required to submit audited statement of accounts and the Utilization Certificates (UCs) of the grant every six months from the time of receiving the grant, (ii) at the end of each financial year; and, (iii) as well as at the time of seeking further instalments of the grant, if any. The Promoter / Host Institution will also be required to submit a quarterly progress report to NITI Aayog. The proforma of the UC is attached as Annexure II to this document.

8.6 AIM, NITI Aayog will have the ongoing right to get a financial audit done for the SPV/ applicant, if required, as frequently as it considers suitable.

8.7 The following elements shall not be allowed to be included in the project cost itself (irrespective of whether it's the contribution of the applicant or NITI Aayog):

- Cost of purchasing land, building (shell and core construction), purchase of vehicles, etc.
- Rental expense in case the applicant is an academic / R&D institution is not allowed to be a part of the project cost
- Notional Rental expense / EMI being paid against the space which is owned by the host institution / promoter (whether academic or not) of the applicant for the AIC.



- Cost of hiring any external agency/consultant for conducting whole or part of the AIC operations. (AIM will assist the AIC in developing the operational model based on global best practices and will provide training to the AIC team).
- Cost of any fee paid to any external agency/individual(s) for the preparation of the application for AIC.
- Expenses such as SPV registration charges, seed money for the bank accounts, and other similar expenses for incorporation of the SPV (in case an SPV is made for the implementation of the AIC).
- Any machinery/infrastructure which was already present with the host institution before receiving the Grants-in-Aid from AIM, NITI Aayog cannot be considered as a part of the project cost for setting up the AIC.
- Monetisation of any notional / opportunity costs.

8.8 The applicant is strongly encouraged to make the AIC self-sustainable in a period of five years and it should clearly reflect in the proposed budget submitted by the applicant. Sustainability means that the cash flow statements for the first 5 years of operations should show substantial surplus which can be used to fund the operations of the AIC in the 6th year when AIM, NITI Aayog funds are not available anymore.

#### 9.0 Infrastructure requirements:

9.1 The applicant would have to provide at least 10,000 sq. ft. of ready-to-use built up space, for the exclusive use of the AIC in case lab facilities are established. If no lab facilities are established, the applicant would have to provide at least 5,000 sq. ft. of ready-to-use built-up space (fully constructed area), for the exclusive use of the AIC. This means that the civil works must be complete and doors and windows, railings for the staircase, lifts, fire safety/fire-fighting, air-conditioning, lighting etc. should already be in place. This space should not include terraces, gardens, parking spaces or other similar areas that are not core to the incubator.

9.2 The space should be owned or leased by the applicant. In case of a leased space, the period of lease should be minimum of 10 years. In case of selection of the applicant for the grant-in-aid, the documents of ownership of the space / lease agreements shall be verified.

9.3 The cost of the land and building shall not be included in the project cost.

10.0 The applications would be evaluated by a duly constituted Screening-cum-Selection Committee for this purpose. Selected applicants will be required to enter into a Memorandum of Agreement (MoA) and Bond (Annexures III / V and IV / VI, respectively), with AIM, NITI Aayog that also contains relevant provisions regarding refund of Grant-in-Aid amount in case of any breach of contract. The MoA also includes the total approved budget and the finalised goals and deliverables of the applicant in its annexures. The indicative criteria that may be used for evaluation of the applications are given in Annexure VII.

11.0 The above scheme, screening criteria and guidelines are subject to periodic review in consultation with concerned stakeholders. The current version of the guidelines is subject to change in the future and the extant (revised) guidelines at any point of time shall be applicable to the applicant/ SPV.



### ANNEXURE I - TERMS & CONDITIONS

1. The purpose of this document is to provide information to the interested applicants for the completion of their application. It is neither an agreement nor an offer made by AIM.
2. AIM does not make any representation or warranty as to the accuracy, reliability or completeness of the information in this document and it is not possible to consider particular needs of each applicant.
3. AIM will not be responsible for any delay in receiving the applications.
4. All applications are to be strictly submitted in the online mode. No hard copies will be accepted.
5. Applicants can seek clarifications on the guidelines through the email incubator- [aim@gov.in](mailto:aim@gov.in).
6. All communications related to the scheme including announcements of shortlisted applicants and final selection of applicants will be published on the AIM website - <https://aim.gov.in/>.
7. The issue of these guidelines does not imply that AIM is bound to select an Applicant. AIM reserves the right to accept / reject any or all of applications submitted in response to the document at any stage without assigning any reasons whatsoever.
8. AIM's decision will be final and no explanation or justification for any aspect of the selection process shall be given.
9. Applicants shall bear all costs associated with the preparation and submission of their applications, and their participation in the selection process.
10. AIM strongly discourages engagement of consultants / external agencies on a paid basis for preparation and submission of the application.
11. AIM, NITI Aayog will have no liability on account of any omission or commission of regulatory/statutory requirement by the AIC or its incubatees and their companies.
12. In case of any dispute, the same shall be subject to the jurisdiction of the courts of Delhi.
13. The applicant cannot change the host entity / grantee once the application has been submitted. Such applicants need to re-apply in the next application cycle.
14. To receive the grant-in-aid fund, the AIC is required to be registered under PFMS. The instructions will be communicated separately and in due course of time to the selected applicants.
15. The remaining grant-in-aid shall be disbursed to the AIC in the subsequent years, based on satisfactory achievement of the committed goals and deliverables and the compliance of financial requirements.
16. The amount of grant-in-aid released should be spent exclusively on the specified purpose for which it has been sanctioned within the stipulated time frame and as per the break-up suggested for fund utilisation.
17. If the AIC is being implemented through the SPV, the applicant is required to immediately start the process of setting up the SPV and upload a copy of registration certificate along with bank details and other documents as may be asked for by the AIM directorate within a stipulated time frame after receiving the intimation letter from the AIM directorate to release the funds to the SPV.
18. Any expenditure incurred by the Applicant / SPV before the release of the Sanction Letter and the first tranche of Grant-in-Aid will not be considered as a part of the project cost. These expenses will not be reimbursed, in any form.
19. The AIC shall put in place all the requisite physical infrastructure (shared/specific) such as laboratory and workshop facilities, pre-incubation services, networking, mentoring, systems, processes and tools within a period of six months from the date of release of funds for capital and operational expenditure required to achieve the targets arrived at mutually between AIM, NITI Aayog and the AIC, which would form the basis for evaluation of the performance of the AIC.



20. The AIC is expected to meet its goals and deliverables on the number of startups, events, infrastructure, mentors and network commitments etc as per their proposed action plan within the stipulated time frame, which would be monitored at every stage before release of every tranche.
21. It is mandatory for the AIC to attend all workshops and meetings conducted by AIM, NITI Aayog with regard to incubation centres. Intimation for such events will be provided in advance, and recusal if required, should be obtained by the AIC in writing from AIM, NITI Aayog.
22. The AIC should develop appropriate linkages with other parties to ensure its success. For instance, an AIC in an educational institute should collaborate with the industry and vice versa.
23. The AIC would evolve a transparent system for selection of incubatees. The incubatees would be admitted subject to fulfilling the admission criteria and the AIC would enter into an appropriate agreement with the incubatees. The agreement should include various aspects like mentoring support, provision of support services, provision of workspace, access to labs / equipment, access to investor portfolio etc.
24. As part of the Grant-in-Aid to the AIC, it is mandatory for the AIC to abide by the AIC monitoring system, details of which will be communicated in due course of time. AIM, NITI Aayog will have the right to evaluate and monitor the activities and working of the AIC, to ensure that it is in alignment with the vision of AIM, NITI Aayog. The website link for uploading AIC updates and related instructions will be communicated separately.
25. The AIC will be required to submit i) Progress Report; ii) Audited Statement of Accounts and Balance Sheets; and iii) Utilisation Certificate (UCs) (as per the format in Annexure II) and other requisite documents for the grant-in-aid at the end of every six months as well as at the time of seeking further instalments of the grant-in-aid, if any. The AIC shall submit separate UCs for Grant-in-Aid and Bridging Cost / Matching Contribution. Interest earned by the Applicant on the instalment received in the form of tranches by the Applicant would have to be remitted back to the Government of India by means of an Account Payee Demand Draft drawn in favour of Drawing and Disbursing Officer, NITI Aayog, payable at New Delhi and only post this the subsequent tranches can be disbursed.
26. All the assets acquired or created out of the grant-in-aid should not be disposed of or encumbered or utilised for the purpose other than those for which the grant-in-aid has been sanctioned without the prior written permission of the AIM, NITI Aayog.
27. Concerned officers of Atal Innovation Mission, NITI Aayog or its authorized representatives may visit the organization/AIC periodically for ascertaining the progress of work and resolving any difficulties that might be encountered in the course of implementation.
28. AIM, NITI Aayog reserves the right to terminate support to the AIC at any stage, if it is convinced that the grant-in-aid is not being utilised for the identified purpose or that appropriate progress is not being made.
29. In case an AIC wishes to wind up its activities, the AIC shall give a notice of at least three months to AIM, NITI Aayog before the closure, and design and implement a closure/succession plan with the written approval of AIM, NITI Aayog as per the established procedures / regulations for winding up.
30. In the event of breach or violation of the MoA terms and conditions, the AIC will be required to refund to the Government on demand, the entire amount or such part thereof as may be determined by the competent authority and mentioned in the demand notice issued by the Government, along with interest thereon at the rate of 11.50% (or as applicable by the GFR rules) compounded annually from the date of the receipt of the grant-in-aid to the date of refund.



31. The applicant will need to be in compliance with and not do anything in contravention of the General Financial Rules, 2017 (or the relevant corresponding rules if the General Financial Rules are updated at any point during the term). It is the applicant's responsibility to ensure compliance with the General Financial Rules, 2017 (or the relevant corresponding financial rules if the General Financial Rules are updated at any point during the term).
32. As per Rule 211(1) of GFR, the accounts of the AIC shall be open to inspection by the sanctioning authority/audit by the C&AG and the institution shall provide all the necessary support to carry out the inspection/audit.
33. The Applicant and the AIC will need to mandatorily follow the EAT module of PFMS to book the expenditure and generate UCs as prescribed in Rule 86 of GFR 2017.
34. AIM, NITI Aayog will have no responsibility in case of any loss caused to life or property due to accident, fire or any other reasons. The AIC is required to take appropriate safety and insurance measures to safeguard against any loss to human life and property related to AIC. The manpower employed by the AIC will be the responsibility and liability of the applicant and AIM, NITI Aayog will not have any responsibility or liability towards them.
35. List of documents to be submitted by all applicants, duly signed and stamped, within 90 days from the date of the intimation letter but before the release of first instalment:
  - (i) Two copies Memorandum of Agreement (includes Budget and Goals & Deliverables as annexures) and one original copy of Bond
  - (ii) Copy of the Registration Certificate / Certificate of Incorporation of the applicant and the SPV
  - (iii) Registration details including Public Financial Management System (PFMS) document of the new bank account created for the AIM Grant-in-Aid for the registration of AIC on the PFMS portal
  - (iv) Proof of availability of at least 5,000 sq. ft (in case no lab is required) and 10,000 sq. ft. (in case labs established) ready-to-use built up space (fully constructed area) along with a copy of the lease deed/ownership documents in favour of the applicant and floor plan (please note that the entire space needs to be at the single location). It is assumed that the applicant would continue to provide the space for the AIC beyond the initial lease period. For certain entities including but not limited to, central universities, state universities, etc., AIM at its discretion may accept declarations / undertaking in regard to the availability of space.
  - (v) Board resolution commitment by the authorized signatory etc. indicating the availability of matching contribution over a period of five years
  - (vi) Audited copies of the balance sheets and ITRs for the last three years of the applicant (from the date of closing the applications).
  - (vii) Proof of availability of matching contribution / bridging cost equivalent to the tranche in question, in the bank account created for the AIM grants-in-Aid.
  - (viii) CV of the proposed CEO
  - (ix) List of equipment for makerspace, fab lab, sector specific lab etc

Please note that if the applicant is setting up an SPV for the implementation of the AIC then all these documents shall pertain to the SPV and not the applicant.

36. Any waiver to the terms, conditions and clauses of the AIC guidelines and its annexures will need to be approved by the competent authority at Atal Innovation Mission.



## ANNEXURE II - FORMAT OF THE UTILISATION CERTIFICATE

FORM GFR 12A

GENERAL FINANCIAL RULES 2017  
Ministry of Finance  
Department of Expenditure



### GFR 12 - A [(See Rule 238 (1))]

#### FORM OF UTILIZATION CERTIFICATE FOR AUTONOMOUS BODIES OF THE GRANTEE ORGANIZATION

UTILIZATION CERTIFICATE FOR THE YEAR..... In respect  
of recurring/non-recurring  
GRANTS-IN-AID/SALARIES/CREATION OF CAPITAL ASSETS

1. Name of the Scheme.....
2. Whether recurring or non-recurring grants.....
3. Grants position at the beginning of the Financial year
  - (i) Cash in Hand/Bank
  - (ii) Unadjusted advances
  - (iii) Total
4. Details of grants received, expenditure incurred and closing balances: (Actuals)

Unspent Balances of Grants received years (figure as at Sl. No. 3 (iii))	Interest Earned thereon	Interest deposited back to the Government	Grant received during the year			Total Available funds (1+2+3+4)	Expenditure incurred	Closing Balances (5-6)
1	2	3	4			5	6	7
			Sanction No. (i)	Date (ii)	Amount (iii)			

Component wise utilization of grants:

Grant-in-aid-General	Grant-in-aid-Salary	Grant-in-aid-creation of capital assets	Total

Details of grants position at the end of the year

- (i) Cash in Hand/Bank
- (ii) Unadjusted Advances
- (iii) Total



**GENERAL FINANCIAL RULES 2017**  
Ministry of Finance  
Department of Expenditure

**FORM GFR 12A**

Certified that I have satisfied myself that the conditions on which grants were sanctioned have been duly fulfilled/are being fulfilled and that I have exercised following checks to see that the money has been actually utilized for the purpose for which it was sanctioned:

- (i) The main accounts and other subsidiary accounts and registers (including assets registers) are maintained as prescribed in the relevant Act/Rules/Standing instructions (mention the Act/Rules) and have been duly audited by designated auditors. The figures depicted above tally with the audited figures mentioned in financial statements/accounts.
- (ii) There exist internal controls for safeguarding public funds/assets, watching outcomes and achievements of physical targets against the financial inputs, ensuring quality in asset creation etc. & the periodic evaluation of internal controls is exercised to ensure their effectiveness.
- (iii) To the best of our knowledge and belief, no transactions have been entered that are in violation of relevant Act/Rules/standing instructions and scheme guidelines.
- (iv) The responsibilities among the key functionaries for execution of the scheme have been assigned in clear terms and are not general in nature.
- (v) The benefits were extended to the intended beneficiaries and only such areas/districts were covered where the scheme was intended to operate.
- (vi) The expenditure on various components of the scheme was in the proportions authorized as per the scheme guidelines and terms and conditions of the grants-in-aid.
- (vii) It has been ensured that the physical and financial performance under..... (name of the scheme has been according to the requirements, as prescribed in the guidelines issued by Govt. of India and the performance/targets achieved statement for the year to which the utilization of the fund resulted in outcomes given at Annexure - I duly enclosed.
- (viii) The utilization of the fund resulted in outcomes given at Annexure - II duly enclosed (to be formulated by the Ministry/Department concerned as per their requirements/specifications.)
- (ix) Details of various schemes executed by the agency through grants-in-aid received from the same Ministry or from other Ministries is enclosed at Annexure - II (to be formulated by the Ministry/Department concerned as per their requirements/specifications).

Date:

Place:

Signature

Signature

Name.....

Name.....

Chief Finance Officer

Head of the Organisation

(Head of the Finance)

(Strike out inapplicable terms)



**ANNEXURE III- MEMORANDUM OF AGREEMENT (WITHOUT SPV)**

**Format of the MoA to be signed with the applicant (No SPV in place), in case of selection of the applicant**

**Memorandum of Agreement**

This MEMORANDUM OF AGREEMENT ("MoA") is entered on this ..... day of ..... (Month) 20XX by and between:

- i. .... (Name of the Applicant), established and existing under the laws of India with its registered address at ..... (hereinafter referred to as "the Applicant") for setting up and operation of the Atal Incubation Centre (AIC).

AND

- ii. The think tank of Government of India, NITI Aayog (hereinafter referred to as "NITI AAYOG", Sansad Marg, New Delhi – 110001 (hereinafter referred to as the second party)

WHEREAS NITI Aayog, Government of India under the Atal Innovation Mission (hereinafter referred to as AIM), has taken up an initiative to provide financial support to selected institutions for establishment of Atal Incubation Centres in India to support innovators and start-up businesses in their pursuit to become successful entrepreneurs/enterprises.

WHEREAS the Applicant has been selected by AIM, NITI Aayog for establishing the Atal Incubation Centre through a rigorous selection process, and the Promoter / Host Institution shall contribute towards the setting up of the Atal Incubation Centre, in kind and in cash, matching the support provided by NITI Aayog.

The Applicant and NITI Aayog, Government of India have decided to enter into this MoA setting out the working arrangement, that each party agrees, is necessary for achieving the objectives of this initiative of Government of India, as under:

**ARTICLE 1: Background and Purpose**

**1.1 Background of Atal Innovation Mission**

The Government of India has established the Atal Innovation Mission (AIM), at NITI Aayog to promote a culture of innovation and entrepreneurship in the country. The mission subsumes the Self-Employment and Talent Utilization (SETU) programme announced by the Government. The objective is to provide a platform for promotion of world-class Innovation Hubs, Grand Innovation Challenges, Start-up businesses and other self-employment activities, particularly in technology driven areas. The Atal Innovation Mission has two core functions:

- a. **Entrepreneurship promotion:** Wherein innovators would be supported and mentored to become successful entrepreneurs at Incubation Centres and Atal Tinkering Laboratories.

b. **Innovation promotion:** to provide a platform where innovative ideas are generated and supported to develop innovative technological solutions.

### 1.2 Setting up of Atal Incubation Centres (AIC)

With a view to promote entrepreneurship and innovation in the country, NITI Aayog has taken up an initiative under Atal Innovation Mission (AIM), to establish Atal Incubation Centres. As a part of this initiative, NITI Aayog will provide financial support to selected academic and non-academic institutes and organizations to set up the Atal Incubation Centre (AIC) to support and encourage start-ups in specific subjects / sectors such as manufacturing, transport, energy, health, education, agriculture, water and sanitation etc. and would provide them with necessary infrastructure facilities and other value-added services.

### 1.3 Background of the Applicant

.....  
 .....  
 .....

### 1.4 Purpose of the Grant-in-Aid

AIM, NITI Aayog shall provide the Grant-in-Aid to the Applicant to set up the AIC that would provide high class incubation facilities with suitable infrastructure in terms of capital equipment and operating facilities, coupled with the availability of sectoral experts for high quality mentoring to the start-ups in their early stages of growth.

The AIC set up by the Applicant should have incubation facilities such as competent team members who understand the incubation and startup ecosystem and have the ability to successfully guide the incubatee startups; infrastructure such as incubation space, meeting rooms, conferencing space and facilities; tech support such as sector specific labs and workshops that have tools and equipment; seed funding support; other support services such as IPR, regulatory, legal, market research, etc.; and so on. The AIC should also conduct outreach initiatives, build a network of mentors, subject matter experts and investors, devise training programs and/or other incubation related events, and build the entrepreneurship ecosystem for incubatee startups.

## ARTICLE 2: Areas of Collaboration

The Applicant and AIM, NITI Aayog are collaborating to set up the AIC with the objective of supporting a large number of innovative technology based startups that have an application and impact in core sectors such as agriculture, biotechnology, health, education, energy, manufacturing, housing, transport, etc.



### ARTICLE 3: Duration

This MoA shall be valid initially for a period of 6 years from the date of signing by all the parties.

### ARTICLE 4: TERMS Responsibilities of the Applicant

The Applicant shall be responsible for the following:

- 4.1 The Applicant shall be responsible for establishing the Atal Incubation Centre (AIC)
- 4.2 The Applicant shall be responsible for proper utilization of the funds provided by NITI Aayog for establishment of the AIC to support and encourage start-ups as well as provide them with necessary infrastructure facilities and other value-added services.
- 4.3 Provision of at least 5,000 sq. ft. of built up spaces (including land and building), in case a lab is not established and 10,000 sq. ft. of built up space (including land and building) to set up the AIC, in case a lab is established.
- 4.4 In case of renting of the required space for AIC, the lease period should be for a minimum of 10 years with the requisite lease deed registered as per law
- 4.5 The Applicant will ensure appointment of a dedicated full time CEO with the necessary domain and management expertise and other core team/supporting staff for successful operations of the AIC within 30 days of the date of release of the first tranche.
- 4.6 The Applicant will have full freedom to decide the compensation of the CEO as well as the management team.
- 4.7 It will be the responsibility of the Applicant to bridge the gap between the project cost and the Grant-in-aid from AIM, NITI Aayog to ensure that all the facilities as per the scope envisaged, are established in the AIC to make it fully functional.
- 4.8 The Applicant will provide proof of financial closure for the project cost to AIM, NITI Aayog within three calendar months of receiving the intimation of short- listing.
- 4.9 The Applicant will provide proof of availability of matching contribution equivalent to the tranche in question, in the new bank account set up for the operations of the AIC.
- 4.10 All funds to the Applicant by NITI Aayog shall be utilised only for the purposes of setting up and operating the AIC and will not be allowed to be diverted for any other purpose.
- 4.11 The Applicant shall carry out all the activities of the AIC in conformance with the laws of the land in an ethical manner with all the regulatory and statutory requirements being adhered to.
- 4.12 Maintenance of Assets of the AIC
  - 4.12.1 The Applicant is expected to undertake reasonable care and due maintenance of the assets of AIC (both from financial support from NITI Aayog and the counterpart support by the Applicant).
  - 4.12.2 The Applicant should adequately insure these assets against any loss or damage caused due to accidents, terrorist attacks or natural calamities, to the extent possible. If possible, the assets should be reinstated through insurance.
  - 4.12.3 All the assets of the AIC from the Grant-in-Aid, the Applicant and/or other sources of funds if any, including those maintained and promoted from the grant shall be installed in the premises of the AIC and not in any other department/division of the Applicant.

4.12.4 All the assets acquired or created for the purpose of AIC including the land and building brought in by the Applicant shall not be allowed to be disposed of or encumbered or utilized for the purpose other than that of AIC without the prior written permission of AIM, NITI Aayog. AIM, NITI Aayog reserves the right to terminate future grants and recover the assets created for AIC, if it is convinced that the Applicant is not utilizing the assets for the objectives of AIC.

#### 4.13. AIC's Operational Responsibilities

4.13.1. It is suggested that the AIC should be administered by a Governing Body/ Board chaired by the Head of the Applicant. The Governing Body of the AIC may meet quarterly to review progress of AIC and provide policy guidelines for the operations of the AIC. The Applicant should ensure that the operations of the AIC are in line with the sanctioned proposal and activities are tailored to attain projected milestones (to be submitted by the Applicant before the release of the first tranche). The Governing Body should ideally provide adequate autonomy and flexibility to the Chief Executive Officer (CEO) of the AIC for making speedy & transparent decisions.

4.13.2. The Applicant shall identify and appoint adequate number of team members (technical) for the day to day operations and management of the AIC. The team should include a full time CEO and other members who have the domain knowledge and the expertise required for supporting the startups through the grants- in-aid provided by NITI Aayog. The suggested team to incubatee company's ratio is 1:5, which needs to be put in place progressively.

4.13.3. The Applicant will ensure development of domain and management expertise of its core team/supporting staff through training/re-training, starting within six months from the date of release of the grant-in-aid.

4.13.4. The Manpower employed by the Applicant for the AIC will be the liability of the Applicant and NITI Aayog will not have any liability towards them.

4.13.5. The Applicant will develop the physical space for the AIC including but not limited to co-working space for the incubatee companies, sector specific laboratories, other relevant tools and equipment, meeting rooms, conferencing facilities, etc.

4.13.6. The Applicant shall open two separate bank accounts – one for the exclusive operations of the AIC and other for the seed fund component of the Grant- in-Aid.

4.13.7. Within six months of receiving the grant, the AIC should be fully functional and operational. This shall include:



- CEO of the AIC and other technical team who can provide business mentoring support to incubatees, should be in place and stabilised
- The labs, if any, should be set up with the technical team required to operate the lab, hired
- The 5000 sq. ft. space (in case no lab is required) and 10,000 sq. ft (in case lab is established) should be furnished and fully functional (ready to use).
- Proper branding of the AIC should be done (name board near the entrance)
- The incubation program must be in place (i.e. the package that will be offered to incubatees describing the value-add to incubatees, duration, milestones for graduation, engagement model etc.)
- The AIC should have already conducted at least two promotional / outreach events
- The AIC must have rolled out its call for applications for admitting incubatees and must have enrolled incubatees
- AIM retains the unfettered right to require the AIC to ensure the above in total or any part thereof is fully operational to AIM's satisfaction, no later than 6 months from receiving the grant. If for any reason whatsoever, the above responsibilities of the AIC are not completed, it will be considered a material breach and AIM may, by giving 60 days' notice for rectification of the material breach, terminate this MoA if said material breach is not rectified within the aforementioned 60 days. Upon termination, the AIC will be required to return the entire grant amount without any deductions whatsoever including for the avoidance of doubt any utilized amounts of the grant in aid, and including the interest amount earned by the AIC from the grant.

4.13.8. The Applicant will evolve a transparent system for selection of incubatees in line with the thematic area of specialization chosen. The incubatees would be admitted fulfilling the admission criteria and the AIC should execute appropriate incubation agreement with incubatees. The residency period and the exit policy may also be defined clearly in the agreement.

4.13.9. The Applicant will provide the context-appropriate assistance and handholding to startups to help them become sustainable and scalable enterprises, including but not limited to, business and strategy advice; facilitating access to relevant laboratories and maker's spaces; legal, accounting and intellectual property services and/or support; networking with mentors, vendors, and investors; national and international linkages, etc.

4.13.10. The amount of the Grant-in-Aid towards providing seed funding support to start-ups can be utilised only after the AIC raises a matching amount of co-investment through non-government sources (non-government sources exclude central, state and local governments). It is to be noted that this co-investment is over and above any contribution of the applicant in the seed fund component of the total project cost. Detailed guidelines about the seed support funding are enclosed below (Annexure A of the MoA). The AIC shall support the start-ups to raise seed support and other investments.

4.13.11. The AIC will adequately promote itself through online and offline channels. The AIC shall have a website which should go live within 30 days of the date of release of the first tranche of the grant-in-aid. The website should describe all the facilities and offering that it has for aspiring and recent entrepreneurs. Eventually the incubatees should also be listed on the website.

4.13.12. The AIC is required to mention "Atal Incubation Centre supported by Atal Innovation Mission, NITI Aayog" in all its communication/stationery and branding material, whether online or offline, as well as on the display board at the entry gate of the AIC. The AIC will be required to adhere to the branding guidelines which will be share at a later stage.

4.13.13. In case of any operational disputes or lack of clarity, the decision of the CEO, NITI Aayog shall be final and binding on the Promoter/Host Institution.



#### 4.14. Monitoring responsibilities

- i. AIM, NITI Aayog has put in place a progress update and monitoring framework with key performance requirements for AIC. The AIC shall subscribe itself to the monitoring system and provide the updated information on a monthly basis.
- ii. The monitoring framework captures the Key Performance Indicators (KPIs) of the AIC and the AIC will be obligated to update these KPIs on a monthly basis.
- iii. The AIC will be required to demonstrate the impact it has been able to make through the grant-in-aid. The AIC will be expected to deliver on the implementation plan as submitted by the AIC to NITI Aayog for every tranche of the grant-in-aid.
- iv. The operations and performance of the AIC may be reviewed monthly / quarterly / yearly by AIM, NITI Aayog or by a professional third-party agency appointed by NITI Aayog. The AIC is expected to co-operate fully and provide all the information required for a fair and successful evaluation of the performance of the AIC. The AIC shall be informed about the third party appointed for the purpose and the outcome of evaluation in a timely manner.
- v. In the event the Applicant fails to make adequate progress in the establishment of AIC and operations of the AIC, including implementing start-up incubations activities, or adhere to the responsibilities mentioned throughout this MoA, no further grant will be provided and the unspent amount along with interest earned thereon would be required to be refunded within a period of one month from the date of notice issued by NITI Aayog. It is clarified that this is without prejudice to AIM's right to terminate this MoA under the provisions of Clause 4.13.7 above.
- vi. The release of grant for every tranche will be based on satisfactory performance of the AIC as well as fulfilment of the financial requirements by the SPV/AIC.
- vii. Concerned officials of AIM, NITI Aayog or its authorized representatives will have the right to visit the AIC periodically for ascertaining the progress of work and resolving any difficulties that might be encountered in the course of implementation.

#### 4.15 Other Obligations

- i. By accepting this grant-in-aid, the AIC becomes a part of the AIM program network and will collaborate with and support AIM, NITI Aayog on their various initiatives and programs relating to innovation, incubation and entrepreneurship. These initiatives may include (but not limited to) the Atal Tinkering Labs, The Atal New India Challenges and other similar initiatives in the area of innovation and startup ecosystem in India and the world. Such initiatives shall be communicated to the AIC from time to time.
- ii. AIM, NITI Aayog is also providing grant-in-aid to institutes for scaling up Established Incubation Centres (EICs), Atal Tinkering Labs (ATLs), ACIC and ANIC programs. The AIC shall be expected to work with one or more EICs that shall be facilitated by AIM, NITI Aayog. The support from EICs may include transfer of knowledge and relevant standard operating procedures, help in building a network, training of the team, introduction to mentors and investors from the EIC network, co-organizing relevant events and / or any other support that the AIC may need from time to time.
- iii. The AIC shall be expected to support the ATLs on aspects such as mentoring of the students, organising exposure visits and interaction sessions with innovators and entrepreneurs, and /or any other support that the ATLs may need from time to time.



- iv. AIM, NITI Aayog through its partners may also extend support to the AIC with tools, equipment, research collaborations and /or partnerships. The AIC should exploit such partnerships, if any are extended by AIM, NITI Aayog. The AIC is expected to attend all the workshops, events, meetings and conferences related to entrepreneurship, innovation, business incubation, training of teams and other relevant topics, which may be organized / facilitated by NITI Aayog from time to time. The AIC shall be intimated in advance about the organization of any such events. Recusal from any such events, if required, should be requested from the AIM, NITI Aayog in writing.
- v. It is expected that the AIC shall become financially self-sustainable by the end of five years' time and no other grant-in-aid is requested from any government agency for its operations. The Applicant should ensure smooth continuation of activities and facilities after the end of the support from AIM, NITI Aayog.
- vi. The main purpose for setting up of the Special Purpose Vehicle (SPV) is to establish Atal Incubation Centre (AIC). The main objectives to be included under the object's clause in the Memorandum of Association in case of the SPV are given as below :

"To set up and implement the Atal Incubation Centre (AIC) in partnership with Atal Innovation Mission, NITI Aayog with an objective of supporting innovative technology-based startup enterprises in India. The AIC shall endeavour to implement the following:

- a. To establish a high-class incubation facility, including but not limited to: (a) suitable physical infrastructure and operating facilities, and (b) affiliations with sectoral experts
- b. To enable a support ecosystem for incubated startups, including but not limited to: mentoring, planning, organizing events, lab facilities, regulatory guidance
- c. To provide preference in support to startups or innovators that have applications / impact in the core sectors of the economy (including but not limited to agriculture, healthcare, clean energy and sustainable technologies, education, housing, transportation, cyber security, IOT, Robotics and AI, water and sanitation)
- d. To encourage innovation in the Indian ecosystem, through activities that include but are not limited to (a) awareness workshops, (b) training and capacity building and (c) mentoring support to early stage startup enterprises
- e. To encourage creation of new technologies and intellectual property
- f. To support and carry out any other activity relevant to promotion and incubation of startups in the country;
- vii. Regardless of any term or objective set out in the relevant Constitutional Documents i.e. Memorandum of Association or Articles of Association, Trust Deed, Charter of Societies or any other relevant document ('Constitutional Documents') of the AIC, it will not undertake or engage in any activity that is in contravention of the Objectives set out above, the AIC guidelines or the relevant Memorandum of Agreement entered into with AIM, NITI Aayog under any circumstances whatsoever. The AIC further understands that the Objectives set out above supersede any other purpose, object, item, section, paragraph, article or any other corresponding line item set out in the applicable Constitutional Documents of the AIC, should there be any conflict between the two. In the event it is unclear to the AIC whether an activity or objective that we are undertaking or contemplating whether to undertake is contradictory to the above Objectives, the AIC guidelines or the relevant Memorandum of Agreement entered into with AIM, NITI Aayog, it will seek AIM's written response/clarification and/or approval (where required) on the same;
- viii. All contributions of the AIC towards meeting the 'Total Project Cost' i.e. the total cost of setting up the AIC as determined in the budget finalized and approved for the AIC by AIM, NITI Aayog, basis which the Grant-in-aid has been awarded, including the matching contribution and the gap (if any) between the Grant-in-aid and the total project cost ('Bridging Cost') will be deposited in the dedicated bank account created for the Grant-in-aid from AIM, NITI Aayog



ix. The AIC will ensure that no notional expenditure (i.e. expenditure that has not been made from the funds in the dedicated bank account created for the Grant-in-aid of AIM, NITI Aayog by the AIC will be considered as its contribution towards the project, including for the avoidance of doubt, the matching contribution and the Bridging Cost (if any) as approved in the budget (basis which the Grant-in-aid has been awarded);

x. The AIC certifies that it has not obtained or applied for grants for the same purpose or activity from any other Ministry or Department of the Government of India or State Government and it will remain in compliance with Rule 230 (1) of the General Financial Rules, 2017 (or the relevant corresponding rule if the General Financial Rules are updated at any point of time during the term);

xi. All interests or other earnings against the Grant-in-aid or advances (other than reimbursement, if applicable) released to the AIC will be mandatorily remitted to the Consolidated Fund of India immediately after finalisation of the accounts (at the end of each financial year). Further, the AIC also affirms, declares and undertakes that such interest earnings or advances will not be adjusted against future grant releases or tranches and it shall ensure its compliance with Rule 230 (8) of the General Financial Rules, 2017 (or the relevant corresponding rule if the General Financial Rules are updated at any point of time during the term);

xii. That without limitation to points (x) and (xi) above, the AIC affirms that it will be in compliance with and not do anything in contravention of the General Financial Rules, 2017 (or the relevant corresponding rules if the General Financial Rules are updated any point during the term). The AIC understands that it is its responsibility to ensure compliance with the General Financial Rules, 2017 (or the relevant corresponding financial rules if the General Financial Rules are updated any point during the term)

#### ARTICLE 5: Assignment

The Applicant shall not assign any part of this MOA to any other person/organization without prior written approval from NITI Aayog.

#### ARTICLE 6: Amendments

No alterations, additions or modification hereto shall be valid and binding unless the same are reduced to writing and signed by all the three parties.

#### ARTICLE 7: Non-Exclusive Discussions

The Applicant and NITI Aayog acknowledge and agree that the discussions in relation to the Areas of Collaboration are being undertaken on a non-exclusive basis and either Party shall be free to enter into or consummate transactions similar to the Areas of Collaboration in India or elsewhere.

#### ARTICLE 8: Sanction and Disbursement of Grant-In-Aid

- i. NITI Aayog shall provide financial support in the form of grant-in-aid to the Applicant in five or more annual tranches on the basis of the budget submitted by the Applicant and approved by AIM, NITI Aayog. In case of government institutions, release of funds in every tranche will be subject to the Applicant contributing the matching contribution in the new bank account of the AIC.
- ii. The amount disbursed in the tranches will depend on the proposed and agreed expenditure as per the budget plan submitted by the Applicant. Release of funds will also be dependent on the progress of the AIC and satisfactory compliance with the financial requirements.



iii. Any unspent balance, out of the Grant-in-Aid disbursed by AIM, NITI Aayog, as well as the interest earned thereof, would have to be returned to the Consolidated Funds of India before raising the request for the subsequent tranche.

iv. After six years from the date of the release of first instalment, any unspent balance out of the Grant-in-Aid received from AIM, NITI Aayog including the interest earned thereon should be refunded to NITI Aayog, Government of India within 30 days by means of an Account's Payee Demand Draft drawn in favour of Drawing and Disbursing Officer, NITI Aayog, payable at New Delhi.

vi. In case of sector specific AICs, the support for capital equipment for the use by incubatees will be taken into account at the time of release of funds by AIM, NITI Aayog in the first tranche of the grant-in-aid. In case of sector agnostic AICs addressing multiple sectors, it will be considered after 5 incubatee companies are in place or after the AIC has completed at least one year of operation. A provision of annual maintenance of the equipment may be built in the annual recurring costs after the expiry of warranty period of the equipment.

vi. Administrative expenses such as board meeting, annual meeting charges, auditing charges, seed money for the bank accounts, and other similar startup expenses are not allowed from the grant-in-aid.

vii. If the AIC is hosted within the campus/premises of an academic institute or in the buildings owned by the Applicant, then the rental value of the said premises shall not be considered as Applicant contribution and the same shall not be allowed as a part of the administrative costs.

viii. Seed-fund, if any, provided under this sanction, is intended to create a pool of funds to achieve two objectives: (a) enable the AIC to buy equity in incubatee companies to create a self-sustaining fund that would help them to sustain after the AIM grants reach an end; (b) make growth funding easily accessible to incubated companies. The Seed Support grant can only be disbursed after completion of one year of operations of the AIC subject to the condition that AIC has adequate number of Startups which are ripe for seed fund support. Principles of seed funding support system are given at Annexure A to this document.

#### ARTICLE 9: Utilization of the Grant -In-Aid

i. The grant-in-aid towards the Personnel Expenses would be used only for engaging new team members for the AIC and not towards the salaries/fees/remuneration of the existing team strength of the Applicant (as on the date of receiving the sanction of grant-in-aid from NITI Aayog).

ii. The Grant in Aid funds shall not be utilized towards the funding international travel by the AIC team or the supported startups or any other person(s).

iii. Any funds that the Applicant has sought for outsourcing services such as training of the Incubation Centre team, training of entrepreneurs, design and implementation of the AIC, selection of incubatee companies, best practices, or any other services for which any payment are to be made to an external agency/third party (national or international), then the Applicant needs to obtain prior written approval from AIM, NITI Aayog. The Applicant will be free to avail such services out of their own funding and the grant-in-aid from NITI Aayog should not be used for this purpose.

iv. Utilization of Seed Funding Component

a. The amount of the grant-in-aid towards providing seed funding support to start-ups can be utilised only after the AIC raises a matching amount through non-government sources (non-government sources exclude central, state and local governments).

b. The Applicant is expected to maintain a separate bank account for seed support grant funds including the funds raised through non- government sources. Any funds invested in an incubatee startup should have an equal proportion of the grant-in-aid and the matching funds raised through other sources.



V. The total cost of the project, the contribution of the applicant as Matching Contribution and / or Bridging Cost and the contribution of AIM, NITI Aayog as Grant-in-Aid, will be according to the budget submitted as Annexure B of this document.

vi. The approved goals and deliverables of the AIC are enclosed in Annexure C respectively

#### ARTICLE 10: Maintenance and Submission of Financial Statements for Audit

- i. The Applicant shall maintain separate books of accounts for the grant- in-aid funds received from NITI Aayog, if the AIC is not being implemented through the SPV. The grant-in-aid funds shall be kept in an interest-bearing bank account and the interest earned should be returned to Consolidated Funds of India at the end of each financial year.
- ii. The Applicant will be required to submit audited statement of accounts and the Utilization Certificates (UCs) of the grant (i) every six months from the time of receiving the grant, (ii) at the end of each financial year (iii) as well as at the time of seeking further instalments of the grant, if any. The Applicant will also be required to submit a quarterly progress report to NITI Aayog. The proforma of the UC is attached as Annexure II of the guidelines.
- iii. AIM, NITI Aayog will have the ongoing right to get a financial audit done for the / Applicant, if required, as frequently as it considers suitable.
- iv. The CAG, at its discretion, shall have the right to access the books of account for the grant received from the Government.

#### ARTICLE 11: Termination

- 11.1 NITI Aayog reserves the right to terminate the MOA at any stage, if it is convinced that the grant-in-aid is not being utilized properly or that appropriate progress is not being made. In such a situation, the Applicant / SPV shall refund all unspent grant-in-aid amount to AIM, NITI Aayog. NITI Aayog shall also withdraw the privilege of the AIC to mention "Supported by Atal Innovation Mission, NITI Aayog" in all its communication and branding material.
- 11.2 If this MoA is terminated by AIM under the provisions of Clause 4.13.7 or if at any time during the Term of this MoA the AIC is found to have perpetuated any misappropriation of funds or acted with wilful misconduct, then the AIC shall refund all the grant in aid received by it without any deductions including for the avoidance of doubt any utilized amounts from the grant in aid, and shall also return the interest amount it has earned from the grant in aid received. Further, AIM, NITI Aayog shall also withdraw the privilege of the AIC to mention "Supported by Atal Innovation Mission, NITI Aayog" in all its communication and branding material.
- 11.3 The AIC ("Indemnifying Party") will indemnify, keep indemnified and hold AIM and NITI Aayog ("Indemnified Parties") and each of the Indemnified Parties' senior officials, officers, employees, agents and representatives harmless from and against all losses, liabilities, claims, damages, costs and expenses, and interest chargeable thereon, including reasonable legal fees and disbursements incurred or suffered by the Indemnified Party or Indemnified Parties either jointly or severally as the case may be, and each of its/their directors, officers, employees, agents and representatives in any manner relating to (i) breach of any representation or warranty of the Indemnifying Party set forth in this Agreement; and (ii) breach of the obligations and/or covenants of Indemnifying Party under this Agreement.



## ARTICLE 12: Dispute Settlement

### 12.1 Governing Law and Jurisdiction

This MOA shall be governed by and construed in accordance with the laws of Republic of India. All disputes and differences arising out of or in connection with this MOA shall be at the first instance referred to arbitration by three (3) arbitrators, jointly appointed by Parties. The decision and award determined by such arbitration will be final and binding upon the Parties. The arbitration will be conducted in accordance with the Arbitration and Conciliation Act, 1996, as may be in force from time to time. The arbitration proceedings will be conducted in English and the seat of arbitration will be New Delhi.

### 12.2 Notices

All communications hereunder shall be in writing and shall be deemed given if delivered personally or mailed by registered or certified mail (return receipt requested) to the Parties at the address specified below:

If to (Name of the Applicant)

Attention of:

Address:

Phone:

Email:

If to the NITI AAYOG:

Attention of: Mission Director, Atal Innovation Mission Address: NITI AAYOG, Sansad Marg, 110001

Phone: +911123042337

Email: r.ramanan@gov.in

For and on behalf of:

The Applicant By Print Name: Title: Date: Place:	The NITI Aayog By Print Name: Title: Date: Place:
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### Annexure A: Mandatory Guidelines for Managing the Seed Support part of the Grant- in-Aid

- The Seed Support grant for SPV/AICs can only be disbursed after completion of one year of operations.
- The grant-in-aid can be utilized for seed support for incubatee startups up to a maximum of Rs. One Crore
- The Seed Support would be managed by the SPV/AIC team, and not delegated or assigned to any external agency. The SPV/AIC may invite external advisors/mentors/investors to advise it on the management of the fund.
- The Seed Support is given as a grant to the SPV/AIC, and the same will be disbursed only to the deserving incubatees as debt, equity, or a combination of both.
- The upper limit of seed support to an incubatee start-up through the grant-in-aid by the AIC will be Rs.12.5 lakhs.
- The SPV/AIC is required to raise co-investment amount for the seed support through non-government sources (Non- government sources exclude central, state and local governments.) matching the grant-in-aid and applicant's contribution for seed support.
- The working for the co-investment amount needed to be raised is illustrated below:

AIM Grant-in-Aid for Seed support (A) INR Crs	Applicant's contribution for Seed support (that is included in the approved budget) (B) INR Crs	Total seed fund pool (C=A+B) INR Crs	Co-investment needed to be raised from non-government sources (D=C) INR Crs	Total investments in the startups (E=C+D) INR Crs
1	0	1	1	2
1	1	2	2	4

- The co-investment from seed support that is raised by the SPV/AIC from non- government sources needs to be equal or more than the investment from the AIC's seed fund account
- The SPV is required to maintain a separate bank account and books of accounts for seed support including the matching funds raised through non-government sources.
- The SPV/AIC and its investee/incubatee companies will indemnify, defend and hold harmless AIM, NITI Aayog from and against, and in respect to, any and all losses, expenses, costs, obligations, liabilities and damages, including interest, penalties and attorney's fees and expenses, that may accrue to AIM, NITI Aayog as a result of any negligent or wilful acts or omissions of the SPV/AIC and/or its investee / incubatee companies.



### Indicative Guidelines for Managing the Seed Support Funds from the Grant-in-Aid Management of the Seed Support

- This seed support would be used by AIC-incubated enterprises only, and would not be used by the AIC for facility creation.
- It is expected that the Seed Support would be managed by the SPV/AIC staff members, so as to build incubation and investment capacity within the team.
- The Seed Support is given as a grant to the SPV, and the AIC will disburse it to the deserving incubatees as debt, convertible debt, equity, or a combination thereof. It is expected that the SPV/AIC would manage the Seed Support component of the grant so as to make it a sustainable, revolving pool, run according to sound investment principles. The SPV/AIC should manage investments so as to gain profitable exits that help to keep the seed support pool of resources sustainable.
- The Seed Support would be disbursed to incubatees (physical or virtual incubatees within the AIC), which are registered units only on the recommendation of the Seed Support Investment Committee constituted by the SPV/AIC.
- The SPV/AIC should examine all cases of seed support and summarize in an investment memo before putting the matter up to the Seed Support Investment Committee for selection. After the seed support is recommended to an incubatee, the terms of agreement with the incubatee start up should be framed keeping in mind sound business and investment principles, including by linking progress with specific milestones, monitoring norms, and reasonable repayment and recovery provisions.
- The seed support would be disbursed to the deserving incubatees with proper due diligence by the SPV/AIC. It is necessary to ensure that there exist a proper, legally- vetted agreement between the incubatee and the SPV/AIC. This agreement should detail all the conditions and contingencies relating to the performance of the company. Terms regarding default in repayment must be defined clearly in the agreement.
- The seed support would generally cater to early stage financing for commercialization of core sector innovations and technologies. (Core sector here is defined as infrastructure and service delivery sectors, such as agriculture, housing, health, energy, water and sanitation, hygiene and waste management, education, health, or environmental protection).
- The seed support grant should be utilized fully by the SPV/AIC within a period of three years from the date of receipt of the first instalment of funds under the grant-in-aid for seed support. In case the SPV/AIC is not able fully utilize the seed support part of the grant within a period of three years, the AIC is required to intimate AIM, NITI Aayog and request for permission to extend the duration of the funds.

### Eligibility Conditions for Incubatee Start Ups for seed support

- Incubatee should be a registered company with a minimum of three months affiliation with the AIC.
- The investee company has to be an India-registered enterprise. This support is not meant for Indian Subsidiaries of MNCs/foreign companies. Persons holding Overseas Citizens of India (OCI), Persons of Indian Origin (PIO) status would be considered as Indian citizens for the purpose of this

scheme. The shareholding of Indian Promoter / Host Institutions in the incubate startup should be at least 51%.

- It is expected that SPV/AIC would make special efforts to discover and support enterprises that deploy technologies or business models to help solve India's infrastructure, public service delivery, or socio-economic challenges.
- Incubatee startups requiring seed support predominantly for capital equipment should not be encouraged. The start-ups would be supported primarily on the following grounds for the seed support
  - Prototyping and Product development
  - Testing and Trials
  - Test Marketing
  - Mentoring
  - Professional Consultancy (To attract professors/experts from institutions to work with start-ups.)
  - IPR issues
  - Manpower for day to day operations
  - Any other area as deemed necessary and recommended by the Seed Support Investment Committee of AIC

#### Quantum of Seed Support

- It is expected that the seed support of up to a maximum of Rs.1.00 Crore, with a matching amount raised through non-government sources would be judiciously dispersed amongst the deserving incubatee start-ups.
- No startup will receive the seed support more than once.
- The upper limit of seed support to a start-up is Rs.12.5 lakhs. In case an AIC would like to increase the investment limit per incubatee of INR 12.5 lakhs, it should seek a written approval from AIM regarding the same. The AIM team will evaluate such requests on a case by case basis depending upon the rationale behind such deviation. Any such exception or waiver would be provided at the sole discretion of the AIM, NITI Aayog. Any prior or standing exception would not constitute a precedent, and every case for request of waiver will be considered on its own merits.

#### Mechanism of Selection, Disbursement, Governance and Fund Management of the Seed Support

- The SPV/AIC would constitute a committee called the Seed Support Investment Committee (SSIC) whose members would be experts who can evaluate the prospective incubatees under physical or virtual incubation requiring seed support. The SPV/AIC CEO would constitute the SSIC, in consultation with the AIM, NITI Aayog to incorporate AIC staff and external experts in the relevant fields. AIM reserves the right to nominate a member to the SSIC.
- Any non-government investor who contributes towards the matching seed fund may be encouraged to be a part of the SSIC.
- The SPV/AIC CEO would be responsible for its proper disbursement and management of the seed support.
- The SPV would take measures to enhance the capabilities and skill set of the AIC team to manage the seed fund. The investments would be done keeping sound business principles in mind.



- The SPV would compile the investment decisions made by its SSIC annually and share an analytical report with the AIM, NITI Aayog at the end of each fiscal year, along with the UC.
- The CEO of the SPV/AIC will keep AIM, NITI Aayog duly informed about the meetings and the investment decisions of the Investment Committee along with the rationale for taking such decisions.
- The SPV/AIC would have milestone based disbursement schedules of the Seed Support to the incubatees as defined in the agreement and the release of funds should be in 2-3 tranches. In case the incubatee company is unable to achieve the prescribed milestones, the future releases may be stopped and any unspent balances may be recovered from the incubatee company.

#### Repayment of Seed Support

- To the extent possible, the equity model for seed support should be encouraged. The SPV/AIC team should be well conversed with the equity model and adequate efforts should be made to train the team on the equity model. However, if the seed support is sanctioned through a convertible debt instrument or a soft loan, then efforts should be focused towards getting the repayment of the entire seed support money by the incubatee company within 5 years. In exceptional cases, the Seed Support Investment Committee would be empowered to relax schedules of repayment on a case-to-case basis for convincing and justifiable reasons, and these relaxations should be reported to the AIM, NITI Aayog.
- In case of imminent or declared default by an investee company of the Seed Support, the SPV/AIC CEO will make his/her best efforts to recover the investment, as per the prevailing business practices. The recovered assets shall be added to the seed support pool.
- The cases of default must be reported to the Seed Support Investment Committee. Such default cases must also be reported to AIM, NITI Aayog while submitting the Annual Report on seed support.

#### Accounting and Utilization of Seed Support Grant from AIM, NITI Aayog

- A separate bank account has to be opened for the seed support. The total seed support from AIM, NITI Aayog will be released in subsequent instalments based on predefined milestones achieved. SPV/AIC would be required to submit a detailed report on the status of utilization of grants along with the Utilization Certificate and Statement of Audited accounts for each F.Y. The SPV/AIC should report the seed support sanctioned and disbursed against each incubatee start up in the statement of audited accounts for the period (April 1 to March 31 of each F.Y) under report.
- Book of accounts for the disbursement of grant and for the seed support repayments may be kept separately. Interest on the unutilized seed support grant received from AIM, NITI Aayog must be reported in the Utilization Certificate (UC). The amount collected against repayments may be utilized as seed support for the next round of incubatees and not for any other activity of the SPV/AIC, except for the condition described in the para on Management Fees.

- Interest earned by the SPV/AIC on the seed support funds should be mentioned separately in the UC, which would be adjusted against the subsequent releases to be made out of the total sanctioned grant of seed support.

#### **Management Fees for the Seed Support**

AIM, NITI Aayog proposes to motivate and encourage SPV/AIC who show growth of the seed support fund through the inflow from the loan repayment/ royalty /realization of equity stake for funding future proposals. It is therefore proposed to give an incentive of 15% on the surplus generated at the end of each year, which could be retained by SPV/AIC for its incubation- related activities.

#### **Settlement of the Seed Fund in case of Closure or Discontinuation of SPV/AIC**

In case of closure /discontinuation of the AIC, the total unutilized seed support amount available with the SPV/AIC at the time of closure has to be refunded to AIM, NITI Aayog along with the total repayments received from the seed supported incubatees before closure of the SPV/AIC. Efforts will be made to recover the investments made by the SPV/AIC through the Seed support component before the dissolution of the SPV/AIC. The SPV/AIC CEO will make good faith efforts to hand over the portfolio to another Atal Incubation Centre (AIC), or to any other government agency, in consultation with AIM, NITI Aayog, before leaving the job.





[illegible]



Total Project Cost (A+B)		C. Projected Income							
1	Grant proposed from AIM								
2	Contribution from Applicant								
3	Any other Grants from Governments / Other Sources (if any, add rows for every grant)								
4	Contribution from Collaborators / Partners								
5	Projected Revenues								
6	Any Source of Income								
7	(Add rows if required)								
	Total Projected Income C.								
D.	Projected Surplus / Deficit (if any)								

Targets (Please note all targets are non-cumulative)	Year 1				Year 2				Year 3				Year 4				Year 5				Total
Quarterly Goals	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	
Number of startups that will be incubated physically																					
Number of startups that will be incubated virtually																					
Number of startup accelerators programs proposed																					
Number of events proposed																					
Number of trainings proposed																					
Number of mentors proposed																					
Number of startups that have raised funds from Non-Govt Sources																					
Cumulative amount of funding raised by startups (not including AIM Grant)																					



ANNEXURE IV - BOND (NO SPV)Format of the Bond to be signed with the applicantBOND FORM

(Applicable to AICs that are not set up by the Government)

(Bond to be executed in favour of NITI Aayog on non-judicial stamp paper of at least Rs. 100 for receiving the Grant-in-aid)

Know all persons by these present that we the .....  
 ..... (Name of the Grantee) and having its office at  
 ..... vide Registration Number  
 ..... dated ..... in the State of  
 ..... (hereinafter called the "Obligator") and M/s.  
 ..... having its office at  
 ..... vide Registration Number  
 ..... dated ..... in the State of  
 ..... (Hereinafter called the "Surety") are held and firmly bound to the  
 President of India (herein after called the "Government"), in the sum of Rs.  
 ..... only  
 (Rupees in words ..... )  
 well and truly to be paid to the President on demand and without demur, for which payment we  
 bind ourselves and our successors and assigns by these presents. The term, Obligator or Surety,  
 unless repugnant to the context, shall mean and include the respective agents, assigns, heirs,  
 successors etc.

2. SIGNED this ..... day of ..... in the year .....

3. WHEREAS on obligator's request the Government has as per Atal Innovation Mission (AIM)  
 Letter No. .... dated ..... and hereinafter referred to as  
 the "Sanction Letter", agreed to make in favour of the Obligator for the purpose of setting up  
 Atal ..... Incubation Centre ..... at  
 ..... a grant  
 of ..... Rs. .... (Rupees  
 .....), the Obligator has agreed to  
 execute this bond in advance, in favour of Atal Innovation Mission, NITI Aayog for the entire  
 amount of Rs. .... as requested in the application sent to the  
 Government. The Obligator is willing to accept the proposed amount, or any other amount  
 approved/ sanctioned by the Government. The Obligator is willingly executing this bond of the  
 proposed amount with the stipulation that the Obligator and the Surety will be bound up to this  
 amount or by the actual amount approved/sanctioned by the Government. The Obligator is also

willing to accept all terms and conditions mentioned in the Sanction Letter to be issued by the Government.

4. Now in consideration of the aforesaid Sanction Letter, the Obligator herein binds itself and undertakes to comply with the conditions of the Sanction Letter referred to herein and if the Obligator shall duly fulfil and comply with all its conditions mentioned in the Sanction Letter mentioning the grant then this bond or Obligator's obligation therein shall be void and of no effect, but otherwise it shall remain in full force, effect and virtue, and the Government shall be at liberty to enforce this bond against the Obligator, as it may deem fit and on its option. These presents further witness that:

a. The decision of the CEO, NITI Aayog, Govt. of India or the Mission Director of the Atal Innovation Mission, NITI Aayog, Govt. of India, administratively concerned with the matter, on the question whether there has been breach or violation on the part of the Obligator or any of the terms and conditions mentioned in the Sanction Letter, shall be final and binding on the Obligator.

b. Further, if the Obligator fails to pay or perform the tasks or duties as agreed between both the parties in the MOA or its liability under this Bond, then it shall be the liability of the Surety to refund to the Government the entire amount as mentioned in this bond.

The liability of the Surety here under shall not be impaired or discharged by reason of time being granted by the Government or any forbearance, act or omission by or on the part of the Government whether with or without the knowledge or consent of the Surety in respect or in relation to the obligation or conditions to be performed or discharged in the obligation or by reason of the matter or thing whatsoever, which under the law relating to the Surety shall but for this provision have the effect of so releasing the Surety from such liability, nor shall it be necessary for the Government, to pursue the Obligator before using the Surety or either of them to the amount due here under.

c. The Obligator herein agrees and undertakes to surrender / pay to Government the monetary value of all such pecuniary or other benefits which it may receive or derive / have received or derived through / upon unauthorized use of the Grant for purpose other than that of which the Grant was intended or the assets, purchased largely from out of "Government Grants". The decision of the CEO, NITI Aayog or the Mission Director, Atal Innovation Mission, NITI Aayog, Govt. of India, as regards the monetary value of to be surrendered /paid to the Government will be final and binding on Obligator.

d. The Obligator or the Surety shall, in the event of breach or violation of the terms and conditions mentioned in the Sanction Letter, refund to the Government on demand and without demur the entire amount of Rs. .... (Rupees

.....) or such part thereof as may be mentioned in the Notice Demand issued by the Government along with the interest thereon at the rate of 11.50% compounded annually (which would be adjusted as per the Government of India notification issued from time to time) from the date of receipt of the said amount by the Obligator



up to the date of refund thereof to the Government by means of an Account's Payee Demand Draft drawn in favour of Drawing and Disbursing Officer, NITI Aayog, payable at New Delhi.

e. The Obligator and Surety confirm that they have understood the scheme of grant of sanction and they have executed this bond voluntarily and out of their free will.

f. The Government of India has agreed to bear the stamp duty, if any, chargeable on these presents.

5. In witness thereof these presents have been executed on behalf of the Obligator and the Surety the day and year here in above written and accepted for .....  
..... (Name and Designation) on the day and year  
appearing against his signature.

Signed for and on behalf of the Obligator (..... Name of the AIM Grantee)

(Name and Designation of the Signatory)  
(With date and Stamp / Seal)

Signed for and on behalf of the Surety (..... Name of the Surety) with  
copy of Registration Certificate and PAN

(Name and Designation of the Signatory)  
(With date and Stamp / Seal)

In the presence of:

1.....

(Signature)

(Name & Address of witness)

Aadhar Card No/PAN No..... (attach copy)

2.....

(Signature)

(Name & Address of witness)

Aadhar Card No/PAN No..... (attach copy)

Accepted for and on behalf of the President of India

**ANNEXURE V - MEMORANDUM OF AGREEMENT (WITH SPV)**

**Format of the MoA to be signed with the applicant (SPV in place), in case of selection of the applicant.**

**Memorandum of Agreement**

This MEMORANDUM OF AGREEMENT ("MoA") is entered on this ..... day of ..... (Month) 20XX by and between:

- i. .... (Name of the Applicant), established and existing under the laws of India with its registered address at ..... (hereinafter referred to as "the Applicant") together with ..... (Name of the SPV) (hereinafter referred to as "the SPV"), established as per the Companies Act with its registered office at ..... (hereinafter referred to as the first parties) for setting up and operation of the Atal Incubation Centre (AIC).

AND

- ii. The think tank of Government of India, NITI Aayog (hereinafter referred to as "NITI AAYOG", Sansad Marg, New Delhi – 110001 (hereinafter referred to as the second party)

WHEREAS NITI Aayog, Government of India under the Atal Innovation Mission (hereinafter referred to as AIM), has taken up an initiative to provide financial support to selected institutions for establishment of Atal Incubation Centres in India to support innovators and start-up businesses in their pursuit to become successful entrepreneurs / enterprises.

WHEREAS the Applicant has been selected by AIM, NITI Aayog for establishing the Atal Incubation Centre through a rigorous selection process, and the Promoter / Host Institution shall contribute towards the setting up of the Atal Incubation Centre, in kind and in cash, matching the support provided by NITI Aayog.

- iii. The Applicant has setup the SPV for establishment of the Atal Incubation Centre (AIC) as per the conditions set out by NITI Aayog for this purpose. The Promoter/Host Institution jointly with the SPV and NITI Aayog, Government of India have decided to enter into this MoA setting out the working arrangement, that each party agrees, is necessary for achieving the objectives of this initiative of Government of India, as under:

**ARTICLE 1: Background and Purpose**

**1.1 Background of Atal Innovation Mission**



The Government of India has established the Atal Innovation Mission (AIM), at NITI Aayog to promote a culture of innovation and entrepreneurship in the country. The mission subsumes the Self-Employment and Talent Utilization (SETU) programme announced by the Government. The objective is to provide a platform for promotion of world-class Innovation Hubs, Grand Innovation Challenges, Start-up businesses and other self-employment activities, particularly in technology driven areas. The Atal Innovation Mission has two core functions:

- a. **Entrepreneurship promotion:** Wherein innovators would be supported and mentored to become successful entrepreneurs at Incubation Centres and Atal Tinkering Laboratories.
- b. **Innovation promotion:** to provide a platform where innovative ideas are generated and supported to develop innovative technological solutions.

### 1.2 Setting up of Atal Incubation Centres (AIC)

With a view to promote entrepreneurship and innovation in the country, NITI Aayog has taken up an initiative under Atal Innovation Mission (AIM), to establish Atal Incubation Centres. As a part of this initiative, NITI Aayog will provide financial support to selected academic and non-academic institutes and organizations to set up the Atal Incubation Centre (AIC) to support and encourage start-ups in specific subjects / sectors such as manufacturing, transport, energy, health, education, agriculture, water and sanitation etc. and would provide them with necessary infrastructure facilities and other value-added services.

### 1.3 Background of the Applicant

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### 1.4 Background of the SPV

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### 1.5 Purpose of the Grant-in-Aid

AIM, NITI Aayog shall provide the Grant-in-Aid to the SPV to set up the AIC that would provide high class incubation facilities with suitable infrastructure in terms of capital equipment and operating facilities, coupled with the availability of sectoral experts for high quality mentoring to the start-ups in their early stages of growth.

The AIC set up by the SPV should have incubation facilities such as competent team members who understand the incubation and startup ecosystem and have the ability to successfully guide the incubatee startups; infrastructure such as incubation space, meeting rooms, conferencing space and facilities; tech support such as sector specific labs and workshops that have tools and equipment;

seed funding support; other support services such as IPR, regulatory, legal, market research, etc.; and so on. The AIC should also conduct outreach initiatives, build a network of mentors, subject matter experts and investors, devise training programs and/or other incubation related events, and build the entrepreneurship ecosystem for incubatee startups.

## **ARTICLE 2: Areas of Collaboration**

The Applicant together with the SPV and AIM, NITI Aayog are collaborating to set up the AIC with the objective of supporting a large number of innovative technology based startups that have an application and impact in core sectors such as agriculture, biotechnology, health, education, energy, manufacturing, housing, transport, etc.

## **ARTICLE 3: Duration**

This MoA shall be valid initially for a period of 6 years from the date of signing by all the parties.

## **ARTICLE 4: TERMS Responsibilities of the Applicant**

The Applicant shall be responsible for the following:

- 4.1 The Applicant shall be responsible for setting up a Special Purpose Vehicle (SPV) for the purpose of establishing the Atal Incubation Centre (AIC)
- 4.2 The Applicant shall be responsible for proper utilization of the funds provided by NITI Aayog for establishment of the AIC to support and encourage start-ups as well as provide them with necessary infrastructure facilities and other value-added services.
- 4.3 Provision of at least 5,000 sq. ft. of built up spaces (including land and building), in case a lab is not established and 10,000 sq. ft. of built up space (including land and building) to set up the AIC, in case a lab is established.
- 4.4 In case of renting of the required space for AIC, the lease period should be for a minimum of 10 years with the requisite lease deed registered as per law
- 4.5 The Applicant will ensure appointment of a dedicated full time CEO with the necessary domain and management expertise and other core team/supporting staff for successful operations of the AIC within 30 days of the date of release of the first tranche.
- 4.6 The Applicant will have full freedom to decide the compensation of the CEO as well as the management team.
- 4.7 It will be the responsibility of the Applicant to bridge the gap between the project cost and the Grant-in-aid from AIM, NITI Aayog to ensure that all the facilities as per the scope envisaged, are established in the AIC to make it fully functional.
- 4.8 The Applicant will provide proof of financial closure for the project cost to AIM, NITI Aayog within three calendar months of receiving the intimation of short- listing.
- 4.9 The Applicant will provide proof of availability of matching contribution equivalent to the tranche in question, in the new bank account of the SPV set up for the operations of the AIC.
- 4.10 All funds to the Applicant by NITI Aayog shall be utilised only for the purposes of setting up and operating the AIC and will not be allowed to be diverted for any other purpose.



4.11 The Applicant shall carry out all the activities of the AIC in conformance with the laws of the land in an ethical manner with all the regulatory and statutory requirements being adhered to.

#### 4.12 Maintenance of Assets of the AIC

4.12.1 The SPV is expected to undertake reasonable care and due maintenance of the assets of AIC (both from financial support from NITI Aayog and the counterpart support by the Applicant).

4.12.2 The SPV should adequately insure these assets against any loss or damage caused due to accidents, terrorist attacks or natural calamities, to the extent possible. If possible, the assets should be reinstated through insurance.

4.12.3 All the assets of the AIC from the Grant-in-Aid, the Applicant and/or other sources of funds if any, including those maintained and promoted from the grant shall be installed in the premises of the AIC and not in any other department/division of the Applicant.

4.12.4 All the assets acquired or created for the purpose of AIC including the land and building brought in by the Applicant shall not be allowed to be disposed of or encumbered or utilized for the purpose other than that of AIC without the prior written permission of AIM, NITI Aayog. AIM,

NITI Aayog reserves the right to terminate future grants and recover the assets created for AIC, if it is convinced that the SPV is not utilizing the assets for the objectives of AIC.

#### 4.13. AIC's Operational Responsibilities

4.13.1. It is suggested that the AIC should be administered by a Governing Body/ Board chaired by the Head of the Applicant. The Governing Body of the AIC may meet quarterly to review progress of AIC and provide policy guidelines for the operations of the AIC. The Applicant should ensure that the operations of the AIC are in line with the sanctioned proposal and activities are tailored to attain projected milestones (to be submitted by the Applicant before the release of the first tranche). The Governing Body should ideally provide adequate autonomy and flexibility to the Chief Executive Officer (CEO) of the AIC for making speedy & transparent decisions.

4.13.2. The SPV shall identify and appoint adequate number of team members (technical) for the day to day operations and management of the AIC. The team should include a full time CEO and other members who have the domain knowledge and the expertise required for supporting the startups through the grants- in-aid provided by NITI Aayog. The suggested team to incubatee company's ratio is 1:5, which needs to be put in place progressively.

4.13.3. The SPV will ensure development of domain and management expertise of its core team/supporting staff through training/re-training, starting within six months from the date of release of the grant-in-aid.

4.13.4. The Manpower employed by the SPV for the AIC will be the liability of the Applicant or the SPV and NITI Aayog will not have any liability towards them.

4.13.5. The SPV will develop the physical space for the AIC including but not limited to co-working space for the incubatee companies, sector specific laboratories, other relevant tools and equipment, meeting rooms, conferencing facilities, etc.

4.13.6. The SPV shall open two separate bank accounts – one for the exclusive operations of the AIC and other for the seed fund component of the Grant- in-Aid.

4.13.7. Within six months of receiving the grant, the AIC should be fully functional and operational. This shall include:



- CEO of the AIC and other technical team who can provide business mentoring support to incubatees, should be in place and stabilised
  - The labs, if any, should be set up with the technical team required to operate the lab, hired
  - The 5000 sq. ft. space (in case no lab is required) and 10,000 sq. ft (in case lab is established) should be furnished and fully functional (ready to use).
  - Proper branding of the AIC should be done (name board near the entrance)
  - The incubation program must be in place (i.e. the package that will be offered to incubatees describing the value-add to incubatees, duration, milestones for graduation, engagement model etc.)
  - The AIC should have already conducted at least two promotional / outreach events
  - The AIC must have rolled out its call for applications for admitting incubatees and must have enrolled incubatees
  - AIM retains the unfettered right to require the AIC to ensure the above in total or any part thereof is fully operational to AIM's satisfaction, no later than 6 months from receiving the grant. If for any reason whatsoever, the above responsibilities of the AIC are not completed, it will be considered a material breach and AIM may, by giving 60 days' notice for rectification of the material breach, terminate this MoA if said material breach is not rectified within the aforementioned 60 days. Upon termination, the AIC will be required to return the entire grant amount without any deductions whatsoever including for the avoidance of doubt any utilized amounts of the grant in aid, and including the interest amount earned by the AIC from the grant.
- 4.13.8. The SPV will evolve a transparent system for selection of incubatees in line with the thematic area of specialization chosen. The incubatees would be admitted fulfilling the admission criteria and the AIC should execute appropriate incubation agreement with incubatees. The residency period and the exit policy may also be defined clearly in the agreement.
- 4.13.9. The SPV will provide the context-appropriate assistance and handholding to startups to help them become sustainable and scalable enterprises, including but not limited to, business and strategy advice; facilitating access to relevant laboratories and maker's spaces; legal, accounting and intellectual property services and/or support; networking with mentors, vendors, and investors; national and international linkages, etc.
- 4.13.10. The amount of the Grant-in-Aid towards providing seed funding support to start-ups can be utilised only after the AIC raises a matching amount of co-investment through non- government sources (non-government sources exclude central, state and local governments). It is to be noted that this co-investment is over and above any contribution of the applicant in the seed fund component of the total project cost. Detailed guidelines about the seed support funding are enclosed below (Annexure A of the MoA). The AIC shall support the start-ups to raise seed support and other investments.
- 4.13.11. The AIC will adequately promote itself through online and offline channels. The AIC shall have a website which should go live within 30 days of the date of release of the first tranche of the grant-in-aid. The website should describe all the facilities and offering that it has for aspiring and recent entrepreneurs. Eventually the incubatees should also be listed on the website.



4.13.12. The AIC is required to mention "Atal Incubation Centre supported by Atal Innovation Mission, NITI Aayog" in all its communication/stationery and branding material, whether online or offline, as well as on the display board at the entry gate of the AIC. The AIC will be required to adhere to the branding guidelines which will be share at a later stage.

4.13.13. In case of any operational disputes or lack of clarity, the decision of the CEO, NITI Aayog shall be final and binding on the Promoter/Host Institution.

#### 4.14. Monitoring responsibilities

- i. AIM, NITI Aayog has put in place a progress update and monitoring framework with key performance requirements for AIC. The AIC shall subscribe itself to the monitoring system and provide the updated information on a monthly basis.
- ii. The monitoring framework captures the Key Performance Indicators (KPIs) of the AIC and the AIC will be obligated to update these KPIs on a monthly basis.
- iii. The AIC will be required to demonstrate the impact it has been able to make through the grant-in-aid. The AIC will be expected to deliver on the implementation plan as submitted by the AIC to NITI Aayog for every tranche of the grant-in-aid.
- iv. The operations and performance of the AIC may be reviewed monthly / quarterly / yearly by AIM, NITI Aayog or by a professional third-party agency appointed by NITI Aayog. The AIC is expected to co-operate fully and provide all the information required for a fair and successful evaluation of the performance of the AIC. The AIC shall be informed about the third party appointed for the purpose and the outcome of evaluation in a timely manner.
- v. In the event the SPV fails to make adequate progress in the establishment of AIC and operations of the AIC, including implementing start-up incubations activities, or adhere to the responsibilities mentioned throughout this MoA, no further grant will be provided and the unspent amount along with interest earned thereon would be required to be refunded within a period of one month from the date of notice issued by NITI Aayog. It is clarified that this is without prejudice to AIM's right to terminate this MoA under the provisions of Clause 4.13.7 above.
- vi. The release of grant for every tranche will be based on satisfactory performance of the AIC as well as fulfilment of the financial requirements by the SPV/AIC.
- vii. Concerned officials of AIM, NITI Aayog or its authorized representatives will have the right to visit the AIC periodically for ascertaining the progress of work and resolving any difficulties that might be encountered in the course of implementation.

#### 4.15 Other Obligations

- i. By accepting this grant-in-aid, the AIC becomes a part of the AIM program network and will collaborate with and support AIM, NITI Aayog on their various initiatives and programs relating to innovation, incubation and entrepreneurship. These initiatives may include (but not limited to) the Atal Tinkering Labs, The Atal New India Challenges and other similar initiatives in the area of innovation and startup ecosystem in India and the world. Such initiatives shall be communicated to the AIC from time to time.
- ii. AIM, NITI Aayog is also providing grant-in-aid to institutes for scaling up Established Incubation Centres (EICs), Atal Tinkering Labs (ATLs), ACIC and ANIC programs. The AIC shall be expected to work with one or more EICs that shall be facilitated by AIM, NITI Aayog. The support from EICs may include transfer of knowledge and relevant standard operating procedures, help in building a network, training of the team, introduction to mentors and investors from the EIC network, co-organizing relevant events and / or any other support that the AIC may need from time to time.



- iii. The AIC shall be expected to support the ATLs on aspects such as mentoring of the students, organising exposure visits and interaction sessions with innovators and entrepreneurs, and /or any other support that the ATLs may need from time to time.
- iv. AIM, NITI Aayog through its partners may also extend support to the AIC with tools, equipment, research collaborations and /or partnerships. The AIC should exploit such partnerships, if any are extended by AIM, NITI Aayog. The AIC is expected to attend all the workshops, events, meetings and conferences related to entrepreneurship, innovation, business incubation, training of teams and other relevant topics, which may be organized / facilitated by NITI Aayog from time to time. The AIC shall be intimated in advance about the organization of any such events. Recusal from any such events, if required, should be requested from the AIM, NITI Aayog in writing.
- v. It is expected that the AIC shall become financially self-sustainable by the end of five years' time and no other grant-in-aid is requested from any government agency for its operations. The Applicant should ensure smooth continuation of activities and facilities after the end of the support from AIM, NITI Aayog.
- vi. The main purpose for setting up of the Special Purpose Vehicle (SPV) is to establish Atal Incubation Centre (AIC). The main objectives to be included under the object's clause in the Memorandum of Association in case of the SPV are given as below :

"To set up and implement the Atal Incubation Centre (AIC) in partnership with Atal Innovation Mission, NITI Aayog with an objective of supporting innovative technology-based startup enterprises in India. The AIC shall endeavour to implement the following:

- a. To establish a high-class incubation facility, including but not limited to: (a) suitable physical infrastructure and operating facilities, and (b) affiliations with sectoral experts
  - b. To enable a support ecosystem for incubated startups, including but not limited to: mentoring, planning, organizing events, lab facilities, regulatory guidance
  - c. To provide preference in support to startups or innovators that have applications / impact in the core sectors of the economy (including but not limited to agriculture, healthcare, clean energy and sustainable technologies, education, housing, transportation, cyber security, IOT, Robotics and AI, water and sanitation)
  - d. To encourage innovation in the Indian ecosystem, through activities that include but are not limited to (a) awareness workshops, (b) training and capacity building and (c) mentoring support to early stage startup enterprises
  - e. To encourage creation of new technologies and intellectual property
  - f. To support and carry out any other activity relevant to promotion and incubation of startups in the country;
- vii. Regardless of any term or objective set out in the relevant Constitutional Documents i.e. Memorandum of Association or Articles of Association, Trust Deed, Charter of Societies or any other relevant document ('Constitutional Documents') of the AIC, it will not undertake or engage in any activity that is in contravention of the Objectives set out above, the AIC guidelines or the relevant Memorandum of Agreement entered into with AIM, NITI Aayog under any circumstances whatsoever. The AIC further understands that the Objectives set out above supersede any other purpose, object, item, section, paragraph, article or any other corresponding line item set out in the applicable Constitutional Documents of the AIC, should there be any conflict between the two. In the event it is unclear to the AIC whether an activity or objective that we are undertaking or contemplating whether to undertake is contradictory to the above Objectives, the AIC guidelines or the relevant Memorandum of Agreement entered into with AIM, NITI Aayog, it will seek AIM's written response/clarification and/or approval (where required) on the same;



viii. All contributions of the AIC towards meeting the 'Total Project Cost' i.e. the total cost of setting up the AIC as determined in the budget finalized and approved for the AIC by AIM, NITI Aayog, basis which the Grant-in-aid has been awarded, including the matching contribution and the gap (if any) between the Grant-in-aid and the total project cost ('Bridging Cost') will be deposited in the dedicated bank account created for the Grant-in-aid from AIM, NITI Aayog

ix. The AIC will ensure that no notional expenditure (i.e. expenditure that has not been made from the funds in the dedicated bank account created for the Grant-in-aid of AIM, NITI Aayog by the AIC will be considered as its contribution towards the project, including for the avoidance of doubt, the matching contribution and the Bridging Cost (if any) as approved in the budget (basis which the Grant-in-aid has been awarded);

x. The AIC certifies that it has not obtained or applied for grants for the same purpose or activity from any other Ministry or Department of the Government of India or State Government and it will remain in compliance with Rule 230 (1) of the General Financial Rules, 2017 (or the relevant corresponding rule if the General Financial Rules are updated at any point of time during the term);

xi. All interests or other earnings against the Grant-in-aid or advances (other than reimbursement, if applicable) released to the AIC will be mandatorily remitted to the Consolidated Fund of India immediately after finalisation of the accounts (at the end of each financial year). Further, the AIC also affirms, declares and undertakes that such interest earnings or advances will not be adjusted against future grant releases or tranches and it shall ensure its compliance with Rule 230 (8) of the General Financial Rules, 2017 (or the relevant corresponding rule if the General Financial Rules are updated at any point of time during the term);

xii. That without limitation to points (x) and (xi) above, the AIC affirms that it will be in compliance with and not do anything in contravention of the General Financial Rules, 2017 (or the relevant corresponding rules if the General Financial Rules are updated any point during the term). The AIC understands that it is its responsibility to ensure compliance with the General Financial Rules, 2017 (or the relevant corresponding financial rules if the General Financial Rules are updated any point during the term)

#### ARTICLE 5: Assignment

The Applicant / SPV shall not assign any part of this MOA to any other person/organization without prior written approval from NITI Aayog.

#### ARTICLE 6: Amendments

No alterations, additions or modification hereto shall be valid and binding unless the same are reduced to writing and signed by all the three parties.

#### ARTICLE 7: Non-Exclusive Discussions

The Applicant, SPV and NITI Aayog acknowledge and agree that the discussions in relation to the Areas of Collaboration are being undertaken on a non-exclusive basis and either Party shall be free to enter into or consummate transactions similar to the Areas of Collaboration in India or elsewhere.

#### ARTICLE 8: Sanction and Disbursement of Grant-In-Aid



- i. NITI Aayog shall provide financial support in the form of grant-in-aid to the SPV in five or more annual tranches on the basis of the budget submitted by the Applicant and approved by AIM, NITI Aayog. In case of government institutions, release of funds in every tranche will be subject to the Applicant contributing the matching contribution in the new bank account of the AIC.
- ii. The amount disbursed in the tranches will depend on the proposed and agreed expenditure as per the budget plan submitted by the Applicant. Release of funds will also be dependent on the progress of the AIC and satisfactory compliance with the financial requirements.
- iii. Any unspent balance, out of the Grant-in-Aid disbursed by AIM, NITI Aayog, as well as the interest earned thereof, would have to be returned to the Consolidated Funds of India before raising the request for the subsequent tranche.
- iv. After six years from the date of the release of first instalment, any unspent balance out of the Grant-in-Aid received from AIM, NITI Aayog including the interest earned thereon should be refunded to NITI Aayog, Government of India within 30 days by means of an Account's Payee Demand Draft drawn in favour of Drawing and Disbursing Officer, NITI Aayog, payable at New Delhi.
- vi. In case of sector specific AICs, the support for capital equipment for the use by incubatees will be taken into account at the time of release of funds by AIM, NITI Aayog in the first tranche of the grant-in-aid. In case of sector agnostic AICs addressing multiple sectors, it will be considered after 5 incubatee companies are in place or after the AIC has completed at least one year of operation. A provision of annual maintenance of the equipment may be built in the annual recurring costs after the expiry of warranty period of the equipment.
- vi. Administrative expenses such as board meeting, annual meeting charges, auditing charges, seed money for the bank accounts, and other similar startup expenses are not allowed from the grant-in-aid.
- vii. If the AIC is hosted within the campus/premises of an academic institute or in the buildings owned by the Applicant, then the rental value of the said premises shall not be considered as Applicant contribution and the same shall not be allowed as a part of the administrative costs.
- viii. Seed-fund, if any, provided under this sanction, is intended to create a pool of funds to achieve two objectives: (a) enable the AIC to buy equity in incubatee companies to create a self-sustaining fund that would help them to sustain after the AIM grants reach an end; (b) make growth funding easily accessible to incubated companies. The Seed Support grant can only be disbursed after completion of one year of operations of the AIC subject to the condition that AIC has adequate number of Startups which are ripe for seed fund support. Principles of seed funding support system are given at Annexure A to this document.

#### ARTICLE 9: Utilization of the Grant –In-Aid

- i. The grant-in-aid towards the Personnel Expenses would be used only for engaging new team members for the AIC and not towards the salaries/fees/remuneration of the existing team strength of the Applicant (as on the date of receiving the sanction of grant-in-aid from NITI Aayog).
- ii. The Grant in Aid funds shall not be utilized towards the funding international travel by the AIC team or the supported startups or any other person(s).
- iii. Any funds that the Applicant / SPV has sought for outsourcing services such as training of the Incubation Centre team, training of entrepreneurs, design and implementation of the AIC, selection of incubatee companies, best practices, or any other services for which any payment are to be made to an external agency/third party (national or international), then the Applicant needs to obtain prior written approval from AIM, NITI Aayog. The Applicant / SPV will be free to avail such services out of their own funding and the grant-in-aid from NITI Aayog should not be used for this purpose.
- iv. Utilization of Seed Funding Component



- c. The amount of the grant-in-aid towards providing seed funding support to start-ups can be utilised only after the AIC raises a matching amount through non-government sources (non-government sources exclude central, state and local governments).
- d. The SPV is expected to maintain a separate bank account for seed support grant funds including the funds raised through non-government sources. Any funds invested in an incubatee startup should have an equal proportion of the grant-in-aid and the matching funds raised through other sources.

V. The total cost of the project, the contribution of the applicant as Matching Contribution and / or Bridging Cost and the contribution of AIM, NITI Aayog as Grant-in-Aid, will be according to the budget submitted as Annexure B of this document.

vi. The approved goals and deliverables of the AIC are enclosed in Annexure C respectively

#### ARTICLE 10: Maintenance and Submission of Financial Statements for Audit

- i. The SPV shall maintain separate books of accounts for the grant-in-aid funds received from NITI Aayog. The grant-in-aid funds shall be kept in an interest-bearing bank account and the interest earned should be returned to Consolidated Funds of India at the end of each financial year.
- ii. The SPV will be required to submit audited statement of accounts and the Utilization Certificates (UCs) of the grant (i) every six months from the time of receiving the grant, (ii) at the end of each financial year (iii) as well as at the time of seeking further instalments of the grant, if any. The Applicant will also be required to submit a quarterly progress report to NITI Aayog. The proforma of the UC is attached as Annexure II of the guidelines.
- iii. AIM, NITI Aayog will have the ongoing right to get a financial audit done for the SPV / Applicant, if required, as frequently as it considers suitable.
- iv. The CAG, at its discretion, shall have the right to access the books of account for the grant received from the Government.

#### ARTICLE 11: Termination

11.1 NITI Aayog reserves the right to terminate the MOA at any stage, if it is convinced that the grant-in-aid is not being utilized properly or that appropriate progress is not being made. In such a situation, the Applicant / SPV shall refund all unspent grant-in-aid amount to AIM, NITI Aayog. NITI Aayog shall also withdraw the privilege of the SPV / AIC to mention "Supported by Atal Innovation Mission, NITI Aayog" in all its communication and branding material.

11.2 If this MoA is terminated by AIM under the provisions of Clause 4.13.7 or if at any time during the Term of this MoA the AIC is found to have perpetuated any misappropriation of funds or acted with wilful misconduct, then the SPV shall refund all the grant in aid received by it without any deductions including for the avoidance of doubt any utilized amounts from the grant in aid, and shall also return the interest amount it has earned from the grant in aid received. Further, AIM, NITI Aayog shall also withdraw the privilege of the AIC to mention "Supported by Atal Innovation Mission, NITI Aayog" in all its communication and branding material.

11.3 The AIC / SPV ("Indemnifying Party") will indemnify, keep indemnified and hold AIM and NITI Aayog ("Indemnified Parties") and each of the Indemnified Parties' senior officials, officers, employees, agents and representatives harmless from and against all losses, liabilities, claims, damages, costs and expenses, and interest chargeable thereon, including reasonable legal fees and disbursements incurred or suffered by the Indemnified Party or Indemnified Parties either jointly or severally as the case may be, and each of its/their directors, officers, employees, agents and representatives in any manner relating to (i) breach of any representation or warranty of the Indemnifying Party set forth in this Agreement; and (ii) breach of the obligations and/or covenants of Indemnifying Party under this Agreement.

## ARTICLE 12: Dispute Settlement

### 12.1 Governing Law and Jurisdiction

This MOA shall be governed by and construed in accordance with the laws of Republic of India. All disputes and differences arising out of or in connection with this MOA shall be at the first instance referred to arbitration by three (3) arbitrators, jointly appointed by Parties. The decision and award determined by such arbitration will be final and binding upon the Parties. The arbitration will be conducted in accordance with the Arbitration and Conciliation Act, 1996, as may be in force from time to time. The arbitration proceedings will be conducted in English and the seat of arbitration will be New Delhi.

### 12.2 Notices

All communications hereunder shall be in writing and shall be deemed given if delivered personally or mailed by registered or certified mail (return receipt requested) to the Parties at the address specified below:

If to (Name of the Applicant)

Attention of:

Address:

Phone:

Email:

If to the NITI AAYOG:

Attention of: Mission Director, Atal Innovation Mission Address: NITI AAYOG, Sansad Marg, 110001

Phone: +911123042337

Email: r.ramanan@gov.in

For and on behalf of:



The Applicant By	The SPV By	The NITI Aayog By
Print Name:	Print Name:	Print Name:
Title:	Title:	Title:
Date:	Date:	Date:
Place:	Place:	Place:

### Annexure A: Mandatory Guidelines for Managing the Seed Support part of the Grant-in-Aid

- The Seed Support grant for SPV/AICs can only be disbursed after completion of one year of operations.
- The grant-in-aid can be utilized for seed support for incubatee startups up to a maximum of Rs. One Crore
- The Seed Support would be managed by the SPV/AIC team, and not delegated or assigned to any external agency. The SPV/AIC may invite external advisors/mentors/investors to advise it on the management of the fund.
- The Seed Support is given as a grant to the SPV/AIC, and the same will be disbursed only to the deserving incubatees as debt, equity, or a combination of both.
- The upper limit of seed support to an incubatee start-up through the grant-in-aid by AIC will be Rs.12.5 lakhs.
- The SPV/AIC is required to raise co-investment amount for the seed support through non-government sources. (Non- government sources exclude central, state and local governments.) matching the grant-in-aid and applicant's contribution for seed support.
- The working for the co-investment amount needed to be raised is illustrated below:

AIM Grant-in-Aid for Seed support (A) INR Crs	Applicant's contribution for Seed support (that is included in the approved budget) (B) INR Crs	Total seed fund pool (C=A+B) INR Crs	Co-investment needed to be raised from non-government sources (D=C) INR Crs	Total investments in the startups (E=C+D) INR Crs
1	0	1	1	2
1	1	2	2	4

- The co-investment from seed support that is raised by the SPV/AIC from non- government sources needs to be equal or more than the investment from the AIC's seed fund account
- The SPV is required to maintain a separate bank account and books of accounts for seed support including the matching funds raised through non-government sources.
- The SPV/AIC and its investee/incubatee companies will indemnify, defend and hold harmless AIM, NITI Aayog from and against, and in respect to, any and all losses, expenses, costs, obligations, liabilities and damages, including interest, penalties and attorney's fees and expenses, that may accrue to AIM, NITI Aayog as a result of any negligent or wilful acts or omissions of the SPV/AIC and/or its investee / incubatee companies.



### Indicative Guidelines for Managing the Seed Support Funds from the Grant-in-Aid Management of the Seed Support

- This seed support would be used by AIC-incubated enterprises only and would not be used by the AIC for facility creation.
- It is expected that the Seed Support would be managed by the SPV/AIC staff members, so as to build incubation and investment capacity within the team.
- The Seed Support is given as a grant to the SPV, and the AIC will disburse it to the deserving incubatees as debt, convertible debt, equity, or a combination thereof. It is expected that the SPV/AIC would manage the Seed Support component of the grant so as to make it a sustainable, revolving pool, run according to sound investment principles. The SPV/AIC should manage investments so as to gain profitable exits that help to keep the seed support pool of resources sustainable.
- The Seed Support would be disbursed to incubatees (physical or virtual incubatees within the AIC), which are registered units only on the recommendation of the Seed Support Investment Committee constituted by the SPV/AIC.
- The SPV/AIC should examine all cases of seed support and summarize in an investment memo before putting the matter up to the Seed Support Investment Committee for selection. After the seed support is recommended to an incubatee, the terms of agreement with the incubatee start up should be framed keeping in mind sound business and investment principles, including by linking progress with specific milestones, monitoring norms, and reasonable repayment and recovery provisions.
- The seed support would be disbursed to the deserving incubatees with proper due diligence by the SPV/AIC. It is necessary to ensure that there exist a proper, legally- vetted agreement between the incubatee and the SPV/AIC. This agreement should detail all the conditions and contingencies relating to the performance of the company. Terms regarding default in repayment must be defined clearly in the agreement.
- The seed support would generally cater to early stage financing for commercialization of core sector innovations and technologies. (Core sector here is defined as infrastructure and service delivery sectors, such as agriculture, housing, health, energy, water and sanitation, hygiene and waste management, education, health, or environmental protection).
- The seed support grant should be utilized fully by the SPV/AIC within a period of three years from the date of receipt of the first instalment of funds under the grant-in-aid for seed support. In case the SPV/AIC is not able fully utilize the seed support part of the grant within a period of three years, the AIC is required to intimate AIM, NITI Aayog and request for permission to extend the duration of the funds.

### Eligibility Conditions for Incubatee Start Ups for seed support

- Incubatee should be a registered company with a minimum of three months affiliation with the AIC.
- The investee company has to be an India-registered enterprise. This support is not meant for Indian Subsidiaries of MNCs/foreign companies. Persons holding Overseas Citizens of India (OCI), Persons of Indian Origin (PIO) status would be considered as Indian citizens for the purpose of this

scheme. The shareholding of Indian Promoter / Host Institutions in the incubate startup should be at least 51%.

- It is expected that SPV/AIC would make special efforts to discover and support enterprises that deploy technologies or business models to help solve India's infrastructure, public service delivery, or socio-economic challenges.
- Incubatee startups requiring seed support predominantly for capital equipment should not be encouraged. The start-ups would be supported primarily on the following grounds for the seed support
  - Prototyping and Product development
  - Testing and Trials
  - Test Marketing
  - Mentoring
  - Professional Consultancy (To attract professors/experts from institutions to work with start-ups.)
  - IPR issues
  - Manpower for day to day operations
  - Any other area as deemed necessary and recommended by the Seed Support Investment Committee of AIC

#### Quantum of Seed Support

- It is expected that the seed support of up to a maximum of Rs.1.00 Crore, with a matching amount raised through non-government sources would be judiciously dispersed amongst the deserving incubatee start-ups.
- No startup will receive the seed support more than once.
- The upper limit of seed support to a start-up is Rs.12.5 lakhs. In case an AIC would like to increase the investment limit per incubatee of INR 12.5 lakhs, it should seek a written approval from AIM regarding the same. The AIM team will evaluate such requests on a case by case basis depending upon the rationale behind such deviation. Any such exception or waiver would be provided at the sole discretion of the AIM, NITI Aayog. Any prior or standing exception would not constitute a precedent, and every case for request of waiver will be considered on its own merits.

#### Mechanism of Selection, Disbursement, Governance and Fund Management of the Seed Support

- The SPV/AIC would constitute a committee called the Seed Support Investment Committee (SSIC) whose members would be experts who can evaluate the prospective incubatees under physical or virtual incubation requiring seed support. The SPV/AIC CEO would constitute the SSIC, in consultation with the AIM, NITI Aayog to incorporate AIC staff and external experts in the relevant fields. AIM reserves the right to nominate a member to the SSIC.
- Any non-government investor who contributes towards the matching seed fund may be encouraged to be a part of the SSIC.
- The SPV/AIC CEO would be responsible for its proper disbursement and management of the seed support.
- The SPV would take measures to enhance the capabilities and skill set of the AIC team to manage the seed fund. The investments would be done keeping sound business principles in mind.



- The SPV would compile the investment decisions made by its SSIC annually and share an analytical report with the AIM, NITI Aayog at the end of each fiscal year, along with the UC.
- The CEO of the SPV/AIC will keep AIM, NITI Aayog duly informed about the meetings and the investment decisions of the Investment Committee along with the rationale for taking such decisions.
- The SPV/AIC would have milestone-based disbursement schedules of the Seed Support to the incubatees as defined in the agreement and the release of funds should be in 2-3 tranches. In case the incubatee company is unable to achieve the prescribed milestones, the future releases may be stopped and any unspent balances may be recovered from the incubatee company.

#### Repayment of Seed Support

- To the extent possible, the equity model for seed support should be encouraged. The SPV/AIC team should be well conversed with the equity model and adequate efforts should be made to train the team on the equity model. However, if the seed support is sanctioned through a convertible debt instrument or a soft loan, then efforts should be focused towards getting the repayment of the entire seed support money by the incubatee company within 5 years. In exceptional cases, the Seed Support Investment Committee would be empowered to relax schedules of repayment on a case-to-case basis for convincing and justifiable reasons, and these relaxations should be reported to the AIM, NITI Aayog.
- In case of imminent or declared default by an investee company of the Seed Support, the SPV/AIC CEO will make his/her best efforts to recover the investment, as per the prevailing business practices. The recovered assets shall be added to the seed support pool.
- The cases of default must be reported to the Seed Support Investment Committee. Such default cases must also be reported to AIM, NITI Aayog while submitting the Annual Report on seed support.

#### Accounting and Utilization of Seed Support Grant from AIM, NITI Aayog

- A separate bank account has to be opened for the seed support. The total seed support from AIM, NITI Aayog will be released in subsequent instalments based on predefined milestones achieved. SPV/AIC would be required to submit a detailed report on the status of utilization of grants along with the Utilization Certificate and Statement of Audited accounts for each F.Y. The SPV/AIC should report the seed support sanctioned and disbursed against each incubatee start up in the statement of audited accounts for the period (April 1 to March 31 of each F.Y) under report.
- Book of accounts for the disbursement of grant and for the seed support repayments may be kept separately. Interest on the unutilized seed support grant received from AIM, NITI Aayog must be reported in the Utilization Certificate (UC). The amount collected against repayments may be utilized as seed support for the next round of incubatees and not for any other activity of the SPV/AIC, except for the condition described in the para on Management Fees.

- Interest earned by the SPV/AIC on the seed support funds should be mentioned separately in the UC, which would be adjusted against the subsequent releases to be made out of the total sanctioned grant of seed support.

#### **Management Fees for the Seed Support**

AIM, NITI Aayog proposes to motivate and encourage SPV/AIC who show growth of the seed support fund through the inflow from the loan repayment/ royalty /realization of equity stake for funding future proposals. It is therefore proposed to give an incentive of 15% on the surplus generated at the end of each year, which could be retained by SPV/AIC for its incubation- related activities.

#### **Settlement of the Seed Fund in case of Closure or Discontinuation of SPV/AIC**

In case of closure /discontinuation of the AIC, the total unutilized seed support amount available with the SPV/AIC at the time of closure has to be refunded to AIM, NITI Aayog along with the total repayments received from the seed supported incubatees before closure of the SPV/AIC. Efforts will be made to recover the investments made by the SPV/AIC through the Seed support component before the dissolution of the SPV/AIC. The SPV/AIC CEO will make good faith efforts to hand over the portfolio to another Atal Incubation Centre (AIC), or to any other government agency, in consultation with AIM, NITI Aayog, before leaving the job.



### Annexure B: Approved Budget

[illegible]

[illegible]



[illegible]

### Annexure C: Approved Goals and Deliverables

[illegible]



ANNEXURE VI - BOND (WITH SPV)Format of the Bond to be signed with the applicantBOND FORM

(Applicable to AICs that are not set up by the Government)

(Bond to be executed in favour of NITI Aayog on non-judicial stamp paper of at least Rs. 100 for receiving the Grant-in-aid)

Know all persons by these present that we the .....  
 ..... (Name of the Grantee) and having its office at  
 .....  
 ..... vide Registration Number  
 ..... dated ..... in the State of  
 ..... (hereinafter called the "Obligator") and M/s.  
 ..... having its office at  
 ..... vide Registration Number  
 ..... dated ..... in the State of  
 ..... (Hereinafter called the "Surety") are held and firmly bound to the  
 President of India (herein after called the "Government"), in the sum of Rs.  
 ..... only  
 (Rupees in words ..... )  
 well and truly to be paid to the President on demand and without demur, for which payment we  
 bind ourselves and our successors and assigns by these presents. The term, Obligator or Surety,  
 unless repugnant to the context, shall mean and include the respective agents, assigns, heirs,  
 successors etc.

2. SIGNED this ..... day of ..... in the year .....

3. WHEREAS on obligator's request the Government has as per Atal Innovation Mission (AIM)  
 Letter No. .... dated ..... and hereinafter referred to as  
 the "Sanction Letter", agreed to make in favour of the Obligator for the purpose of setting up  
 Atal ..... Incubation ..... Centre ..... at  
 ..... a grant  
 of ..... Rs. .... (Rupees  
 .....), the Obligator has agreed to  
 execute this bond in advance, in favour of Atal Innovation Mission, NITI Aayog for the entire  
 amount of Rs. .... as requested in the application sent to the  
 Government. The Obligator is willing to accept the proposed amount, or any other amount  
 approved/ sanctioned by the Government. The Obligator is willingly executing this bond of the  
 proposed amount with the stipulation that the Obligator and the Surety will be bound up to this  
 amount or by the actual amount approved/sanctioned by the Government. The Obligator is also

willing to accept all terms and conditions mentioned in the Sanction Letter to be issued by the Government.

4. Now in consideration of the aforesaid Sanction Letter, the Obligator herein binds itself and undertakes to comply with the conditions of the Sanction Letter referred to herein and if the Obligator shall duly fulfil and comply with all its conditions mentioned in the Sanction Letter mentioning the grant then this bond or Obligator's obligation therein shall be void and of no effect, but otherwise it shall remain in full force, effect and virtue, and the Government shall be at liberty to enforce this bond against the Obligator, as it may deem fit and on its option. These presents further witness that:

a. The decision of the CEO, NITI Aayog, Govt. of India or the Mission Director of the Atal Innovation Mission, NITI Aayog, Govt. of India, administratively concerned with the matter, on the question whether there has been breach or violation on the part of the Obligator or any of the terms and conditions mentioned in the Sanction Letter, shall be final and binding on the Obligator.

b. Further, if the Obligator fails to pay or perform the tasks or duties as agreed between both the parties in the MOA or its liability under this Bond, then it shall be the liability of the Surety to refund to the Government the entire amount as mentioned in this bond.

The liability of the Surety here under shall not be impaired or discharged by reason of time being granted by the Government or any forbearance, act or omission by or on the part of the Government whether with or without the knowledge or consent of the Surety in respect or in relation to the obligation or conditions to be performed or discharged in the obligation or by reason of the matter or thing whatsoever, which under the law relating to the Surety shall but for this provision have the effect of so releasing the Surety from such liability, nor shall it be necessary for the Government, to pursue the Obligator before using the Surety or either of them to the amount due here under.

c. The Obligator herein agrees and undertakes to surrender / pay to Government the monetary value of all such pecuniary or other benefits which it may receive or derive / have received or derived through / upon unauthorized use of the Grant for purpose other than that of which the Grant was intended or the assets, purchased largely from out of "Government Grants". The decision of the CEO, NITI Aayog or the Mission Director, Atal Innovation Mission, NITI Aayog, Govt. of India, as regards the monetary value of to be surrendered / paid to the Government will be final and binding on Obligator.

d. The Obligator or the Surety shall, in the event of breach or violation of the terms and conditions mentioned in the Sanction Letter, refund to the Government on demand and without demur the entire amount of Rs. .... (Rupees

.....) or such part thereof as may be mentioned in the Notice Demand issued by the Government along with the interest thereon at the rate of 11.50% compounded annually (which would be adjusted as per the Government of India notification issued from time to time) from the date of receipt of the said amount by the Obligator



up to the date of refund thereof to the Government by means of an Account's Payee Demand Draft drawn in favour of Drawing and Disbursing Officer, NITI Aayog, payable at New Delhi.

e. The Obligator and Surety confirm that they have understood the scheme of grant of sanction and they have executed this bond voluntarily and out of their free will.

f. The Government of India has agreed to bear the stamp duty, if any, chargeable on these presents.

5. In witness thereof these presents have been executed on behalf of the Obligator and the Surety the day and year here in above written and accepted for .....  
..... (Name and Designation) on the day and year  
appearing against his signature.

Signed for and on behalf of the Obligator (..... Name of the AIM Grantee)

(Name and Designation of the Signatory)  
(With date and Stamp / Seal)

Signed for and on behalf of the Surety (..... Name of the Surety) with  
copy of Registration Certificate and PAN

(Name and Designation of the Signatory)  
(With date and Stamp / Seal)

In the presence of:

1.....

(Signature)

(Name & Address of witness)

Aadhar Card No/PAN No..... (attach copy)

2.....

(Signature)

(Name & Address of witness)

Aadhar Card No/PAN No..... (attach copy)

Accepted for and on behalf of the President of India

### ANNEXURE VII - CRITERIA FOR EVALUATION

The indicative criteria that may be used for evaluation of the applications are as below. Please note that criteria is subject to periodic review.

Parameter	Components
Eligibility Check	<ul style="list-style-type: none"> <li>• Submission of Mandatory Documents</li> <li>• Commitment of the minimum built up space requirement</li> <li>• 3+ Years of Existence of the Applicant at the date of closing of the application</li> <li>• Applicant should be profitable in the last three years</li> </ul>
Parameters to filter out institutes with weak research / innovation ecosystem	(Academic / Research Institutions) <ul style="list-style-type: none"> <li>• Number to teaching faculty members</li> <li>• Number of faculty members with Ph.D.</li> <li>• Number of patents filed / granted</li> <li>• Prior experience in the area of innovation and entrepreneurship</li> </ul>
Proposed Business Plan and Sustainability Plan for the AIC	<ul style="list-style-type: none"> <li>• Overall strengths and weakness of the proposed business plan as well as the action plan for implementation of the AIC</li> <li>• Support offered to the incubatees</li> <li>• u and deliverables for the project period</li> <li>• Experience and background of the proposed team, board and other officials</li> <li>• Experience and background of the applicant</li> <li>• Number and diversity of partners proposed</li> <li>• Location of the AIC</li> <li>• Proximity to other Incubators</li> <li>• Sector focus</li> <li>• Usage of the Grant-in-Aid</li> <li>• Financial sustainability plan</li> </ul>
Contribution of the Applicant	<ul style="list-style-type: none"> <li>• Proposed contribution of the applicant towards the project cost</li> <li>• Non-financial resources of the applicants that the AIC can leverage up on</li> </ul>
Any Other	<ul style="list-style-type: none"> <li>• Any other criteria that the AIM Mission Directorate deems fit and is in line with the National Objectives</li> <li>• Special consideration for incubators present in remote areas / hilly areas / areas with strong ecosystem presence</li> </ul>



### ANNEXURE VIII - SPV GUIDELINES

#### Guidelines for Setting Up of Special Purpose Vehicle (SPV) For Establishment of Atal Incubation Centre (AIC)

- I. The name of the SPV should be "AIC - <Promoter / Host Institution's name>"
- II. In case there is a single Promoter / Host Institution, such a Promoter / Host Institution should have 100% shareholding in the equity structure of the SPV. Any change in the equity structure or inclusion of any partners in the SPV shall be with the prior approval of Atal Innovation Mission, NITI Aayog.
- III. The SPV can be established by one or more collaborating entities (Consortiums). For the purposes of this application, one of the entities of the consortium shall be identified as the 'Lead Member'. It is clarified that the Lead Member should also have majority (> 51%) Indian ownership and will continue to hold more than 51% shareholding of the SPV set up for the implementation of the AIC. The lead member shall be considered as the applicant for the purposes of this application. (hereinafter referred to as "Applicant"). It is hereby clarified that the ownership structure of the AIC may be changed post sanction and disbursement of Grant-in-Aid, with prior written approval of AIM, provided the 'Lead member' continues to hold more than 51% of the shareholding of the AIC and the majority ownership of the AIC remains Indian.
- IV. Special Purpose Vehicle established for establishing the Atal Incubation Centre (AIC) should be a 'not for profit' (Section 8 company) or a 'for profit company' under the Companies Act 2013. Please note that the SPV company needs to be limited by shares. A company limited by guarantee is not permitted to be used as an SPV.
- V. The main purpose for setting up of the Special Purpose Vehicle (SPV) is to establish Atal Incubation Centre (AIC). The main objectives to be included under the object's clause in the Memorandum of Association in case of the SPV are given as below:

"To set up and implement the Atal Incubation Centre (AIC) in partnership with Atal Innovation Mission, NITI Aayog with an objective of supporting innovative technology-based startup enterprises in India. The AIC shall endeavour to implement the following:

1. Establish a high-class incubation facility, including but not limited to: (a) suitable physical infrastructure and operating facilities, and (b) affiliations with sectoral experts.
2. Enable support ecosystem for incubated startups, including but not limited to: mentoring, planning, organizing events, lab facilities, regulatory guidance, etc.
3. Provide preference in support to startups or innovators that have applications / impact in the core sectors of the economy (e.g. agriculture, healthcare, clean energy and sustainable technologies, education, housing, transportation, Cyber security, IOT, Robotics and AI, water and sanitation, etc.)

4. Encourage innovation in the Indian ecosystem, through activities such as, but not limited to, (a) awareness workshops, (b) training and capacity building, (c) mentoring support, to early stage startup enterprises
5. Encourage creation of new technologies and intellectual property.
6. To support and carry out any other activity relevant to promotion and incubation of startups in the country."

VI. A SPV by the virtue of its name (A Special Purpose Vehicle) is created to carry out a special purpose. In this case, the special purpose is implementation of the AIC. The constitutional documents of the company should not contain anything in contravention to the contract which is being signed by the applicant, for e.g. – opening a dhaba/ dharamshala; buying land; buying and selling shares in the equity market. Refrain from mentioning any purpose/clause in the constitutional documents of the special purpose vehicle which are in contradiction to the principle of the SPV as well as the Memorandum of Agreement being signed with NITI Aayog.

In-case the applicant wants to add sub-clauses in furtherance to the above clauses for conducting the operations of the SPV, it may do so but it should be aligned with the broad objective of setting up the AIC.





# BioNEST

**Bioincubators Nurturing Entrepreneurship  
for  
Scaling Technologies**

Version: 3

Date: 07-07-2021



# **BioNEST**

## **Bioincubators Nurturing Entrepreneurship for Scaling Technologies**

### **Scaling Biotech Startup Ecosystem in India through BIRAC's BioNEST**

#### **1. Introduction**

BIRAC, a Not-for-profit section 8, schedule B, Public sector Enterprise, was set up by Department of Biotechnology (DBT), Government of India in 2012 as an interface agency to strengthen and empower the emerging biotech enterprises to undertake research and innovation for translating innovations into commercial products and technologies. BIRAC has nurtured Biotech startups in the country through various initiatives such as funding schemes for startups and entrepreneurs, setting up of specialized Bioincubation facilities for biotech startups, establishing various strategic partnerships and contributing at the policy level.

BioNEST (Bioincubators Nurturing Entrepreneurship for Scaling Technologies) scheme is a dedicated scheme to create globally competent bioincubation facilities across the country. The BioNEST scheme championed the mandate of the Startup India Action Plan announced by Hon'ble Prime Minister on 16th Jan 2016 that targeted scaling up of biotech startup ecosystem. The initial aim to have at least 2000 Biotech startups by 2020 and creation of 50 Bioincubators with world class facilities and access to the best bioincubation environs for propelling innovative ideas towards product commercialization has been achieved. Going forward, in next 5 years the total number of Biotech Startups is expected to grow to from 4300+ startups in March 2021 to 10,000 by 2024-25.

#### **2. BIRAC's BioNEST Programme**

BioNEST bioincubators are mandated to provide incubation space to entrepreneurs and Startups along with shared access to high end infrastructure, specialized and advanced equipment, business mentorship, IP, legal and regulatory guidance, and networking opportunities.



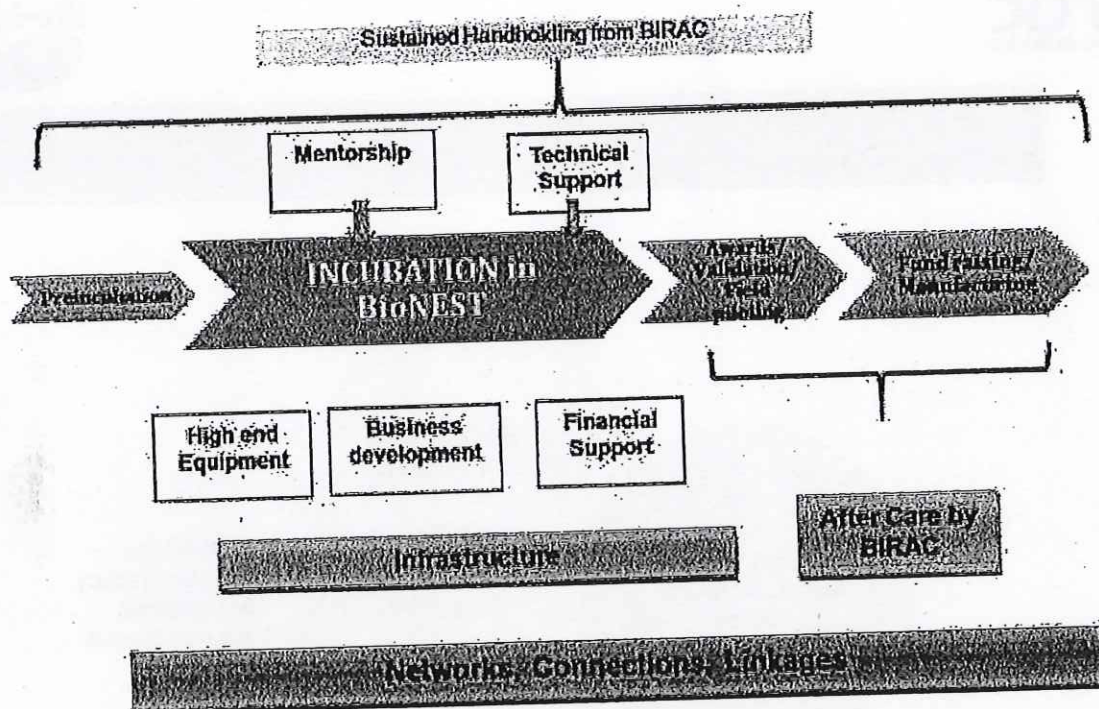


Fig 1: Typical Incubation process at BIRAC's BioNESTs

Through the BioNEST scheme, BIRAC has supported 60 bioincubators with the cumulative area of 6,40,349 sq. ft. The 60 bio-incubators are placed either within academic/research Institutes, medical hospitals, Biotech clusters or as stand-alone incubators that are supported through private, Central or State Governments.

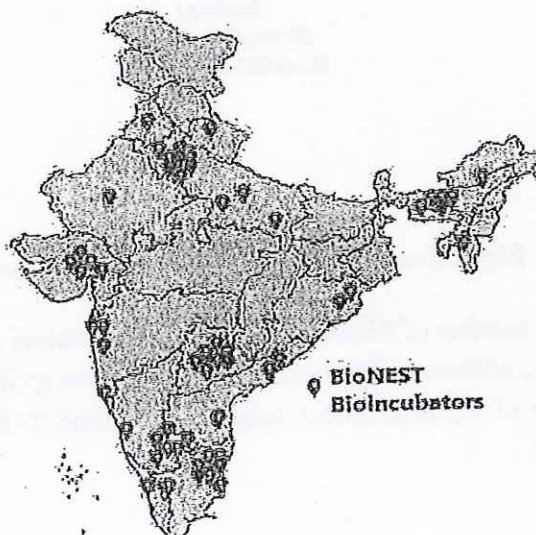
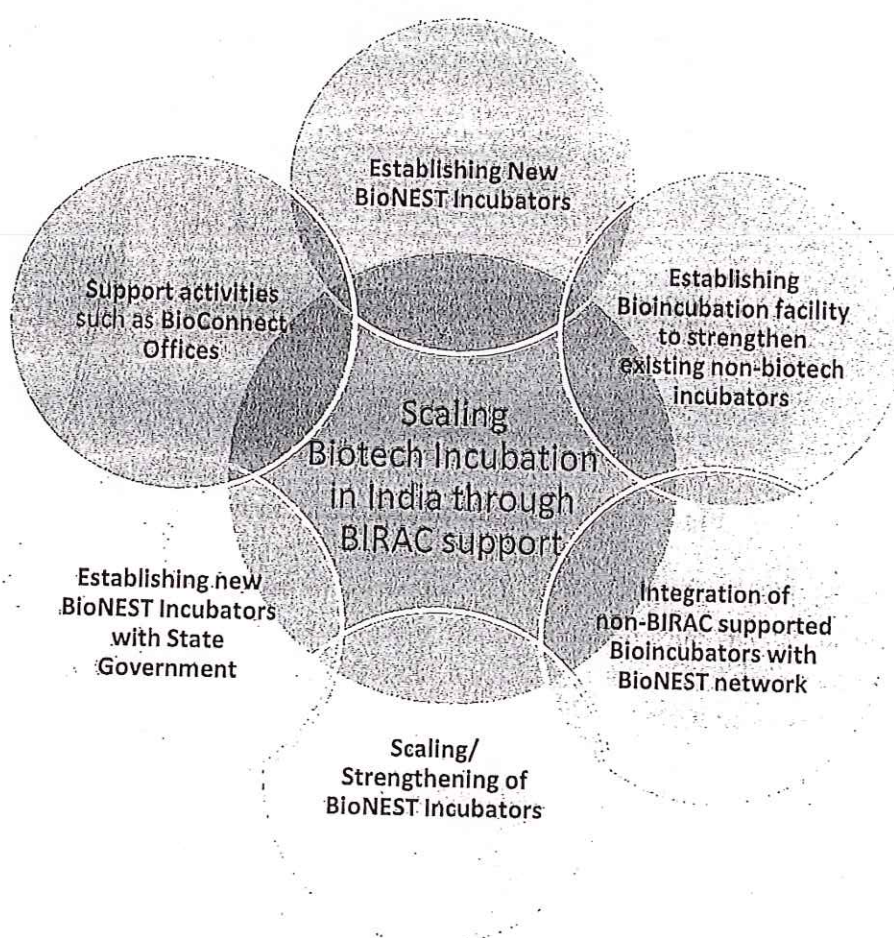


Fig 2: BioNEST Bioincubators

### 3. BIRAC's Strategy for Scaling up of Incubator network for Biotech Startups in the country:



**Fig 3: Scaling Bio-incubation network in India**

To cater to the growing number of Biotech Startups, Bioincubators network would also need to be scaled up. Therefore, additional Bioincubators shall be set up in the country. An applicant interested in setting up of a Bioincubator may apply Online to BIRAC under the different categories as applicable.



Eligible applicants can visit BIRAC's website (<https://www.birac.nic.in>), click the BioNEST tab to apply online from the portal under a suitable category as mentioned in Table 1.

**Table 1: Applicant Category for BioNEST bioincubation centre support**

Category	Remarks
1	Establishing New BioNEST Incubators at Academic/Research Institutes/Research Hospitals/ Organizations fostering Innovation and entrepreneurship
2a	Establishing BioNEST Bioincubation facility to strengthen existing non-biotech incubators attached to Academic institutes/ Research institutes/ Research Hospitals/ Standalone incubators
2b	Integration of non-BIRAC supported Bioincubators with BioNEST network for promoting Biotech startups
3	Scaling/Strengthening of existing BioNEST Incubators
4	Establishing new BioNEST Incubators with State Government
5	Support to BioNEST incubators for activities such as BioConnect offices

#### **ELIGIBILITY CRITERIA**

- Indian institutions including Universities/ Research Institutes/ Colleges/ Management Institutes/ Business Schools/ Business Incubators/Biotech-Parks/State government S & T bodies/ Biotech State Councils/Research Hospitals
- Incorporation of an Indian legal entity\* is recommended for Bioincubators, however it is not a must for the new applicants especially from Indian Institutions including Universities/ Research Institutes/Colleges/ Management Institutes/ Business Schools etc.

\*Private Company/ Not for profit Section 8 company/Trust/Society - The legal entities under the relevant Law of India having at least 51% Indian (Citizen) stakeholders (owners/partners/trustees/ members/associates/directors etc. as applicable)

#### **GENERAL REQUIREMENTS**

##### **Funding:**

1. The funding support will be in the form of grant in aid for both Capital and Operational expenses and will be based on the need and scope of the project as adjudged by the BioNEST committee.



2. BIRAC funding will cater to refurbishment/ renovation of space, equipment, furniture and operational cost.
3. Private Institution/Entities applicants including *Private-Academic/Research Institutes/ Research Hospitals/Incubators* have to contribute a minimum 20% towards the total capex of the project cost.

#### Space:

1. It is recommended to allocate about 10,000 sq ft or more for the bioincubation facility under BioNEST. This is an ideal capacity that can cater to a minimum of 25 startup teams with an average dedicated space of upto 200 sq. ft./ startup when cabin layout is followed. If required, the operationalization of the entire space can also be done in a phased manner by the host Institute/organization and expand as per the requirement.
2. The entire 10,000 sq ft area may be distributed in meaningfully utilizable vicinity if not available at a single stretch.
3. A joint application from more than one institution committing to the total space of about 10,000 sq. ft. or more may be considered.
4. As adjudged by the Expert Panel, special cases based on merit may be given relaxation on space requirements depending on the location, regional capacities, etc.

#### Duration:

1. Duration of support for bioincubation will be for a period of upto a maximum duration of five years. After successful execution of Bioincubation for the initial approved period, applicant may apply for the scaling up of activities under Category 3 support.

#### Others:

1. BIRAC may exercise the provision of getting equity in the startups incubated in the facility in the manner the competent authority accords approval and as per its norms.
2. Already funded BIRAC BioNEST can apply under Category 3, subject to condition that they have completed or about to complete the existing Phase. The facility should have been made operational during the project duration/completion of Phase I.

#### General Criteria for Assessment

- ♦ Institutes/organizations with the focus on translational activities where innovations can be converted to product or technology should only apply.



- ◆ Under the various categories BioNEST will be funded at strategic locations which have the potential to transform into future biotech hubs and proposed facility can accelerate the process by catalyzing the entrepreneurial ecosystem.
- ◆ The existing capabilities of Host Institute (HI) for promoting startups and innovations including the teams within the HI shall be assessed.
- ◆ Preparedness of HI in supporting Biotechnology based entrepreneurship: This will include support extended from HIs in terms of infrastructural facilities, dedicated space for bioincubation, support for instruments from existing facilities, support for technical and business mentoring from within the Institute or from dedicated external sources made available by the HI will be assessed.
- ◆ Approach and Methodology to be adopted, innovative content and pipeline of potential incubatees: This will include assessment of the project reaching projected milestones, Governance Model, sustainability/revenue model, Focus area of the proposed bioincubation center, etc. Other aspects that add value to the incubation through specialized services and support programs will be considered.
- ◆ The strength of the 'Mentoring support' at the HI, i.e., the ability to provide training and information needed to facilitate enterprise development and help startups develop sound, viable projects that can attain both social impact and commercial performance is crucial.
- ◆ The strength of Business development support at the Incubator i.e., technical assistance that is required to help prospective entrepreneurs or an enterprise to achieve their specific goals. This can include a variety of forms of operational support, such as regulatory understanding, compliance readiness, investment readiness support, go-to-market business model validation, Peer to Peer learning, on ground support and alliances to help the entrepreneur address the challenges of commercializing a business model.

*Other requirements and criteria relevant to specific category are as follows:*

#### **Category 1**

**Establishing New BioNEST Incubators at Academic/Research Institutes/Research Hospitals/ Organizations fostering Innovation and entrepreneurship**

Under its BioNEST programme, BIRAC receives continuous interest from Universities/ Research Institutes/ Research Hospitals for starting Incubation activities to support Startups.

The potential application in this category will be from entities which do not have a formal Incubation center but support Entrepreneurial activities and have some form of loosely woven or informal incubation activity. Such proposals will be assessed and screened based on applications merit and overall role in supporting innovation and techno entrepreneurship.

#### **Requirements**

- BioNEST could be hosted by an existing academic/research organization/university, Research Hospital which does not have a formal Incubation center but support Entrepreneurial activities.



- The Host Institute (HI) should have adequate expertise and infrastructure to support incubation activity.
- Incubators supported directly under BioNEST may be managed by host institutes or in PPP Mode.

*\*For other requirements related to duration and space etc. kindly refer to the General requirements mentioned earlier.*

#### **Category 2a**

**Establishing BioNEST Bioincubation facility to strengthen existing non-biotech incubators attached to Academic institutes/ Research institutes/ Research Hospitals / Standalone incubators**

Under this category existing non-biotech incubators attached to Academic institutes/ Research institutes/ Research Hospitals/ Standalone incubators can apply.

BioNEST program will provide support to expand the capacities of existing incubators for facilitation of Biotech Startups

- The Incubator seeking BIRAC support for strengthening should be operational at the time of application
- The incubator, seeking BIRAC support, hosted in Academic/Technical/R&D Institution/ research Hospitals /standalone incubator/ and other partnering institutions should have proven track record in promotion of technology-based entrepreneurship.
- The incubator should have adequate expertise and infrastructure to support Bioincubation activity.
- Incubator, seeking BIRAC support, which have existing support structures for biotech startups will be assessed based on the existing strength of the incubation activities.
- Incubator, seeking BIRAC support, which do not support biotech-based startups but have the capacity to nurture them because of the host institute's strengths in life science research and that have the potential to create startups in biotech sector, will also be considered.

*\*For other requirements related to duration and space etc. kindly refer to the General requirements mentioned earlier.*

#### **Category 2b**

**Integration of non BIRAC supported Bioincubators with BioNEST network for promoting Biotech startups**

This category is for the Incubators with proven capacities to cater to the biotech startups which are not part of the BIRAC's BioNEST network. These Incubators may or may not be supported by other Govt. funding agencies.

The incubators may apply under this category for the following:



- Integrate with the BioNEST network for inclusion in the BIRAC supported biotech ecosystem.
- Funding support to complement existing facilities, enhance capacities for the benefit of biotech startups.
- Compete as per norms for the provisions which are available for BioNEST bioincubators e.g., BIG Partner, SEED Fund Partner, LEAP Fund Partner, BIRAC Regional Centre etc.
- Avail various opportunities extended to BioNEST incubators and affiliated entrepreneurs, startups as per norms

**Under this category the Applicant Bioincubator is expected to:**

- Have proven capabilities of supporting startups and entrepreneurs in the Biotech domain
- Extend the existing infrastructural facilities, bioincubation space, Instrumentation and Equipment, technical and business mentoring support, etc. to the Biotech startups as part of the overall BioNEST incubator network.
- Undertake roles and responsibilities; commit to deliverables and outcome akin to other Bioincubators which are part of the BIRAC's BioNEST incubator network.

*\*Eligibility Criteria will be similar to the other categories.*

The selection will be based on merit of the proposal and the value addition the incubator can potentially bring to the BioNEST Network

### **Category 3**

#### **Scaling/Strengthening of BioNEST Incubators**

- Only BIRAC funded BioNEST incubators will be considered under this category
- Upscaling of operations can be in terms of space expansion or enhancement of capabilities and capacity, including team, infrastructure, equipment and services. It may also include adding of some high-end specialized facilities such as a pilot facility, niche area, fab lab etc.
- The bioincubator should be fully functional in order to be considered for scale up by BIRAC. Upscaling of the facility is assessed based on the overall impact created by the bioincubator in creating an ecosystem for innovation and entrepreneurship in the previously supported Phase. This will include the following points:
  - i. Number of startups incubating in the incubator
  - ii. Number of startups exited from the BioNEST Facility
  - iii. Potential pipeline of startups seeking bioincubation facilities
  - iv. Stages of startups supported by incubator
  - v. Total number of startups supported through its various services technical, business, legal, IPR, commercialization, mentoring etc. Exact role performed by incubator.
  - vi. Number of Jobs supported by BioNEST facility. This will include the number of jobs support by startups after incubating in the BioNEST facility and jobs supported to manage BioNEST facility



- vii. Number of other sources of funding managed by incubator for startups. This will include funding from government, international organization, Angels & Venture Capitalists and also by the incubator investment made in the startup
  - viii. Number and kind of workshops, seminar, training and mentoring sessions conducted
  - ix. Technologies/products/PoCs developed by startups while incubating in BioNEST facility
  - x. Justification of the expansion needed
- The proposed next Phase proposals should be based on the deficit funding model. Application to include revenue projections for next five years based on current operational expenses. Shortfall in the budget will be considered for support by BIRAC as operational cost.
- Support for up scaling of the project will be considered for 3 years, to a maximum of 5 years, subject to the condition that the facility will try to attain sustainability in the projected period.
- Next Phase proposals should focus on the next level of development that is required to be a part of incubator to serve startups undertaking higher level of research and product development. This may include creating specialized units required for technology development. In the next Phase for incubator, a TTO facility could be supported.
- Next level of services and specific unit required for helping startups to take a technology leap, Nature and extent of services that need to be expanded must be captured clearly in the proposal.
- Demand supply justification to be provided showcasing actual request from the incubatees interested in incubating.

**Following points will be considered for the up-scaling support:**

- Increased incubation space. Refurbishing and renovation cost for creating lab space, lab module and benches, common equipment facility and specialized units
- Capex Support for the equipment based on the incubator's needs and BioNEST Committee's recommendations.
- Operational cost for running the incubators to reach sustainability.

#### **Category 4**

#### **Establishing new BioNEST Incubators with State Government**

State Govts. can apply under this category through their affiliate departments/ bodies such as Biotech Councils, S&T councils etc. that are spearheading Biotechnology in their respective states through funding and other measures, if interested in creating BioNEST facility in their states. The place suggested by the applicant under the program should have a strong entrepreneurial culture or potential for becoming a Biotech hub.

BioNEST under this category could be in existing institutions which may be Central/State Universities, Research& Development Medical Institutes, Standalone Bioincubator/ Research Parks, Management Institutes, and other organizations focused on bioincubation.

**Specific conditions for support under this category:**



- Category 4 applicants shall provide the built-up space for BioNEST Incubator from the State Government. The incubator may be managed and operated by the private sector.
- BIRAC funding will cater to refurbishing/ renovation, Capex and operational cost.
- Feasibility report will have to be prepared by the applicant that will focus on the following points:
  - Objectives and mission of the bioincubator
  - Legal Status of the bioincubator
  - Governance model/operational model
  - Involvement of Stakeholders from surrounding academic and Industrial ecosystem
  - Focus on "cluster based" technology incubation in support with surrounding industrial ecosystem. This will bring synergies between Academia industry interactions.
  - Selection and exit policy for incubatees/startups
  - Building on local and international linkages.
  - Creating special infrastructure and equipment facility as per the needs and requirement of startups and MSMEs
- The State Government will provide the requisite land and built-up space to host the BioNEST. State will also contribute to funds for construction required for the related activities of Bioincubator.
- A technical and business Advisory core committee will govern the implementation of the project. This Core committee will have people from surrounding academic institutes, industry and people with expertise in running a Bioincubator.

*\*For other requirements related to duration and space kindly refer to the General requirements mentioned earlier.*

### **Category 5**

**Support to BioNEST incubators for activities such as Bioconnect offices**

Activity centric support to the existing BioNEST incubators shall be considered under this Category. This provision has been created to provide strategic support for the value-added activities that were not part of the original proposal at the time of sanction but may get introduced/ identified during the implementation of existing incubation facility.

**BioConnect offices:** Virtual corridors for Incubator-to-Incubator connect facilitating engagement of Startups and Incubators at the Global level. BIRAC (through Make in India Facilitation Cell at BIRAC) is committed to scale India's biotech ecosystem at global level. BioConnect offices would leverage international partnerships and provide global platform to the Startups from BioNEST bioincubator network. The BioNEST global access would empower entrepreneurs, startups, incubators and the ecosystem to explore synergies, create/ avail opportunities and scale.

- Under this category support shall be provided to the BioNEST Incubators to establish BIRAC's BioConnect offices engaging an International Incubator partner.



- The Lead Incubator interfacing with BIRAC will be the BioNEST Incubator and BIRAC's funding shall be disbursed to the Indian participant who shall be primarily responsible for the joint/outourcing activities
- The International Incubator proposed for partnership by the BioNEST bioincubator should be well recognized registered entity as per the local laws of the host country. It shall have proven expertise and physical infrastructure required to support Biotech startups and entrepreneurs.
- The applicant BioNEST incubator shall be responsible to BIRAC for ensuring the quality and competitiveness of the proposed association and/or activities.
- Opportunities through individual BioConnect office would also cover incubatee startups, entrepreneurs based on merit from other BioNEST incubators. Appropriate provisions can be included so that it may not be limited to the host incubator beneficiaries only.

BIRAC will support such connects and must be kept informed about the associated activities by the beneficiary incubators.

**Interested BioNEST Incubators can submit a proposal for support with information not limited to the following:**

- Relevant details of international partnership
- Details of the international incubator
- How will it help the biotech startups,
- Activities envisaged with timelines-based deliverables, and milestones
- Funding required with justification

#### **HOW TO APPLY?**

Proposals are required to be submitted online only. For scheme details and submission of proposal, please log on to BIRAC website <https://www.birac.nic.in/bionest.php>

The call is open throughout the year.

*For further BioNEST related queries/feedbacks/grievances, please contact:*

Dr. Chhaya Chauhan, Manager-Incubation; Email: [sped4.birac@nic.in](mailto:sped4.birac@nic.in)

Dr. Manish Diwan, Head – Strategic Partnership & Entrepreneurship Development;  
Email: [sped.birac@gov.in](mailto:sped.birac@gov.in)





# CENTER FOR MEDICAL INNOVATION AND ENTREPRENEURSHIP

All India Institute of Medical Sciences, New Delhi

Date: 31<sup>st</sup> May 2022

Time: 11:30 - 2:00 PM

Venue: Dr. Ramalingaswami Board Room

## CMIE's Advisory Board Minutes of the meeting

The first advisory board meeting of the Centre for Medical Innovation and Entrepreneurship (CMIE) was held on 31<sup>st</sup> May 2022 at Dr. Ramalingaswami Board Room from 11:30 AM-2:00 PM. Prof. Randeep Guleria, Director, AIIMS chaired the meeting. The meeting was organized to update the members about the CMIE's progress and to seek their guidance and suggestions so as to enable the CMIE to maximize its impact on biomedical innovation and societal impact.

The meeting was attended by the following members:

1. Prof. Randeep Guleria, Director, AIIMS, New Delhi
2. Dr. Manish Diwan, GM and Head- SPED, BIRAC.
3. Dr. V.G. Somani, DCGI, CDSCO
4. Dr. Anil Wali, Managing Director, FITT, New Delhi
5. Dr. Vipin Kumar, Director and Chief Innovation Officer, NIF, Gandhinagar
6. Dr. S Chandrashekar, Chairman and CEO, Vipragen Biosciences Pvt. Ltd
7. Mr. Lalith Kishor, COO, CCAMP-InDx, Centre for Cellular and Molecular Platforms, Bengaluru
8. Dr. Rubina Bose, Deputy Drug Controller, CDSCO
9. Ms. Padmaja Ruparel, Co-Founder & President, Indian Angel Network (IAN)
10. Prof. Subrata Sinha, Dean, Research Section, New Delhi
11. Prof. Vineet Ahuja, Associate Dean, Research Section, AIIMS, New Delhi
12. Mr. Narender Bhat, Financial Advisor, AIIMS, New Delhi
13. Prof. Alok Thakar, Project In-Charge, CMIE, AIIMS, New Delhi
14. Prof. Amit Dinda, Chief Coordinator, CMIE, AIIMS, New Delhi
15. Dr. Madhusudan Bhat, Business Development Officer, CMIE, AIIMS, New Delhi
16. Dr. Nancy Taneja, Bio-incubation Manager, CMIE, AIIMS, New Delhi
17. Ms. Priyanka Rajput, Administrative officer, CMIE, AIIMS, New Delhi

The meeting began with the welcoming of members of the advisory committee by Prof. Alok Thakar, Project Head, CMIE. He provided a brief introduction to the CMIE.

*Handwritten signatures and initials:*  
Madhusudan Bhat, Nancy Taneja, Alok Thakar, Subrata Sinha, Vipin Kumar, Manish Diwan, Lalith Kishor, Rubina Bose, Padmaja Ruparel, Vineet Ahuja, Narender Bhat, Amit Dinda, Priyanka Rajput.





## CENTER FOR MEDICAL INNOVATION AND ENTREPRENEURSHIP

All India Institute of Medical Sciences, New Delhi

1. **Prof. Alok Thakar, Project Head of CMIE** welcomed all the advisory committee members and special invitees to the meeting. He emphasized on the strengths of AIIMS, New Delhi with regard to medical domain knowledge, a medical faculty and scientist pool with commitment and focus, and also an awareness of the current gaps in the current medical-technological space. He also recognized our deficiencies and challenges with regard to a fair assessment of business opportunities and hurdles, regulatory and IPR issues, and also the efforts of the CMIE to explore external expertise and collaborations to bridge these challenges.  
All Advisory Board members and experts were invited to give their suggestions and advice, and to articulate their vision for the CMIE, so as to enable it to move forward with its mandate to develop bio-incubation and entrepreneurship at AIIMS, New Delhi.
2. **Chairman, Prof. Randeep Guleria, Director, AIIMS** deliberated on the vision and mission of CMIE. He stressed on development of an ecosystem under CMIE which can successfully translate innovation to commercially viable medical interventions. He noted that healthcare innovations pass through several critical stages which can delay their translation. He cautioned that many worthy projects may face the "valley of death" and hurdles with regard to healthcare industry investors, compliance with regulatory issues, IPR issues, and appropriate Medtech/design positioning and identification of the end-user. He also mentioned the need for both frugal innovation and high-end innovation including the emerging technologies. He expressed his optimism about the leading role of CMIE in healthcare innovation in the future.
3. **Prof. Dinda, Chief Coordinating Officer of CMIE** made a brief presentation of the progress made by CMIE so far. He informed the committee that necessary policies for inducting start-up companies in CMIE have been formulated with the constitution screening committee and advisory committee. Prof. Dinda shared an update that to date, 20 applications were received for incubation at CMIE following screening and necessary evaluations 5 start-ups are accepted for incubation.
4. The Chairman requested the members of the committee to deliberate on their vision regarding the future growth and functioning of CMIE which can have a significant social and economic impact.
5. Each Advisory Board member articulated their thoughts on modalities to bring about growth and impact of the CMIE. Comments/suggestions from each of the members are as follows:

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*Nancy*

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## CENTER FOR MEDICAL INNOVATION AND ENTREPRENEURSHIP

All India Institute of Medical Sciences, New Delhi

➤ **Dr. Manish Diwan, GM and Head-SPED, BIRAC**

- There are 74 BIRAC-supported Biotech Incubators across India for incubation support to Startups. This presented an opportunity for the creation of an internal pipeline within the incubators for leveraging the incubation ecosystem.
- Clinical and pre-clinical validations are the critical gaps for the start-ups and CMIE can support in this area with the mentors from AIIMS faculty who are experts in diverse healthcare fields
- He suggested bringing more experts on board from the Business side like industry representatives, investors, and others as needed in the screening committee of CMIE. The involvement of such experts will not only strengthen the committee but also help in evaluating the business aspects of the proposal.
- CMIE should consider the product positioning of the innovation according to its cost-effectiveness while it is going to the Market.
- Entrepreneurship policy for AIIMS, Delhi maybe prepared and implemented through CMIE.
- BIRAC is celebrating its 10<sup>th</sup> Foundation Day on 9<sup>th</sup> and 10<sup>th</sup> June 2022, CMIE was requested for its participation in the event

➤ **Dr. Vipin Kumar, Director and Chief Innovation Officer, NIF, Gandhinagar**

- Moving forward, CMIE should focus on incubating more incubatees.
- CMIE should collaborate with other incubators in India for extending support and technical help in the healthcare sector
- Sustainability is a must for CMIE. A clear setup is required. Section 8 company should be considered as in future funding from CSR & other Funding sources can be received.
- More emphasis should be given to the Regulatory and business development aspects to help the start-ups to develop business plans, and market research.

➤ **Dr. V.G. Somani, DCGI, CDSCO**

- Clinical & Regulatory validation is essential for the full circle of translation of research into the product/services.
- CMIE should provide a platform for connectivity & networking for the start-ups.
- Internal analytics should be regularly done with other world-class incubators for adopting the best practices followed in these incubators.
- Risk Assessment and mitigation plans should be clearly laid down by CMIE while evaluating the innovation of the start-up/individuals.

Dr. Anil Wali, Managing Director, FITT, New Delhi





## CENTER FOR MEDICAL INNOVATION AND ENTREPRENEURSHIP

All India Institute of Medical Sciences, New Delhi

- *CMIE should try to network with the existing programs like the School of International Biodesign (SIB), and the Centre for Biomedical Engineering (CBME).*
  - *IIT Delhi can provide valuable suggestions and establish value-added relationships.*
  - *CMIE should leverage facilities available in the ecosystem.*
- **Dr. S Chandrashekar, Chairman and CEO, Vipragen Biosciences Pvt. Ltd**
- *Regulatory framework development to be looked upon very critically by CMIE*
  - *CMIE has the potential to be a translational hub in health care.*
  - *CMIE has a unique ecosystem for being associated with a hospital with a good environment of research, IPR policy, and reach to industry.*
- **Ms. Padmaja Ruparel, Co-Founder & President, Indian Angel Network (IAN)**
- *Differentiation of the product is to be understood which can be done easily as the AIIMS mentor pool can guide whether the product will help the patient really or not.*
  - *CMIE to play a role in providing an insight to innovators.*
  - *Engaging with the global innovation ecosystem is a must.*
  - *Build a supply chain for the sectors like Medtech, stem cells, and other areas where innovators are getting stuck.*
  - *Work with the corporates, dealers/vendors who are associated with AIIMS*
  - *Give importance to the mentor. CMIE should take advantage of the post-pandemic healthcare crisis.*
  - *CMIE should focus on What investors look for? A training program by investors can be planned as Investor engagement is important. Clarity with innovator on Grant generation, Equity, incubation period, etc to be understood and worked out with the incubatee.*
  - *Set a goal for the incubatees and provide a Guiding aspiration for the incubatees to have IP, design, evaluate and exit in the right direction.*
  - *CMIE is invited to engage with Bio Angels and to bring the CMIE Mentor's expertise to it.*
- **Dr. Rubina Bose, Deputy Drug Controller, CDSCO**
- *Regulatory guidance is a must from the initial stages of the concept development along with the business plan and mentorship from the experts.*

Mr. Lalith Kishor, COO, CCAMP-InDx, Centre for Cellular and Molecular Platforms,  
Bengaluru

*Handwritten signatures and initials:*  
Nancy  
Hrishi  
Shikha  
DIXIT  
M  
K





## CENTER FOR MEDICAL INNOVATION AND ENTREPRENEURSHIP

All India Institute of Medical Sciences, New Delhi

- Clinical and regulatory issues should be hand-to-hand, and CMIE should Infuse the thought of the regulatory aspect right from the prototype stage.
- CMIE can consider preparing a Virtual incubation policy
- CMIE is suggested to create an Impact matrix for healthcare products and to measure innovation in respect of impact (cost, quality, access)
- CMIE should also focus on the Potential buyers for innovation so that investors would be ready to further support the product/technology.

6. Further Discussion occurred on the following points:

➤ For the future functioning of CMIE and its long-term sustainability?

The following points were discussed by the members:

- Dr. Manish Diwan deliberated on the SPV (Special Purpose Vehicle) which can further be formed in any of the three major modes i.e. trust, society, or section 8 company. All three have their advantages and disadvantages but it is important for CMIE to have a separate legal entity in any of the above-mentioned modes.
  - Dr. Vipin recommended the section 8 mode for CMIE as it's easy to operate and manage with transparency.
  - Dr. Wali elaborated on the society mode as several IIT's bio incubators are working in society mode.
  - Prof. Sinha emphasized the urgent need for CMIE's financial autonomy for its smoother functioning which could be possible by setting up a SPV for it.
  - Overall, the committee members suggested that CMIE to form a Section 8 company in near future for its independent functioning and financial assistance.
- Foreign Company and MNC's set up by NRI wants to incubate at CMIE
- Ms. Padmaja put forth a view that CMIE should follow the BIRAC's policy wherein, a MNC with 51% shareholding of an Indian company is considered to apply for grants through its Indian partner
  - The chairman suggested that such companies should be ready to invest or establish an R&D lab or innovation lab under CMIE that can be used for innovation and product development. The benefit should be for both parties.
- Encouragement for the faculties of AIIMS - Expression of interest to take forward technology/patent/innovation developed by faculties, researchers and students of AIIMS and support by seed grants.
- Expression Of Interest may be generated against the patents/Innovations available with AIIMS for technology transfer and further commercialization. The information may be made available on CMIE website and followed with the subsequent process.
  - A separate seed grant is to be created for CMIE by AIIMS to facilitate

*Manish Diwan*

*Nancy*

*Dr. Wali*



## CENTER FOR MEDICAL INNOVATION AND ENTREPRENEURSHIP

All India Institute of Medical Sciences, New Delhi

*innovations in healthcare by the faculties/scientists/students of AIIMS*

- The call for and subsequent evaluation of the proposal to be handled by CMIE and nominated experts.
  - 5-10 awards per year can be carved out for the innovations by students/faculties.
7. The meeting concluded with a Vote of thanks. The chairman also thanked all the advisory board members for sparing time out of their busy schedule and joining the meeting with valuable suggestions and insights for smoother functioning and way forward for CMIE.

Prof. Subrata Sinha,  
Dean, Research Section  
AIIMS, New Delhi

Prof. Vineet Ahuja,  
Associate Dean, Research Section,  
AIIMS, New Delhi

Prof. Alok Thakar,  
Project Head (CMIE)  
AIIMS, New Delhi

Prof. A. K. Dinda,  
Chief Coordinating Officer (CMIE)  
AIIMS, New Delhi

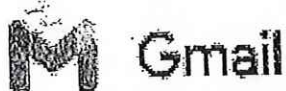
Dr. Madhusudan Bhat,  
Business Development Officer (CMIE)  
AIIMS, New Delhi

Dr. Nancy Taneja,  
Bio-incubation Manager (CMIE)  
AIIMS, New Delhi

Prof. Randeep Guleria  
Chairperson, Advisory Board, CMIE  
Director, AIIMS

मुख्य अधिकारी/Director  
आखिल भारतीय आयुर्विज्ञान संस्थान  
All India Institute of Medical Sciences  
अंसारी नगर, नई दिल्ली-29  
Ansari Nagar, New Delhi-110029





240

CMIE AIIMS &lt;cmie@aiims.edu&gt;

**First Advisory Committee Meeting Minutes -31st May 2022**

9 messages

CMIE AIIMS &lt;cmie@aiims.edu&gt;

Mon, Jun 6, 2022 at 2:59 PM

To: dci@nic.in, "Dr. Manish Diwan" <sped@birac.nic.in>, rubina.bose@cdsco.nic.in, Vipin Kumar <director@nifindia.org>, anilwalli@hotmail.com, Subrata Sinha <sub\_sinha@hotmail.com>, Vineet Ahuja <vineet.aiims@gmail.com>, lalithkj <lalithkj@ccamp.res.in>, Padmaja Ruparel <padmaja@indianangelnetwork.com>, chandra@vipragen.com  
Cc: cco@cmie-aiims.in, "Dr. Alok Thakar" <drathakar@gmail.com>, bdo@cmie-aiims.in, blm@cmie-aiims.in

Dear Members,

We thank you for your active participation and valuable inputs/advice provided for the smooth and successful working of CMIE during the Advisory Board Meeting held on 31st May 2022 at AIIMS, New Delhi.

Kindly find the attached copy of the Minutes of the Meeting for your perusal. We request you to kindly go through and provide your valuable inputs/comments for approval.

Thanking you.  
Warm Regards,

Prof. Alok Thakar  
Member Secretary  
Project Head, CMIE  
Dept. of ENT (Otolaryngology)  
AIIMS, New Delhi

Prof. A.K. Dinda  
Chief Co-ordinating Officer, CMIE  
Emeritus Scientist (ICMR)  
Dept. of Pathology  
AIIMS, New Delhi.

Draft Minutes Advisory Committee 31st May 2022\_CMIE.docx  
1607K

Dr. Manish Diwan &lt;sped.birac@nic.in&gt;

Tue, Jun 7, 2022 at 1:10 AM

To: cmie@aiims.edu, "Dr. V.G. Somanl DCGI" <dci@nic.in>, "Dr. Manish Diwan" <sped@birac.nic.in>, "Dr. Rubina Bose" <rubina.bose@cdsco.nic.in>, director@nifindia.org, anilwalli@hotmail.com, sub\_sinha@hotmail.com, vineet.aiims@gmail.com, lalithkj@ccamp.res.in, padmaja@indianangelnetwork.com, chandra@vipragen.com  
Cc: cco@cmie-aiims.in, drathakar@gmail.com, bdo@cmie-aiims.in, bim@cmie-aiims.in

Looks fine

Regards,

Dr. Manish Diwan  
Head - Strategic Partnership & Entrepreneurship Development  
Biotechnology Industry Research Assistance Council (BIRAC)  
1st Floor, MTNL Building, 9, CGO Complex, Lodhi Road,  
New Delhi - 110003, INDIA  
Tel: +91-11-24389600  
Email: sped.birac@gov.in  
<http://www.birac.nic.in>  
[Quoted text hidden]



lallthkj <lallthkj@ccamp.res.in>

Tue, Jun 7, 2022 at 11:10 AM

To: CMIE AIIMS <cmie@allms.edu>

Cc: dcl@nic.in, "Dr. Manish Diwan" <sped@birac.nic.in>, rubina.bose@cdsco.nic.in, Vipin Kumar <director@nifindia.org>, anilwali@hotmail.com, Subrata Sinha <sub\_sinha@hotmail.com>, Vineet Ahuja <vineet.aiims@gmail.com>, Padmaja Ruparel <padmaja@indianangelnetwork.com>, chandra@vipragen.com, cco@cmie-aiims.in, "Dr. Alok Thakar" <drathakar@gmail.com>, bdo@cmie-aiims.in, blm@cmie-aiims.in

Dear sir,

These minutes are comprehensive and well captured.

Thanks

Lalith Kishore

[Quoted text hidden]

 Draft Minutes Advisory Committee 31st May 2022\_CMIE.docx  
1607K

Padmaja Ruparel <padmaja@indianangelnetwork.com>

Tue, Jun 7, 2022 at 11:15 AM

To: lallthkj <lallthkj@ccamp.res.in>

Cc: CMIE AIIMS <cmie@allms.edu>, dcl@nic.in, "Dr. Manish Diwan" <sped@birac.nic.in>, rubina.bose@cdsco.nic.in, Vipin Kumar <director@nifindia.org>, anilwali@hotmail.com, Subrata Sinha <sub\_sinha@hotmail.com>, Vineet Ahuja <vineet.aiims@gmail.com>, chandra@vipragen.com, cco@cmie-aiims.in, "Dr. Alok Thakar" <drathakar@gmail.com>, bdo@cmie-aiims.in, blm@cmie-aiims.in

Well captured minutes.

Best regards  
Padmaja

Sent from my iPhone

On 07-Jun-2022, at 11:10, lallthkj <lallthkj@ccamp.res.in> wrote:

[Quoted text hidden]

#### CONFIDENTIAL COMMUNICATION

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6/14/22, 12:11 PM

All India Institute of Medical Sciences Mail - First Advisory Committee Meeting Minutes -31st May-2022

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242

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Draft Minutes Advisory Committee 31st May 2022\_CMIE.docx  
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Wed, Jun 8, 2022 at 11:12 AM

Chandra Vipragen <chandra@vipragen.com>  
To: CMIE AIIMS <cmie@aiims.edu>  
Cc: dcl@nic.in, "Dr. Manish Diwan" <sped@biac.nic.in>, rubina.bose@cdsco.nic.in, Vipin Kumar <director@nifindia.org>, anilwali@hotmail.com, Subrata Sinha <sub\_sinha@hotmail.com>, Vineet Ahuja <vineet.aiims@gmail.com>, lalithkj <lalithkj@ccamp.res.in>, Padmaja Ruparel <padmaja@indianangelnetwork.com>, cco@cmie-aiims.in, "Dr. Alok Thakar" <drathakar@gmail.com>, bdo@cmie-aiims.in, bim@cmie-aiims.in

Dear Prof. Thakur and Prof. Dinda,

Thank you for the excellent hospitality and wonderful discussion. The minutes of the meeting capture all the points that were discussed.

Looking forward to contributing for the next steps.

Kind regards,

S. Chandrashekar, PhD  
Chairman and Managing Director  
Vipragen Biosciences Private Limited  
67/B, Hootagalli Industrial Area  
Mysore 570018, India  
<https://goo.gl/maps/KK26DQvD5UnvAumu5>

Tel: +91 821-4194611 | Mobile: +91 9845307317 | Email: chandra@vipragen.com | [www.vipragen.com](http://www.vipragen.com)

Toxicology | Drug Discovery | Analytical Chemistry | Medical Devices

\* **CONFIDENTIALITY NOTICE:** This e-mail message from Vipragen Biosciences Pvt Ltd (including all attachments) is for the sole use of the intended recipient(s) and may contain confidential and privileged information. Any unauthorized review, use, disclosure, copying, or distribution is strictly prohibited. If you are not the intended recipient, please contact the sender by reply e-mail and destroy all copies of the original message.  
[Quoted text hidden]

Thu, Jun 9, 2022 at 3:02 PM

Dr. V.G. Somani DCGI <dcl@nic.in>  
To: cmie@aiims.edu, cco@cmie-aiims.in, drathakar@gmail.com, bdo@cmie-aiims.in, bim@cmie-aiims.in  
Cc: "Dr. V G Somani" <vgajdcl@gmail.com>, Rubina Bose <bose.rubina@yahoo.com>, "Dr. Rubina Bose" <rubina.bose@cdsco.nic.in>, Rubina Bose <boser11121968@gmail.com>

Sir/Madam,

Thank you for sharing minutes, we have no further inputs.

With kind regards,

6/14/22, 12:11 PM

All India Institute of Medical Sciences Mail - First Advisory Committee Meeting Minutes -31st May 2022

Dr. V. G. Somanl  
Drugs Controller General (India)  
Central Drugs Standard Control Organization (HQ)  
FDA Bhawan, Kotla Road, New Delhi-110002

243

**From:** cmie@aiims.edu  
**To:** "Dr. V.G. Somanl DCGI" <dcg@nic.in>, "Dr. Manish Diwan" <sped@birac.nic.in>, "Dr. Rubina Bose" <rubina.bose@cdsco.nic.in>, director@nifindia.org, anilwali@hotmail.com, "sub sinha" <sub\_sinha@hotmail.com>, "vineet aiims" <vineet.aiims@gmail.com>, lalithkj@ccamp.res.in, padmaja@indianangelnetwork.com, chandra@vipragen.com  
**Cc:** cco@cmie-aiims.in, drathakar@gmail.com, bdo@cmie-aiims.in, bim@cmie-aiims.in  
**Sent:** Monday, June 6, 2022 2:59:24 PM  
**Subject:** First Advisory Committee Meeting Minutes -31st May 2022  
[Quoted text hidden]

75  
Azadi Ka  
Amrit Mahotsav

 **Draft Minutes Advisory Committee 31st May 2022\_CMIE.docx**  
1607K

**CMIE AIIMS** <cmie@aiims.edu>  
To: anilwali@hotmail.com

Thu, Jun 9, 2022 at 3:05 PM

[Quoted text hidden]

 **Draft Minutes Advisory Committee 31st May 2022\_CMIE.docx**  
1607K

**Anil Wali** <anilwali@hotmail.com>  
To: CMIE AIIMS <cmie@aiims.edu>

Fri, Jun 10, 2022 at 2:15 PM

Generally fine.

AW

**From:** CMIE AIIMS <cmie@aiims.edu>  
**Sent:** Thursday, June 9, 2022 3:05 PM  
**To:** anilwali@hotmail.com <anilwali@hotmail.com>  
**Subject:** First Advisory Committee Meeting Minutes -31st May 2022

[Quoted text hidden]

**Subrata Sinha** <sub\_sinha@hotmail.com>  
To: lalithkj <lalithkj@ccamp.res.in>, CMIE AIIMS <cmie@aiims.edu>  
Cc: "dcg@nic.in" <dcg@nic.in>, "Dr. Manish Diwan" <sped@birac.nic.in>, "rubina.bose@cdsco.nic.in" <rubina.bose@cdsco.nic.in>, Vipin Kumar <director@nifindia.org>, "anilwali@hotmail.com" <anilwali@hotmail.com>, Vineet Ahuja <vineet.aiims@gmail.com>, Padmaja Ruparel <padmaja@indianangelnetwork.com>, "chandra@vipragen.com" <chandra@vipragen.com>, "cco@cmie-aiims.in" <cco@cmie-aiims.in>, "Dr. Alok Thakar" <drathakar@gmail.com>, "bdo@cmie-aiims.in" <bdo@cmie-aiims.in>, "bim@cmie-aiims.in" <bim@cmie-aiims.in>  
Mon, Jun 13, 2022 at 11:05 AM



I agree that the minutes are in order  
Subrata sinha

244

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**From:** lalithkj <lalithkj@ccamp.res.in>

**Sent:** Tuesday, June 7, 2022 5:40 AM

**To:** CMIE AIIMS <cmie@aiims.edu>

**Cc:** dci@nic.in <dci@nic.in>; Dr. Manish Diwan <sped@birac.nic.in>; rubina.bose@cdsco.nic.in <rubina.bose@cdsco.nic.in>; Vipin Kumar <director@nifindia.org>; anilwali@hotmail.com <anilwali@hotmail.com>; Subrata Sinha <sub\_sinha@hotmail.com>; Vineet Ahuja <vineet.aiims@gmail.com>; Padmaja Ruparel <padmaja@indianangelnetwork.com>; chandra@vipragen.com <chandra@vipragen.com>; cco@cmie-aiims.in <cco@cmie-aiims.in>; Dr. Alok Thakar <drathakar@gmail.com>; bdo@cmie-aiims.in <bdo@cmie-aiims.in>; bim@cmie-aiims.in <bim@cmie-aiims.in>

**Subject:** Re: [EXT] First Advisory Committee Meeting Minutes -31st May 2022

[Quoted text hidden]



# CENTRE FOR MEDICAL INNOVATION AND ENTREPRENEURSHIP

All India Institute of Medical Sciences, New Delhi

245

## Minutes of Meeting (MOM)

### 2<sup>nd</sup> Advisory Board Meeting of CMIE - AIIMS

Date: 4<sup>th</sup> October 2023

Time: 11:00 AM Onwards

Venue: CMIE Boardroom, NCA Block, AIIMS, New Delhi - 29

### CMIE's Advisory Board Minutes of the meeting Draft

2<sup>nd</sup> Advisory Committee Meeting of Centre for Medical Innovation and Entrepreneurship, the BiIncubator of All India Institute of Medical Sciences, New Delhi was held on 4<sup>th</sup> October 2023, 11AM onwards at CMIE's boardroom. The meeting was attended by:

- |                              |  |
|------------------------------|--|
| 1. Prof. M. Srinivas         | - Chairman                                 |
| 2. Prof. Kaushal Kumar Verma | - Vice-Chairman                            |
| 3. Prof. Vineet Ahuja        | - Member                                   |
| 4. Dr. Manish Diwan          | - Member                                   |
| 5. Dr. Vipin Kumar           | - Member                                   |
| 6. Ms. Padmaja Ruparel       | - Member                                   |
| 7. Dr. Visala Annam          | - Member; Nominated by DCGI                |
| 8. Prof. Alok Thakar         | - Chief Coordinating Officer, CMIE - AIIMS |
| 9. Prof. A. K. Dinda         | - Project Head, CMIE - AIIMS               |

3 Members who could not attend had communicated about their inability to be present for the meeting:

- |                                 |          |
|---------------------------------|----------|
| 1. Dr. Chandrashekar Siddamappa | - Member |
| 2. Mr. Lalit Kishore            | - Member |
| 3. Dr. Anil Wall                | - Member |

### Meeting Minutes:

#### 1. Agenda and Introduction

The meeting was initiated with the warm welcome to all the members by Vice-Chairman followed by a brief highlight of the meeting agenda by Prof. Alok Thakar, Project Head, CMIE-AIIMS.

Prof. Dinda introduced the Advisory Board members present at the meeting. Each member's expertise and their support to CMIE was highlighted.

#### 2. Progress Report Presentation of CMIE - AIIMS

Dr. Madhusudan presented the progress report of CMIE - AIIMS, providing insights into:

- Incubatees and supporting mentors at CMIE - AIIMS
- Playback of infrastructure development of CMIE - AIIMS
- Support to AIIMS, New Delhi to formulate important policies on entrepreneurship front
- Activities organised in last 1 - year included the bootcamp and workshops.





**3. Comments from the members and way forward**

Following the completion of the presentation, advisory board members were invited to share their inputs, suggestions, and comments on the progress report and the future direction of CMIE – AIIMS. The comments were as follows:

- Ms. Ruparel emphasized the significance of intellectual property and equity in the context of CMIE – AIIMS and its start-ups. She further stressed that as an investor, the first due diligence would be towards identifying the ownership of the IPR. She shared her views on how CMIE – AIIMS can support the healthcare innovation ecosystem by providing right guidance, support to the start-ups and aspiring entrepreneurs. She suggested the CMIE seeks to interact with BIRAC collaborative health care investor group like “BioAngels”.
- Dr. Diwan supported the views and further stated that it is appropriate high time that innovators or start-ups own the IP, as this would pave the way for fund raising and also commercialise the technology or the product soon.

The members congratulated CMIE – AIIMS for the milestones achieved since its inception. However, owing to the completion of the project in May 2024, the members suggested the conversion of CMIE – AIIMS into Special Purpose Vehicle (SPV) of AIIMS, New Delhi for future sustainability of the bioincubation activities. Dr. Diwan and Dr. Vipin pointed that the need of SPV was discussed during the 1<sup>st</sup> Advisory Board Meeting of CMIE held on 31<sup>st</sup> May 2022. The members shared their view on the conversion of CMIE – AIIMS to Section 8, a not-for-profit entity of AIIMS, New Delhi, a type of SPV to support the health care innovation ecosystem.

**A. Section 8 Discussion and Other Models:**

- i. The committee underscored the significance of the advisability of a “Not for Profit Section 8” status for CMIE – AIIMS in terms of facilitating grant-in-aid, long-term sustainability, fostering business and investor connections, equity holding for revenue streams, achieving successful exits of start ups, and ensuring long-term resource sustainability.
- ii. Following the IP and equity discussion, the meeting continued to explore the establishment of Section 8 status and also exploring other models while taking these factors into account.
- iii. Dr Vipin Kumar recommended to consider the Section 8 company structure for CMIE as this would facilitate potential funding from CSR funds for future sustainability.
- iv. Dr. Vishala also underscored the importance of early regulatory guidance, expert mentorship, and clinical and regulatory validation, particularly for startup incubators aligned with a Section 8 company's growth.
- v. The Advisory Board advised prioritizing Section 8 incorporation of the CMIE as this was seen as crucial for the sustainability and growth of CMIE – AIIMS.
- vi. Dr. Diwan emphasized that BIRAC could provide support at the entry gate and during the seeding stage but might not offer further assistance if Section 8 incorporation and other avenues for financial sustainability were not explored. He highlighted the importance of Section 8 status for further continuing development of CMIE – AIIMS. It was noted that a large majority of BIRAC BioNEST bioincubators in other Govt. Institutions such as IITs had formed Section 8 company for their operation.







The Director acknowledged challenges in implementing entrepreneurship and Section 8 entity initiatives at AIIMS, citing current policy and hurdles. Following a discussion with the Vice-Chairman and members from AIIMS, he shared his view that CMIE – AIIMS may prepare a document and a presentation which would be organised at higher ministerial level for approval. He made an observation that the agendas of faculty entrepreneurship policy and creation of CMIE – AIIMS as a Section 8 not-for-profit entity may be kept separate. He supported the need of Faculty Entrepreneurship Policy at AIIMS, New Delhi and also acknowledged the initiative taken by Research Section, AIIMS, New Delhi towards the same. The need of Faculty Entrepreneurship Policy, AIIMS, New Delhi clearing through the committees was appreciated.

Further to this, Dr. Vipin shared his view on providing a document which can support CMIE – AIIMS to prepare its proposal to convert CMIE – AIIMS to a Section 8 not-for-profit entity owned by AIIMS, New Delhi.

**B. Collaboration Proposal by Ms. Padmaja:**

Ms. Padmaja, proposed a collaboration at the operational level. The collaboration would involve providing guidance and support to CMIE – AIIMS through mentoring sessions and meetings. Additionally, she proposed to offer assistance in the pre-selection/screening process of startups, particularly focusing on the commercial/ business aspects. This collaboration aims to provide insights to the CMIE regarding what investors typically look for in startups.

Dr. Padmaja also emphasized the significance of expanding outreach efforts and elaborated on the need to extend CMIE's reach to a wider audience, thereby enhancing its impact and engagement within the community. She stressed the importance of establishing effective communication channels and engagement strategies to connect with a broader stakeholder base, including potential partners and beneficiaries.

**C. Importance of Dedicated Team:**

Dr. Diwan emphasized the need for a full-time dedicated team to manage the operations of the incubator effectively.

**D. Commitment to Further Action:**

The Director expressed his commitment to address these concerns along with the CMIE team and take the necessary steps to bring them to the attention of policy makers for the establishment of Section 8 company at AIIMS.

**E. Vote of Thanks:**

The meeting concluded with a vote of thanks to all attendees for their valuable contributions and insights.

**Action Points:**

- CMIE – AIIMS to explore the formation of a Section 8 company and implement recommendations from the Advisory Board.







248

# CENTRE FOR MEDICAL INNOVATION AND ENTREPRENEURSHIP

All India Institute of Medical Sciences, New Delhi

- Consideration of models from institutions like Sree Chitra Tirunal Institute for Medical Sciences and Technology (SCTIMST), Indian Institute of Technology (IIT), Council of Scientific and Industrial Research (CSIR) for overcoming policy challenges.
- Developing a Section 8 status strategy as a priority.
- Taking Faculty Entrepreneurship Policy, AIIMS, New Delhi through the proper channel as followed at AIIMS, New Delhi.
- Ensuring alignment with BIRAC's support and other avenues for sustained growth and success of the incubation centre.
- CMIE - AIIMS to explore expansion of its full time dedicated team in view of establishment of its incubation and laboratory facilities at the Jhajjar campus, and also to augment inhouse mentoring expertise for IP and regulatory issues
- Further examination of the BIRACs BIG Program mandate and its implications on faculty involvement in entrepreneurship.
- Continued consideration of Section 8 incorporation or similar alternative models.
- CMIE - AIIMS to explore the collaboration proposal from Ms. Padmaja, assess its potential benefits, and initiate discussions for implementation.
- Investigation into the IP and equity aspects for CMIE - AIIMS and its startups.
- The Director-AIIMS to guide and lead CMIE and so as to facilitate and the discussed matters for the establishment of Section 8 company at AIIMS, New Delhi.

The meeting concluded at 1:00 pm with a vote of thanks.

Prof. M. Srinivas  
Chairman

Prof. Kaushal K. Verma  
Vice-Chairman

Prof. Vineet Ahuja  
Member

Prof. Alek Thakar  
Project Head (CMIE)

Prof. A. K. Dinda  
Chief Coordinating Officer (CMIE)

Approval for the minutes were received over email from:

- a. Dr. Manish Diwan, Member
- b. Dr. Vipin Kumar, Member
- c. Dr. Visala Annam, Member (Nominated by DCGI)
- d. Ms. Padamaja Ruparel, Member



## Minutes of the 2nd Advisory Board Meeting held on 4th October 2023

Mon, Oct 23, 2023 at 1:18 PM

CMIE AIIMS <cmie@aiims.edu>

To: "Dr. Manish Diwan" <sped@birac.nic.in>, vipin@nifindia.org, Padmaja Ruparel <padmaja@indianangelnetwork.com>, CDSCO visala <cdscoddcvisala@gmail.com>, visala.annam@cdsco.nic.in, "Prof. Kaushal Verma" <prokverma@hotmail.com>, Vineet Ahuja <vineet.aiims@gmail.com>, director@aiims.gov.in, anil.wali@fitt.iitd.ac.in, lalithkj <lalithkj@ccamp.res.in>, chandra@vipragen.com  
Cc: "Dr. Alok Thakar" <drathakar@gmail.com>, Amit Kumar Dinda <cco@cmie-aiims.in>

Dear Sir/Madam,

We thank you for kindly taking time out of your busy schedule to attend the 2nd Advisory Board Meeting of CMIE - AIIMS, New Delhi held on 4th October 2023.

Your valuable insights are very much appreciated and we are sure it will help pave the way for CMIE - AIIMS in days to come. We are delighted to inform you that CMIE - AIIMS was officially inaugurated on 19th October 2023 by The Director, AIIMS in presence of Prof. K. K. Verma (Dean, Academics), Prof. J. S. Titiyal (Dean, Research), AIIMS and Dr. Manish Diwan (BIRAC, New Delhi).

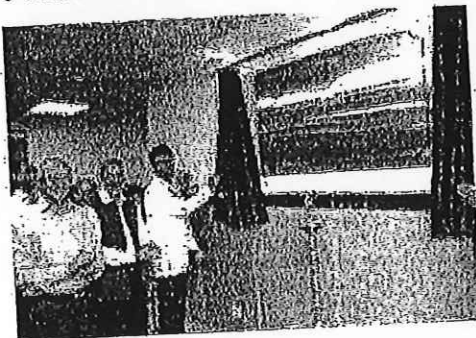
Kindly find the attached copy of the minutes of the Advisory Board Meeting. Requesting you to kindly go through the document and provide your inputs and suggestions.  
We request you to kindly provide the document with an approval latest by Friday, 27th October 2023.

Sincerely,  
Dr. Madhusudan Bhat

On Behalf of:  
Prof. Alok Thakar  
Project Head, CMIE - AIIMS  
AIIMS  
Professor & Head, Dept. of Otolaryngology & Head-Neck Surgery.  
Pathology  
Head, National Cancer Institute, Jhajjar  
AIIMS, New Delhi - 110 029

Prof. A. K. Dinda  
Chief Coordinating Officer, CMIE -  
Emeritus Scientist (ICMR), Dept. of  
AIIMS, New Delhi - 110 029

3 attachments

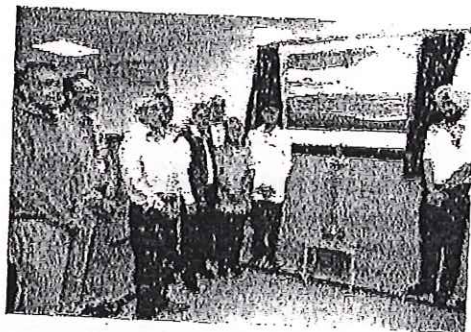


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*[Handwritten signature]*





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250

 Pre-Final - Meeting Minutes.docx  
23K



**AIIMS**  
New Delhi

251

## Minutes of the 2nd Advisory Board Meeting held on 4th October 2023

Tue, Oct 31, 2023 at 9:37 AM

Dr. Manish Diwan <sped.birac@nic.in>  
To: cmie@aiims.edu, "Dr. Manish Diwan" <sped@birac.nic.in>, vipin@nifindia.org,  
padmaja@indianangelnetwork.com, cdscooddcivisala@gmail.com, "Smt. Annam Visala" <visala.annam@cdsco.nic.in>,  
prokverma@hotmail.com, vineet.aiims@gmail.com, "Srinivas.M" <director@aiims.gov.in>, anil.wali@fitt.iitd.ac.in,  
lalithkj@ccamp.res.in, chandra@vipragen.com  
Cc: drathakar@gmail.com, cco@cmie-aiims.in

Looks fine.

Regards,

**डॉ. मनीष दीवान**

प्रमुख-रणनीतिक साझेदारी और उद्यमिता विकास,  
मिशन प्रभारी - मेक इन इंडिया, बायोटेक क्षेत्र

**Dr. Manish Diwan**

Head - Strategic Partnership & Entrepreneurship Development  
Mission Incharge - Make In India for Biotech sector

**Biotechnology Industry Research Assistance Council (BIRAC)**

1st Floor, MTNL Building, 9, CGO Complex, Lodhi Road,  
New Delhi - 110003, INDIA  
Tel: +91-11-24389600  
Email: sped.birac@gov.in  
<http://www.birac.nic.in>

----- Original message -----

From: cmie@aiims.edu

Date: 30/10/23 09:00 (GMT+05:30)

To: "Dr. Manish Diwan" <sped@birac.nic.in>, vipin@nifindia.org, padmaja@indianangelnetwork.com,  
cdscooddcivisala@gmail.com, "Smt. Annam Visala" <visala.annam@cdsco.nic.in>, prokverma@hotmail.com,  
vineet.aiims@gmail.com, "Srinivas.M" <director@aiims.gov.in>, anil.wali@fitt.iitd.ac.in, lalithkj@ccamp.res.in,  
chandra@vipragen.com

Cc: drathakar@gmail.com, cco@cmie-aiims.in

Subject: Re: Minutes of the 2nd Advisory Board Meeting held on 4th October 2023

21

Handwritten signature



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**Minutes of the 2nd Advisory Board Meeting held on 4th October 2023**

---

vipin@nifindia.org <vipin@nifindia.org>

Reply-To: vipin@nifindia.org

To: cmie@aiims.edu

Mon, Oct 30, 2023 at 1:05 PM

Cc: "Dr. Manish Diwan" <sped@birac.nic.in>, padmaja@indianangelnetwork.com, cdscooddccivisala@gmail.com, "Smt. Annam Visala" <visala.annam@cdsco.nic.in>, prokverma@hotmail.com, vineet aiims <vineet.aiims@gmail.com>, "Srinivas.M" <director@aiims.gov.in>, anil wali <anil.wali@fitt.iitd.ac.in>, lalithkj@ccamp.res.in, chandra@vipragen.com, drathakar@gmail.com, cco@cmie-aiims.in

Dear Prof Thakkar/ Prof Dinda

Thanks, I concur with the minutes of the 2nd Advisory Board Meeting held on 4th October 2023.

With warm regards,

Vipin Kumar

---

**From:** cmie@aiims.edu

**To:** "Dr. Manish Diwan" <sped@birac.nic.in>, vipin@nifindia.org, padmaja@indianangelnetwork.com, cdscooddccivisala@gmail.com, "Smt. Annam Visala" <visala.annam@cdsco.nic.in>, prokverma@hotmail.com, "vineet aiims" <vineet.aiims@gmail.com>, "Srinivas.M" <director@aiims.gov.in>, "anil wali" <anil.wali@fitt.iitd.ac.in>, lalithkj@ccamp.res.in, chandra@vipragen.com

**Cc:** drathakar@gmail.com, cco@cmie-aiims.in

**Sent:** Monday, October 30, 2023 9:00:05 AM

**Subject:** Re: Minutes of the 2nd Advisory Board Meeting held on 4th October 2023

nif.org.in

nif.org.in



**Minutes of the 2nd Advisory Board Meeting held on 4th October 2023**

Smt. Annam Visala <visala.annam@cdsco.nic.in>  
To: cmie@aiims.edu

Mon, Oct 30, 2023 at 9:34 AM

Dear Sir/Madam

Thank you for sharing the draft. I am in agreement with the draft MOM.

Thanks & Regards,

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**Minutes of the 2nd Advisory Board Meeting held on 4th October 2023**

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Mon, Oct 30, 2023 at 12:43 PM

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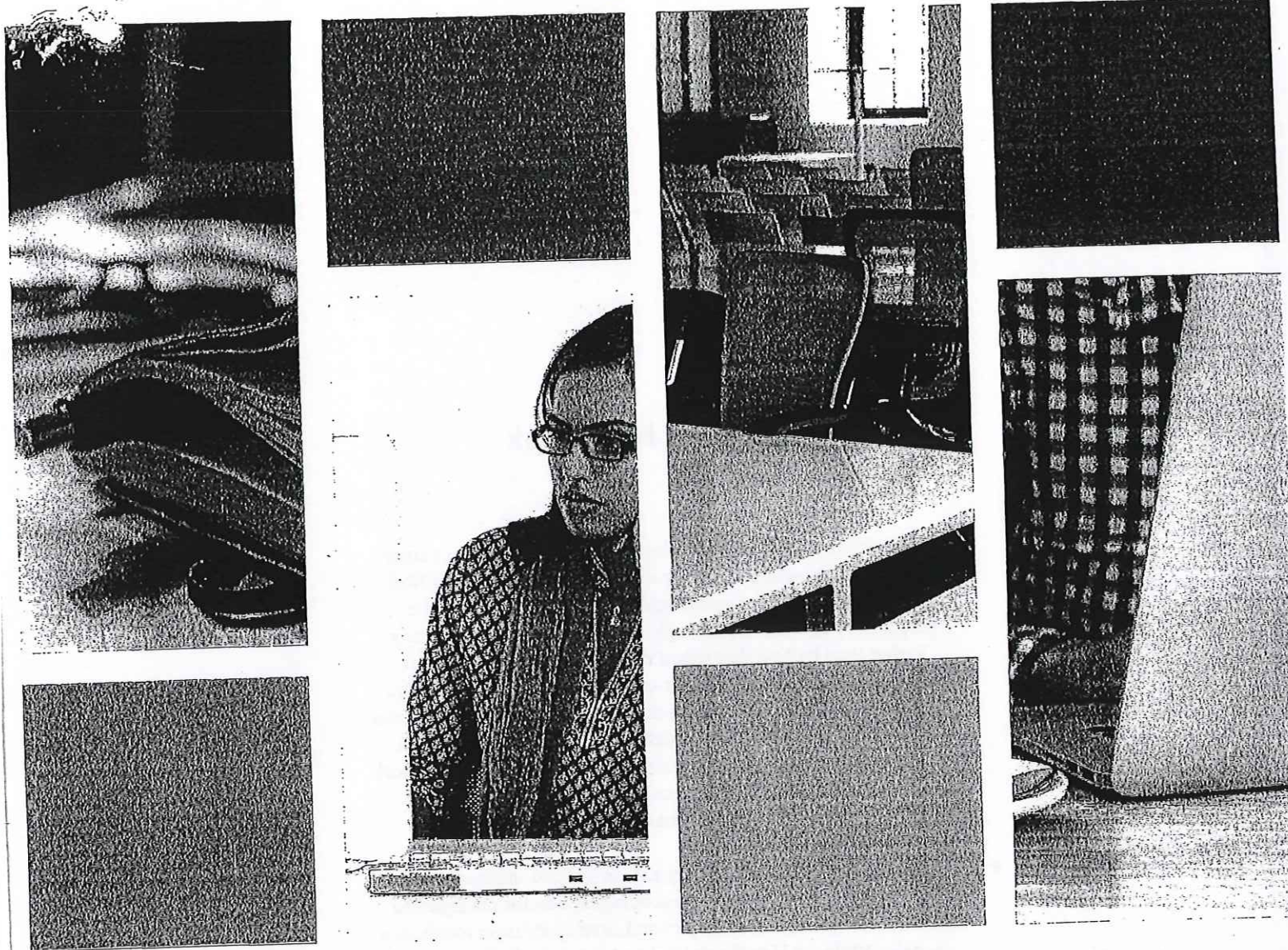
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## Handbook for Non-Profit Incubator Managers

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## About this Handbook

An incubator undergoes multiple phases during its journey from inception to growth and sustainability. This Handbook for Non-Profit Incubator Managers highlights various aspects of the preparatory and development phases of the incubator's journey.

Rather than being a theoretical discourse on incubation, this Handbook intends to be a hands-on guide for current and future incubator managers. Certain aspects of incubation like defining and measuring impact that necessitates a deeper research-oriented discussion have intentionally been toned down. Instead, a practical framework that might help incubator managers to plan their immediate actions has been put forward.

By combining high level strategy and on-ground implementation tools, this Handbook hopes to encourage incubator managers to think actively about various topics and develop stronger incubation models. While the Handbook has been chronologically arranged, day to day decision-making seldom follows this path. It is, therefore, important to get familiarised with all aspects of incubation presented here and utilise the strategies and tools as required. This Handbook also encourages new and existing incubators to share their experience, suggest newer approaches and ultimately build upon this Handbook.

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**Published by**

Deutsche Gesellschaft für Internationale  
Zusammenarbeit (GIZ) GmbH  
B5/1 Safdarjung Enclave  
New Delhi – 110029  
India  
[www.giz.de](http://www.giz.de)

GIZ is a German government-owned not-for-profit enterprise supporting sustainable development. This material has been developed under the project 'Responsible Enterprise Finance' under the GIZ India Private Sector Development Programme. The Project has been commissioned by the BMZ.

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CIIE is a Technology Business Incubator set up under the aegis of IIM-Ahmedabad. It is a Sec. 25 company focused on incubating startups that create scalable and innovative solutions in India.

**Designed by**

Blink Lab LLP, Ahmedabad, Gujarat

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## Foreword

India's start-up ecosystem has grown exponentially in recent years to become among the largest in the world, leapfrogging many other competitive countries. India's start-ups have created and explored many new markets and categories, instilled an innovative mind-set, provided cheaper and better services, and made entrepreneurship an attractive career option. This recent growth has become a source of inspiration to many other countries as well.

The rapidly-growing Indian ecosystem has its roots in the foundations laid by home-grown entrepreneurs such as Mr. Narayana Murthy, Mr. Azim Premji, Ms. Kiran Mazumdar Shaw and many others, all of whose efforts put India into the global orbit over the last few decades.

The Government of India has also been supporting entrepreneurship through various Ministries, such as Department of Industrial Policy and Promotion, Department of Science and Technology, Department of Biotechnology, Ministry of Skill Development and Entrepreneurship, etc. I am happy to see that the ecosystem continues to grow, fuelled by the young demography, global exposure, and zeal of the new economic players who want to put a dent in the universe through their disruptive innovations. These start-ups are now beginning deployment of technologies into core areas such as healthcare, food and agriculture, waste management, etc. that are critical to India's growth. This spurt in entrepreneurship is remodeling India into a destination for innovation and digital transformation.

In the present complex and competitive landscape, India's budding start-ups need structural and fundamental support to initiate, survive, grow, sustain, and attain their highest potential. Recognizing the need and potential of the start-ups, the Government of India has been instrumental in encouraging entrepreneurship, in the form of supportive policies, collaborative platforms, and institutions, looking

at the ecosystem in a holistic manner. 'Startup India', the ambitious programme launched by Hon'ble Prime Minister Shri Narendra Modi, has brought in a lot of positivity amongst the Indian entrepreneurs. As part of this program, the Government of India approved the Rs. 10,000 crore 'Fund of Funds' to support the startups.

However, startups require more than just funds to scale up to become enterprises. They need training, connections, and capacity building, usually provided by business incubators. India still lacks adequate incubation facilities that can catalyse the growth of the start-ups at the scale that the country requires. Atal Innovation Mission (AIM) at the NITI Aayog observes that incubators would play an instrumental role in helping startups, and is thus implementing programs to establish Atal Incubation Centres (AICs), and provide scale up support to the existing incubation centres across the country in various sectors.

AIM is proud to partner with CIIE to provide this handbook for incubator managers, which I hope will be a critical guide for the managers of non-profit incubators in India and further spur Indian entrepreneurship.

Best regards,



Amitabh Kant  
Chief Executive Officer  
National Institution for Transforming India  
Government of India



**NITI Aayog**

## Message

Start-up and entrepreneurship promotion is a clear priority for the Indian government to fuel economic growth and provide much needed jobs. However, as a recent study by the Planning Commission highlights, gaps remain in the Indian start-up eco-system: Apart from challenges in access to capital, the current support and incubation system is not sufficient to strengthen entrepreneurship in the country. Currently, there are around 220 incubators in India. Looking at the demand, incubation capacities need to increase to 1,000 incubators by the year 2020.

Good incubation support can be crucial for aspiring entrepreneurs starting out. New incubators are being established across the country, but support for new incubator managers remains limited. Additional challenges arise for incubators outside of India's metros.

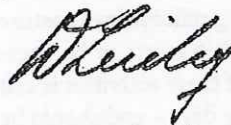
In order to close this gap and support incubators in establishing their operations, GIZ has joined hands with CIIE within the framework of the SIDBI - GIZ Responsible Enterprise Finance Programme, and worked with incubators across India over the last three years. This included workshops and trainings, on-site support as well as assistance with new partnerships and the setting up of structured programmes like business plan competitions and accelerators. A special focus has been on incubators which support social enterprises that aim to develop essential products and services for the underserved population in areas such as healthcare, agriculture, water, sanitation, affordable housing and energy.

Over the course of this work, and adding from CIIE's own experiences, a number of resources and learnings have been compiled which we would like to pass on to all interested incubators with this handbook. This handbook is very much a living document and work in progress, and will be refined as we learn and add the experiences from our ongoing efforts.

GIZ remains committed to supporting good incubation in India. We are currently working on a capacity building programme for incubators interested in applying for funding with the Department of Science and Technology together with the Indian Science and Technology Entrepreneurs Parks and Business Incubator Association (ISBA) within the framework of the MoMSME - GIZ Innovation Promotion in MSME project. In addition, we are working in public-private partnership mode with Bosch and Intellect on corporate engagement in start-up incubation which includes support to incubators interested in strengthening their capacities for partnering with corporates.

We hope this handbook is helpful for you, and are of course very happy to receive additional feedback or suggestions.

Happy reading!



Wolfgang Leidig  
Director - Private Sector Development  
GIZ India



## Message

India is amidst a significant entrepreneurial revolution – started by India's young minds and fuelled by growing investor community. The base of this entrepreneurial value chain is comprised of fledgling ideas and aspiring entrepreneurs – very often exposed to enormous amount of risks, be it financing, execution, team, product development, go-to-market or many other kinds of risks that any new idea faces. Incubators – which often mean different things to different people – can play a critical role in de-risking these ideas through their support. Unfortunately, people very often confuse incubation with just providing a physical space for entrepreneurs to work out of.

Incubation should be seen as the process of de-risking an idea or a start-up and helping them improve the odds of success. Hence, incubation process itself can take different forms or shape – including providing office infrastructure, prototyping lab, seed-funding, market-access or business mentoring, amongst others. Each of these activities is critical to de-risk the venture in its early days – and should be seen as a critical component of “incubation”.

As Indian incubation ecosystem leapfrogs into the next orbit, we felt that some of our thoughts and learnings from the past could be beneficial for new and upcoming incubator. While there have been innumerable books and publications on how to start a start-up, there hasn't been much written about “how to start an incubator”. This Handbook for Non-Profit Incubator Managers is an attempt to provide a do-it-yourself framework for aspiring incubation managers to better design, run, monitor and scale-up their incubation activities. As the Government of India and corporate sector commits significant resources towards incubation, we hope that this Handbook will help these incubators develop a strong core offering, and prioritize the deployment of resources at their disposal for the most impactful activity.

Just like there is no one secret recipe for creating a successful start-up, there is no one recipe for setting up a successful incubator. Nonetheless, we believe that thinking through some critical aspects upfront and designing the initiatives appropriately could significantly improve the probability of success, and thus the impact of the incubator.

While we would discourage the incubators to blindly follow this Handbook, we sincerely hope this will provide a useful framework for future incubation activities in the country and together we will produce not just many more unicorns but also more start-ups that create disruptive solutions for India's masses.

Best regards,



**Kunal Upadhyay**  
Chief Executive Officer  
Centre for Innovation Incubation and Entrepreneurship

## Acknowledgements

This Handbook is the outcome of the support of the numerous people who have contributed, reviewed and suggested changes to it over the months. While we are thankful to all the contributors and the entire staff of CIIE for their support, we would specially like to acknowledge the contributions of the followings:

Mr. Amitabh Kant for his kind words and Atal Innovation Mission for supporting the initiative

Mr. Wolfgang Leidig for his support and GIZ for the opportunity to undertake this endeavour

Prof. Rakesh Basant, Prof. Amit Karna, Prof. Neharika Vohra and Mr. Kunal Upadhyay for their support and feedback

Ms. Katharina Kuehn and Ms. Eileen Trenkmann for their patience, reviews and the much needed suggestions

Dr. Raghunandan Rajamani for his guidance and suggestions

Mr. Mudit Narain for his support

Mr. Vishwanathan S and the entrepreneurs for sharing their experiences that helped us to think through

Our colleagues, Mr. Chintan Bakshi, Mr. Vipul Patel, Mr. Amber Maheshwari, Ms. Sanea Vakaliya, Ms. Khushalee Kapadia, Mr. Neeraj Jain and Mr. Mohsin Bin Latheef for their time, validations and contributions

Mr. Jatinder Kumar for taking the interviews

Ms. Prachi Chavda and Mr. Mayank Mehta for helping out during their internship at CIIE

The designer at the Blink Lab for patiently incorporating the innumerable changes that we requested

And of course, thank you to all the participants of the Incubator Building Capacity Workshop organised by CIIE and GIZ as those workshops were the starting point for this Handbook



## Contents

1. Introduction	
a. Introduction	01
b. Incubator Classification	01
c. Incubator Development Phase	02
2. Planning the Incubator	
a. Host Organisation's Perspectives	05
b. Appointing an Incubator Manager	06
c. Availability of Funds	07
d. Identifying Legal Structure	10
e. Building the Work Culture	13
f. Identifying Revenue Streams	15
3. Developing Incubator's Strategy	
a. Understanding Start-ups & Identifying Start-up Support	21
b. Assessing Critical Success Factors (CSF)	24
c. Mapping Capabilities	27
d. Ecosystem Development	29
e. Impact Assessment Metrics	34
4. Beginning Operations	
a. Creating an Operations Plan	37
b. Activities & Programmes	37
c. Programme Management Components	42
d. Accelerators	43
5. Financial Assistance to Start-ups	
a. Types of Financial Assistance	47
b. Process Flow for Equity Investment	47
c. Post-investment Activities	48
d. Engaging Angel Investors	49
6. Managing the Incubator	53
7. Annexure	55

## 1. Introduction

### a. Introduction

Over the past decade, India's start-up ecosystem has experienced rapid growth. With the launch of the Start-up India Policy in January 2016, the Indian Government is gearing up to boost innovation, entrepreneurship and create employment opportunities. This adds a new lease of life to the multi-lateral initiatives that various ecosystem stakeholders have undertaken over the years. These stakeholders comprise academic institutions, governments, industrial bodies, corporate and business incubators. The initiatives are often collaborative efforts that leverage the stakeholders' mutual strengths to promote, nurture and support entrepreneurs. Such initiatives include framing policies, establishing new Technology Business Incubators and Centres of Excellence, creating newer programmes, platforms, and networks that can support entrepreneurship.

Amongst the different ecosystem stakeholders, business incubators have played a critical and instrumental role towards the growth of start-ups. NESTA's publication *Good Incubation in India* shows that:

- ▶ Incubators usually provide some combination of office space, business services, coaching and mentoring, funding and access to networks.
- ▶ Incubators have diverse goals, business models, host institutions and target enterprises, and they use a wide range of methods to support enterprises.
- ▶ There is no single recipe for effective incubation - incubators with the same aims can achieve these through different methods and combinations of support.<sup>1</sup>

The combination of support services provided by incubators varies according to their models and aims. Such support includes providing incubation or co-working spaces, lab spaces, new technological facilities, utilities, growth funds, mentoring and advisory support, and network and linkages. Incubators typically support start-ups by mitigating

various risks that start-ups face and provide both generic as well as specific incubation services.

This Handbook aims to provide non-profit incubator managers and other interested stakeholders a practical and deeper understanding of the strategies and operational tools required for setting up and running an incubation centre.

### b. Incubator Classification

Even though all business incubators focus on nurturing, promoting and developing start-ups, their classifications vary. The following classifications highlight the fundamental features of the incubators and also help anticipate the possible strategy and operational models of the incubators.

#### 1. Host Organisation:

An incubator can be differentiated on the basis of its parent body. The parent body, also called the host organisation, can be an academic institution or university, industrial body, government, corporate as well as a non-government organisation. The advantages that an incubator can derive from having an academic institution or university as a host organisation will be different from that of having an industrial body or a corporate or a government agency as parent body. For example, an incubator under the aegis of the academic institution or university can tap into the pool of distinguished faculty and alumni who can be mentors to a start-up. Similarly, an incubator under a corporate will benefit from technical experts and fund support through CSR. An incubator with government support will find it easier to gain visibility in the rural areas of the region.

#### 2. Sector Focus:

Some incubators are sector agnostic, thus, nurturing and promoting start-ups of all kinds. These incubators focus on all types of start-ups that come their way, irrespective of the stage of the start-up. It is more of a top down approach where

<sup>1</sup> Good Incubation In India, 2016, NESTA, DFID <http://isba.in/wp-content/uploads/2016/01/NESTA-DFID-good-incubation-in-india.pdf>



the incubator is trying to cater to most of the entrepreneurs of a particular region. Also, it often makes physical incubation possible as the start-ups use the physical infrastructure of the incubation centre. The disadvantage is that the incubator is flooded with a huge number of queries and applications. Therefore, the incubator would need manpower to sort and evaluate the applications and then revert to the entrepreneurs. However, this approach contributes to the overall development of the regional ecosystem.

There are other incubators that focus on specific sectors such as technology, agriculture, renewable energy, healthcare, design, cultural aspects such as arts and handicrafts, etc. These incubators generally have at least one or two team members who are experienced in that specific sector, who undertake the job of evaluating the start-up applications. However, these incubators do not restrict themselves to any particular region but cater to all start-ups of a specific sector from across the country. Whether they look into early stage start-ups or mature start-ups depends on their objective. However, such incubators cater through the virtual incubation model as the start-ups usually find it difficult to relocate.

### 3. Location:

Incubators can also be categorised on the basis of their location or regional approach. Some cater to specific start-ups in the urban areas where the ecosystem is more developed. Others help start-ups with less access to different facilities to emerge in the suburban or rural regions. Over the years, a large number of incubators have emerged in the metro or Tier – I cities such as Bengaluru, Mumbai, Hyderabad, etc. This has led to development of the regional entrepreneurial ecosystem in such cities. Consequently, the concentration of start-ups in these cities is much more than in the smaller cities owing to the facilities that the start-ups receive. Rural areas or smaller or Tier-II and Tier- III cities are catching up with this phenomenon with the setting up of more incubators. Presently, incubation centres can be found in smaller cities such as Jaipur, Nagpur, Coimbatore, Madurai and others. Their presence encourages and helps the entrepreneurs to follow their passion and intuition of starting their own ventures.

### 4. Commercial Purpose:

Here, commercial purpose refers to the nature of the incubator, i.e., 'for-profit' and 'not-for-profit'. The 'for-profit' incubators look at start-ups from the point of view of creating a source of revenue for themselves. This may be through commercialisation and licensing of technologies emerging out of their start-ups. Some also cater to the office space requirement of the start-ups and offer them working space in lieu of rent.

However, the 'not-for-profit incubators' aim at nurturing and promoting innovative start-ups to scale. Such incubators generally help entrepreneurs to move forward through the various level of venture development. The incubators with 'no-profit' motive are usually Section 8 companies registered under The Companies Act, 2013 (previously Section 25 company registered under The Companies Act, 1956) or are sometimes set up as a Society. The advantage of being registered as a Section 8 (formerly Section 25 company), Society or a Trust, as the case may be, are multiple. The incubator finds it easier to attract start-ups as they know that the aim of the incubator is to support start-ups. Further, the incubator can avail exemptions under Section 12AA of the Income Tax Act and can raise CSR funds from corporates as corporates benefit from the 80G certificate provided by the incubator for the funds received. Non-profit incubators are generally seen as developmental agencies; hence, it is easier to seek grants from both government as well as multilateral donors to run various entrepreneurship development programmes.

### c. Incubator Development Phase

The various phases of an incubator's developmental journey are projected in a whitepaper by the National Science and Technology Entrepreneurship Development Board (NSTEDB) '*Developing Ecosystem for Knowledge to Wealth Creation: Technology Business Incubator (TBI)*'. These phases are preparatory, development and mature phase<sup>2</sup>.

<sup>2</sup> Developing Ecosystem for Knowledge to Wealth Creation: TBI, NSTEDB <http://www.nstedb.com/Developing-Eco.pdf>

### Preparatory | 6 - 12 months before formal launch

- ▶ Appointing a nodal person from the Host Institute
- ▶ Enhancing preparedness to host the TBI
- ▶ Preparing a good TBI proposal with focus, vision and mission
- ▶ Milestones and viable business plans

### Development | 5 - 7 yrs after formal launch

- ▶ Flow of funds from funding agencies
- ▶ Creation of infrastructure and facilities
- ▶ Good governance and management system
- ▶ Core incubator team
- ▶ Incubation process and value added incubation services
- ▶ Flow of incubatee entrepreneurs
- ▶ Network and linkages
- ▶ Sustenance of incubator operations

### Mature | This phase comes after the development phase and should continue for long

- ▶ Good incubation environment
- ▶ Consistent flow of incubatee entrepreneurs
- ▶ Visibility in region
- ▶ Financially sustainable incubator
- ▶ Expansion and scaling up
- ▶ Hand holding of new incubators

Incubator Development Phase

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## 2. Planning the Incubator

Like any other project, setting up an incubator begins with planning. This Handbook focuses on 'non-profit' incubators that aim to nurture, promote, encourage and scale up their start-ups. The incubator may have an academic institution/university/corporate/government as a host organisation. The incubator may even be a private-public partnership (example, Startup Village in Kerala) or a joint venture (example, Startup Oasis in Jaipur). Irrespective of the type of host organisation, sector focus and location, the incubator would have to go through the 'incubator development phases' highlighted in the previous section. An incubator will need to identify multiple aspects parallelly, for example, vision and objectives, team, target start-ups, start-up support to offer. However, the following are the most important aspects that need to be determined before starting detailed planning:

- a. Host organisation's perspectives
- b. Appointing an incubator manager
- c. Availability of funds
- d. Identifying the legal structure
- e. Building a work culture
- f. Identifying revenue streams

### a. Host Organisation's Perspectives

Host organisations set up incubators for several reasons. A corporate, for example, might sponsor an incubator to manage innovation by searching for and supporting disruptive innovations. A foundation might sponsor creation of an incubator to address developmental goals that are aligned to its mission. Irrespective of their origin, whether sponsored or for-profit, setting up incubators requires a lot of basic background work. To set up an incubator, the host organisation has to broadly decide the following factors:

#### 1. Vision and Focus of the Incubator:

The host organisation sets up an Advisory Board or Council that is enthusiastic about setting up the incubator. The

members of this Board decide the vision of the incubator. Usually, the vision of the incubator is aligned to the objective of the host organisation. For example, an academic institution would want its incubation centre to encourage student and regional initiatives. A corporate would want to promote entrepreneurs that are creating solutions in their field of focus.

#### 2. Appointing a Representative Officer:

The host organisation appoints a representative officer who is usually an employee of the organisation. In an academic organisation, the representative might be a member of Faculty or the In-charge of the Entrepreneurship Development Cell. In a corporate, it might be an employee in the research, marketing or business development division. The representative officer is held responsible for taking up the initiative, exploring the feasibility of setting up the incubator with respect to the location and the sector and thereafter creating a basic approach plan. The Board or Council guides the actions and decisions of the representative officer. The representative officer has to address the following things:

- **Vision:** Ensure that the Board or Council has carved out a broad vision for the incubator. The incubator manager can then later detail out the objectives and goals without having to re-align the vision of the incubator.
- **Location:** Check whether setting up the incubator in the chosen location is feasible. This is often checked by conducting a basic study on the entrepreneurship trend in the region.
- **Infrastructure:** Find the need and availability of infrastructure for the incubator. An incubator may decide on whether it wants to provide physical or virtual incubation at a later stage. However, it will still need an office space to begin with. It can then try to find the space required. The best option is if the host organisation can provide incubation space at the outset. Space often becomes a constraint when the incubator tries to apply to some of the Government schemes for funds to set up operations.



- ▶ **Funding:** Estimate the basic fund requirement for the next two years and ensure that the incubator has initial funding to start with. Generally, the host organisation will have to provide the initial funding for registration of the incubator, hiring the incubation manager, infrastructural facilities, starting operations and maintaining a minimum capital in hand.
- ▶ **Governance:** Get clarity from the Board or Council that the Governance Board and Execution / Implementation team would be separate and the incubator will be registered as a separate legal entity. While the Board performs the advisory role and will help the incubator manager to build strategies; the executive functions will be performed by the incubator manager and the team hired for running the operations of the incubator.

## b. Appointing an Incubator Manager

As the plans for the incubator become more concrete, the immediate requirement of an incubator manager emerges. It should be noted that the representative officer cannot and should not be the incubator manager. The position of the representative officer is usually a temporary one and the person generally lacks entrepreneurial spirit. It is observed that for the member of Faculty (where the host organisation is academic institution), it is another additional assignment that does not have any incentive. While they would be willing to help or mentor the students, the work of the incubator adds to their long list of work and often clashes with their teaching and research.

For the in-charge of the Entrepreneurship Development Cell (where the host organisation is academic institution), the vision is often very myopic and does not cater to the incubator's objectives. The employees of the corporate find the work of the incubator as another additional assignment that needs to be achieved as a target. Hence, the essence is that the Board or Council needs to recruit an incubator manager. Further, the incubator manager needs to be an independent person working full-time exclusively for the incubator. The representative officer may help the Board or Council in recruiting the incubator manager.

It is a daunting task to recruit an incubator manager who has innate passion for entrepreneurship and willingness to help start-ups without becoming its founder. However, this time-consuming activity is one of the most significant factors in the long-term success of the incubator. The success, failure, accomplishments and growth of the incubator largely depend on the vision and the abilities of the incubator manager. Therefore, it is apt to recruit a zealous and innovative person with leadership qualities, the aggressiveness to pursue and the confidence to convince. The most prized quality of the incubator manager would be his or her entrepreneurial experience and network connections. This is important because the incubator manager should be able to empathise with the problems of the start-ups and should be able to create a path for both the incubator and its start-ups.

Recruiting such a person with varied experiences and qualities through job portals and recruitment agencies will be difficult. Diving deeper into networks where people know one another provides a better chance of finding such a person. Sometimes, business-oriented social networking sites such as LinkedIn can also be of help. The academic institution can also look into its network of alumni to find such a person. Also, the host organisation should consider offering the incubator manager a salary that is on par with the salary of the senior staff in an established corporate. Hence, the salary amount would be substantially higher than that of the staff in an academic institution or a foundation. NIDHI-TBI, Guidelines and Proforma for submission of proposal lays down that "Host Institution shall be free to decide on the remuneration of CEO. The DST grant for the salary for the CEO will be limited to Rs. 1.75 lakhs p.m. or actual, whichever is lower. This limit of Rs. 1.75 lakhs p.m. is fixed in the year 2016-17 and would get revised every year with a hike in salary of 10%."<sup>3</sup>

Upon recruitment, the incubator manager has to concentrate on a wide range of activities. Some of these would be as below:

1. Take over the charge from the representative officer
2. Understand the vision of the host organisation
3. Survey the ecosystem to understand the activities that are taking place
4. Identify the ecosystem stakeholders who can help the incubator
5. Decide the focus of the incubator

<sup>3</sup> NIDHI-TBI, Guidelines and Proforma for submission of proposal [http://www.nstedb.com/New\\_Programmes/NIDHI-TBI.pdf](http://www.nstedb.com/New_Programmes/NIDHI-TBI.pdf)



## Availability of Funds

7

6. Crystallise the objectives and goals of the incubator
7. Check the fund commitment available from the host organisation
8. Find other sources of funds for setting up the incubator
9. Submit proposals to different agencies, primarily government, to raise funds for initial activities
10. Form a separate legal entity for the incubator
11. Create an agreement between the host organisation and the incubator stating the objectives, commitments and the deliverables
12. Decide whether to register the incubator as a Technology Business Incubator (TBI)
13. Ensure that the governing and execution bodies of the incubator are separate
14. Decide on the business model that the incubator needs to follow
15. Create an approach document or plan to begin work
16. Visit other business incubators to understand various processes and activities
17. Connect with the other ecosystem stakeholders working within the same space

### c. Availability of Funds

The host organisation usually provides the initial funds required to set up and start the incubator operations. The expenses would include conducting surveys, travelling to meet other incubator managers and stakeholders, paying service providers for establishing a separate legal entity, registration fees, charges for infrastructural and utility facilities, etc. The fund available may or may not be adequate for a long time. Therefore, the incubator manager has to look out for different avenues of availing the fund. One of the modes to access the funds is to register as an incubator under the Department of Central Government or as a nodal institution under State Governments. The other mode would be raising funds through CSR. While the schemes and funds from the Government provide funds for capital expenditure such as infrastructural development and scaling up, programmes, mentoring as well as investments, the CSR funds

are usually restricted funds meant specifically for a project, programme, investment or start-up from a specific sector.

The following paragraphs provide a glimpse into the various funding agencies that support incubator depending on its objectives.

#### 1. National Science & Technology Entrepreneurship Development Board (NSTEDB):

NSTEDB, established in 1982 by the Government of India under the aegis of Department of Science & Technology (DST), is an institutional mechanism to help promote knowledge driven and technology intensive enterprises. It has a broad objective of promoting gainful self-employment amongst the Science and Technology (S&T) manpower in the country and to set up knowledge-based and innovation driven enterprises. The programmes conducted by NSTEDB have credited awareness among S&T persons to take up entrepreneurship as a career. The academicians and researchers have started taking a keen interest in such socially relevant roles and have engaged themselves in several programmes initiated by NSTEDB.<sup>4</sup>

NSTEDB provides support through its institutional mechanisms, namely, National Initiative for Developing and Harnessing Innovations (NIDHI), NewGen Innovation and Entrepreneurship Development Centre (NewGen IEDC), Science & Technology Entrepreneurship Development (STED) Project, Innovation – Science and Technology based Entrepreneurship Development (i-STED), Science & Technology Entrepreneurs Park (STEP), and Technology Business Incubator (TBI). It has also supported Entrepreneurship Development Cells.<sup>5</sup>

Under its NIDHI initiative, NSTEDB has multiple programmes, such as Grand Challenges and Competition for Scouting Innovations (GCC), PROMoting and Accelerating Young and ASpiring technology entrepreneurs (PRAYAS), Entrepreneur-In-Residence (EIR), Seed Support System (SSS), Accelerator, Centers of Excellence (COE), and others.<sup>6</sup> The objectives of each of these programmes are specific addressing the various requirements in the entrepreneurship ecosystem. For example, the objective of NIDHI-GCC is to find and nurture new and innovative solutions for major challenges being faced by the society that are viable and

<sup>4</sup> NSTEDB <http://www.nstedb.com/>

<sup>5</sup> Institutional Mechanism, NSTEDB <http://www.nstedb.com/institutional/>

<sup>6</sup> NSTEDB new programmes <http://www.nstedb.com/new-programmes.htm>



sustainable, whereas NIDHI-PRAYAS focuses on addressing the idea to prototype funding gap and NIDHI-EIR programme provides tremendous opportunities for innovative entrepreneurs to expand their networks and get critical feedback on their ventures in order to promote their entrepreneurial career goals and aspirations. Each of these programmes has its own objective, model, expected outcomes, quantum of funding, funding mechanism and guidelines. Any incubator willing to avail the benefits of these programmes has to go through the programme details before deciding the programme most appropriate for it.

While there are different variants of incubators like Technology Business Incubator (TBIs), Innovation Hubs, Centres of Innovation & Entrepreneurship, Virtual Incubators and Seed Accelerators, TBIs are preferred as powerful economic development tool. Ideally for TBI, a host organisation needs to be an academic, technical or research & development institution or any other institution with a proven track record in promotion of technology-based entrepreneurship. The host organisation should have been in existence for at least three years and is supposed to have adequate expertise and infrastructure to support incubation activity. In case the host organisation does not fall under any of the above-mentioned categories, then it should be a legal entity registered in India with the clear purpose and objective of promoting research, innovation and entrepreneurial ecosystem. DST does not support for-profit incubators.<sup>7</sup>

## 2. Atal Innovation Mission (AIM):

Atal Innovation Mission was set up under NITI Aayog, the premier policy 'Think Tank' of the Government of India. While designing strategic and long term policies and programmes for the Government of India, NITI Aayog also provides relevant technical advice to the Centre and the States.<sup>8</sup> AIM will be an innovation promotion platform involving academics, entrepreneurs, and researchers drawing upon national and international experience to foster a culture of innovation, R&D in India.<sup>10</sup> The platform promotes a network of world class innovation hubs and grand challenges for India such as Atal Grand Challenge Awards, Atal Tinkering Laboratories, Atal Incubation Centres and Scale-up Support to Established Incubation Centres.

The incubators need to go through the different schemes to understand the specific objectives. For example, the objec-

tive of the Atal Incubation Centre (AIC) scheme is to promote and establish incubation centres in India which would support and encourage start-ups in specific subjects or sectors such as manufacturing, transport, energy, health, education, agriculture, water, sanitation, etc and would provide them with necessary infrastructural facilities and other value added services. AIM will provide a grant-in-aid of INR 10 crore to each AIC for a maximum of five years to cover capital and operational expenditure cost.<sup>11</sup> Similarly, the scheme of 'Scale-up Support to Established Incubation Centres' envisages to augment capacity of the established incubation centres in the country. It requires the legal entity to be registered in India as public, private or public-private partnership and must be in operation for a minimum of three years. AIM will provide grant-in-aid support of INR 10 crore in two annual instalments of INR 5 crore to the incubation centres selected under this scheme. An established incubation centre will be eligible for the grant-in-aid under this scheme for a maximum of three years.<sup>12</sup>

## 3. Biotechnology Industry Research Assistance Council (BIRAC):

BIRAC set up under the Department of Bio-Technology, Government of India is a not-for-profit Section 8, Schedule B, Public Sector Enterprise. It is an interface agency to strengthen and empower emerging biotech enterprises to undertake strategic research and innovation, addressing nationally relevant product development needs.<sup>13</sup> Under Entrepreneurship Development, BIRAC has six programmes, namely, Biotechnology Ignition Grant Scheme (BIG), BIRAC - SRISTI, BIRAC Regional Innovation Centre (BRIC), BIRAC University Innovation Cluster (UIC), BioIncubators Nurturing Entrepreneurship for Scaling Technologies (BioNEST), and AcE Fund. Apart from these, BIRAC also supports early and late stage innovations. Each of these programmes has its separate guidelines, process and funding support mechanisms. BIRAC has partnered with different organisations for these programmes, for example, its current BIG partners are IKP Knowledge Park - Hyderabad, C-CAMP - Bangalore, Foundation for Innovation and Technology Transfer - New Delhi, KIIT Technology Business Incubator - Bhubaneswar, and Venture Centre (Entrepreneurship Development Centre) - Pune.<sup>14</sup>

<sup>7</sup> NSTEDB Revised guidelines of TBI [http://www.nstedb.com/institutional/Approved%20Revised\\_guidelines\\_of\\_TBI.pdf](http://www.nstedb.com/institutional/Approved%20Revised_guidelines_of_TBI.pdf)

<sup>8</sup> NSTEDB TBI <http://www.nstedb.com/institutional/tbi.htm> <sup>9</sup> NITI Aayog about us <http://niti.gov.in/content/overview>

<sup>10</sup> Atal Innovation Mission <http://niti.gov.in/content/atal-innovation-mission> <sup>11</sup> AIM: Atal Incubation Centres <http://niti.gov.in/content/atal-incubation-centres-aics>

<sup>12</sup> AIM: Scale-up Support to Established Incubation Centres <http://niti.gov.in/content/scale-support-established-incubation-centres>

<sup>13</sup> BIRAC website <http://www.birac.nic.in/> <sup>14</sup> BIRAC BIG description [http://www.birac.nic.in/desc\\_new.php?id=83#](http://www.birac.nic.in/desc_new.php?id=83#)



#### 4. Ministry of Electronics and Information Technology (MeitY):

MeitY promotes e-Governance for empowering citizens, promoting inclusive and sustainable growth of the Electronics, IT & ITeS industries, enhancing India's role in Internet Governance, adopting a multi-pronged approach that includes development of human resources, promoting R&D and innovation, enhancing efficiency through digital services and ensuring a secure cyber space. MeitY has multiple divisions and organisations.<sup>15</sup>

Under its Research and Development (R&D), the Ministry has R&D in Information Technology, R&D in Electronics, Innovation IPR and Centre of Excellence (CoE), R&D in Convergence Communications & Broadband Technologies (CCBT) and Schemes & Policies. Through its Technology Incubation and Development of Entrepreneurs (TIDE) scheme, MeitY aims to assist institutions of higher learning to strengthen their Technology Incubation Centres and thus enable young entrepreneurs to initiate technology start-up companies for commercial exploitation of technologies developed by them. The host organisation plays an important role in establishment, smooth and efficient functioning and nurturing of the TIDE centre. Under the scheme, each TIDE centre receives financial support as grant-in-aid of upto INR 155 Lakhs, payable in instalments. Out of these funds, up to INR 30 lakhs can be used for improvement in infrastructure and operations whereas INR 125 lakhs can be used for financially supporting incubating companies (upto INR 25 lakhs per company).<sup>16</sup>

#### 4. Ministry of Micro, Small & Medium Enterprises (MSME):

MSME, under the Government of India, is an apex body for the formulation and administration of rules, regulations and laws relating to micro, small and medium enterprises in India. MSME has various schemes and programmes under its SME division, ARI division and DC MSME scheme to help and assist entrepreneurs, especially small businesses.<sup>17</sup> Some of the schemes related to innovation and entrepreneurship are A Scheme for Promotion of Innovation, Rural Industry & Entrepreneurship (ASPIRE), Scheme for 'Support for entrepreneurial and managerial development of SMEs through incubators' an NMCP Scheme, Scheme for 'Strengthening of training infrastructure of existing and new Entrepreneurship Development Institutions', Scheme for 'Sup-

porting 5 selected universities / colleges to run 1200 entrepreneurship clubs per annum', Scheme for 'Trade Related Entrepreneurship Assistance and Development (TREAD) for women', and Scheme for 'Entrepreneurship Skill Development Programmes (ESDP)'.<sup>18</sup>

Amongst these, ASPIRE Scheme is for the Livelihood Business Incubators (LBIs) or Technology Business Incubators (TBIs). Through this Scheme, MSME provides INR 30 lakhs for incubator capex to existing TBIs and INR 100 lakhs to set up new TBI. It also provides INR 3 lakhs per idea for incubation of ideas. For the creation of enterprise out of innovative idea, MSME provides a seed capital Fund of INR 1 crore per incubator, 50% of project cost or INR 20 lakhs per successful idea, whichever is less. All these funding support will be based on the achievement of the milestones mentioned in the guidelines of the Scheme.<sup>19</sup>

#### 6. State Governments:

A number of State Governments such as Kerala, Andhra Pradesh, Karnataka, and Telangana have also been active in supporting the incubators in their respective states. Other states such as Madhya Pradesh, Rajasthan, Gujarat, West Bengal and Bihar are speeding up to support incubators and start-ups through their start-up policies, start-up funds and venture capital funds (VCFs).<sup>20</sup>

The State Governments under various policies and schemes provide support to institutions that assist the start-ups and innovation. For example, the 'Scheme for Assistance for Start-ups/Innovation' announced by the Industries Commissionerate of Government of Gujarat supports nodal institutions that can assist start-ups and innovation. Nodal Institutions means institutions that would like to undertake start-ups. These institutions include Universities/educational institutions, incubation centres, PSUs, R&D institutions, private and other establishments.

#### 7. CSR (Corporate Social Responsibility) Funds:

The CSR provisions of The Companies Act 2013 are applicable to every company registered under The Companies Act 2013 and any other previous Companies Law having: net worth of INR 500 crores or more, or turnover of INR 1000 crores or more, or a net profit of INR 5 crores or more during any financial year. The funds provided to incubators

<sup>15</sup> About MeitY <http://meity.gov.in/content/about-dit> <sup>16</sup> MeitY TIDE <http://meity.gov.in/content/technology/incubation-and-development/entrepreneurs>

<sup>17</sup> MSME website <http://msme.gov.in/mob/home.aspx> <sup>18</sup> MSME Schemes <http://msme.gov.in/mob/SchemeNew.aspx>

<sup>19</sup> ASPIRE Guidelines <http://msme.gov.in/WriteReadData/Whatsnew/ASPIRE/Guidelines/Final-02Jun15.pdf>

<sup>20</sup> Article 'Start-up India - how do the States fare', Your Story, January 12, 2016 <http://yourstory.com/2016/01/start-up-india-state-policies/>



and incubation-related activities can be treated as CSR funds subject to the rules of The Companies Act, 2013. In this regard, General Circular No. 21/2014 of MCA dated June 18, 2014 clarifies that contribution to the corpus of a Trust/Society/Section 8 companies etc. will qualify as CSR expenditure as long as: (a) the Trust/ Society/ Section 8 company etc. is created exclusively for undertaking CSR activities or (b) where the corpus is created exclusively for a purpose directly relatable to a subject covered in Schedule VII of the Act<sup>21</sup>

#### d. Identifying Legal Structure

Before deciding upon a particular legal structure, the incubator manager should talk to other incubator managers and similar organisations to understand their perspective. The 'non-profit' incubator can choose any of the following legal structures for itself:

1. Society under Society Registration Act, 1860 or equivalent State Law
2. Section 8 Company under The Companies Act, 2013 (formerly Section 25 company under The Indian Companies Act, 1956)
3. Public Charitable Trust

While all the above-mentioned legal structures allow the incubator to avail the following benefits, yet the choice has its own discretion:

- ◆ Exemption under Section 12AA under the Income Tax Act 1961; subject to permission from the Income Tax Authority
- ◆ Ability to provide its donors the benefit of availing exemption on donations given under Section 80G of the Income Tax Act, 1961; subject to permission from the Income Tax authority for grant of approval under 80G"
- ◆ Allowing FCRA registration that allows accepting receipt of fund from foreign entity

The subsequent paragraphs provide a glimpse on issues that guide the choice of legal structure:

- ▶ **Control:** The Section 8 company has much more transparency than the Society or Trust form. For example, the Companies Act, 2013 requires the Section 8 company to hold a minimum of four Board Meetings where the business of the organisation is discussed. This ensures that the activities of the organisation are aligned with its objectives. The minutes of the meetings are also to be maintained. In case of a Society or a Trust, there is no regulation that binds such organisations to convene any meeting. Hence, the members of the organisation can carry on activities on their own accord. However, one can ensure proper governance structure by specifying it in bye laws for Society and in trust deed for Trust.
- ▶ **Transparency:** The Section 8 company is required to adhere to the regulations under The Companies Act, 2013 and hence needs to submit statutory and other filings to the Ministry of Corporate Affairs (MCA) and other statutory authorities. This facilitates more transparency as the external agencies can also access the documents through the MCA and other portals as required. In case of the Society and Trust, the statutory filings are made at regional level, thus, making it difficult for the external agencies to access any documents for review.
- ▶ **Compliances:** Since the Section 8 company is governed by The Companies Act, 2013 it is required to adhere to multiple compliances. While more compliance implies more documentation, it also ensures that the company is abiding by rules and the business is being conducted legally. For example, in case of a Section 8 company, the resignation of a Director needs to be immediately reported to the MCA, whereas, in case of the Society and Trust, it can be reported at the time of annual filing of reports. The quantum of compliances and documentation including filings is much higher in a Section 8 company than in the Society or Trust.
- ▶ **Holding of Equity:** The incubator, as part of supporting start-ups, provides seed fund in the form of equity investment. While a Section 8 company and Society can hold shares in an incubated company, the Trust shall have to appoint an individual or a corporate body to hold the shares in the incubated company on its behalf.

<sup>21</sup> FAQ on CSR Cell MCA website [http://www.mca.gov.in/MinistryV3/faq\\_CSRcell.html](http://www.mca.gov.in/MinistryV3/faq_CSRcell.html)



Therefore, the essence is that an incubator registered as a Section 8 company in comparison to an incubator registered as a Society or Trust will require adhering to more compliance and having more documentation but will be more transparent. The incubator manager can find a comparison of the three legal structures in the following table:

Particulars	Society	Section 8 company	Trust
Formation & Ownership	Minimum 7 persons should subscribe their names to Memorandum of Association (MoA), file the same and certified copies of the same with the Registrar of Society along with the fees	Minimum 2 persons should subscribe their name to the MoA and apply to the Regional Director for registration under Section 8 of The Companies Act, 2013	The Act remains silent on the number of trustees required. Hence, a single trustee can also govern the Trust. However Income Tax Authorities ask for atleast two trustees to govern the trust
Timeline for Formation	1 Month	1 - 3 Months	10 - 15 days
Formation Cost	INR 3,000 - 10,000	INR 30,000 - 50,000	INR 10,000 - 15,000
Liability	Limited to their subscription amount	Limited to their subscription amount	Limited liability to make good the loss which the trust property has sustained
Compliance Requirement	List of the names, addresses and occupations of the governors, council, directors, committee, or other governing bodies must be filed annually with the registrar	Annual accounts and annual return of the company to be filed annually with RoC. Maintenance of various secretarial records including inter-alia minutes books for the board meeting, general meeting and various other statutory registers is required to be maintained	Statement of accounts of the trust to be submitted to Assistant Charity Commissioner. If the Trust is creating a Corpus, then the provision of creating the Corpus should be mentioned in the Trust Deed
Alteration of Objects	Objects can be modified with the approval of 3/5th of the members	Objects can be modified anytime subject to approval of Central Govt.	Objects can be modified subject to approval of the Charity Commissioner.
Management Control	Governing Council as elected by the society members	Directors are appointed by the shareholders	Trustees / Board of Trustees are appointed
Members Participation	As per the MOA of the society	All the rights of the shareholders as per The Companies Act and MOA, ordinary resolution, special resolution etc.	As per the Trust Deed

Table 1: Comparison between Society, Section 8 Company and Trust

Particulars	Society	Section 8 company	Trust
Termination	Can be dissolved by 3/5th of the members	Winding up is a cumbersome and time-consuming process which can take anywhere between 10-12 months	Trust is generally irrevocable and cannot be wound up. However, it extinguishes when its purpose is completely fulfilled or becomes impossible or by the testator/author of the Trust and by the consent of all the beneficiaries competent to contract
Transfer of Ownership	Permissible with appointment of new members and resigning of old members and approved by 3/5th members resolution	By transfer of shares	A new trustee can be appointed in place of the existing trustee subject to approval from the Charity Commissioner
Area of operations	Usually restricted to state boundaries	All of India	As per the Trust Deed
Public Transparency	Low	High	Low

Table 1: Comparison between Society, Section 8 company and Trust

Apart from the aspects highlighted in the table above, few of the issues for each legal structure have been highlighted in the respective paragraphs:

#### 1. Formation of Society under Society Registration Act, 1860

- ▶ **Member & Governing Board:** A society is formed when about seven persons come together for a common purpose in a general body. Each general body member has one vote. The general body then elects a governing board (usually 5 - 7 persons) from among the members. The governing board manages the organisation directly or through executive employees.
- ▶ **Applicable Law:** Societies in many states are governed by the Societies Registration Act, 1860 in its original or amended form. However, a number of states have passed their own laws for regulating societies - these laws have replaced the original Societies Registration Act, 1860.
- ▶ **Operations:** A society formed in one state can usually operate in other states if its Memorandum says so. However, in many states, the registrars may refuse to register such a society or they may impose additional

conditions. However, finding and corraling seven members can sometimes be difficult.

- ▶ **Reporting to the Registrar:** Governance and public filing requirements vary from one state to another. In general, every society has to file a list of governing body members annually. Many states ask for the filing of audited accounts as well. However, there are many which do not. The main Act, i.e., The Societies Registration Act, 1860 itself does not have any provision for filing of audited accounts.

#### 2. Formation of Section 8 company under the Indian Companies Act, 2013

- ▶ **Pre-conditions for incorporation of Section 8 Company:** There are three conditions for this:
  - ◆ The Company must be formed for charitable objects.
  - ◆ Income and profits should be applied towards these objects.
  - ◆ It should not pay any dividend to its members.



- ▶ **Member & Directors:** It can be formed with just two persons. It should have at least two directors, who need not be members. The company can be formed with shares or can be formed, limited by guarantee. If the company is formed with shares, then each member gets votes in proportion to their shares. If the company is formed with a limited by guarantee, then each member gets one vote.
- ▶ **Operations:** Such a company can operate in any state without additional formalities. There are number of compliances under the provisions of The Companies Act 2013, and it is easy to make a costly mistake. However, there are severe penalties for the violation of any provisions of the Act. Even so, a Section 8 company is more robust, transparent and accountable than a society. This is the best form to choose for publicly supported development work. In general, the incubator struggles to decide the type of entity it wants to create for itself because the mandate of the host organisation often limits it.

### 3. Formation of Public Charitable Trust

- ▶ **Applicable Law:** The trusts are under the jurisdiction of Deputy Registrar/Charity Commissioner of the relevant area.
- ▶ **Registration:** In the case of Public Charitable Trust, whether in relation to movable property or an immovable property and whether created under a will or inter vivos, registration is optional but desirable..
- ▶ **Governing Body:** The Trust is controlled by the Settler or the Trustor; however, the Trustee or the Board of Trustees is the governing body that takes care of the execution of the functions and the activities for the achievement of the objectives of the Trust.

### e. Building the Work Culture

Culture is an important determinant of the incubator's success. The majority of the incubators in India are set up in academic institutions - entities with cultures that are diametrically opposite to that of a start-up. Their longer

feedback loops leading to longer cycles of decision-making do not align with the needs of a start-up. Start-ups are agile organisations and deal with a huge amount of uncertainty. They need incubators that understand their challenges. Incubators, therefore, need to mimic a start-up's culture to be able to empathise with them. Owing to the cultural differences between an academic institution and a start-up, the incubator manager should take conscious steps to define, build and nurture a culture in the incubator. This also leads to the imperative solution that the culture including the work process and decision-making should be different from that of the academic institution. Therefore, establishing the incubator as an independent entity with its own executive machinery makes more sense. According to Gorman, "*The world's best workplaces face the daunting task of creating 'one workplace culture' from a myriad of local cultures in which they operate.*"<sup>22</sup> Stephen Wunker and George Pohle in their Forbes article, *Built for Innovation*, highlight that the same task is more difficult for a business incubator perhaps as it tries to cater to start-ups of different characteristics. Innovation is the key to an incubator's setting up, existence and growth. While there is no set formula for creating an innovative enterprise, the four models, namely, marketplace of ideas, visionary leader, systematic innovation, collaborative innovation account for the majority of the most successful companies today.<sup>23</sup>

While the business incubator may choose any of the models that the companies follow; more often it is the multi and cross cultural aspects intermingled with openness of the environment that defines the incubator or the incubator's culture. Culture also defines how the organisation organises itself, its relations with customers (internal and external) and how the organisation treats staff.<sup>24</sup>

Like other organisations, the culture of the incubator is also established by its leaders, i.e. the incubator manager. It is his or her beliefs, values and vision that shapes the culture of the organisation. This results in behaviours that guide the employees of the incubator about what is appropriate or inappropriate. When organisations develop positive, virtuous cultures they achieve significantly higher levels of organisational effectiveness including financial performance, customer satisfaction, productivity, and employee engagement.<sup>25</sup>

<sup>22</sup> What makes a workplace a 'Great Place?', Brandon Southward, Forbes Article, Nov 2013 <http://fortune.com/2013/11/29/what-makes-a-workplace-a-great-place/>

<sup>23</sup> Built for Innovation, Stephen Wunker and George Pohle, Forbes Articles, Oct 2007 <http://www.forbes.com/forbes/2007/11/12/137.html>

<sup>24</sup> Organizational Culture and Its Themes, Shini Sun, International Journal of Business and Management, Dec 2008 [www.ccsenet.org/journalIndex.php/ijbm/article/download/760/726/](http://www.ccsenet.org/journalIndex.php/ijbm/article/download/760/726/)

<sup>25</sup> Proof that Positive Work Cultures Are More Productive, Emma Seppala and Kim Cameron, Harvard Business Review, December 2015 <https://hbr.org/2015/12/proof-that-positive-work-cultures-are-more-productive>



Archtype	Leadership	Staff	Process	Environment	Examples
Marketplace of Ideas	Executives content with 'leading from behind'	Staff recruited for their creativity and passion	Well-stated goals and boundaries; ability to trail quickly; clear metrics for success	Should allow for and encourage experimentation	Google, 3M, Best Buy, television companies
Visionary Leader	An executive with insight and creativity who motivates employees to pursue a vision	Staff who are adept at team-work and can execute leader's plan	Well- understood mechanisms that link executive vision to daily activities	Few interdependencies with outside parties; a business model that supports pursuing just a handful of big initiatives	Steve Jobs (Apple), Akio Morita (Sony), Henry Ford
Systematic Innovation	Strong executive leadership that sets priorities, raises urgency and allocates resources appropriately	Staffing policies that dedicate small numbers to discrete tasks and do not penalise failure	Cross-functional approaches and a high tolerance for dissent and experimentation	Diffuse product lines that are impossible for a small set of individuals to dictate and control	Samsung, Procter & Gamble, Goldman Sachs
Collaborative Innovation	Recognises when to outsource, has expertise in forming strategic alliances and navigating conflicts with partners	Staff empowered to make deals with outside vendors without the onus of approved policies	Competency in finding external partners; technology or infrastructure that enables dynamic reconfiguration	Excellent understanding of customer needs, a strategic advantage (economic, brand channel) that maintains differentiation	Vodafone, Facebook

Table 2: Mapping your Innovation DNA: Built for Innovation, Forbes Article (2007)

As per Kahler Slater & Granite's *'Insights from a Think Tank: The Future of the Workplace'*, the five themes that have emerged for the Future of the Workplace are:<sup>26</sup>

1. A stronger focus on well-being in the workplace
2. The ability to change and customise the workplace quickly
3. The expanded role of the workplace in inspiring employees
4. A focus on the workplace as a 'Connector' for people
5. An increase in personalisation in the workplace

An incubator's culture is no different. It focuses on its workplace that constitutes the incubator's team, the start-ups and its staff members. It is the combination of flexible work timings, nature of the work, openness in infrastructure, passionate team members who are always ready to help and the openness of mind to accept ideas and experiment that defines an incubator's work culture. These elements make the incubator a home away from home for both the incubator's team as well as the entrepreneurs who spend countless hours debating, deliberating, discussing, and working.

The key points that the incubator manager should perhaps look into are:

<sup>26</sup> Insights From a Think Tank: The Future of the Workplace: Kahler Slater & Granite: 2015 [http://www.kahlerslater.com/content/pdf/Whitepaper\\_ThinkTank.pdf](http://www.kahlerslater.com/content/pdf/Whitepaper_ThinkTank.pdf)



## Identifying Revenue Streams

- ▶ Recruiting team members who are passionate about start-ups and understand how a start-up works. It works best if the team members have entrepreneurial experience or exposure to start-ups.
- ▶ Creating the same level of motivation and commitment as his/hers, amongst the team members, for the welfare of start-ups.
- ▶ Good infrastructure with spacious meeting rooms, open areas for discussions and interactions, with internet and other facilities.
- ▶ Rooms with brightly coloured walls and furnishing to give the environment a good feel that attracts both, the team members as well the start-ups.
- ▶ Facilitating open discussions amongst team members to design various activities and programmes.
- ▶ Having flexible work timings that help the team members to work at their own convenience and interact with start-ups without any restrictions.
- ▶ Organising small events on a monthly or bi-monthly basis to facilitate gathering of 10 – 15 start-ups that can discuss their experiences and challenges. These events may also have established entrepreneurs as speakers.
- ▶ Having a co-working space that can accommodate entrepreneurs working in different domains. This also helps to build a network within the incubator as they help each other with services.

### f. Identifying Revenue Streams

Across the globe, there are multiple models of revenue that an incubator can follow. Infodev's *Global Practice in Incubation Policy Development and Implementation*<sup>27</sup> highlights four business models as below:

- ▶ **Rent Model:** Rental charges to clients can be a source of funds though incubators need to achieve a significant size before this becomes a major income source.
- ▶ **Equity Model:** Incubators can take minority stakes (2-6 %) in incubated businesses, often in return for

free and low rent periods, enabling future income from dividend payments. An additional equity (e.g 1-2%) may be further added for additional periods spent in the incubators.

- ▶ **Royalty Model:** According to this model, revenues earned by the client will legitimate a royalty payment for the incubator. Usually the royalty is at around 5% of the revenue and is limited in time (on an average, five years).
- ▶ **Deferred Debt Model:** In this model the services provided to the client are valued, along with incubator's overheads, and then charged in the incubation fee. The client has up to 10 years to pay back the debt to the incubator. Once the client has left the incubator and/or when the client has reached an agreed financial target, the total debt due to the incubator is fixed and the repayment can start. Repayment can be in a lump sum or partial payments.

The revenue model of the incubator largely depends on its vision and activities. A 'non-profit' incubator necessarily needs to use combination revenue models listed below to create enough funds to run its operations and provide support to the start-ups. However, attaining sustenance for an incubator is a difficult task.

1. **Programme Funding:** Programme funding accounts for a majority of the cash flow into the incubator. For different programmes, an incubator may choose to partner with several stakeholders. Such programmes include start-up support programmes, ecosystem development programmes, or, branding/marketing programmes. Programme funds received by the incubator are either restricted or unrestricted grants, i.e., the utilisation of such grants is mandated by the donor. Restricted grants have fund utilisation guidelines that the incubator needs to follow and usually these are for operational expenses. On the other hand, unrestricted grants allow an incubator to utilise the funds as they deem fit in order to realise the end outcome from the grant. Of late, several donors expect grantees to raise matching funding from the private

<sup>27</sup> Global Practice in Incubation Policy Development and Implementation, Infodev, [https://www.infodev.org/Infodev-files/resource/InfodevDocuments\\_982.pdf](https://www.infodev.org/Infodev-files/resource/InfodevDocuments_982.pdf)

## In conversation with Mr. Chintan Bakshi, COO, Startup Oasis On Workplace Culture

**How can an incubator manager build a favourable work culture at an incubation centre for encouraging innovation?**

Team members play a vital role in developing the work culture at any incubation centre. They should be professional team players, and should be enthusiastic about their work. They should be excited and passionate about start-ups. Ideally, it is better if the team members have start-up experience.

**How are the roles of the team members decided?**

Based on the prior experience of the team members, they are given different responsibilities. For example, if someone has worked in the investment sector they will be given the task of fund-raising. However, team members should have some sense of the critical functions of the incubator. As they work in a rapidly changing environment they need to have a high level of adaptability towards change.

**What are the other elements of work culture?**

The ambience of the incubation centre is very important for creating a conducive working culture. The incubation centre should have a vibrant environment, state-of-art infrastructure, large open space for brainstorming sessions, and walls imprinted with creative art. Existing culture or norms are very important for innovation.

**As [team members] work in a rapidly changing environment they need to have a high level of adaptability towards change**

**What are other ways to create an innovation-friendly work culture?**

The incubation centre can organise workshops for start-ups. There can be an open discussion between start-ups and team members. This will help both groups in gaining knowledge that will further help them. One thing that the incubation centre should do is documentation of the start-ups, detailing their journey. That will act as a rulebook for similar start-ups. Team members of the incubation centre should be encouraged to participate in all discussions. Another initiative that the incubation centre can take up is community building. 10-15 start-ups can be brought together, perhaps once in a month or two to share their experiences with the group so that it enhances learning.



sector. An incubator that leverages donor funds to raise additional funding support for the programme is able to demonstrate a higher utilization of the donor's funds and thereby, greater value for money and the subsequent impact.

2. **Professional Fees:** Incubators offer knowledge support to various stakeholders. This may take the form of consulting assignments, fees for capacity building or training, mentoring, etc. Professional fees are usually ancillary sources of revenue. Since several incubators are registered as 'non-profits' (and therefore, exempted from taxes), high revenues from professional fees may risk the incubator losing out on its non-profit status and therefore attract taxes on all its activities.
3. **Management Fees:** Incubators that actively invest in start-ups against equity, or manage seed funds, can charge a 'management fee' to manage the investment funds. While the fee structure varies depending on the fund type, typically, the management fees are between 2% & 3% p.a. of the total investment fund. The Government of India has several schemes - Seed Support Schemes (SSS) - to get investment funds. While investing, incubators also syndicate additional funds from private individuals (angels) or corporates and increase the mileage of the seed funds received through such schemes.
4. **Exits:** Incubators that hold equity in start-ups are poised to receive cash flow from successful 'exits' - liquidity events where start-ups raise additional funds and return the incubators' investment. Usually, monies received from exits are ploughed back into the funding corpus, thus increasing the size of the investable funds of an incubator.
5. **CSR Funds:** With effect from April 1, 2014, every company, private limited or public limited, which either has a net worth of INR 500 crores or a turnover of INR 1,000 crores or net profit of INR 5 crores, needs to spend at least 2% of its average net profit for the immediately preceding three financial years on Corporate Social Responsibility (CSR) activities. Academic incubators are valid recipients of such CSR funds and this has opened up a new revenue stream for academic incubators. Such incubators can receive CSR funds to help the start-ups in the sectors that fall under the mandate of the company. CSR support for incubators is still in its infancy and several incubators are experimenting different models of engaging with corporate CSR departments.
6. **Sponsorships:** Incubators' programmes are supported by several "sponsors". Most corporate sponsorships are routed to the incubator from the marketing budgets of the corporate. In return for the sponsorship, a sponsor may want to have logo presence, access to future clients, brand visibility and association with "innovation", etc. An incubator may also co-create a brand with a long-term partner and convert sponsorships into a longer term brand association.
7. **Rent:** Incubators that lease either working space or lab space to start-ups charge a rent for the facilities provided. Over the last few years, several incubators and private entities have set up 'co-working spaces', and 'maker labs' to help start-ups gain access to high quality working and lab spaces. In addition to space, such incubators also host several start-up events and programs that allow start-ups to network and meet like-minded entrepreneurs, mentors and investors.
8. **Support from Host Organisation:** Financial support from host organisation, though not technically a revenue stream, is an important determinant of the success of an incubator. It takes anywhere from three to six years for an incubator to achieve reasonable amount of reputation in the ecosystem and build a model for sustenance. Until then, the incubator's operations are funded by the support from host organisation. An incubator can also secure funding support from several government departments like DST, MNRE, MSME, DIPP, etc.

## In conversation with Mr. Amber Maheshwari, Vice President – INFUSE Ventures On Supporting Start-ups

### Why do start-ups fail?

Start-ups more often fail rather than succeed. They encounter multiple risks, both internally as well as externally. Some of the reasons that contribute to their failures are:

1. **Lack of Market Research:** Start-ups are often reluctant in conducting detailed market research. They ignore the importance of meeting the customer, understanding their pain points and creating a product that meets the existing gap or the pain point of the customer. Thus, they often end up creating products that the customers neither need nor care for.
2. **Team:** A start-up is as strong as its team. Team essentially means the founders and the core members who put endless hours of time, energy and efforts to turn their idea into reality. A balanced team is essential for success. A team should typically comprise of a technical and a business person. Too many technical or too many business-oriented people may not do justice to the start-up's growth. Hence, start-ups that do not have a strong team in place may find it difficult to go forward.
3. **Clientele:** When the start-up has done their homework, they launch products that have no market or customers. Hence, the start-up has spent significant amount of resources but to no avail, leading to their downfall.
4. **High competition:** The start-ups also face high competition. The start-ups, that fail to understand the market strategy and the trends, do not pivot as quickly as required. This combined with the high competition ends up making them outcompeted.
5. **Inefficient fund management:** The start-up raise a lot of money. However, the funds end up being utilised to pay the salaries and travel. The rest goes into the product development. The start-ups often do not keep track of the cash outflow including operational expenses. This inefficient working capital management leaves them with shortage of funds. While the start-ups do get funded, it is difficult for them to raise the next series of funds, particularly in absence of a healthy financial statement and milestones achieved.

**Apart from providing the start-ups with funds and access to networks it is important to help the start-ups think through. The Incubator team should ask the right questions**



**How can incubators help the start-ups to grow?**

Incubators can help in multiple ways. Apart from providing the start-ups with the funds, and access to networks, it is important to help the start-ups to think through. During the mentoring, the incubator team should ask right questions to the start-ups to help them think from different dimensions. This can be about customers, unit economics, marketing and pricing of products, etc. It is to help them think about aspects that usually remain ignored.

Another thing that helps the start-ups is to monitor them continuously. This is aimed at helping them clear the hurdles while staying focussed on the milestones and objectives. Often, monitoring is frowned upon as the start-ups think that their decision making capacity is being encroached upon which is never the case. Furthermore, connecting the start-ups to the right people whether mentor, advisor, technical expert, or service provider is the key to help them grow.

### 3. Developing Incubator's Strategy

#### a. Understanding Start-ups & Identifying Start-up Support

Supporting start-ups is the reason why incubators exist. Based on its mandate and vision, incubator chooses to work with a specific segment of start-ups. The incubator plays the significant role of mitigating the risks of the start-ups, hence, it is essential for the incubator to understand the start-up in depth that includes its market, features, team, product or services, challenges potential, etc.

In "Into the Valley of Death" Andrew Hargadon discusses the risks faced by start-ups as they struggle to grow from

small teams to viable ventures.<sup>28</sup> These risks can be at different phases viz. Search – when the start-ups are searching for a business model, Build – when start-ups are building products and trying to achieve a product market fit; or Grow – where start-ups scale up once they achieve a product market fit. Incubators play the important role of mitigating some or all of these risks at different stages of the start-ups' development.

During their journey across the Valley of Death (Search, Build and Grow) start-ups need different types of support.

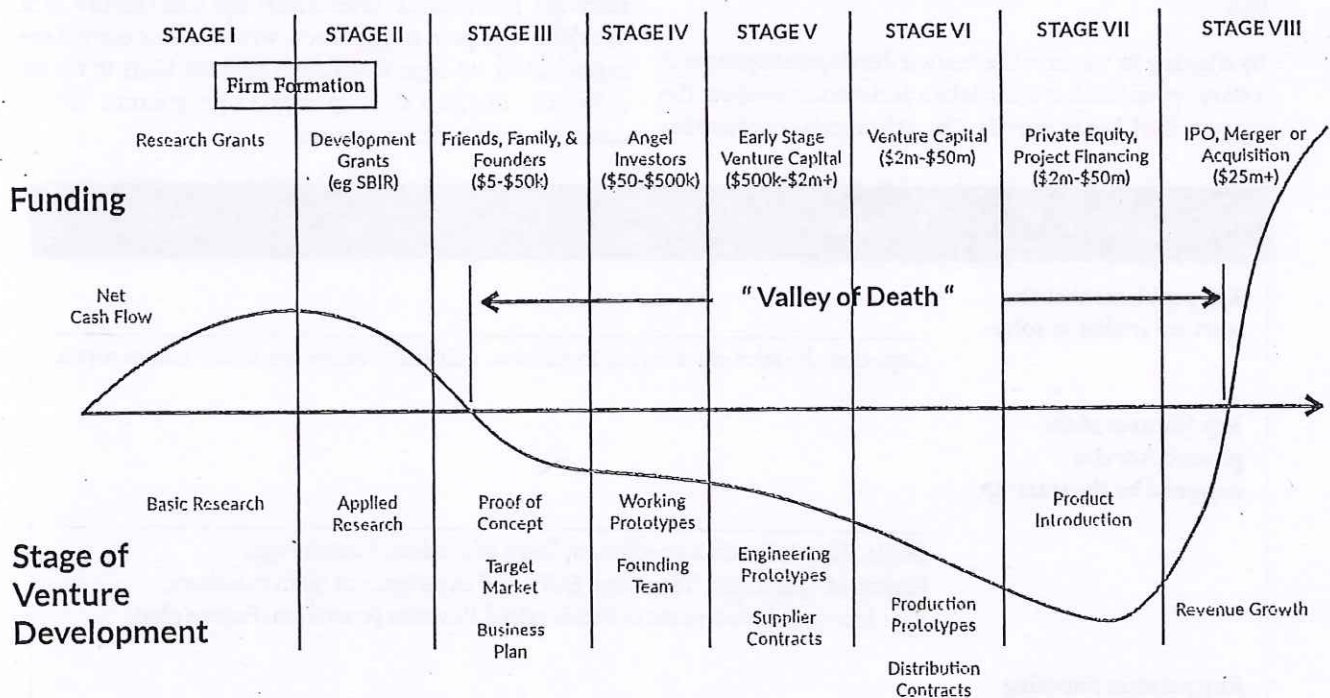


Figure 1: Stages of Venture Development, Into the Valley of Death

<sup>28</sup> Into the Valley of Death, Andrew Hargadon, gtm, April 2010 <http://www.greentechmedia.com/articles/read/into-the-valley-of-death>



For Stages III and IV under the 'Search' phase, start-ups require support such as prototyping labs, tooling rooms, co-working spaces, technical assistance, business advisory, prototyping grants, seed support, angel investments, piloting grants, etc. The key milestones that the start-up at this stage tries to achieve are validated customers, sales channels, understanding of customer activation and a team size of approximately 20 members.

Similarly, at the 'Build' phase (Stage V to VIII); the start-ups need support of channels to reach out to target customers, mainstream customers, value added or advisory support, process or operations optimisation, growth funds, and institutional funding. The major milestones of the start-ups at this stage are customer growth, positive cash flow, well defined processes and a team size of approximately 50 members or more. Beyond this phase, the start-ups at 'Grow' phase are fully operational and are generally revenue positive.

By aligning its vision to the venture development phases of a start-up, an incubator can take a decisive choice about the support it wishes to provide. Once the incubator identifies

the specific stage of start-ups it wishes to support, it is critical for the incubator manager to talk to at least 10 start-ups that are in a similar venture development phase. This can be done by asking for references from other incubators or investors. The importance of having face-to-face conversations with start-ups cannot be emphasised more. It helps an incubator to empathise with start-ups and understand their specific needs. These can be local start-ups or sector focussed start-ups, depending upon the focus of the incubator. The incubator should engage in open-ended discussions with these start-ups to better understand their challenges. This helps the incubator to take the first steps towards designing its start-up support programmes.

A good way to record these conversations would be to create a 'Start-up Map' as outlined in the figure below. Once the information is recorded, it is easier for the incubator to analyze the key pains and key resource requirements of the start-ups. For instance, several start-ups that identify 'lack of capital' as a pain might need a way to access early stage capital. Such strategic discussions provide hints to the incubator to design a start-up support programme that is customer or beneficiary focused.

Parameters	Details
Key problems that the start-up wishes to solve	Gaps that the start-up is trying to address, Criticality of the gap today and in future
Key features of the product/service designed by the start-up	Goals, Target, Product or solution, Stage of product, Start-up age, Region of operations, Team size, Skills and experience of team members, Base location, Investments or funds raised, Revenue generation, Future plans
Key pains in pursuing their business	Current and expected problems or risks faced by the start-ups
Key resources required by the start-ups	Resources required by the enterprise to address its current pain points

Figure 2: Start-up Map



## Understanding Start-ups & Identifying Start-up Support

An incubator can provide an array of support services to start-ups. By following the following check-list, an incubator manager can better prioritize the starting point.

### Pre-requisites:

1. Clarity of the vision and objectives of the incubator.
2. Understanding the strengths of the host organisation
3. Clarity regarding the extent of support that the incubator has from its host organisation
4. Understanding the stages and phases of venture development

### Action Items:

1. Identify one phase of venture development to focus on.
2. Identify ten or more different types of start-ups from this phase.
3. Use 'Start-up Map' to study each of the start-ups in detail.

4. Analyze the insights in order to decide the resources required by the start-ups.
5. Identify the support that the incubator has to and wants to provide to the start-ups.

### What should your goals be:

1. Understanding the start-ups and their requirements at a particular phase and stage.
2. Clarity on the type of start-ups that the incubator is interested in helping.
3. Identify the support structure that the incubator needs to provide.

### What to watch-out for:

1. Whether the expectations from the start-ups match that of the incubator.
2. Whether the incubator has adequate resources to support the identified pain points.

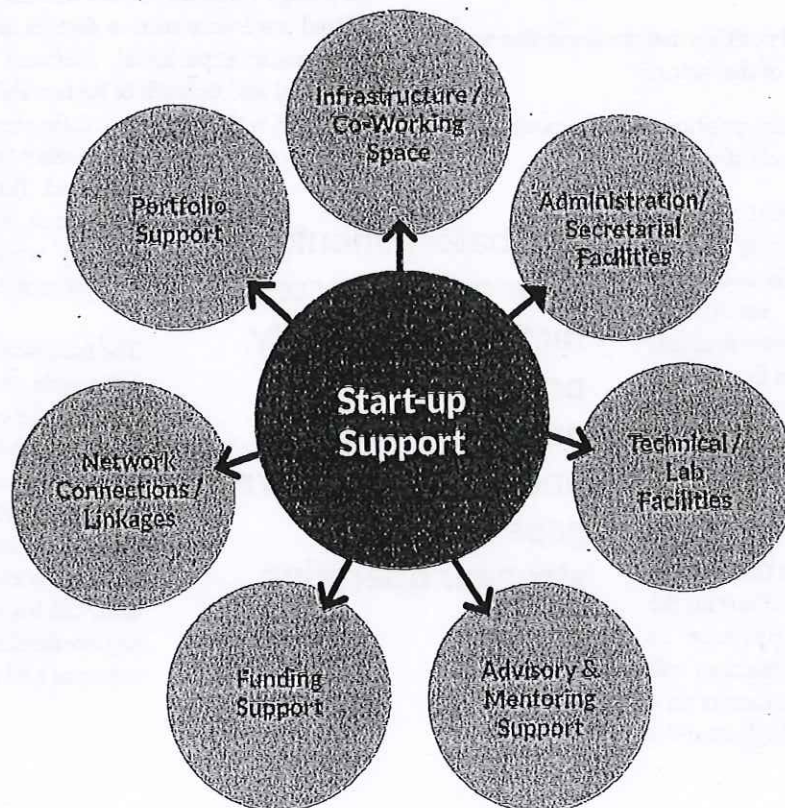


Figure 3: Start-up Support



## b. Assessing Critical Success Factors (CSF)

Once an incubator identifies and articulates the services that it will offer, it is critical to assess factors that will determine its efficacy to execute this vision. Certain common factors determine the efficacy of the incubator as stated in the table below. This, however, is not an exhaustive list and incubator managers can develop their own success factors based on their business models. For example, for a network-based incubator, 'Office Space' may not be a factor critical to its success. Conversely, an incubator with a co-working space model will need substantial infrastructure and associated facilities.

At this juncture, the incubator manager knows the start-up support it wants to provide. With its vision and start-up support as the base, the incubator manager needs to identify the following things:

- ▶ Which factors are to be focused on for the attainment of the incubator's vision and to provide start-up support?
- ▶ What is the ideal position that the incubator wants to achieve for each of the factors?
- ▶ What is the current position that the incubator presently holds for each of the factors?

While answering the first question, the incubator manager may find that the incubator needs to focus on fewer than the seventeen mentioned factors. Once the incubator manager has identified the focus factors that are important for its success, the incubator manager has to map the incubator's ideal and current position for each of the focus factors.

The incubator may use the 'Critical Success Factor' - Kiviat Chart for the mapping. For the purpose of mapping, the incubator manager will need to rank the focus factors on a scale of 5 (5 being the highest and 1

being the lowest). Upon mapping, the incubator will have to list down the factors on the basis of the difference in ranking scale (the difference between the highest and the lowest rank). The factors that will have a higher difference will have a higher priority.

For example, an agri-focussed incubator decided to find out its 'Critical Success Factors'. The incubator had a mission of nurturing and scaling up the agri-focussed start-ups. The incubator manager wished to assist start-ups with a) Co-working space, b) Investment, c) Portfolio support, and d) Mentoring and advisory support.

Using her vision as a starting point, the incubator manager analysed the factors and found that the agri-focussed incubator needed to attain a high score on all the factors barring one – technical facilities. Thereafter, she mapped the current and desired states of the incubator for each of the sixteen factors, as given in Table 03 on a Kiviat Chart (See Figure 4). The Kiviat chart provided the incubator manager with visual snapshot of her current strengths and gaps.

Very large differences between the current state and the desired state were seen in factors including Team (Entrepreneurship Experience), Network (with Start-ups, with Investors) and Growth & Sustainability (access to funding sources). On the other hand differences between the current state and desired state of the other factors were not so pronounced. Factors with the largest difference were marked as 'High Priority' while others were marked as 'Medium Priority'.

The incubator manager now had an actionable list at her disposal. As a priority, she could perhaps recruit a team member with experience or exposure in entrepreneurship, begin interacting with local investors and other ecosystem players who could provide access to start-ups. In addition, the incubator manager could explore funding schemes under government and corporate CSR funds.

**Incubators should map their critical success factors periodically, preferably on an annual basis, to understand the current gaps and build stronger operating models**

Category	Factors	Details
Governance	Governance Structure	Does the incubator require a governance structure that includes Directors/a Governing Council?
	Incubator Autonomy	How much freedom does the incubator need to function and execute its decisions without interference from its host organisation?
Team	Experience in Investment	Does the incubator need a team member who has experience in investing in start-ups or in investment-related activities?
	Entrepreneurship Experience	Does the incubator need a team member who has work experience in a start-up or exposure to a similar environment?
	Established Networks	Does the incubator need team members with strong linkages within the ecosystem?
	Cross-sector Experience	Does the incubator need team members who have worked in multiple sectors or who have sector-specific knowledge or technical expertise?
Network	With Start-ups	Does the incubator have a good network with the start-ups of a region or within a specified sector?
	With Investors	Does the incubator have a good reputation with investors?
	Within Local Ecosystem	Does the incubator have visibility within the local ecosystem?
	With Donors/Sponsors	Does the incubator have a connection with funding agencies such as corporate, multi-laterals, government(s), etc?
Infrastructure	Office Space	Does the incubator need a co-working space or a big infrastructure to function?
	Secretarial Facilities	Does the incubator need to provide secretarial facilities to its start-ups, as support?
	Technical Facilities	Does the incubator need to have technical facilities such as lab, design stations, etc. to help start-ups?
Growth & Sustainability	Access to Funding Sources	Does the incubator have access to continuous sources of funding?
	Revenue Model	Does the incubator have a specific revenue model to fall back on?
	Brand Recognition	Does the incubator have a plan to create its brand within the country, region, network and the entrepreneurial space?

Table 3: Success Factors for an Incubator



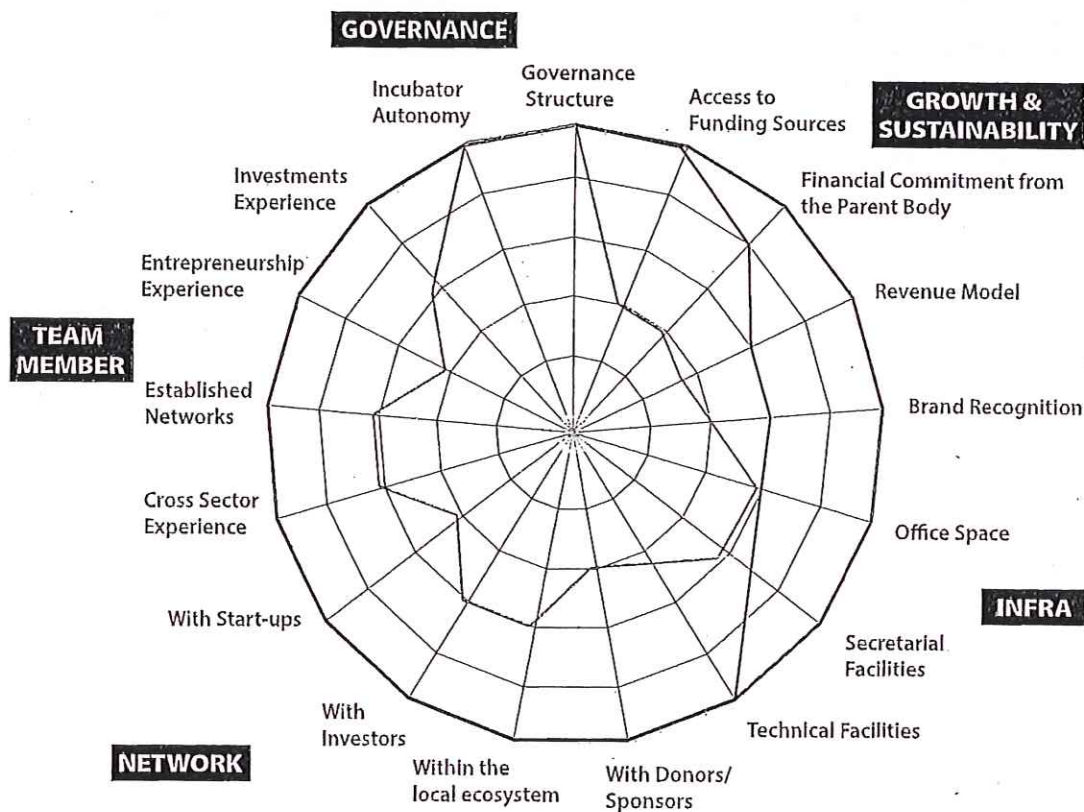


Figure 4: Critical Success Factors Framework - Mapped for an agri incubator

Priority	Factors
High	Having a team member with entrepreneurship experience Having a good network with start-ups Having investor connections Getting access to Funding Sources
Medium	Having a team member with experience in investment Having a team member with established networks Having a team member with cross-sector experience Having good connections within the local ecosystem Having a good business relationship with donors and sponsors Receiving a financial commitment from the parent body Creating a brand recognition for the incubator's growth and sustainability

Table 4: Prioritizing Success Factors

## Mapping Capabilities

A systematic approach towards understanding the gaps of an incubator allows the manager to build a strategy that is both insightful and actionable.

### Pre-requisites:

1. Clarity of the vision of the incubator
2. Knowing the type of support that the incubator wants to provide to the start-ups

### Action Items:

1. Map each of the 17 factors against all the support services that the incubator wants to provide
2. Find the factors required to attain the vision and facilitate support services
3. Map to rank the required success factors and find the factors that hold priority

### What should your goals be:

1. Identify factors that help in facilitating the support in a better manner
2. Find the crucial aspects that the incubator needs to improve on
3. Understand the priorities of the factors to be looked into, ignoring which may lead to complications later
4. Develop clarity about the current position of the incubator

### What to watch out for:

1. Success factors evolve with time and therefore, this exercise is not a one time activity - it needs to be done periodically, preferably on an annual basis, to understand the more relevant gaps
2. In order to attain its vision, the incubator should, both internally and externally, explore new factors that may at the current stage be deficient

## c. Mapping Capabilities

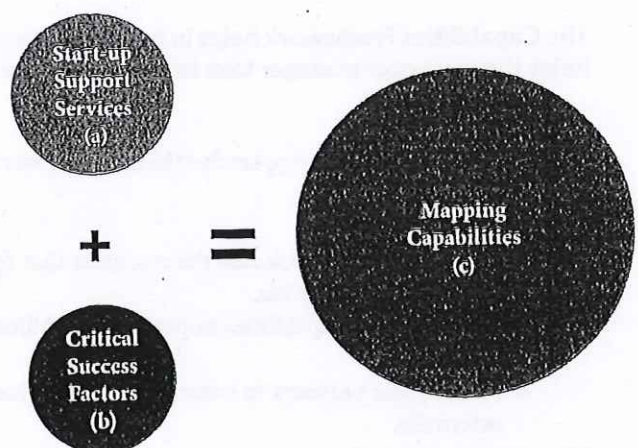
In the above sections, we see how the incubator has identified the start-up support services that it wishes to provide and has explored the critical success factors. The next step is to identify the right capabilities to get started. For instance, the agri focussed incubator from the earlier examples would require office space, domain-specific team members, networks, etc. In addition, it would also consider developing programmes to build its reputation with start-ups and investors.

The incubator can categorise its capabilities into the following:

1. Capabilities required
2. Capabilities that exist internally
3. Capabilities that need to be developed internally
4. Capabilities that need to be sourced from partners

Continuing on with the earlier example, the agri focussed incubator manager began by identifying her 'must have' capabilities under the column 'Capabilities Required' in Table 5. She then used the critical success factors priority list and evaluated them against the start-up support she wished to provide. It became evident that she needed a strong team with experience, expertise and connections within the sector. While she could develop some capabilities internally (either by recruiting or training), she would still need support in other critical areas including technical expertise, proposal writing, relationship management with investors, and, connections to agri-universities and research institutions. She could source some these capabilities from partners.

The advantage of mapping capabilities this way is that it not only reaffirms the fact that successful incubation has its foundations in a robust partner strategy, but also, helps map the exact support that the incubator needs from the get go. As we shall see in the next section, understanding the motivation and abilities of different stakeholders is key in building a robust partner strategy.





Capabilities Required	
<ul style="list-style-type: none"> <li>• Team member with established networks</li> <li>• Team member with entrepreneurial experience</li> <li>• Team member with proposal writing skills</li> <li>• Investor relationship management</li> <li>• Reputation in local ecosystem</li> </ul>	<ul style="list-style-type: none"> <li>• Government connections</li> <li>• Lab infrastructure and technology commercialisation expertise</li> <li>• Technical expertise</li> </ul>
Capabilities that can be developed internally	Capabilities that need to be outsourced
<ul style="list-style-type: none"> <li>• Team member with established networks</li> <li>• Team member with entrepreneurial experience</li> <li>• Team member with proposal writing skills</li> <li>• Reputation in local ecosystem</li> <li>• Government connections</li> </ul>	<ul style="list-style-type: none"> <li>• Investor relationship management</li> <li>• Lab infrastructure and technology commercialisation expertise</li> <li>• Technical expertise</li> </ul>
Potential Partnership Opportunities	
<ul style="list-style-type: none"> <li>• Engage with agri universities that have lab facility and technology commercialisation knowledge</li> <li>• Engage with experts who have been working with agri focused companies for 10 years and have knowledge about the current agri sector.</li> </ul>	<ul style="list-style-type: none"> <li>• Engage with investor networks that actively seek investible start-ups and showcase the incubator's pipeline to these networks.</li> </ul>

Table 5: Capabilities Framework – Mapped for an agri incubator

The Capabilities Framework helps in two ways - one it helps in identifying key resource gaps; and two, it helps the incubator manager take her first steps towards developing a robust partner strategy.

#### Pre-requisites:

Clear understanding of the support that the incubator wants to provide.

#### Action Items:

1. Take an in-depth look into the resources that the incubator currently has.
2. Categorise the capabilities as per the Capabilities framework.
3. Identify the partners to sourcing of capabilities externally.

#### What should your goals be:

1. Develop a 360 degree view of all the resources and capabilities you need to fulfill your vision.
2. Develop an insight about your current resource needs and capabilities that you can develop internally.

3. Take first steps towards building a robust partner strategy. Go granular - more specific the identification of the partners, the easier it is to formulate a strategy to reach out and engage with a partner.

#### What to watch out for:

1. The incubator may not often have enough financial resources to hire and support new people within the organisation.
2. Consequently, the incubator might try to develop multi-skill resources instead of sourcing them out from external partners, adding work to the team.
3. The incubator will need to analyse its capabilities periodically to gather its strengths and deficits.



#### d. Ecosystem Development

An incubator is rarely self-sufficient. In order to adequately support the start-ups, the incubator needs to develop partnerships with the other ecosystem players. It undertakes a wide range of activities to identify, nurture and scale-up the start-ups. These are 'ecosystem activities' which also help the incubator to build partnerships with other ecosystem players. The ecosystem players vary in terms of capacity, motivation and objectives. Some may be willing to support the start-ups but may not have enough capacity to do so on their own. There would be others that have the capacity to support the start-ups but their objectives may not be aligned to the welfare of the start-ups. In order to leverage the strengths of these stakeholders, the incubator must build in a strong stakeholder engagement strategy within its 'ecosystem activities'. Therefore while developing the ecosystem activities, the incubator should critically consider three aspects, namely, a) stakeholders, b) engagement models & c) risks.

##### A. Stakeholders

An incubator, since its inception, works with multiple stakeholders of the ecosystem. Some of these stakeholders are highlighted in the Figure 5.

Based on the factors critical to the success of the incubator and the capabilities that the incubator chooses to source externally, the incubator should identify its key stakeholders.

##### B. Engagement Models

When reaching out to potential partners, there is no guarantee that the stakeholder is willing to engage with the incubator at that moment. There can be multiple reasons for the same. There might be stakeholders who are theoretically aligned, but do not currently possess capacities to support the incubator. The incubator may choose to engage with stakeholders using one of the four models: Inform, Customise, Build Capacity or Execute. The factors that are to be considered by the incubator to make a decisive choice are:

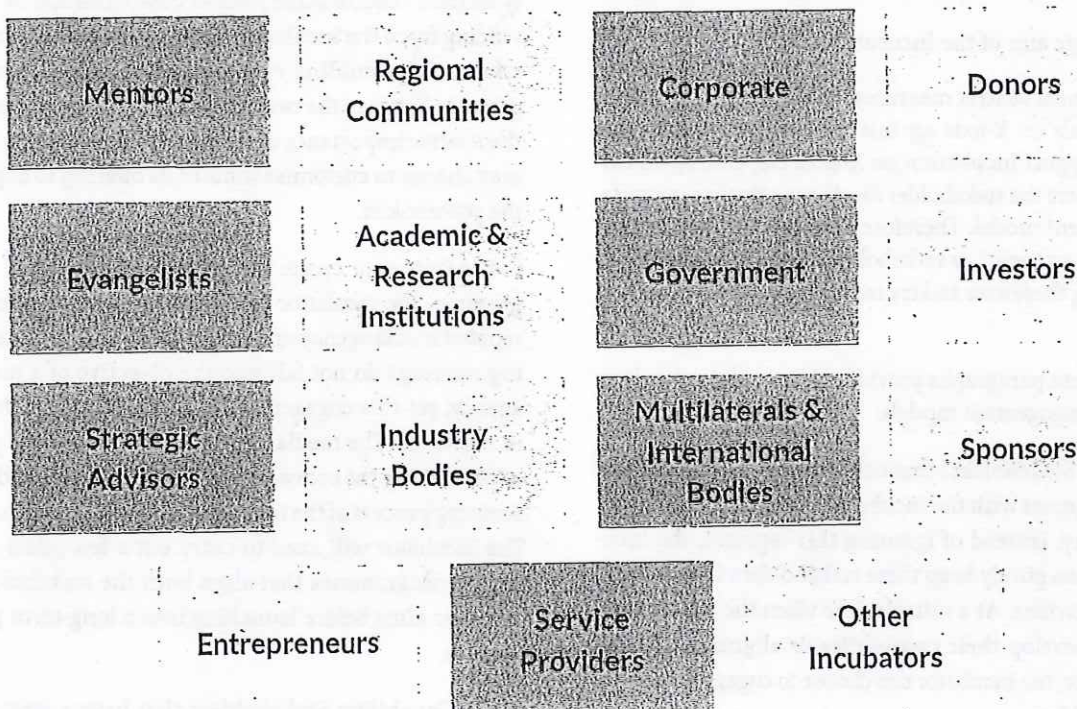


Figure 5: Ecosystem Stakeholders



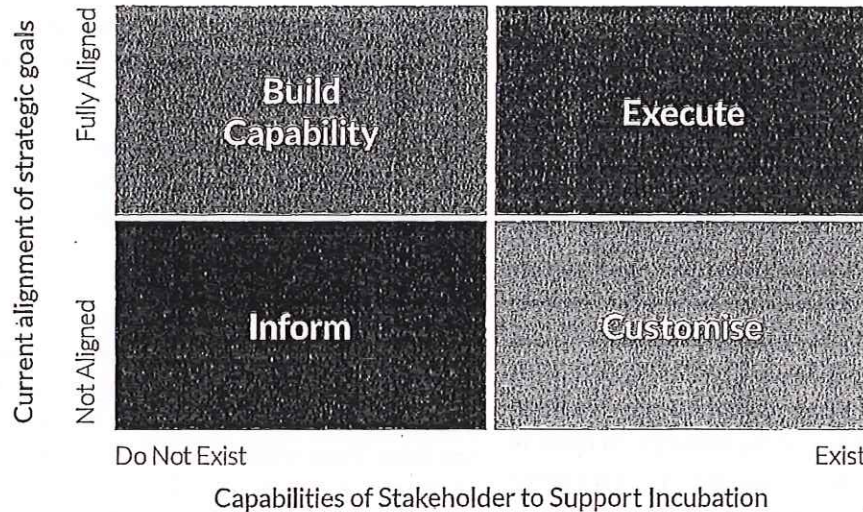


Figure 6: Stakeholder Engagement Matrix

- ▶ Alignment of the stakeholders
- ▶ Current capability of the stakeholder to offer support
- ▶ Strategic aim of the Incubator

The Engagement Matrix measures the current alignment of strategic goals on Y-axis against the capabilities of stakeholder to support incubation on X-axis. Depending on the quadrant where the stakeholder lies, the incubator can create an engagement model. Therefore, strategically, the incubator should map their key stakeholders that are critical to its success along these axes and try moving them to the 'Execute' quadrant.

The subsequent paragraphs provide a deeper understanding of the four engagement models:

1. **Inform:** Stakeholders that neither have capabilities nor an alignment with the incubator at present need not be a priority. Instead of ignoring this segment, the incubators can purely keep these stakeholders informed of their activities. At a suitable time when the stakeholder either develop their capabilities or alignment to the incubator, the incubator can choose to engage with such stakeholders.

2. **Customise:** Stakeholders that display a high degree of capability to support the incubator but are not currently aligned require some level of customisation or convincing from the incubator. This may take the form of relationship-building exercises to discover common grounds between the two organisations. Depending on the relative importance of the stakeholder, an incubator may choose to customise some of its offering to engage the stakeholder.

For instance, to create a massive outreach for a programme, the incubator can partner with a nationally reputed media agency or newspaper. Even though scouting start-ups do not fall into the objective of a media agency, yet this engagement will help the partnership in two folds. The media agency gets reflected as a part of developing the ecosystem through its efforts and the scouting process of the incubator receives a major boost. The incubator will need to carry out a few pilots and design programmes that align both the stakeholders' strategic aims before launching into a long-term partnership.

3. **Build Capability:** Stakeholders that have a strategic alignment, but currently do not have capability to



support the incubator require awareness creation. This can be in different forms. An incubator might design programmes to activate High Net-worth Individuals (HNIs) and angel investors if it believes that a pipeline of domestic capital is critical for the success of its start-ups. Several corporations are now keen on developing in-house incubation capacities. Experienced incubators can offer consulting services to corporates that are strategic to their mission and develop a long-term downstream partner. An incubator might also train new incubator managers and enable them to set up their incubators. This in turn increases the incubators' reach and helps them access a larger pipeline of start-ups.

4. Execute: Stakeholders that have both, the capabilities and alignment with incubators, are natural leads and an incubator should engage with such stakeholders as

a priority. For example, Microsoft Ventures runs an accelerator programme for later stage start-ups and tends to work with several incubators to source start-ups. In 2015, they partnered with the Indian School of Design and Innovation (ISDI) to set up a 'creative accelerator' which brings together technology expertise from Microsoft and design expertise from ISDI. While ISDI is not yet an incubator, they actively support start-ups through various programmes.

In general, there are several partnership models that incubators can execute with their partners. These range from pro-bono arrangements to joint ventures and strategic investments. As an ongoing focus, incubators should actively try to move stakeholders from the 'customise' and 'build capability' quadrants to the 'execute' quadrant. Table 6 provides a glimpse of some engagement models.

Partnership Models	Typical Stakeholders	Examples
Pro-bono Arrangements	Mentors, Alumni, Angels, Domain Experts, Students	Demo days, Pitching sessions, Mentoring sessions, Speaking sessions, etc.
Outreach Partners	Media, Complementary partners, Other Incubators	Logo presence, Database marketing, Emailers, etc.
Knowledge Partners	Academia, Multilaterals, Programme Organisers, Other Incubators	Logo presence, Co-authoring whitepapers, Co-hosted thought leadership panels, Advisory support to programmes, etc.
Sponsorships	Corporate, Individuals	Sponsored programmes, Logo Sponsorships, Programme sponsorships, etc.
Donations	Corporate, Government, Multilaterals, Individuals	CSR donations, Fund corpus, Restricted and unrestricted grants
Programme Partnerships	Multiple Stakeholders	Economic Times Power of Ideas, NASSCOM Product Conclave, Incubator Summit, Piramal Prize
Joint Ventures	Multiple stakeholders	Public-Private Partnerships (Start-up Oasis), Incubation Platforms like Start-up Wave (GIZ, DFID and Intellect-cap)
Strategic Investments	Corporates, Angels, Government Departments, CSR, Multilaterals, VCs	Co-investments, Limited partners, etc.

Table 6: Examples of Partnership Models



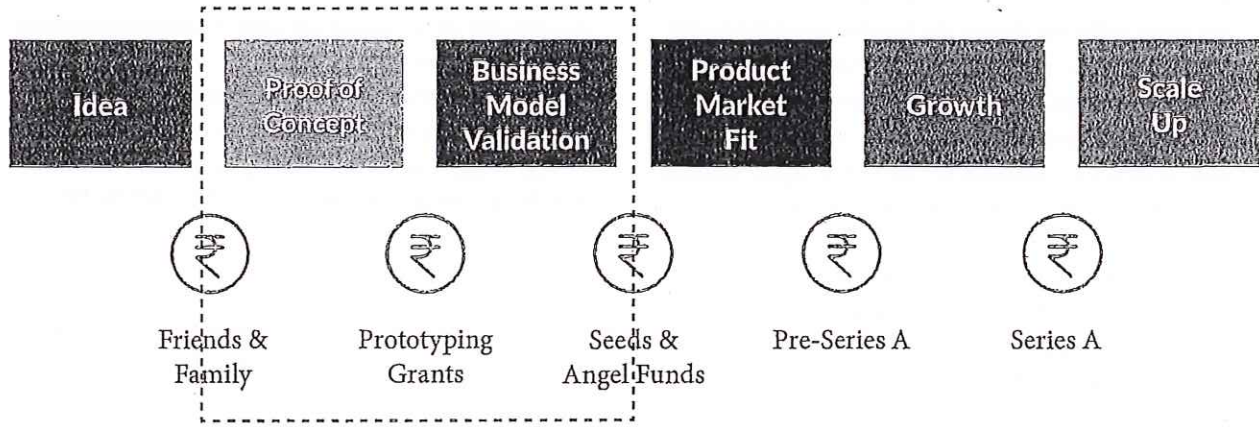


Figure 7: Focus of incubator on start-ups

### C. Risk

Since a large portion of the incubator's success is dependent on external stakeholders, the incubator's success is also susceptible to certain "ecosystem" risks. As per Ron Adner in *Match Your Innovation Strategy to Your Innovation Ecosystem* portrays "managers [often] overlook the processes, and the order, through which the ecosystem emerges over time. Creating a strategy that explicitly accounts for the challenges and delays inherent in collaborative networks is the key to succeeding in ecosystems."<sup>29</sup>

The article specifically highlights three fundamental types of risks that ecosystems pose: "Initiative Risks – the uncertainties of managing a project; Interdependence Risks – the uncertainties of collaborating with complementary partners/innovators; and, Integration risks – the uncertainties presented by adoption of the process across the value chain. The extent of these risks is intimately related to the [goals] which the [incubator] chooses to achieve."<sup>30</sup> An incubator, while designing programmes and strategies to engage with the stakeholders, is better advised to critically assess these risks and devise risk mitigation strategies.

**Illustration:** Consider a start-up's lifecycle through the innovation ecosystem and the specific funding events for that start-up at various stages. The red box in Figure 7 denotes the focus of the incubator. As seen above, the incubator directly supports start-ups that have a proof of concept and invests in them as a seed investor. However, the success of

the start-up is heavily dependent on its ability to attract co-investments from angels during the seed round, pilot their solutions, create channel partnerships with corporates or agencies to achieve a product market fit and attract follow-on funds.

If the incubator operates in an ecosystem where the angel activity is low or disorganised, its start-ups may not be in a position to raise sufficient capital.

Similarly, even with capital if the start-ups do not have access to the right partners for piloting their solutions, their risk of failure increases in spite of having raised sufficient capital. Finally, without the right traction, a start-up that raises seed capital may not be eligible for a follow-on round and scale.

Such dependencies pose both interdependence risks (dependence on various downstream partners to add value to start-ups) and integration risks (ability of the partners to integrate start-up functions in their business activities). Failure to plan or account for these risks causes significant delays in supporting start-ups and can have detrimental effects on the life of a start-up. The incubator must, in addition to supporting start-ups, engage in additional activities like training HNIs to become angels, or developing piloting partners, etc. to ensure that its start-ups get adequate support during and post incubation/investments.

In summary, an incubator operates in a highly networked environment with a high degree of dependence on its ex-

<sup>29</sup> & <sup>30</sup> *Match Your Innovation Strategy to your Innovation Ecosystem*, Ron Adner HRB 2006  
<https://hbr.org/2006/04/match-your-innovation-strategy-to-your-innovation-ecosystem>



## Ecosystem Development

ternal stakeholders. It is, therefore, important to map the stakeholders critical to its success; plot the stakeholders using the ecosystem engagement matrix and develop partnership models to engage with the stakeholders. At the same time, the incubators should assess the interdependence and integration risks of its programmes and manage expectation of both the internal and external stakeholders in terms of the success of such programmes.

### Pre-requisites:

1. Understand the capabilities required by the incubator to offer support to its start-ups
2. Map out the capabilities that the incubator needs to source from external stakeholders

### Action Items:

1. Map all the stakeholders - existing as well as 'potential' key stakeholders that are critical to the incubator's success - that can provide the incubator with the required capabilities
2. Based on the ecosystem development decision matrix, the incubator can choose how to engage with the stakeholders, namely, inform, customise, build capabilities or engage; depending on their capabilities or alignment to support the incubator
3. Plan activities that will ultimately push the stakeholders into the 'Execute' quadrant
4. Explore various partnership models with these stakeholders and in time arrive at the most sustainable model

5. Be mindful of the inherent 'ecosystem risks and delays' that arise from integration and interdependence of various players in the value chain. Design solutions to mitigate these risks. If such risks cannot be mitigated, set the right expectations with all internal and external stakeholders

### What should your goals be:

1. A strategic approach to ecosystem development activities helps the incubator to maintain a laser focus on its key activity - supporting start-ups
2. This also helps the incubator develop long-term and deep partnerships with the value added by all stakeholders, towards a strategic goal

### What to watch out for:

1. Since several ecosystem programmes are also sources of programme funds (which are a large source of sustainability for an incubator), weeding out non-strategic programmes also means losing out on revenue
2. Owing to their dependence on various external actors, benefits of ecosystem development activities may not be apparent immediately but are realised over a longer period. Any hasty decision to discontinue such programmes might therefore risk the incubator's losing out in the long term

**Programme Execution Spiral:** Instinctively, incubator managers are prone to executing several ecosystem development programmes for a couple of reasons.

One, ecosystem development programmes are often backed by funders whether government, corporate or multilateral. Executing these programmes, therefore, means a direct cash inflow to the incubators and this helps them build sustenance.

Two, an incubator, through such programmes, hopes to have a deeper engagement with its partners and in turn, develop long-term relationships.

While this approach may have its advantages, often, an incubator gets caught in a 'programme spiral' and in time gets overly dependent on programme funds for its sustenance. It tends to spread its already thin resources over several programmes and lose focus on its core mission of offering high quality support to start-ups. Therefore, it is critical that incubators take on only those programmes that strategically deepen their engagement with the stakeholders and increase the overall chances of success of its start-ups.



### e. Impact Assessment Metrics

The final step before launching into planning the operations is perhaps identifying the impact assessment metrics. These metrics are critical in helping an incubator assess whether all its efforts are resulting in the outputs, outcomes and ultimately the impact that it hoped for. While defining 'impact' is a topic of extensive research and beyond the scope of this document, having high-level IOOI metrics help incubators to measure and track their performance.

IOOI refers to 'Input', 'Output', 'Outcome', and 'Impact', a tangible set of metrics on which the incubator can choose to measure itself and need not be used for external reporting. In fact, having a disciplined approach measuring the efficacy of the incubator's programmes is a great way to being accountable from the outset.

1. **Input:** These should be the variables of activities that the incubator plans to undertake. B-Plan competitions, angel trainings, student boot camps, start-ups scouted, co-workers, etc. are great input variables.
2. **Output:** Outputs are direct results of input activities. For example, the output of 'four accelerator programmes' may be 'investment in four start-ups'. Outputs differ from outcomes since outputs are direct results, whereas, outcomes are the ultimate objectives. Examples of output include the number of start-ups accelerated, mentors trained, new investors engaged with and so on.
3. **Outcomes:** Unlike outputs, outcomes are medium to long-term goals, which may not be under the direct control of the incubator. Good examples of outcomes therefore include number of awards, exits, operational start-ups, etc.
4. **Impact:** Impact is the highest level of change that an incubator ultimately aims for. Good examples of impact include number of jobs created, beneficiaries served, etc.

Incubators should begin working backwards, in order of outcome, output and input variables. This helps the incubator focus on the overall outcome and drill down to the input variables. Once all the outcome, output and input variables are identified, the impact variables should be the last ones on the list as those require a very clear idea of the overall mission of the incubator.

Well defined impact metrics not only allow incubator managers to measure the efficacy of their operations

but also act as guidelines in helping them achieve the overall vision.

#### Pre-requisites:

Very clear understanding of the overall goal of the incubator, the overall capabilities required, start-up support programmes and ecosystem development activities.

#### Action Items:

1. Identify the ultimate outcomes of the various activities of the incubator. Outputs and inputs are directly linked to the activities and should flow directly from well-defined outcomes.
2. Think about impact metrics that are measurable and quantifiable yet are long-term.
3. Get a buy-in from the team or host organisation or the advisory board as required to ensure that these metrics reflect the intent or the DNA of the incubator. Ultimately, if the incubator is measuring itself on the wrong metrics, the efforts will not be accurately captured.
4. It is good for the incubator not to position itself to lose by putting across very high and ambitious metrics. Hence, the metrics need to be realistic.

#### What should your goals be:

1. It is very easy to lose sight of the goal once operations commence. Well defined IOOI metrics will not only help the incubator to track and monitor its progress but also help to keep a check on whether the overall activities are balanced and are on track.
2. These metrics are a great way to talk about the work especially while writing grant proposals. Without this data, an incubator has the additional burden of unearthing data when a proposal is due.
3. It adds to the overall discipline of operating a chaotic entity like an incubator.

#### What to watch out for:

Too many metrics become distracting to the operations team.

Without the hindsight and experience of running an incubator, having too many metrics would also appear to be a daunting task. It might be a good idea to start with a few basic metrics and add a few more as the incubator develops more insights about its business and space. ■

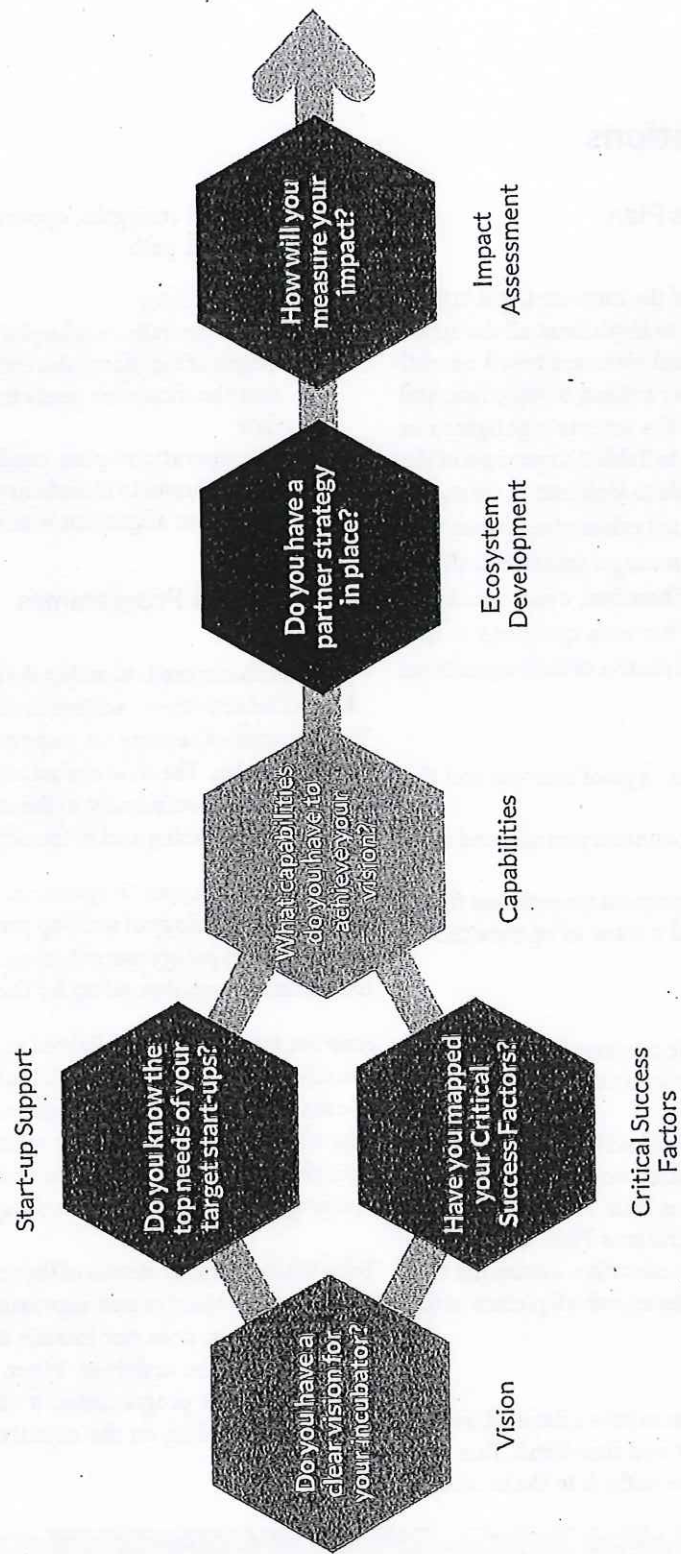


Figure 8: Developing an incubator's strategy



## 4. Beginning Operations

### a. Creating an Operations Plan

To begin the development of the incubator, it is crucial for the incubator manager to implement all the strategies and plans. These operational plans are based on multiple factors, such as the incubator's vision & objectives, and its surrounding environment. The aspects highlighted in the 'Incubator Operations Plan' in Table 7 cover most of the concerns that an incubator needs to look into to create the plan. Again, these questions are not exhaustive. Rather, they are meant to help the incubator manager think critically on issues specific to operations. Therefore, every incubator manager is encouraged to add her own questions to this table and develop a stronger perspective of their operations.

#### Pre-requisites:

1. Clarity about the vision, type of start-up and the support to provide
2. Knowledge about the ecosystem partners and their prospective role
3. Sufficient funds or commitment for sufficient funds.
4. Incubator Manager and a team to operate the incubator

#### Action Items:

1. Ponder upon each of the aspects of the 'Incubator Operations Plan' and address the key questions for these aspects
2. The more specific, detailed and logical the answers to the questions, the better would be the draft of the Incubator Operations Plan
3. Fill the Incubator Operations Plan with all the details and use it as an executive document that comprehensively provides an overall picture of the incubator

#### What should your goals be:

1. The incubator should aim to have a detailed insight into its various aspects and functions. This will provide a comprehensive outlook to the incubator

about its strengths, opportunities, objectives and futuristic path

#### What to watch out for:

1. As the operations take place, depending upon the output of the efforts, there will be pivots and changes that the incubator needs to foresee and accommodate
2. The operations plan needs to be reviewed and worked upon to include newer aspects while maintaining an alignment with the vision

### b. Activities & Programmes

The incubator needs to undertake multiple and sometimes parallel activities to achieve its objectives and milestones. Thus, activities become an important component of the operations plan. The choice of activities essentially depends on two basic factors namely, a) the stage of the start-ups the incubator is targeting and b) the objective of the incubator.

Nesta's *Start-up Support Programmes: What's the Difference?*<sup>31</sup> highlights a typology of start-up programmes as shown in Figure 9. The typology maps the stage of the start-ups against the income generation set up for the programme.

Another approach as highlighted in Figure 10 and 11, is to classify the various activities on the basis of the 'aim of the incubator', namely, map, sensitize, activate, engage and support. An incubator manager can decide to either execute a single activity in a programme or a bundle of activities in one programme depending on the specific objectives.

Table 9 lists down the details of the activities along its broad aim, specific objective and approximate duration. The duration, however, does not include the time taken for the preparation of the activities. When an incubator designs the layout of the programmes, it often includes multiple activities depending on the objective and duration of the programme.

*Note: Tables 7 and 8 and Figures 9, 10 and 11 referred to in the above text can be seen overleaf.*

<sup>31</sup> Start-up Support Programmes: What's The Difference?, Nesta, February 2015 [https://www.nesta.org.uk/sites/default/files/whats\\_the\\_diff\\_wv.pdf](https://www.nesta.org.uk/sites/default/files/whats_the_diff_wv.pdf)



Aspects	Key Questions
Objective	Are the immediate objectives of the incubator aligned to its vision or overall mandate, for a span of one or two years?
Target (Market/Sector/ Start-up/Region)	Who are the core beneficiaries of the incubator? Do these start-ups fall into the sector/region/market of the incubator's mandate? What is the stage and phase of the start-up at which the incubator is focussing?
Approach & Methodology	Does the approach address the key issues? Does this clearly define the start-up support and the ecosystem development activities? Is there a definite methodology to address the approach? Are there specific partnership models that are being used?
Partners	Who are the value chain partners? Are they ready to support? What kind of support can they provide? If the partners are not ready to support, do they need activation? How to engage the partners and why? Who are the partners to whom the incubator needs to reach out to immediately and how? It might be good idea to view this from the Inform, Customise, Build Capacity and Execute Framework.
Risks & Risk Mitigation	Have all the internal and external risks been considered? What are the risk mitigation systems? How will you mitigate the external (interdependence and integration) risks? What is the contingency plan?
Activities	What activities need to be undertaken in order to address the issues of its beneficiaries? Are the activities able to achieve the underlying objectives? What are the milestones and timeline for the activities? What are the different functions that need to be undertaken to accomplish the activities?
Team	Do you have the right team to execute the activities? What will be your recruiting plan? While team is the one of the most critical elements of any organisation, is your team empowered to take decisions? Does the incubator governance structure enable this?
Desired Impact	Are all the activities helping the incubator achieve the desired impact? How do you measure the impact? What are the metrics to be used for tracking?
Operating Costs	Have you booked the expenses of the activities as well as for running the incubator, including administration, infrastructural, programme management costs, employee cost, etc.? Is a budget in place for the different activities and functions?
Sustainability Plan	What are the plans to generate revenue in a continuous manner? How to raise the funds required for the entire operation? What are the various avenues of funds? Will creating a corpus help? If yes, then how can that be created?

Table 7: Incubator Operations Plan: Critical Questions



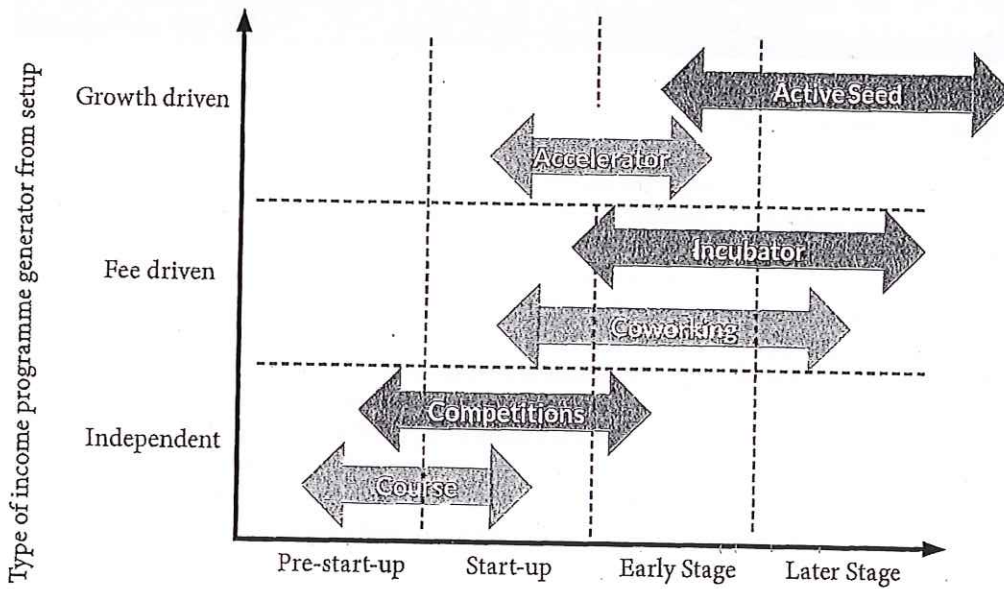
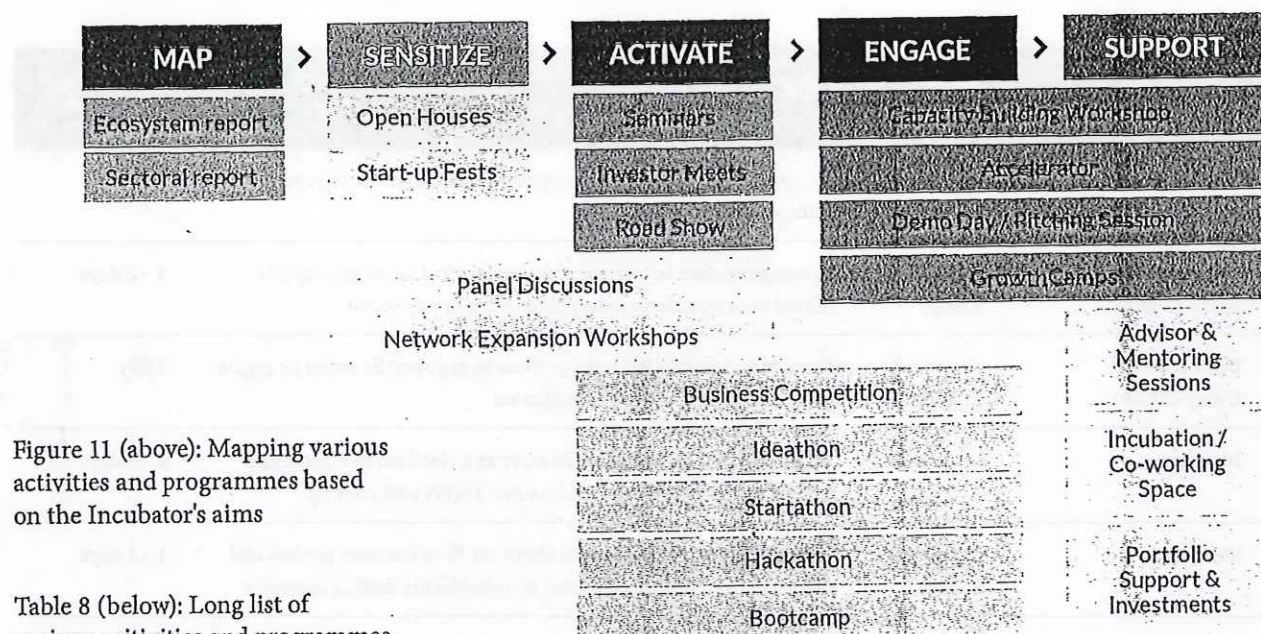


Figure 9: Typology of start-up programmes

<b>MAP</b>	Map regional or sectoral ecosystem with an aim to understand the existing stakeholders, their roles, existing and emerging start-up trends
<b>SENSITIZE</b>	Sensitize and facilitate of conversations between the various stakeholders by championing entrepreneurship
<b>ACTIVATE</b>	Catalyse collaboration between the stakeholders and structure partnership
<b>ENGAGE</b>	Develop structured and deep interventions that engage all key stakeholders with start-ups (eg. Accelerator Programmes)
<b>SUPPORT</b>	Support provided by the ecosystem stakeholders towards nurturing and growth of the start-up

Figure 10: Aims of an incubator



Activities / Programmes	Aim	Objective	Duration
Ecosystem Report	Map	To understand the existing ecosystem stakeholders, analyse the trends of the existing and emerging start-ups in the region	3 - 6 months
Sectoral Report	Map	To understand the existing and emerging innovations in the particular sector and the problems or gaps addressed	3 - 6 months
Open Houses	Sensitize	To provide an idea about the incubator and its different activities towards start-up support	2 - 3 days
Start-up Fests	Sensitize & Activate	To bring together the different ecosystem stakeholders for discussion and work to support start-ups	2 - 3 days
Panel Discussions	Sensitize & Activate	To highlight the various issues, problems, solutions, events, or updates relating to any aspect of entrepreneurship	1 - 3 hours
Network Expansion Workshops	Sensitize & Activate	To bring together different ecosystem stakeholders and brainstorm ways to nurture and support the start-ups	1 day
Seminars	Activate	To bring together ecosystem stakeholders to brainstorm, discuss or train on any aspects related or specific to entrepreneurship or sector	1 day
Investor Meets	Activate	To assemble existing & potential investors and deliberate upon different ways to support start-ups and related issues	1/2 day



Activities / Programmes	Aim	Objective	Duration
Road Shows	Activate	To create awareness about a programme amongst the start-up enthusiasts of a region	1 day
Conclaves/Conferences/Summit	Activate & Engage	To bring together ecosystem stakeholders to discuss any aspects related to or specific to entrepreneurship or any sector	1 - 2 days
Business Plan Competitions	Activate & Engage	To scout innovative start-ups or ideas in any specific sector or region with some award as the final outcome	1 day
Ideathon	Sensitise & Activate	To provide innovative ideas. To serve as a platform to emerge and guide start-ups to transform ideas into reality and scale up	2 - 5 days
Startathon	Activate & Engage	To help innovative start-ups to showcase their business models and pitches in front of the ecosystem stakeholders including investors	1 - 2 days
Hackathon	Activate & Engage	To help the start-ups respond to a particular problem where innovative solutions can be brought about through intense brainstorming	2 - 3 days
Boot Camps	Activate & Engage	To help start-ups with mentoring sessions followed by a demo by them to experts for crucial feedback	3 - 4 days
Capacity Building Workshops	Engage & Support	To provide start-ups with various knowledge sessions, practical hands-on sessions and on imparting knowledge through practical approach	1 - 2 days
Accelerator	Engage & Support	To identify, nurture and support start-ups with the objective of making them investable	3 - 6 months
Growth Camps	Activate & Engage	To scout start-ups or ideas in a specific sector and to mentor	1 - 2 days
Demo Day/ Pitching Sessions	Engage & Support	To provide start-ups with a platform to showcase their businesses to the investors and other stakeholders	½ day
Advisory & Mentoring Sessions	Support	To provide insights into any specific topic or issue through mentoring or advisory help	2 - 4 hours
Incubation/Co-working space	Support	To provide the benefit of working in an incubation space with facilities of various common services	1 - 2 years
Portfolio Support	Support	To provide network connections, advisory and mentoring support, monitor and track the progress of the start-up	Continuous support
Investments	Support	To provide financial assistance to start-ups in various forms such as grants, debts and equity	3 - 4 months



Programmes form the core operations of incubators. Like any other discipline, having a strong understanding of the overall aims and objectives of the incubator enables the incubator team to design and execute high value programmes.

Pre-requisites:

The incubator needs to have clarity about its aim

Action Items:

1. The incubator needs to structure the programme as per the operating plan. The programme may have individual activities or a bunch of activities taken up together
2. The designing of the programme will depend on the aim of the incubator and the time at hand. Accordingly, the incubator plans out the resources and the team. Usually, a typical programme team need not be more than three people unless the programme is massive in scope and structure
3. Depending upon the activities chosen, partners need to be reached out and other aspects of programme management need to be finalised

What should be your goals:

1. The incubator will be in the execution mode and will begin its operations by planning programmes to achieve its objectives
2. It will also provide the incubator with an idea about its capabilities in detail

What to watch out for:

The incubator should plan for contingencies and should have a futuristic outlook while designing the programmes. The external dependencies for the programme may lead to changes within the programme while it is in progress

### c. Programme Management Components

The incubator undertakes programmes that are constituted of different types of activities ranging from creating sector reports, conducting bootcamps, to running an accelerator. To be able to allocate adequate time and resources and also to ensure the smooth execution of the

programme, the incubator manager needs to understand the various components of a programme. The following pointers highlight the programme components that remain unchanged irrespective of the type of programme and activities:

1. **Programme Design:** The programme design depends on the aim and objective of the incubator. It involves creating programme structure, timeline, processes and agenda keeping in mind all the stakeholders of the programme. At this point, it is important to keep in mind the objectives of the donor/sponsor of the programme. If the programme is 'sponsored' by the marketing department of a corporate, the programme design should include adequate engagement opportunities for the sponsors' team.
2. **Team Building:** A well thought through program design helps the incubator manager to plan for the skill and experience needed for the various functions within the programme. Thereupon, a relevant team can be constituted.
3. **Outreach & Communication:** Reaching out to right kind of audience is important for the success of the programme. There are several approaches for effective outreach. Road shows and activation workshops/information sessions allow an incubator to engage with potential beneficiaries in person. Digital media (search, social, video, etc.) and print media advertising can help in reaching out to a wider audience. While effective outreach is a direct function of the allocated budget, this is perhaps the most significant aspect that determines the quality of participation. Outreach campaigns require several collaterals such as flyers, presentations, mailers, posters, etc. Hence, engaging with a good design and communications vendor is important. Communication with other stakeholders is an essential means of creating and managing relationships. For effective programme management, establishing clear communication channels helps to manage expectations of both internal and external stakeholders.
4. **Programme planning:** This aspect of the programme involves multiple features, a) designing curriculum, b) identifying resource persons, and c) managing event.



Designing curriculum (outline and content) forms the backbone of the programme as it determines flow and the structure of the events within the programme. This also helps to decide the type of resource persons required for programme delivery and value addition. Managing the event on the contrary, involves the arrangement of multiple aspects such as food, venue, accommodation, travel, facilities, utilities, etc.

5. Finance: Depending on the funds available, every programme should lay out a budget on a realistic estimation and try restricting its expenditures within the limits. Realistic assumptions will also help raise sponsorships for the funds required to manage the programme effectively.
6. Reporting: Programme funders, partners and the incubator leverage the benefits of a well-written closure report as it captures several aspects of the programmes. Beside programme details, it includes participant and partner feedback, analytics, financials and learning. This helps the stakeholders to document the programme and improve future programmes.

## d. Accelerators

**A**ccelerator is one of the core activities or programmes that are conducted by most incubators particularly in form of a fixed-duration programme. Also known as seed accelerators and start-up accelerators, these programmes are for duration between three and six months. Accelerators make incubation better because it helps the start-up teams with un-validated business or impact opportunity to get quick validation that may be either success or failure; thus providing the start-up with a better chance of either taking the business forward or pivoting to a different business model or upgrade the product.

Following are the key components of the Accelerators that sets it apart from the other programmes:

- ▶ Cohort: The programme focuses on the fixed cohort of teams instead of individuals.
- ▶ Selection process: The selection of cohort is through open application process which is highly competitive and transparent.
- ▶ Design: Accelerator is designed to build the capacity of the cohort teams through workshops, talks and sessions by domain experts and successful entrepreneurs.
- ▶ Network Access: The programme provides the cohort with the access to mentors and experts who help validate the hypothesis of the start-ups.
- ▶ Investor Access: The Demo Day of the accelerator provides a direct access to the cohort to connect with the investors.
- ▶ Funding: Often the accelerators provide seed funding in form of equity investment, and grants.
- ▶ Other facilities: Accelerator also provides others facilities such as office space, cloud credits, discounted or free service providers, etc.

Accelerators tend to vary. While some focus on specific sector or region, others are sector agnostic. Most accelerators look into early to later stage start-ups and are growth-driven by nature. With a smaller cohort size, accelerators focus on creating investable start-ups. While the primary offering of the accelerators remains same, the models of accelerators vary depending on the cohort requirement as well as the incubator's mandate. Nesta's *A Look Inside the Accelerators* highlights on accelerator archetypes, 'investor-led accelerator', 'matchmaker accelerator', and 'ecosystem accelerator' along with the five components that shape the structure and design of an accelerator as shown in Table 10.<sup>32</sup>

Nesta's *Start-up Accelerator Programmes, A Practice Guide*<sup>33</sup> presents detailed insights into the setting up and running of an accelerator programme. However, before deciding to run an accelerator, the incubator must have clarity on the following aspects:

1. Vision & Objective: The vision of running an accelerator must be certain and clear. The incubator manager or the programme manager must look into answering the questions below:
  - ▶ Why to run an accelerator? Who is the target of the accelerator (sector/ team stage/ product category)?
  - ▶ What need (unmet or poorly met) is the accelerator addressing?
  - ▶ Who is funding the accelerator?

<sup>32</sup> A Look Inside Accelerators, NESTA, February 2015

[https://www.nesta.org.uk/sites/default/files/a\\_look\\_inside\\_accelerators.pdf](https://www.nesta.org.uk/sites/default/files/a_look_inside_accelerators.pdf)

<sup>33</sup> Start-up Accelerator Programmes: A Practice Guide, NESTA, 2014

[https://www.nesta.org.uk/sites/default/files/start-up\\_accelerator\\_programmes\\_practice\\_guide.pdf](https://www.nesta.org.uk/sites/default/files/start-up_accelerator_programmes_practice_guide.pdf)



Strategic focus	Programme package	Funding	Selection Process	Alumni Service
<ul style="list-style-type: none"> <li>▶ Key objectives</li> <li>▶ Sector focus (diversified vs specialisation)</li> <li>▶ Geographic focus (local vs global)</li> </ul>	<ul style="list-style-type: none"> <li>▶ Standardised Curriculum</li> <li>▶ Mentoring Package</li> </ul>	<ul style="list-style-type: none"> <li>▶ Funding of the accelerator</li> <li>▶ Funding of start-ups</li> </ul>	<ul style="list-style-type: none"> <li>▶ Screening criteria</li> <li>▶ Selection processes</li> </ul>	<ul style="list-style-type: none"> <li>▶ Alumni interaction</li> </ul>

Table 9: Components that shape the structure and design of an accelerator

- ▶ What is the factor that will attract the applicants the most?

2. Funding & Resources: The program cannot begin without the funding. Hence, the most relevant question would be about sourcing the funding and identifying the resources. The questions that arise are:

- ▶ What is the programme budget? Who is funding the programme? Are the funds enough to run the programme?
- ▶ Is there a team that can execute the programme? If not, do they need to be recruited?
- ▶ Have the potential mentors, experts and partners been identified? How to engage with these networks?
- ▶ Does the incubator have all the infrastructural facilities to run the program? If not, should the program be transferred to a different venue?

3. Scouting & Selection: The cohort of the Accelerator is of utmost importance. Hence, the scouting and selection process needs to be precise. The incubator manager has to consider the following:

- ▶ How to reach out to the targeted start-ups?
- ▶ What kind of marketing collaterals are required and who will prepare those?
- ▶ Whether the list of evaluators is in place? Have they been contacted and their confirmations have been received?

- ▶ What is the evaluation process? Have the evaluation parameters and selection criteria been decided?

4. Structure & Activities: While designing the program layout, the programme manager needs to consider the following:

- ▶ Would the program be a residential programme? What would be the duration of the programme?
- ▶ What are the various capacity building activities or events in the programme? What specific topics will be covered in the curriculum and who will deliver such sessions?
- ▶ What is process of mentoring? How will the mentors be matched with the cohort teams? How will the mentoring meetings be facilitated?
- ▶ Will the sessions include specific sessions for pitching practice? How will the accelerator team help the start-ups?
- ▶ Will the cohorts receive funding? If yes, then in what form? Are the documents and conditions related to providing funding have been discussed with the legal and investment team?

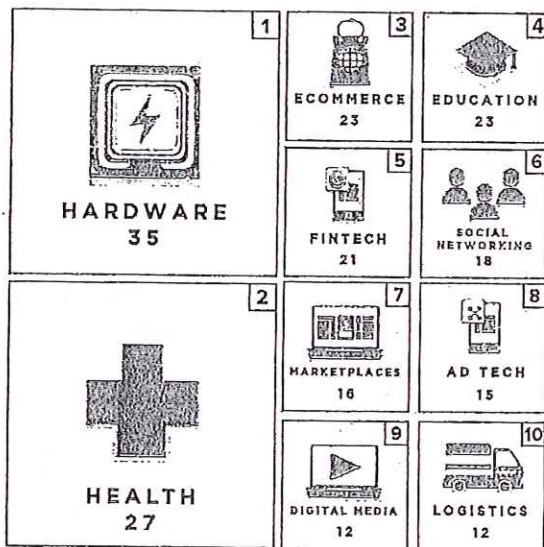
5. Alumni & KPIs: The programme manager needs to address the following issues related to the engagement with the cohort.

- ▶ How will the accelerator team engage with the cohort after the programme?
- ▶ How to measure the success of the programme? ■

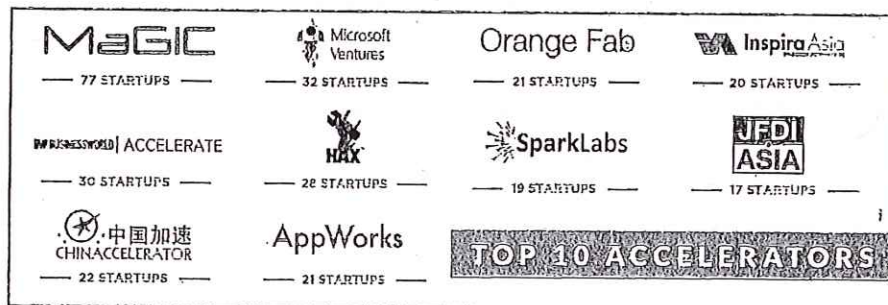
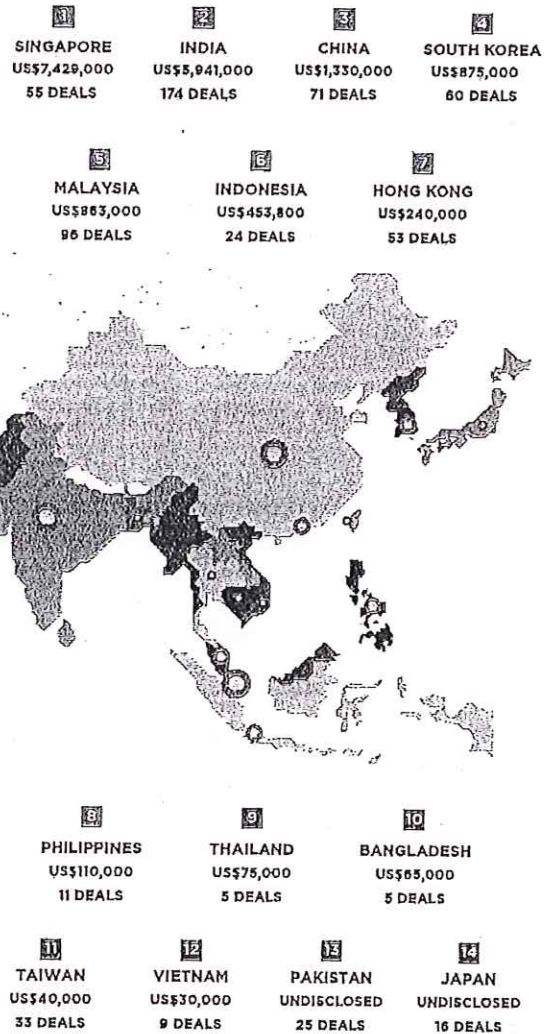




### TOP SECTORS BY NUMBER OF ACCELERATORS



### MOST ACTIVE COUNTRIES



## ACCELERATORS IN ASIA

Source: <https://www.techinasia.com/>

## 5. Financial Assistance to Start-ups

This segment has been divided into the following four parts - a) types of financial assistance, b) process flow for equity investment, c) post-investment activities, and d) engaging and managing investors.

### a. Types of Financial Assistance

- ▶ Incubators generally provide four types of financial assistance to start-ups: grant, debt, quasi-equity and equity.
- ▶ Grant: Grants are generally provided to start-ups for product development, pilot testing, research, etc.
- ▶ Debt: The debt or loan is usually given when the start-up needs to grow but does not want to take up equity investments. The loan can also be a bridge funding for some start-ups.
- ▶ Quasi-equity: This form of financing is a category of debt that has a few features of equity in it. This is usually given to those start-ups whose valuation is difficult to be ascertained.
- ▶ Equity: Equity investments are done when the start-ups can be valued and have a high potential to scale up.

### b. Process Flow for Equity Investment

Investing in start-ups is a detailed and multi-stage process. The subsequent paragraphs elaborate the different phases of the investment flow.

1. Deal Origination: It refers to finding deals for start-ups. There are various ways in which deals are received or identified by the incubator. Different programmes run by the incubator are one of the primary ways to search for high quality and investable start-ups. An incubator manager might receive references about it from colleagues and investors. Apart from this, as the reputation of the incubator increases, start-ups directly email incubators with a request for assistance, guidance or funding. Deal origination therefore includes preliminary screening of these deals to understand whether they fit the mandate of the incubator. Keeping track of all the deals that keep coming to the incubator is important, irrespective of the willingness or ability of the incubator to help the start-up.
2. Preliminary Evaluation: In this phase, a preliminary evaluation of the start-up is conducted on parameters pre-decided by the incubator and the invest-

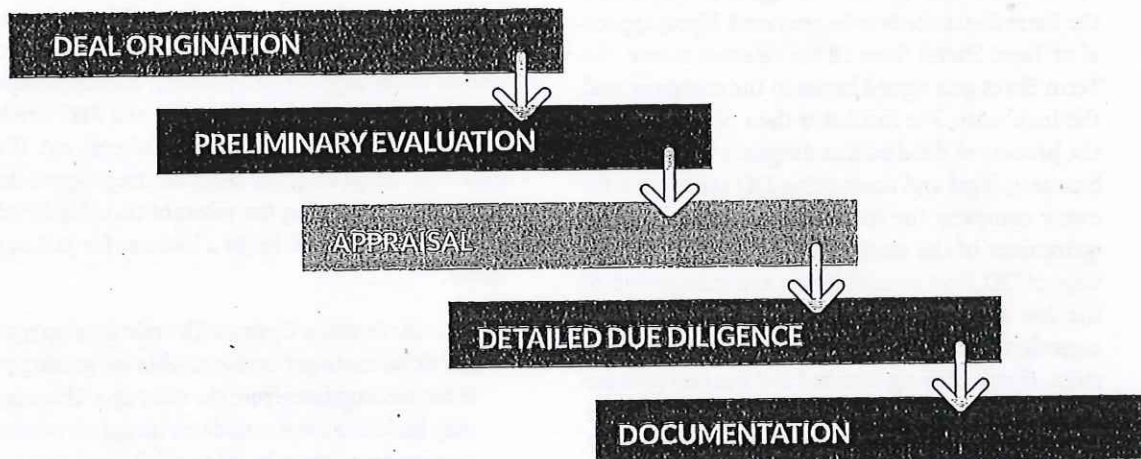


Figure 12: Process flow of equity investments



ment committee. The team evaluating these start-ups generally constitutes of a sector expert and a team member with entrepreneurial experience. On the basis of the scoring of the evaluation parameters and primary research, the incubator team decides on whether the deal should be taken to the next level.

3. Appraisal: A Deal Champion, the person responsible for working on the deal or with the company initiates this phase. The Deal Champion gathers, from the company, different types of information such as the ones related to business, business model, financial model, etc. Upon consolidation and analysis of all the information, the Deal Champion highlights the 'red flags' for the company and discusses with the sector and investment team. Only if the Deal Champion is satisfied that the risk elements of the company can be resolved or has been resolved, the deal is proceeded with.
4. Detailed Due Diligence: Detailed diligence needs to be carried out and the findings will help the Deal Champion to create a final 'Investment Memo' (IM). IM is a document which holds all the details of the companies and can vary between one and five pages depending upon the requirement. This document will be used as a reference and also to discuss with sector experts and investment teams. Once the discussions reflect positive arrangements to process, the Term Sheet needs to be prepared. Upon approval of Term Sheets from all the relevant teams, the Term Sheet gets signed between the company and the incubator. The incubator then needs to begin the process of detailed due diligence (DD). While business, legal and accounting DD are a must for every company the incubator can decide the requirement of the environment / sustainability / impact DD. Post consolidation and submission of the due diligence reports, the Deal Champion in consultation with the relevant teams analyses the risks, if any. Having satisfied the queries that are raised, the Deal Champion then prepares the Share Subscription and Shareholders' Agreement (SSSHA). The preliminary draft of SSSHA is drafted, discussed, finalised, and then shared with the company. There are multiple documents available online about the

Term Sheet. Bruce Gibney of Founder Fund in *What's in a Term Sheet?*<sup>34</sup> gives insights into the contents of the Term Sheet.

5. Documentation: After sharing the SSSHA with the company, the document is negotiated upon. On mutually agreeable conclusion of the negotiations, the SSSHA is finalised and signed. If there are any major deviations in the SSSHA from the terms and conditions of the Term Sheet, then the Deal Champion needs to discuss the issues at a greater length with the relevant teams. Post signing of the SSSHA, the Deal Champion works with the finance and legal compliance teams to create a checklist for the company in terms of compliances and notifications. Followed by this, the funds are disbursed by the incubator to the start-up or the company.

### c. Post-investment Activities

Post-investment activities involve three main categories of functions 1. monitoring, 2. value addition, and 3. fundraising support.

1. Monitoring: This phase requires continuous effort in monitoring the company. It begins with appointing a portfolio manager and a Board Observer. The Deal Champion may or may not be the portfolio manager after the deal is closed. The incubator makes its monitoring or tracking process and a tracker to measure the same. This includes meeting schedules, hand-holding and advisory support (as required), creating a reporting frequency and templates, customised MIS (including KPIs, milestones, utilisation, and others), etc. The portfolio team keeps a regular check on the progress through the trackers, keeping the relevant team updated on a regular interval, and keeps a lookout for exit opportunities.
- Periodic Business Updates: The relationship manager/ portfolio manager is responsible for getting periodic business updates from the start-ups. These updates may include business updates (progress on the milestones agreed upon by all parties), legal updates and financial updates. These updates help an incubator keep track of its investment and advise the company from time to time.

<sup>34</sup> What's In A Term Sheet? The World's Most Irritating Not-Quite-Contract, Bruce Gibney, Founders Fund  
<http://web.archive.org/web/20130303042811>  
[http://www.foundersfund.com/uploads/term\\_sheet\\_explained.pdf](http://www.foundersfund.com/uploads/term_sheet_explained.pdf)



## Post Investment Activities

- ▶ **Board Meetings:** The incubator might appoint a resource as a Board Observer/Board member who can participate in the proceedings of the quarterly board meeting. The function is to protect the interests of the investor/incubator and also to advise the company on strategy. Finally, the Board Observer reports the minutes of the meeting. Getting periodic updates is often easier said than done and depends to a large extent on the relationship between the start-up and the portfolio manager.

Building a strong relationship allows the start-up to build trust and enables sharing the company information. The monitoring function usually protects the rights of the investor/incubator, and is best done by structuring a healthy and strong relationship.

2. **Value Addition:** In addition to monitoring investments, the incubator adds strategic value to the start-up and helps it grow and scale. Typically, the incubator provides the following support to start-ups (over and above the financial help) by interfacing with various sector experts, mentors and other peer entrepreneurs:

- ▶ **Strategy:** The portfolio manager offers strategic support to start-ups and helps them develop business, product and financial strategies to achieve their specific business milestones.
- ▶ **Access to networks:** Helping start-ups connect to relevant experts from their sectors is one of the most important value additions provided during this stage. This connect can be through formal email introductions or may include formal piloting arrangements with domain-specific corporates.
- ▶ **Mentoring:** Several angel investors are successful entrepreneurs themselves. Along with the incubator, these angels can also act as mentors to entrepreneurs and coach them to be stronger entrepreneurs. At the same time, angels have strong networks of their own and are able to extend their network support to the start-ups.

3. **Fundraising Support:** As a start-up nears completion of their milestones, they need to raise a subsequent round of funding to support its future scaling up. An

incubator usually assists the start-up to syndicate the next round of investment by reaching out to the right investors, help the start-ups develop a strong investment pitch and also helps the start-ups negotiate good terms during the investment. The incubator can tap into various sources of funding such as government schemes, multilaterals, corporate, CSR funds and last but not the least, the investors (e.g., angel investors, HNIs, and others). The Government of India provides specific guidelines for seed support systems for start-ups in incubators.<sup>35</sup>

### d. Engaging Angel Investors

Angel investments can be perfect for businesses that are well-established beyond the start-up phase, but are still in stages nascent enough to need capital to develop a product or fund a marketing strategy.<sup>36</sup> Thinking from the incubator's perspective, the reasons for the incubator requiring an angel investor could be anything from a) availability of limited seed fund, b) adhering to fund restrictions and mandates, c) to provide support beyond seed fund, d) access to bigger ticket size, to e) access to wider network and skills, etc. However, engaging with angel investors efficiently and successfully requires all the essence of skilful and thought through relationship management strategies.

Engaging an investor will include understanding the preferences of the investor, options to engage with them, and putting across a good pipeline of deals. It also will involve the background work of deciding a fund raising strategy for the start-up, refining pitches to be showcased to the investors, and profiling the investors to understand their background & interest. More specifically from the activity context, the incubator can engage the angel investor in the following:

- ▶ Mentoring during programmes like accelerator, boot camp, etc.
- ▶ Demo days
- ▶ Webinar sessions
- ▶ Angel education workshops
- ▶ Networking events, emails and calls
- ▶ Start-up showcase with local bodies

<sup>35</sup> DST Guidelines for seed support system for start-ups in incubators [http://www.nsitedb.com/Institutional/Guidelines\\_for\\_SSS.pdf](http://www.nsitedb.com/Institutional/Guidelines_for_SSS.pdf)

<sup>36</sup> Article on Entrepreneur <http://www.entrepreneur.com/article/52742>



Stage of Investment	Value Addition
Pre-investment	Provide the investor with high potential enterprises through good start-up program
During investment	Involve investors in due diligence and other decision making for the start-ups
Post investment	Report periodically (quarterly or half-yearly) to the investors
Managing exits	Support the investors through adequate data and precedents during exit discussions

Table 10: Value Addition in different Investment Stages

An angel investor would also like to ascertain the value he/she brings in before deciding to work with the incubator. Some of the value additions that the incubator can present the investor with for different stages of investment are highlighted in Table 10.

Richard Harroch in *20 Things All Entrepreneurs Should Know About Angel Investors*<sup>37</sup> briefs on multiple aspects of angel investment, such as amount of investment, things an angel investor looks out for, questions to anticipate from these investors, how to find angel investors, etc. ■

## In conversation with Vishwanathan (Vish) Sahasranamam, VP Forge Accelerator On Adding Value to Start-ups

### How do incubators facilitate an engagement between investors and start-ups?

The start-up ecosystem is composed of a multitude of stakeholders including investors, domain experts, industry mentors, academic institutions, government agencies, and the start-ups themselves. The incubator plays a highly central role in bringing these different players together in a timely and meaningful manner. By fully understanding their individual needs and expectations, the incubator is in a powerful position to create value for each of the stakeholders in return for receiving value from them, facilitating mutual growth. Thus, in order to create optimal relationships between investors and start-ups, it is important for the incubator to first accurately profile the preferences of the investors. This process includes, but is not limited to, understanding their sector and domain inclinations, team composition preferences, risk propensity, and industry expertise. This is done through a variety of methods such as openly discussing expectations with the investors and evaluating their past investment track records. Investors often want to engage with start-ups for more than just potential monetary returns. For instance, they might want to learn from the start-up about new technologies and sector-specific developments, using their involvement in the start-up ecosystem as a way of keeping a hand on the pulse of the market. In short, the requirements of the investor must be clearly understood in order to best match them with the right start-up. When it comes to forming the right partnership, incubators must also be proactive in establishing strong relationships between potential investors and start-ups. Instead of waiting for demo days or accelerator programmes to start the interaction, the

<sup>37</sup> 20 Things All Entrepreneurs Should Know About Angel Investors: Richard Harroch, Forbes/Entrepreneur article, February 2015  
<http://www.forbes.com/sites/allbusiness/2015/02/05/20-things-all-entrepreneurs-should-know-about-angel-investors/#2e33709c483a>



incubator should create expedited opportunities for the two parties to come together. One effective method of doing so is having a rigorous schedule of investor office hours where start-ups are given a chance to make their needs and preferences apparent as well. Additionally, in the case of miscommunication between a start-up and its investor, it is the responsibility of the incubator manager to resolve any issues through open discussion.

#### How can an investor add value to start-ups?

We need to stop viewing investors as purely a source of capital. Investors come in with sophisticated expertise that could greatly benefit start-ups. They should be able to lend their mentorship to start-ups where relevant and aid in developing business strategies and improving the existing core offering. In order to maximise this value creation, it is important to ensure that the strengths, weaknesses, and requirements of the start-up and the investor have been appropriately understood and matched.

#### What factors leads to the failure of start-ups?

I strongly believe that running a start-up is quite similar to conducting an experiment. The start-up is founded upon a core idea that has thus far not been tested for market viability. There are some underlying assumptions about both the product and the market that first need to be tried and proven. The start-up is expected to either prove or disprove the principal hypothesis that its product and business model have the potential to be adequately profitable in the marketplace. Consequently, just as a scientist does not fail for refuting his hypothesis, the start-up entrepreneur never fails irrespective of the outcome of the business for he has still added value to the ecosystem. However, the problem arises when a start-up is run like any other business, rather than as an experiment. When the expectation is for the start-up to be a market success, there is little strategic attempt initially made to prove the capabilities of the product and the business model before infusing capital or scaling up. This mistaken notion stops the start-up from effectively identifying and alleviating all its fundamental risks early in the game.

#### How can the incubation centre mitigate various risks faced by start-ups to reduce the chances of business failure?

Keeping with the metaphor, while the outcome of the experiment depends on the market potential of the start-up's core offering, incubators can play a vital role in ensuring that the experiment itself is conducted in an effective manner. This includes providing the entrepreneurs with the necessary skills to run resourceful experiments and providing strong support systems for the entirety of the experiment. At FORGE, we have developed the Minimum Viable Business framework that helps start-ups build proof-of-product and proof-of-business as their primary objectives. This process gives them the opportunity, and the ability, to recognise risks and take appropriate steps to mitigate them before moving further.

**Incubators can play a vital role in ensuring that the [start-ups'] experiments are conducted in an effective manner by providing the necessary skills, resources and support systems**



## 6. Managing the Incubator

While an incubator is a support organisation to support start-ups, an incubator is itself an organisation that needs sound management. An early stage incubator would usually have two or a maximum of three people assisting the incubator manager. These team members would take up various works ranging from writing proposals, managing expenditure, scouting start-ups, running programs to administrative work. Since these people will be multi-tasking, hence, it is essential to build a robust team that offers critical support to the incubator including: a) legal and finance, b) human resource and c) administration. As the incubator grows, several other functions will naturally get added.

### a. Legal & Finance

Effective operations of an incubator reflect a sound legal and financial backbone. This includes:

- ▶ Setting up necessary legal and financial systems and processes
- ▶ Ensuring that the funds are disbursed as per the specifics inlaid in the agreements
- ▶ Put a strong internal control in place
- ▶ Ensure that the reporting is submitted to the donors, funders and other relevant stakeholders before the deadline, and last but not the least
- ▶ Ensure all compliances have been adhered to within deadlines for IT, RoC, and others

### b. Human Resources

An incubator is about the people who work in it, whom they work with and whom they work for. Hence, looking out for people from the beginning is important. At the initial stage of the incubator, the aspects that the human resources team essentially has to look into are recruitment policies, compensation policies, training and development, overall personnel management, and maintaining culture of the organisation. As the incubator grows over time, its horizon will broaden to include a lot of other aspects such as retention strategies, incentive policies, health and welfare benefits, talent acquisition, and others.

### c. Administration

Good administration is necessary for efficient running of the organisation as it affects both the staff as well as the start-ups of the incubator. The administration includes the following aspects:

- ▶ Maintaining the infrastructural, associated facilities and utilities; additional facilities such as cafeteria, office support services, and, co-working space
- ▶ Maintaining documents such as statutory documents, co-working space agreements, KYC documents, MoUs signed with vendors, etc.
- ▶ Liaison with external parties
- ▶ Managing relationship with host organisation
- ▶ Creating awareness about the activities of the incubator

Incubation should be seen as the process of de-risking an idea or a startup and helping them improve the odds of success. Hence, incubation process itself can take different forms or shape – including providing office infrastructure, prototyping lab, seed-funding, market-access or business mentoring, amongst others. Each of these activities is critical to de-risk the venture in its early days – and should be seen as a critical component of “incubation”. Just like there is no one secret recipe for creating a successful start-up, there is no one recipe for setting up a successful incubator. By combining high level strategy and on-ground implementation tools, we hope that incubator managers think actively about various topics presented here and develop stronger incubation models. ■

## 7. Annexure

### Annexure 1: 'Start-up Map' Framework




Parameters	Details
Key problems that the start-up wishes to solve	(Gaps that the start-up is trying to address; Criticality of the gap today and in future)
Key features of the product/service designed by the start-up	Goals, Target, Product or solution, Stage of product, Start-up age, Region of operations, Team size, Skills and experience of team members, Base location, Investments or funds raised, Revenue generation, Future plans
Key pains in pursuing their business	Current and expected problems or risks faced by the start-ups
Key resources required by the start-ups	Resources required by the enterprise to address its current pain points



## Annexure 2: "Critical Success Factors" Framework



## Annexure 3: Capabilities Framework

Capabilities Required	
<div style="border: 1px solid black; padding: 10px; text-align: center;"> List down all the capabilities that are required to achieve your vision </div> <div style="display: flex; justify-content: space-around; margin-top: 10px;">   </div>	
Capabilities that can be developed internally	Capabilities that need to be sourced
List all of those capabilities from the list above that you can develop internally	<div style="border: 1px solid black; padding: 10px; text-align: center;"> List all of those that you need to source from partners </div> <div style="text-align: center; margin-top: 10px;">  </div>
Potential Partnership Opportunities	
List down the possible partner names and the possible partnership opportunities	



# Annexure 4: Stakeholder Engagement Decision Matrix

Current alignment of strategic goals	Fully Aligned	Build Capability	Execute
	Not Aligned	Inform	Customise
		Do Not Exist	Exist

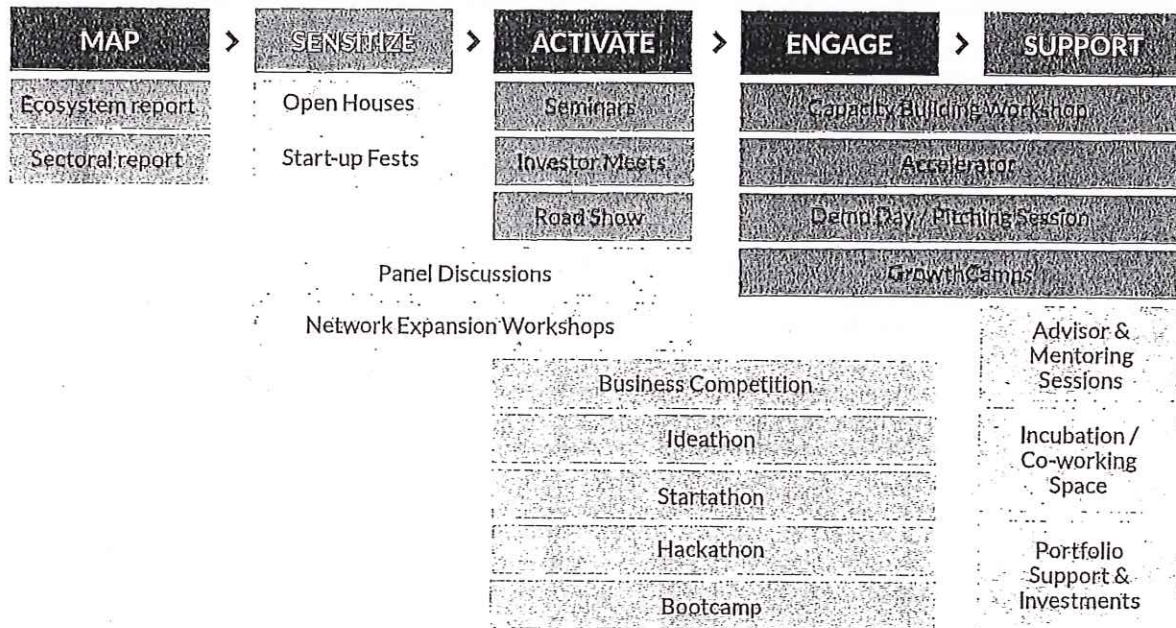
Capabilities of stakeholder to support incubation.

## Annexure 5: Incubator Operations Plan: Critical questions

Aspects	Key Questions
Objective	Are the immediate objectives of the incubator aligned to its vision or overall mandate, for a span of one or two years?
Target (Market/Sector/ Start-up/Region)	Who are the core beneficiaries of the incubator? Do these start-ups fall into the sector/region/market of the incubator's mandate? What is the stage and phase of the start-up at which the incubator is focussing?
Approach & Methodology	Does the approach address the key issues? Does this clearly define the start-up support and the ecosystem development activities? Is there a definite methodology to address the approach? Are there specific partnership models that are being used?
Partners	Who are the value chain partners? Are they ready to support? What kind of support can they provide? If the partners are not ready to support, do they need activation? How to engage the partners and why? Who are the partners to whom the incubator needs to reach out to immediately and how? It might be good idea to view this from the Inform, Customise, Build Capacity and Execute Framework.
Risks & Risk Mitigation	Have all the internal and external risks been considered? What are the risk mitigation systems? How will you mitigate the external (interdependence and integration) risks? What is the contingency plan?
Activities	What activities need to be undertaken in order to address the issues of its beneficiaries? Are the activities able to achieve the underlying objectives? What are the milestones and timeline for the activities? What are the different functions that need to be undertaken to accomplish the activities?
Team	Do you have the right team to execute the activities? What will be your recruiting plan? While team is the one of the most critical elements of any organisation, is your team empowered to take decisions? Does the incubator governance structure enable this?
Desired Impact	Are all the activities helping the incubator achieve the desired impact? How do you measure the impact? What are the metrics to be used for tracking?
Operating Costs	Have you booked the expenses of the activities as well as for running the incubator, including administration, infrastructural, programme management costs, employee cost, etc.? Is a budget in place for the different activities and functions?
Sustainability Plan	What are the plans to generate revenue in a continuous manner? How to raise the funds required for the entire operation? What are the various avenues of funds? Will creating a corpus help? If yes, then how can that be created?



## Annexure 6: Various activities of an incubator based on the incubator's aim



<b>MAP</b>	Map regional or sectoral ecosystem with an aim to understand the existing stakeholders, their roles, existing and emerging start-up trends
<b>SENSITIZE</b>	Sensitize and facilitate conversations between the various stakeholders by championing entrepreneurship
<b>ACTIVATE</b>	Catalyse collaboration between the stakeholders and structure partnership
<b>ENGAGE</b>	Develop structured and deep interventions that engage all key stakeholders with start-ups (eg. Accelerator Programmes)
<b>SUPPORT</b>	Support provided by the ecosystem stakeholders towards nurturing and growth of the start-up



## Annexure 7: Participating Organisations – Incubator Capacity Building Workshops

### 1. Centre for Social Entrepreneurship and Enterprises (CSEE)

Centre for Social Entrepreneurship and Enterprises (CSEE) is the incubator at Institute of Rural Management Anand (IRMA). CSEE will help the aspiring social entrepreneurs as well as grass-root innovators and social start-ups from outside to launch and sustain their ventures successfully.

### 2. Venture Lab – Thapar

Thapar University in collaboration with Venture Lab-International, University of Twente, Netherlands, has come up with a Venture Lab with focus on developing a holistic entrepreneurial ecosystem by providing technological, financial, infrastructural and strategic support to budding entrepreneurs from within and outside Thapar University. As employment opportunities is diminishing, the Thapar Venture Lab seeks to transform job seekers into job providers by providing seed money as initial investment to incubate the entrepreneurial ventures of the selected aspirants, who would be given space in the incubation facility of the Venture Lab.

### 3. FORGE

FORGE, is the innovation accelerator launched by the Coimbatore Innovation and Business Incubator (CIBI). With tools offered by modern day technology and by adopting methods made popular by new age start-up thinking and process, FORGE aims to accelerate the business viability and success of innovative hardware or software products, and of innovative business ideas in various service sectors.

### 4. Nativelead Foundation

Nativelead Foundation is a not-for profit organisation promoting entrepreneurship in Tier II and Tier III regions of southern parts of Tamil Nadu. It works with start-ups that solve real world problems and build a business out of it. The Foundation would be incubating companies that work with technology, mechanical devices and other technology-based innovations. Based out of Madurai, the Foundation operates on a co-creation model and is spread across 10 districts in and around Madurai.

### 5. Assam down town Venture Labs (AdtVL)

AdtVL is an initiative of down town Charity Trust and has been set up in the campus of Assam down town University which gives an edge to the incubatees to avail technical expertise on real time basis from the scholars in multiple domains. It is one of its kind facilities in the entire North Eastern region offering the perfect blend of business ecosystem and technical expertise with non-exhaustive human resource. The services offered by AdtVL includes dedicated office spaces, IT and networking facilities, mentors from industry and academia, access to labs and heavy equipments of pharmacology, engineering, biotechnology, FND etc.

### 6. National Academy of Agricultural Research Management (NAARM)

a-IDEA (Association for Innovation and Development of Entrepreneurship in Agriculture) - The incubator of the Academy has natural advantage of agri-business entrepreneurship development initiatives. It is also the nucleus of several industries such as agro-processing, poultry and fisheries. The main objectives of NAARM-TBI are to scout the commercially viable technologies developed at different research institutions in NARS; to provide congenial ecosystem to commercialise these



technologies; to give hand-holding support to the aspiring agri-entrepreneurs in developing and executing business plan around the technologies; to build and accelerate the agri-based small-scale industry clusters across the regions.

## 7. Startup Oasis

Startup Oasis is a Jaipur based incubation centre that is developing an ecosystem in Rajasthan to inspire and support students, aspiring entrepreneurs and start-ups to solve persistent problems, develop breakthrough innovations and create world class enterprises. Startup Oasis has been set-up at the joint initiative of RIICO, Rajasthan's premiere industrial promotion organisation, and the Centre for Innovation Incubation and Entrepreneurship (CIIE) at IIM Ahmedabad, India's leading incubation and entrepreneurship centre. RIICO and CIIE felt the need to tap into the pool of traditional Rajasthani entrepreneurship and use the joint expertise of RIICO and CIIE to channelize the entrepreneurial energies to foster creativity and innovations in order to solve some of the most obstinate problems of the State and the country.

## 8. Lemon Ideas

Lemon Ideas is a start-up mentorship organisation dedicated towards fostering the start-up ecosystem in India. It primarily aims towards building favourable ecosystem for new ventures in Tier II cities of India. The supports provided at Lemon Ideas include mentoring, innovation and incubation (co-working) for start-ups in their early stages. The incubator is also active in the space of talent innovations where they hunt for promising ideas and teams for start-ups. It has a strong network of resident mentors, domain mentors and advisors.

## 9. Centre for Incubation and Business Acceleration (CIBA)

Centre for Incubation and Business Acceleration is a Technology Business Incubator established in 2012 with support from Department of Technology, Govt. Of India and Department of Science, Technology and Environment, Govt. Of Goa to support Technology based start-up companies in Goa. CIBA is presently supporting innovative enterprises in the area of information technology, food processing, clean technologies and mixed technologies.

## 10. Venture Studio

Venture Studio, the new venture design and incubation centre formed by Ahmedabad University in 2011, aims to nucleate an innovation ecosystem in Ahmedabad. It supports creation of innovation based scalable ventures, through a shared culture of innovation, supported by an ecosystem that includes investors, mentors, academic and research leaders and other professional support system providers.

## 11. iCreate

International Centre for Entrepreneurship and Technology - icreate is an autonomous centre of excellence for entrepreneurial pursuits leveraging innovation and technology. Its charter is to build an ecosystem to enhance entrepreneurial capital and support ventures that have the potential to scale rapidly, compete globally, generate wealth ethically, and create enriching and fulfilling employment and facilitate a wide range of 'Next Gen Entrepreneurship'.

## 12. Ncube Capital Partners

Ncube Capital Partners is a fund of funds as part of the SAR Group's Family Office focused on investing into early stage funds in India as a Limited Partner. The sectors of focus include Consumer products and services, Consumer Internet, vertical/hybrid E-Commerce models, Cleantech and Renewable, Technology Product and Services, Logistics and Supply

are subject matter of interest. Ncube is conceptualizing the set-up of sector-focused Incubators/Accelerators targeted at the Make in India business models.

### 13. Lodha Group

Lodha Group is India's leading real estate developer established in 1980. Over the past year, the company has embarked on an international growth journey with significant investments in London. The Lodha Group has several landmark developments to its credit including World One – the world's tallest residential tower, and Palava City – the largest private development in the world spread over 4000 acres. Palava will be the "City of Opportunity" - having being designed and benchmarked on every important aspect of urban living on a global scale: job opportunities, business friendliness, public spaces, a walkable urban fabric, technology enablement, eco-sustainability, health, education, security, connectivity, urban appeal and lots more.

### 14. Indian STEPs and Business Incubator Association (ISBA)

The ISBA was set up in 2004 as a registered professional body to promote business incubation activities in the country through exchange of information, sharing of experience, and other networking assistance among Indian Business Incubators, Science and Technology Entrepreneurs Parks (STEPs) and other related organizations engaged in the promotion of start-up enterprises.

### 15. Dayananda Sagar Entrepreneurship Research & Business Incubator (DERBI)

DERBI is hosted by Dayananda Sagar Institutions in Bangalore and would formally kick start its operations in 2015. It has been recognised and supported by DST, Govt of India. The primary focus of the incubator would be on ICT. Currently, Innovation and Entrepreneurship Development Center (IEDC) at DSI is playing a pivotal role in catalysing the students' innovations into entrepreneurial opportunities. The institution plans to partner with industry partners to collaborate and offer value to potential entrepreneurs, in the form of mentorships, certificate courses, venture capital etc. The incubator would become a one stop shop to cater to all needs of potential and existing entrepreneurs in and around Bangalore.

### 16. Design + Innovation Ventures

Design + Innovation Ventures, based at Indian School of Design and Innovation Parsons Mumbai, is a strategic partner for promising start-ups focused on integrating creative technology, business model innovation, and user experience design to create the next big thing. They are especially keen to partner with young B2C and B2B2C start-ups from India looking to leverage our facilities, knowledge and resources to make beautiful things that people love.

### 17. Swaraj University & Shikshantar Sansthan

Swaraj University offers youngsters a space to initiate the process of being self-designed learners who identify their heart's vision. The University is not offering a ready-made framework but a space and methodology for actively removing impediments to self-designed learning. The commitment is to create an environment in which learners explore genuine self-inquiry grounded in local reality; their learning proposals are linked to long-term, continuous, stable and sustainable livelihood choices; and, perhaps most importantly, the entire process is about self-learning, intrinsic motivation and friendship.



### 18. Rajasthan State Industrial Development and Investment Corporation Limited (RIICO)

RIICO since its inception in 1969 has emerged as a multi-faceted and dynamic institution. It has kept pace with the industrialisation process in providing complete and innovative means of financial and investment support services. RIICO is also the sole government agency in the state involved in development of land for industrial enterprises. The financial and vital infrastructural facilities provided by RIICO have contributed to promoting accelerated growth of industrial sector in the State.

### 19. NEEV (Nurture & Empower Entrepreneurial Ventures)

NEEV is an Indian Institute of Technology (IIT) Gandhinagar entrepreneurship development program aimed at helping the growth of grassroots-level entrepreneurship through training, mentoring and linkages for access to finances. Established in 2014, NEEV seeks to foster the tremendous enthusiasm in the local community to develop small-scale entrepreneurship activities. NEEV's training programs are developed in collaboration with iCreate India, an award winning non-profit entrepreneurship and employability skills training organisation.

### 20. Rajiv Gandhi Indian Institute of Management (IIM), Shillong

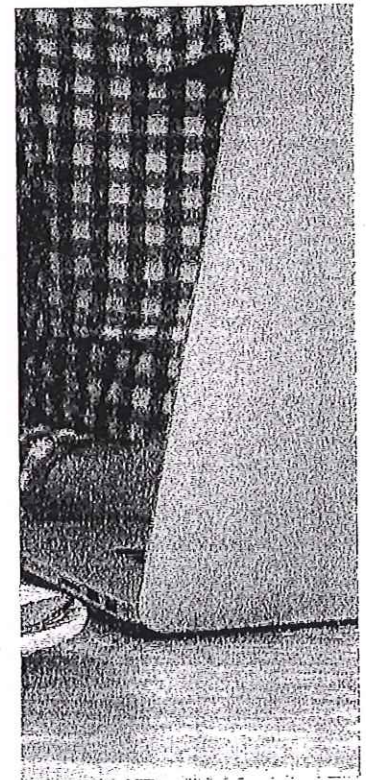
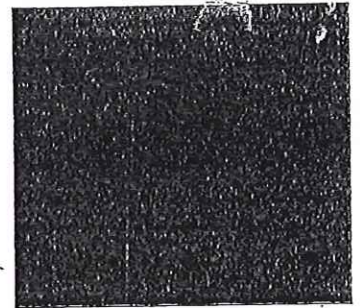
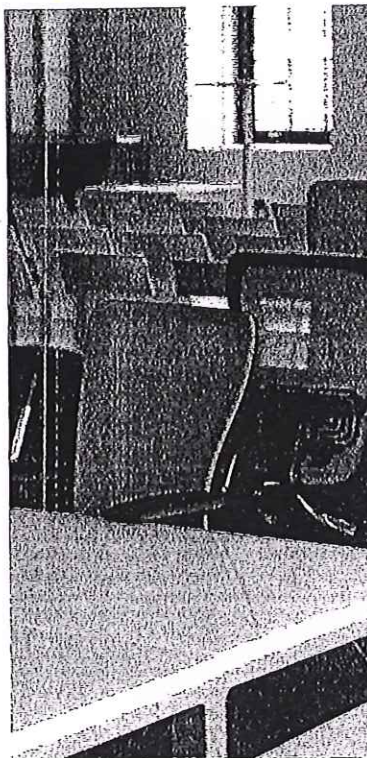
IIM Shillong is an autonomous business school located in Shillong, Meghalaya, India. It was established in 2008 by the Government of India and is the seventh IIM to be established. IIM Shillong is currently exploring the need of incubator that will be focusing on regional entrepreneurs from Shillong along with traditional businesses.

### About the Authors

**Susmita Ghosh** works as a Senior Content Developer and is part of the Ecosystem Development team at CIIE. She manages various ecosystem development activities including designing, structuring, and managing programmes of varied scale as well as other associated activities such as proposal writing and budgeting, etc. She has over ten years of work experience in varied organisations such as corporate, academic institutions and foundation. She holds PGDM (specialisation in financial management), Master in Commerce (Financial and Accounting) and is in her final level of Company Secretaryship course. She has qualified UGC NET examination in 'Commerce'.

**Ashwin Joshi** heads the Ecosystem Development team at CIIE and has over eight years of entrepreneurial experience in design, marketing and real estate sectors. He has led several national level ecosystem programmes like The Power of Ideas (India's largest start-up search programme, run in partnership with the Economic Times and Department of Science & Technology, Government of India). He has supported incubators through capacity building and handholding and is involved in a range of activities including fundraising, startup scouting, acceleration and seed investing. In his personal capacity, Ashwin mentors start-ups in user experience, usability design and business modeling. Prior to CIIE, he has been a founding member of a U.S.-based startup, co-founded a design & marketing firm in Mumbai, and, provided turnkey construction services for low-cost housing developers in Navi-Mumbai. Mr. Joshi has pursued masters in business administration from the University of Texas at Dallas and holds a bachelor's degree in fine art from Mumbai University.





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Atal Innovation Mission (AIM)

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New Delhi - 110001  
India  
<http://niti.gov.in/content/atal-innovation-mission-aim>

**Fwd: Legal Opinion: Proposal regarding incorporation of "Centre of Medical innovation & Entrepreneurship at AIIMS (CMIE-AIIMS)" as Section 8 company under the Companies Act, 2013.**

1 message

legal cell <legalcell@aiims.edu>  
To: CMIE AIIMS <cmie@aiims.edu>

Thu, Feb 8, 2024 at 11:46 AM

Sir,

Please find attached trailing mail for your further action.

With regards  
Legalcell, AIIMS

----- Forwarded message -----

From: **Satya Ranjan Swain** <satyaranjankls@gmail.com>  
Date: Wed, 7 Feb 2024 at 9:01 PM  
Subject: Legal Opinion: Proposal regarding incorporation of "Centre of Medical innovation & Entrepreneurship at AIIMS (CMIE-AIIMS)" as Section 8 company under the Companies Act, 2013.  
To: legal cell <legalcell@aiims.edu>

Sir,

*Greetings of the day!*

Kindly find my legal Opinion on:

**Proposal regarding incorporation of "Centre of Medical innovation & Entrepreneurship at AIIMS (CMIE-AIIMS)" as Section 8 company under the Companies Act, 2013.**

Regards;

--

**Satya Ranjan Swain**

Advocate  
Panel Counsel for State of Madhya Pradesh, Supreme Court  
Central Govt. Senior Panel Counsel, Delhi High Court  
Central Govt. Senior Panel Counsel, Armed Forces Tribunal (PB), New Delhi  
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**CMIE-AIIMS -LO.pdf**

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**Satya Ranjan Swain**

Advocate

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Mob.: +91-8860189238

Email: [thechambers.srs@gmail.com](mailto:thechambers.srs@gmail.com)

Date: 07.02.2024

The Legal Cell, AIIMS,

Ansari Nagar, New Delhi -110029

**LEGAL OPINION**

**Sub.: Proposal regarding incorporation of "Centre of Medical innovation & Entrepreneurship at AIIMS (CMIE-AIIMS)" as Section 8 company under the Companies Act, 2013.**

Sir,

*Vide* letter No. F.No. 41-609/(Pt. -132)/2024/Legal dated 27.01.2024 (-which was received by us on 02.02.2024 at around 03:00 PM), our legal opinion was sought with regard to the proposed Centre of Medical Innovation & Entrepreneurship at AIIMS (CMIE -AIIMS) which was initiated at AIIMS in March 2021 as a joint program of BIRAC (Biotechnology Industry Research Assistance Council) and AIIMS New Delhi and its incorporation as a Section 8 Company under the Companies Act, 2013.

We have gone through the Proposal along with the Annexures (unnumbered). In order to better appreciate the purpose, the nature of CMIE, similar structure in other premier institution, the achievements of CMIE, the objectives behind choosing Section 8



Company, the advantages and the proposed structure, we requested for a meeting *vide* our email dated 05.02.2024 (in addition to telephonic request).

Yesterday i.e. 06.02.2024, Dr Madhusudhan Bhat, Business Development Officer (CMIE), AIIMS, New Delhi attended a meeting held at my office. He explained the proposal and answered all our queries with regard to incorporation of Section 8 company.

We have perused the following documents viz.,:

- (i) Guidelines for setting up of Atal Incubation Centres (AICs),
- (ii) Guidelines for setting up of Incubators under Atal Innovation Mission, NITI Aayog, Government of India, April 2021,
- (iii) Guidelines for setting up of Incubators under Atal Innovation Mission -Atal Incubation Centres, Atal Innovation Mission, Niti Aayog, May 2019,
- (iv) BioNEST (Bioincubators Nurturing Entrepreneurship for Scaling Technologies),
- (v) CMIE's advisor board minutes of the meeting dated 31.05.2022,
- (vi) CMIE's advisory board minutes of meeting dated 04.10.2023, and
- (vii) Handbook for non-profit Non Incubator managers.

We have considered the *Objectives* of the proposal, the *Guidelines* for setting up of AICS, the *Eligibility* criteria for setting up of Section 8 company as given by BioNEST, the *Funding*, the *Duration* of support, the *Requirements* given thereunder.

In addition, we have also perused the stress given by the Chairman of CMIE with regard to development of ecosystem in CMIE, brief presentation of Prof. Dinda and particularly the suggestion of Dr Bipin Kumar, Director and Chief Innovation Officer, NIF, Gandhinagar with regard to requirement of a clear set up and suggestion of forming Section 8 company. Our attention is also drawn towards the discussion of Section 8 and other models and other relevant materials.

Considering the above documents and on the explanation given by Dr Bhat, we find that the proposal is legally viable and CMIE-AIIMS may proceed with the proposal to set up a not for profit, fully owned Section 8 company.

Regards,

SATYA RANJAN SWAIN  
Digitally signed by SATYA RANJAN SWAIN  
Date: 2024.02.07  
20:54:00 +05'30'

**SATYA RANJAN SWAIN**  
(Panel Counsel -AIIMS)  
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1, Kaushalya Park, Hauz Khas  
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