

### Part 1: Basic Information

#### 1. Identification information (Please write clearly)

|                      |  |
|----------------------|--|
| Name of employee     |  |
| Employee ID number   |  |
| Date of Birth        |  |
| Lab/ Institute       |  |
| Division/ Department |  |

#### 2. About the evaluation period (and other obligatory information)

|   |  |
|---|--|
| Is it a part year evaluation or full year evaluation?                                 |  |
| Reporting period start date   |  |
| Reporting period end date   |  |
| Reporting officer   |  |
| Reviewing officer   |  |
| Have you filed the annual return on immovable property during this evaluation period? |  |

#### 3. Categories information (for the period under evaluation)

|                                      |  |
|--------------------------------------|--|
| Discipline/ Division/ Area/ Section  |  |
| Sub-discipline/ Programme/Activity   |  |
| Group & Grade                        |  |
| Date of appointment to current grade |  |

#### 4. Education

|   |  |
|---|--|
| Highest educational qualification                         |  |
| State work experience gained outside of CSIR.             |  |
| State one or two awards and special achievements, if any. |  |

#### 5. Leave record

|   |  |
|---|--|
| Please list leave record for the year being evaluated (include all leave other than casual leave) |  |
|---|--|

|                    |                           |
|--------------------|---------------------------|
| Verified by COA/AO | Signature of the employee |
| Date               | Date                      |

## Part 2: Self-Assessment of Current Job and Responsibilities

**1. According to you, which one of the following categories best represents your job responsibilities last year? Please note that you will be evaluated as per the functions and duties and standards of performance for each category. (Note that these categories may have no relationship to your grade or designation. Employees fitting in the first two categories )**

| Category   | Description   | Employees remarks<br>(Choose from: Never/<br>Seldom/ Sometimes/<br>Mostly/ Always) |
|--|---|--|
| • Head of lab/ institute                           | Head/ Director of a lab/ institute. Responsible for functioning and performance of the lab as a whole.  |  |
| • Head of division/ department/ programme/ unit    | Head of a division or department or programme or unit within a lab. Responsible for the overall functioning and performance of the division/ department/ programme/ unit <u>and</u> directly accountable to the head of the institute. Staff in coordination roles (within lab or CSIR) who report directly to the head of the institute <u>and</u> have been asked to fill Part 3B will also fit into this category. |  |
| • Project leader                                   | Member of the division who leads well-defined, time-bound projects or well-defined functions that are either internally or externally funded.   |  |
| • Contributing team member/ individual contributor | Member of the division who works on parts of a project or carries out a function independently and defines strategy to study/ address the problem without assistance/ supervision.  |  |
| • Assisting member                                 | Member of the division who carries out tasks as per instructions of a senior member.  |  |

**2. According to you, which one of the following categories best represents the nature of your job last year? Please note that you will be evaluated as per the functions and duties and standards of performance for each category.**

| Category  | Relative time spent<br>(Choose from High, Significant,<br>Moderate, Low; Leave blank when not<br>applicable) |
|---|--|
| <b><i>Research, Development &amp; Consulting/ Scientific Services</i></b>   |  |
| • Technology development  |  |
| • Knowledge generation  |  |
| • Intellectual property generation  |  |
| • Contract research services  |  |
| • Consultancy services to industry, government and other stakeholders   |  |
| • Design, software/ database development  |  |
| • Testing, evaluation, calibration  |  |
| • Training, education   |  |
| • Creation and upkeep of resource centers/ institutional resources (instruments, equipment, information – scientific & management, intellectual, collections) |  |
| <b><i>Leadership and management</i></b>   |  |
| • Management of functional unit/ division/ institute  |  |

|   |  |
|---|--|
| <b>Management and institutional processes</b>   |  |
| • Business development, contracts and technology marketing  |  |
| • Public relations, publicity, popularization, organization of events, conferences, exhibitions etc |  |
| • Human resource management, recruiting, mentoring  |  |
| • Intellectual property management  |  |
| • R&D planning; Project monitoring, evaluation and management                                       |  |
| • Management of international scientific collaborations   |  |
| • Information dissemination and institutional reports   |  |
| • Customer interface management   |  |
| • General infrastructure management and maintenance (includes engineering services)                 |  |
| • Medical services  |  |
| • Participation in organizational committees  |  |
| <b>Other (please specify)</b>   |  |
| •   |  |
| •   |  |

**3. What do you regard as your most important assets or strengths (especially which you feel your senior officers should notice and use to advantage) that you bring/ can bring to the job?**

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

**4. What do you regard as areas where you would like to grow or broaden your capabilities during the coming year?**

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

|                           |
|---------------------------|
| Signature of the employee |
| Date                      |

**Part 3A: Self -Assessment of Performance**

(To be filled by all staff)

**1. List your key achievements in terms of the following S&T OUTPUTS with direct influence on institutional S&T outcomes (A lab can choose whether to use suitable metrics or not)**

| Output category   | State briefly key achievements and shortfalls with reasons including barriers/ difficulties. (If necessary, attach supporting information as an appendix and refer to it here.) |
|---|---|
| Technology packages:<br>Processes, products, experimental prototypes, apparatus, instruments, devices and materials   |   |
| Reports (including project reports, plans, standards/ specifications, assessments, advisory reports etc) facilitating improvements/ decision making for industry or government or other stakeholders. |   |
| Knowledge portfolios (including those for clients as part of contract research), databases, compilations, catalogs of flora/fauna etc (creation and maintenance)                                      |   |
| Intellectual property: Patents including designs, copyrights including software, books etc  |   |
| Publications & presentations: Original research articles, review articles, books, monographs, book chapters, conference/ lectures, poster presentations, etc  |   |
| Resource centers (creation, growth, maintenance): Instrument & equipment facilities, pilot plants, collections etc  |   |
| Training programmes, workshops, degree programmes including theses supervised.  |   |
| Others including contributions to S&T image (please specify)  |   |

**2. List your key achievements in terms of the following other important outputs. (Please define appropriate outputs relevant to functions that you carry out and state your achievements in terms of those outputs. Later, please use similar output categories while defining your targets.)**

| <b>Outputs relevant to the following responsibilities and functions</b>      | <b>State briefly key achievements and shortfalls with reasons including barriers/ difficulties. (If necessary, attach supporting information as an appendix and refer to it here.)</b> |
|--|--|
| Management of functional unit/ division/ institute                           |  |
| Raising funds and supplementary earnings for building lab assets/ strength   |  |
| Business development, contracts and technology marketing                     |  |
| Public relations, publicity, popularization, organization of exhibitions etc |  |
| Human resource management, recruiting, mentoring                             |  |
| Intellectual property management   |  |
| R&D planning; Project monitoring, evaluation & management                    |  |
| Management of international scientific collaborations                        |  |

|  |  |
|--|--|
| Information dissemination and institutional reports                                    |  |
| Customer/ funding-source interface management  |  |
| Organization of events including conferences, exhibitions etc                          |  |
| General infrastructure management and maintenance (includes engineering services)      |  |
| Information services, management information systems and IT infrastructure             |  |
| Instruments and equipment management and maintenance                                   |  |
| Medical services   |  |
| Participation in organizational committees, contributions to institutional citizenship |  |
| Others (please specify)  |  |

**3. Briefly highlight aspects of your activities and achievements that indicate their relevance/ importance/ contemporariness. You can also choose to highlight the significance of the S&T output.**

**4. Briefly state any other achievements that would allow your Reporting Officer to evaluate you fairly for the "Capabilities and Potentials Index" and "Values and Qualities Index".**

**5. Honors/ awards/ distinctions/ citations/ fellowships received, membership of national- and international-level committees and offices (including those in editorial boards) held during the last year. (Please do not include casual memberships in societies and associations).**

| Date of award/ nomination/ appointment | Information regarding award/ nomination/ appointment |
|--|--|
|  |  |

**6. Personal growth (for the year under evaluation)**

| Time period (start –end date) | Additional qualifications/ training received, gathering of experience, attendance of conferences. |
|-------------------------------|---|
|                               |   |

|   |                           |
|---|---------------------------|
| Accepted by Reporting Officer                           | Signature of the employee |
| Date  | Date                      |
| Comments of Reporting Officer (incase of disagreements) |                           |

### Part 3B: Self -Assessment of Performance

(To be filled - in addition to Part 3A - by Directors, Heads of Divisions/ Departments/ Programmes/ Units and any other staff identified by the Director of the lab.)

**1. List the key achievements under the following OUTCOMES categories during the year. Please list only collective achievements of the group under your charge.**

| Outcome category   | State briefly key achievements and shortfalls with reasons. (If necessary, attach supporting information as an appendix and refer to it here.) |
|--|--|
| Commercialization of technology led to new companies, new plants/ production facilities          |  |
| Facilitation of improvements and upgradation in the industry                                     |  |
| Facilitation of decision making (R&D decisions, business decisions, public policy decisions etc) |  |
| Wealth and/or improved competitive position due to intellectual property                         |  |
| Resource center for facilities, information/ data/ compilations and expertise                    |  |
| New capabilities, understanding, knowledge   |  |



|   |  |
|---|--|
| Creation of highly skilled man-power                    |  |
| General societal/ environmental benefits                |  |
| In earnings for CSIR/ self- financing                   |  |
| Others including image, visibility etc (please specify) |  |

**2. Honors/ awards/ distinctions/ citations/ fellowships received, membership of national- and international-level committees and offices (including those in editorial boards) held during the last year.**

| Date of award/ nomination/ appointment | Information regarding award/ nomination/ appointment |
|--|--|
|  |  |

|   |                           |
|---|---------------------------|
| Accepted by Reporting Officer                           | Signature of the employee |
| Date  | Date                      |
| Comments of Reporting Officer (incase of disagreements) |                           |

### Part 4: Evaluation by Reporting Officer

**1. Evaluation of performance** (on a 100 points scale): Please rate the achievements of the employee *during the last year* on the following scale. Please circle the appropriate cell under the following three columns. Scores corresponding to verbal descriptions of performance are given in brackets. The Reporting Officer should use the contents of Part 3A and Part 3B (if applicable) while evaluating performance of the employee.

| <b>Quantity of results</b><br>[Consider – for example- for the individual and group managed a) accomplishment against established objectives, b) cost effectiveness, c) complexity of assignment completed, d) timeliness in completing work, e) ability to handle simultaneous assignments] | <b>Quality of results</b><br>[Consider for example a) how well end results meet the objectives, b) accuracy and thoroughness in handling problems/ projects and other assigned work, c) diligence to procedures and plans, d) effective use of available information and other resources, e) commitment to seeking and making work improvements.] | <b>Relevance, importance, contemporariness</b> of results towards institutional outcomes<br>[Consider for example a) relevance of work with respect to institutional goals set forth by the head of the lab and programmes defined as per the CSIR 5-year plan, b) importance of achievement in a global, national, national-strategic and institutional context, c) contemporariness] |
|--|---|--|
| Accomplishments consistently exceed expectations <b>(30)</b>   | Results exceed all measures for expected quality. Goals are consistently achieved in manner to minimize current/ future problems <b>(40)</b>  | Achievements are contemporary, important and extremely relevant for CSIR <b>(30)</b>   |
| Assignments exceed expectations at least in a few tasks; but meet expectations in all others <b>(25)</b>   | Assignments are carried out with due diligence and care with minimum intervention <b>(35)</b>   | Achievements are important, contemporary and relevant <b>(25)</b>  |
| Results meet expectations in all major areas <b>(20)</b>   | Assignments are carried out well and in time <b>(30)</b>  | Achievements are relevant and contemporary but not so important <b>(20)</b>  |
| Some results meet or exceed expectations but individual lacks consistency in meeting all expectations <b>(15)</b>  | Quality is inconsistent <b>(25)</b>   | Achievements are relevant <b>(15)</b>  |
| Major efforts are not accomplished <b>(10)</b>   | Major problems result from lack of attention to quality <b>(20)</b>   | Achievements are relevant in some ways but not very important or contemporary <b>(10)</b>  |
| Accomplishments far below expectation <b>(5)</b>   | Poor quality of work. <b>(10)</b>   | Not relevant, unimportant and out-dated work. <b>(5)</b>   |

| <b>Performance Index</b>  |
|---|
| (sum of score for quantity + quality + relevance-importance-contemporariness) |
| <b>PI =</b>   |

**2. Evaluation of capabilities and potentials (on a scale of 100 points). Please circle the appropriate cell containing numbers under each category.**

**General professional capabilities**

**Intellect:** Is sharp and incisive in his/her thinking?

| Significant development needs |   |   |   | Some development needs |   |   |   | Significant strength |    |
|-------------------------------|---|---|---|------------------------|---|---|---|----------------------|----|
| 1                             | 2 | 3 | 4 | 5                      | 6 | 7 | 8 | 9                    | 10 |

**Analysis:** The ability to a) take a complex situation and reduce it to significant components in a logical, systematic manner, b) recognize and anticipate problems and opportunities which may not be readily apparent, c) quickly identify significant information, d) identify and verify cause of problem, e) consistently use realistic approaches to problem.

| Significant development needs |   |   |   | Some development needs |   |   |   | Significant strength |    |
|-------------------------------|---|---|---|------------------------|---|---|---|----------------------|----|
| 1                             | 2 | 3 | 4 | 5                      | 6 | 7 | 8 | 9                    | 10 |

**Synthesis:** The ability to a) put together stray pieces of information or thoughts into one coherent whole, b) recognize the "big picture" in the midst of its many stray parts.

| Significant development needs |   |   |   | Some development needs |   |   |   | Significant strength |    |
|-------------------------------|---|---|---|------------------------|---|---|---|----------------------|----|
| 1                             | 2 | 3 | 4 | 5                      | 6 | 7 | 8 | 9                    | 10 |

**Resourcefulness:** a) The ingenuity and creativity employed in solving or effectively handling difficult or unusual problems, b) the ability to adjust strategies, plans and schedules for a variety of reasons while still maintaining effectiveness.

| Significant development needs |   |   |   | Some development needs |   |   |   | Significant strength |    |
|-------------------------------|---|---|---|------------------------|---|---|---|----------------------|----|
| 1                             | 2 | 3 | 4 | 5                      | 6 | 7 | 8 | 9                    | 10 |

**Initiative:** The ability to a) recognize what needs to be done, b) originate or develop ideas, and c) get things started.

| Significant development needs |   |   |   | Some development needs |   |   |   | Significant strength |    |
|-------------------------------|---|---|---|------------------------|---|---|---|----------------------|----|
| 1                             | 2 | 3 | 4 | 5                      | 6 | 7 | 8 | 9                    | 10 |

**Ability to work in teams**

| Significant development needs |   |   |   | Some development needs |   |   |   | Significant strength |    |
|-------------------------------|---|---|---|------------------------|---|---|---|----------------------|----|
| 1                             | 2 | 3 | 4 | 5                      | 6 | 7 | 8 | 9                    | 10 |

**Follow through:** a) The thoroughness, persistence and timing of follow-up to ensure objectives are met, b) the ability to maintain control on processes, projects and personnel, c) the commitment to institutional policy and managerial decisions in carrying out assignments.

| Significant development needs |   |   |   | Some development needs |   |   |   | Significant strength |    |
|-------------------------------|---|---|---|------------------------|---|---|---|----------------------|----|
| 1                             | 2 | 3 | 4 | 5                      | 6 | 7 | 8 | 9                    | 10 |

**Expertise and knowledge of the field**

**Breadth in knowledge of field**

| Significant development needs |   |   |   | Some development needs |   |   |   | Significant strength |    |
|-------------------------------|---|---|---|------------------------|---|---|---|----------------------|----|
| 1                             | 2 | 3 | 4 | 5                      | 6 | 7 | 8 | 9                    | 10 |

**Depth in knowledge of field**

| Significant development needs |   |   |   | Some development needs |   |   |   | Significant strength |    |
|-------------------------------|---|---|---|------------------------|---|---|---|----------------------|----|
| 1                             | 2 | 3 | 4 | 5                      | 6 | 7 | 8 | 9                    | 10 |

**Uniqueness of knowledge and skills**

| Significant development needs |   |   |   | Some development needs |   |   |   | Significant strength |    |
|-------------------------------|---|---|---|------------------------|---|---|---|----------------------|----|
| 1                             | 2 | 3 | 4 | 5                      | 6 | 7 | 8 | 9                    | 10 |

**Managerial skills**

**Planning and organizing:** The ability to a) plan, schedule and organize work to make the most effective use of time, materials, equipment, personnel and other resources, b) establish realistic goals and workable course of action.

| Significant development needs |   |   |   | Some development needs |   |   |   | Significant strength |    |
|-------------------------------|---|---|---|------------------------|---|---|---|----------------------|----|
| 1                             | 2 | 3 | 4 | 5                      | 6 | 7 | 8 | 9                    | 10 |

Communication skills: Ability to a) listen, b) effectively present ideas and other information orally to individuals or groups, c) effectively sell ideas and concepts, and d) effectively organize ideas and explain them by logical and concise writing.

| Significant development needs |   |   |   | Some development needs |   |   |   | Significant strength |    |
|-------------------------------|---|---|---|------------------------|---|---|---|----------------------|----|
| 1                             | 2 | 3 | 4 | 5                      | 6 | 7 | 8 | 9                    | 10 |

Relationship with others: a) tact, courtesy and sincerity in personal contacts, b) appreciation and respect for others' problems and ideas, c) the ability to secure cooperation from others, d) the establishment of harmonious and effective working relationships with others, e) the ability to lead others on projects or teams without positional authority.

| Significant development needs |   |   |   | Some development needs |   |   |   | Significant strength |    |
|-------------------------------|---|---|---|------------------------|---|---|---|----------------------|----|
| 1                             | 2 | 3 | 4 | 5                      | 6 | 7 | 8 | 9                    | 10 |

Delegating: a) The ability to handle simultaneous assignments through delegation of work, b) the judgment used to determine which assignments to delegate, c) the selection of the employee to receive the assignment, d) the degree of "Authority to Act" given to the employee, e) the effectiveness at following up to ensure the job gets done.

| Significant development needs |   |   |   | Some development needs |   |   |   | Significant strength |    |
|-------------------------------|---|---|---|------------------------|---|---|---|----------------------|----|
| 1                             | 2 | 3 | 4 | 5                      | 6 | 7 | 8 | 9                    | 10 |

### Leadership skills

Vision, foresight and judgment: Ability to project ahead, look at the big picture and provide effective work direction for subordinates, peers or appropriate supporting groups

| Significant development needs |   |   |   | Some development needs |   |   |   | Significant strength |    |
|-------------------------------|---|---|---|------------------------|---|---|---|----------------------|----|
| 1                             | 2 | 3 | 4 | 5                      | 6 | 7 | 8 | 9                    | 10 |

Ability to maintain a suitable work climate that stimulates individuals to contribute new ideas in a spirit of teamwork

| Significant development needs |   |   |   | Some development needs |   |   |   | Significant strength |    |
|-------------------------------|---|---|---|------------------------|---|---|---|----------------------|----|
| 1                             | 2 | 3 | 4 | 5                      | 6 | 7 | 8 | 9                    | 10 |

Ability to set challenging goals, establish clear expectations and measure accomplishments

| Significant development needs |   |   |   | Some development needs |   |   |   | Significant strength |    |
|-------------------------------|---|---|---|------------------------|---|---|---|----------------------|----|
| 1                             | 2 | 3 | 4 | 5                      | 6 | 7 | 8 | 9                    | 10 |

Ability to motivate, communicate and guide change in the organization

| Significant development needs |   |   |   | Some development needs |   |   |   | Significant strength |    |
|-------------------------------|---|---|---|------------------------|---|---|---|----------------------|----|
| 1                             | 2 | 3 | 4 | 5                      | 6 | 7 | 8 | 9                    | 10 |

Tenacity: Maintains poise under pressure

| Significant development needs |   |   |   | Some development needs |   |   |   | Significant strength |    |
|-------------------------------|---|---|---|------------------------|---|---|---|----------------------|----|
| 1                             | 2 | 3 | 4 | 5                      | 6 | 7 | 8 | 9                    | 10 |

Decision-making: a) The ability to develop alternative courses of action and make recommendations or decisions based on factual information, b) the extent to which facts, analysis, judgment, advice and counsel of others is utilized, c) the willingness to make a decision or recommend action, d) timeliness and effectiveness of decision.

| Significant development needs |   |   |   | Some development needs |   |   |   | Significant strength |    |
|-------------------------------|---|---|---|------------------------|---|---|---|----------------------|----|
| 1                             | 2 | 3 | 4 | 5                      | 6 | 7 | 8 | 9                    | 10 |

### Capabilities and Potentials Index

(sum of score under each of the above categories divided by 2)

**CPI =**

**3. Evaluation of qualities/ values important for the organization (100 points). Please circle the appropriate cell containing numbers under each category.**

Passion for excellence: Has a passion for excellence. Continuously tries to extend his achievements. Is not satisfied with status quo.

| Significant development needs |   |   |   | Some development needs |   |   |   | Significant strength |    |
|-------------------------------|---|---|---|------------------------|---|---|---|----------------------|----|
| 1                             | 2 | 3 | 4 | 5                      | 6 | 7 | 8 | 9                    | 10 |

Willingness to take calculated risks, think differently, try new things, use new methods.

| Significant development needs |   |   |   | Some development needs |   |   |   | Significant strength |    |
|-------------------------------|---|---|---|------------------------|---|---|---|----------------------|----|
| 1                             | 2 | 3 | 4 | 5                      | 6 | 7 | 8 | 9                    | 10 |

Responsibility, accountability and discipline: Understands that accountability and commitment to the institutional goals is extremely important. Takes up assignments and delivers on these with the highest sense of responsibility.

| Significant development needs |   |   |   | Some development needs |   |   |   | Significant strength |    |
|-------------------------------|---|---|---|------------------------|---|---|---|----------------------|----|
| 1                             | 2 | 3 | 4 | 5                      | 6 | 7 | 8 | 9                    | 10 |

Setting and meeting of deadlines, appointments, time targets; punctuality

| Significant development needs |   |   |   | Some development needs |   |   |   | Significant strength |    |
|-------------------------------|---|---|---|------------------------|---|---|---|----------------------|----|
| 1                             | 2 | 3 | 4 | 5                      | 6 | 7 | 8 | 9                    | 10 |

Takes charge of personal growth: Reads, explores, experiments

| Significant development needs |   |   |   | Some development needs |   |   |   | Significant strength |    |
|-------------------------------|---|---|---|------------------------|---|---|---|----------------------|----|
| 1                             | 2 | 3 | 4 | 5                      | 6 | 7 | 8 | 9                    | 10 |

Change/ opportunity: Stimulates and relishes change; is not frightened or paralyzed by it. Sees change as an opportunity, not just a threat.

| Significant development needs |   |   |   | Some development needs |   |   |   | Significant strength |    |
|-------------------------------|---|---|---|------------------------|---|---|---|----------------------|----|
| 1                             | 2 | 3 | 4 | 5                      | 6 | 7 | 8 | 9                    | 10 |

Industrious and hard working

| Significant development needs |   |   |   | Some development needs |   |   |   | Significant strength |    |
|-------------------------------|---|---|---|------------------------|---|---|---|----------------------|----|
| 1                             | 2 | 3 | 4 | 5                      | 6 | 7 | 8 | 9                    | 10 |

Friendliness and helpfulness

| Significant development needs |   |   |   | Some development needs |   |   |   | Significant strength |    |
|-------------------------------|---|---|---|------------------------|---|---|---|----------------------|----|
| 1                             | 2 | 3 | 4 | 5                      | 6 | 7 | 8 | 9                    | 10 |

Energy and speed: Has enormous energy and the ability to energize and invigorate others. Understands speed as a competitive advantage and sees the total organizational benefits that can be derived from a focus on speed.

| Significant development needs |   |   |   | Some development needs |   |   |   | Significant strength |    |
|-------------------------------|---|---|---|------------------------|---|---|---|----------------------|----|
| 1                             | 2 | 3 | 4 | 5                      | 6 | 7 | 8 | 9                    | 10 |

Attitude and interest-shown towards jobs, colleagues, clients.

| Significant development needs |   |   |   | Some development needs |   |   |   | Significant strength |    |
|-------------------------------|---|---|---|------------------------|---|---|---|----------------------|----|
| 1                             | 2 | 3 | 4 | 5                      | 6 | 7 | 8 | 9                    | 10 |

|   |
|---|
| <b>Values and Qualities Index</b>                 |
| (sum of score under each of the above categories) |
| <b>VQI =</b>                                      |

**4. Integrity and Ethics: Please read the following guidelines before evaluating the employee for integrity and ethics.**

*Guidelines issued by the Government of India, Department of Personnel, regarding, 'Integrity', vide O.M. No. 51/5/72-ESTT 'A' dated 20 May 1972.*

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

- a) Supervisory Officer should maintain a confidential diary in which instances which create suspicion about the integrity of a subordinate should be noted from time to time and action to verify the truth of such suspicion should be taken expeditiously by making confidential enquiries departmentally or by referring the matter to the Special Police Establishment. At the time of recording the Annual Confidential Report this diary should be consulted and the material in it utilized for filling, in the column relating to integrity. If the column is not filled on account of the unconfirmed nature of the suspicious, further action should be taken in accordance with the following sub-paragraphs.
- b) The column pertaining to integrity in the character Roll should be left blank and a separate secret note about the doubts and suspicions regarding the Government servants integrity should be recorded simultaneously and followed up.
- c) A copy of the secret note should be sent together with the Character Roll to the next superior officer who should ensure that the follow up action is taken expeditiously.
- d) If, as a result of the follow-up action, a Government servant is exonerated, his integrity should be certified and an entry made in the Character Roll.
- e) If suspicions regarding his integrity are confirmed, this fact can also be recorded and duly communicated to the Government servant concerned.
- f) There may be cases in which after a secret report/ note has been recorded expressing suspicion about a Government servant's integrity, the inquiries that follow do not disclose sufficient material to remove the suspicion or to 'confirm' it. In such a case the Government servant's conduct should be watched for a further period, and in the meantime, he should as far as possible be kept away from positions in which there are opportunities for indulging in corrupt practices and thereafter action taken as indicated at (d) and (e) above.
- g) There are occasions when a Reporting Officer cannot in fairness to himself and to the Government servant reported upon, either certify integrity or make an adverse entry or even be in possession of any information which would enable him to make a secret report to the Head of the Department. Such instances can occur when a Government servant is serving in a remote station and the Reporting Officer has not had occasion to watch his work closely or when a Government servant has worked under the Reporting Officer only for a brief period or has been on a long leave etc. In all such cases, the Reporting Officer should make an entry in the integrity column to the effect that he has not watched the Government servant's work for sufficient time to be able to make any definite remark or that he has heard nothing against the Government servant's integrity, as the case may be. This would be a factual statement to which there can be no objection. But it is necessary that a superior officer should make every effort to form a definite judgement about the integrity of those working under him, as early as possible, so that he may be able to make a positive statement.

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

**5. Summary of scores**

| Category                                 | Max points per category | Points obtained, A | Weight factor*, B | Weighted points, A X B |
|--|-------------------------|--------------------|-------------------|------------------------|
| Performance Index (PI)                   | 100                     |                    | B1 =              |                        |
| Capabilities & Potentials Index (CPI)    | 100                     |                    | B2 =              | +                      |
| Values & Qualities Index (VQI)           | 100                     |                    | B3 =              | +                      |
| Total of weighted points (Overall Score) |                         |                    |                   | =                      |

\* The weight factor is to be decided by the laboratories as per their requirements. The weight factors should be three fractional numbers, which should add up to 1.00. It is recommended that the Performance Index be given a weight factor greater than 0.6 in most cases. The laboratories may choose to have 2-3 different sets of weight factors, each which is suitable for different job categories defined in Part 2.1. Even if laboratories choose not to use one or two of the three indices in the calculation of the overall score, a record of these indices should be maintained and can be presented as information about the employee when required. Recommended weight factors are:

| Weight factors for each job category  |             |                           |                   |
|---|-------------|---------------------------|-------------------|
| Job category  | Performance | Capabilities & potentials | Qualities/ values |
|   | B1          | B2                        | B3                |
| Head of the laboratory/ institute   | 0.6         | 0.2                       | 0.2               |
| Head of the division/ department/ programme/ unit or any other staff identified by the director of the lab as required to fill Part 3B  | 0.7         | 0.15                      | 0.15              |
| All other staff <sup>a</sup>  | 0.8         | 0.1                       | 0.1               |
| <sup>a</sup> Weight factors for freshly recruited staff filling up this form for the first time (only the first year) may need to emphasize Capabilities/ Potentials & Qualities/ Values more than performance. |             |                           |                   |

#### 6. Recommendations for career advancements, rewards, incentives, opportunities

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#### 7. Recommendations to employee for improvements and career growth planning (This section is compulsory to fill. Reporting and Reviewing Officers must sign only after filling this section. Information in this section shall be shared with the employee.)

|   |  |
|---|--|
| Employee's areas of strengths and skills which he/she should take advantage of.                   |  |
| Areas where the employee should improve/ strengthen and build upon.                               |  |
| Suggestions on skills to build, experiences to gather and efforts to undertake for career growth. |  |

|   |                                    |
|---|------------------------------------|
| Agreed by Reviewing Officer                             | Signature of the Reporting Officer |
| Date  | Date                               |
| Comments of Reviewing Officer (incase of disagreements) |                                    |

**Part 5: Decision of the Head of the Laboratory/ Institute  
Or Designated Authority/ Normalization Committee**

**1. Summary of scores as given by Evaluating Officers**

| Category                                 | Max points possible per category | Points scored |
|--|----------------------------------|---------------|
| Performance Index (PI)                   | 100                              |               |
| Capabilities & Potentials Index (CPI)    | 100                              |               |
| Values & Qualities Index (VQI)           | 100                              |               |
| Overall Score (Total of weighted points) | 100                              |               |

**2. Overall score after normalization (This "Score" shall be kept confidential and shall be used for determining eligibility for promotion as per the CSIR Scientist Recruitment & Assessment Promotion Rules, 2001)**

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**3. Remarks of the Head of the Laboratory/ Institution/ Designated Authority/ Normalization Committee (if any)**

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**4. Recommendations to employee for improvements and career growth planning which is to be communicated to the employee as per the judgment of the Head or Normalization Committee**

|   |  |
|---|--|
| Employee's areas of strengths and skills which he/she should take advantage of.                   |  |
| Areas where the employee should improve/ strengthen and build upon.                               |  |
| Suggestions on skills to build, experiences to gather and efforts to undertake for career growth. |  |

|   |  |
|---|--|
| Signature of the Head of the Institute/ Lab or Designated Authority |  |
| Date  |  |



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

*(It is recommended –but not mandatory - that laboratories use the following form to help their staff set goals for themselves for the coming year. Employees should be clear of the expectations against which they will be evaluated. This form also provides the employee and reporting officers to set “stretch”-goals (ambitious but not impossible goals) for achievements for the coming year given the enabling mechanisms and availability of facilities/resources (available and accessible both within or outside the institute/ laboratory). The completion of this form is in the best interest of the employee, reporting officers and objectivity of the evaluation exercise.*

*(Please note: While Part 1-5 of the form are to be submitted by April 30 of the year, Part 6 can be completed by May 15. The employee can retain the original while the reporting officer can retain a photocopy for future reference.)*

**1. Please state major activities planned, important resource/ facilities requirements (realistic requirements which can be met within or outside lab) and expected outputs. In view of your self-assessment of performance (Part 3A), please state your targets for the coming year in terms of S&T outputs (with direct influence on institutional outcomes) corresponding to those listed in Part 3A. (Heads of departments or institutes should set targets for the collective achievements of their departments or institutes respectively rather than their individual achievements.)**

| Major activities planned | Continuing or new activity? | Time inputs (High/ Medium/ Low) | Key resource/ facility requirements. Also list anticipated barriers and issues. | Expected key achievements/ results/ outputs (Please quantify wherever possible) |
|--------------------------|-----------------------------|---------------------------------|---|---|
|                          |                             |                                 |   |   |
|                          |                             |                                 |   |   |
|                          |                             |                                 |   |   |
|                          |                             |                                 |   |   |
|                          |                             |                                 |   |   |
|                          |                             |                                 |   |   |

Reporting Officer - Cut and retain

Reporting Officer - Cut and retain

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

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

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

|                               |                           |
|-------------------------------|---------------------------|
| Accepted by Reporting Officer | Signature of the employee |
| Date                          | Date                      |