Open-Annual Performance Appraisal Report (O-APAR)

for

Administrative Cadre including Stenographic and Isolated Posts

Name of Lab./Instt._____

Name of Employee_____

Present Designation/Group/Grade_____

Department_____

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for

Administrative Cadre including Stenographic and Isolated Posts

Reporting Year_____to_____

	Name and Signature	Date of Submission
Employee		
Endorsement by Reporting Officer		
Endorsement by Reviewing Officer		

Section 1: Personal Information

Personal Information	
Name	
Designation	
Employee Code	
Group	
Grade	
Division	
Laboratory/ Institute	
Type of Report Period	Annual / Interim
Report Period	FROM: ___/___/___ TO: ___/___/___
Reporting Officer	
Reviewing Officer	
Earlier Positions Held	
Leave Record	
Immovable Property Declaration Submitted	Yes / No

Section 2: Performance Assessment

This section is divided into 2 parts:

A.	Performance Assessment on Allocated/ Assigned work for Reporting Year.
B.	Significant Achievements during Reporting Year.

Guidelines and Instructions for Employee Filling Section 2

- In Part A of this section, the employee captures the responsibilities handled by him/her during the year. These need to be written in the form of **"Responsibility Matrix".**
- **"Responsibility Matrix"** defines **key responsibilities** managed and **key activities** that are undertaken to ensure effective execution of the responsibilities.
- **Draft indicative Responsibility Matrix which are shared in Annexure I** to provide inputs on how to draft responsibilities and corresponding activities.
- After completing the Responsibility Matrix, **the employee conducts a self assessment using the rating scale provided for evaluating the responsibilities. The Rating Scale is enclosed.**
- **In Part B,** of this section, please provide details of your **key achievements** during the year

Guidelines and Instructions for Reporting Officer Filling Section 2

- The Reporting Officer reviews the responsibilities documented by the employee for the reporting period in the format of Responsibility Matrix
- He/She **makes appropriate modifications** on the Responsibility Matrix **and discusses them with the employee for acceptance and finalization. If required, the form is given back to the employee for self assessment on the modified responsibilities**
- The Reporting Officer then assesses the employee for the responsibilities performed and gives a rating as per the rating scale provided on Page 4 for measuring the responsibilities
- The Reporting Officer then **comments on the achievements** made by the employee during the year
- **He/She also gives an overall rating and comment on the responsibilities handled**

Guidelines and Instructions for Reviewing Officer Filling Section 2

- The Reviewing Officer reviews the self assessment of the employee and appraisal given by the Reporting Officer
- He/She provides an overall rating and observations on the responsibilities performed by the employee

Section 2

Rating Scale for Assessment of Responsibilities

For assessment on the responsibilities, the following evaluation scale can be used. Please rate each of the responsibilities using this scale:

Rating Scale	Description
1	Does not meet the responsibility
2	Meets the responsibility to some extent
3	Meets the responsibility
4	Exceeds the performance against the responsibility
5	Significantly exceeds performance against the responsibility

While assessing the responsibilities, please use these draft indicative factors to rate them. Please consider the relevant/ applicable parameters from this list and any others that may apply while assessing the responsibilities.

1. Completion within defined schedule
2. Correctness of work
3. Completion level/ Percentage of accomplishment
4. Volume of work managed/ Number of files completed
5. Consistency in the work output
6. Speed of output
7. Quality of the work output

Section 2: Part A. Performance Assessment on Allocated/Assigned Work for Reporting Year.

Please refer to the guidelines provided in the above pages for completing this section before proceeding.

For support in documenting the Responsibility Matrix, it is recommended to refer to the draft indicative Responsibility Matrix given in Annexure 1

Employee / Incumbent: Please document your Responsibility Matrix for the Reporting Year and do a self appraisal on the performance in *Column A*
Reporting Officer: Please assess the performance of the incumbent on the key responsibilities assigned in reporting year in *Column B*
Reviewing Officer: Please assess the performance of the incumbent on the key responsibilities assigned in reporting year in *Column C*

Section 2 Part A.

S No.	Key Responsibilities Allocated and Assigned (to be filled by the employee at the start of the financial year/ reporting period)	Column A Self-Assessment on accomplishment of these responsibilities		Column B Reporting Officer Assessment on accomplishment of these responsibilities		Column C Reviewing Officer Assessment on accomplishment of these responsibilities	
		Rating	Remarks	Rating	Remarks	Rating	Remarks
1							
2							

S No.	Key Responsibilities Allocated and Assigned (to be filled by the employee at the start of the financial year/ reporting period)	Column A Self-Assessment on accomplishment of these responsibilities		Column B Reporting Officer Assessment on accomplishment of these responsibilities		Column C Reviewing Officer Assessment on accomplishment of these responsibilities	
		Rating	Remarks	Rating	Remarks	Rating	Remarks
3							
4							

S No.	Key Responsibilities Allocated and Assigned (to be filled by the employee at the start of the financial year/ reporting period)	Column A Self-Assessment on accomplishment of these responsibilities		Column B Reporting Officer Assessment on accomplishment of these responsibilities		Column C Reviewing Officer Assessment on accomplishment of these responsibilities	
		Rating	Remarks	Rating	Remarks	Rating	Remarks
5							
6							
7							
OverallRating							

Section 2: Part B. Significant Achievements in Reporting Year

Please mention the significant achievements, any additional/ exceptional/ unforeseen tasks that you performed during the reporting period

S No.	Self (Employee)	Remarks by Reporting Officer	Remarks by Reviewing Officer
1			
2			
3			
4			
5			

Section 3: Performance Assessment of Personal & Behavioral Attributes for Reporting Year

Guidelines for Reporting Officer and Reviewing Officer filling this section

- There are **3 key clusters** in which the **personality and behavioral attributes** have been distributed. These attributes define the desired behavior by the organization for performing efficiently
- **Please assess the behavior for its frequency, consistency and proficiency of display by the employee and assign suitable rating as per the rating scale provided below**

Rating Scale for Assessing the Personality and Behavioral Attributes

Rating	Description
3	**Displays always:** When the desired behavior is displayed consistently, proficiently and always. This in-turn impacts the quality of output being better than others
2	**Displays occasionally:** When the desired behavior is displayed often but the consistency and proficiency changes as per the situations or individual comfort zones
1	**Displays sometimes:** When the desired behavior is displayed only on some occasions only and with significantly varying degree of proficiency. This could be due to various reasons like new in the organization/ role/ location, some personal problems or even lack of ability
0	**Almost never displays:** When the desired behavior is never observed
NA	**Not Applicable:** When the behavioral attribute
NO	**Not Observed:** When the desired behavior is not displayed

1. Attitude to Work				
Behaviors	**Reporting Officer**		**Reviewing Officer**	
	Rating	**Remarks**	**Rating**	**Remarks**
Sense of Responsibility ▪ *Takes personal responsibility for completing tasks as per defined norms* ▪ *Prioritizes work as per organizational requirements*				
Discipline ▪ *Understand the processes and adheres to them in own area of work* ▪ *Extends support to others for adherence to the work guidelines*				
Working and collaborating in Teams ▪ *Collaboratively works with other members of the team/ organization towards a common goal* ▪ *Provides constructive inputs to the team performance*				
Capacity to Plan Work ▪ *Plans and prioritizes assigned tasks to ensure efficient and timely completion of assigned work* ▪ *Takes corrective action to address deviations/ delays/ process inefficiencies and keeps the concerned team informed*				
Final Rating on Attitude to Work=(Average of Reviewing Officer's assessment)				

2. Contribution to Work Culture				
Behaviors	**Reporting Officer**		**Reviewing Officer**	
	Rating	**Remarks**	**Rating**	**Remarks**
Interpersonal relations and ability to contribute to progressive work culture ▪ *Uses techniques like convincing and persuasion to achieve the desired result* ▪ *Maintains cordial work relations with everyone* ▪ *Supports maintenance of a healthy and conducive work environment*				
Ability to motivate subordinate ▪ *Helps team in reviewing their assumptions and conceptualize out of box ideas* ▪ *Recognizes and celebrates teams victories and promotes team work and collective win* ▪ *Acts as a coach or mentor to the team by sharing own experience and learning*				
Final Rating on Contribution to Work Culture=(Average of Reviewing Officer's assessment)				

3. Leadership Qualities				
Behaviors	**Reporting Officer**		**Reviewing Officer**	
	Rating	**Remarks**	**Rating**	**Remarks**
Decision making and problem solving ability ▪ *Interacts with others to collate the required information (like document study, team and inter-departmental interactions)* ▪ *Analyzes data and develops trends to facilitate decision making* ▪ *States/ communicates likely impact of decision on all concerned and proposes possible counter measures*				
Execution of tasks ▪ *Initiates tasks and manages them till completion and closure* ▪ *Adopts planning and management tools to ensure successful execution*				
Final Rating on Leadership Qualities=(Average of Reviewing Officer's assessment)				

Section 4: Pen Picture and Overall Grading of the Employee for Reporting Year

This section summarizes the performance appraisal of the employee for the reporting period. The Reporting and Reviewing Officers give their comments on following:

1. Pen picture of the employee
2. Physical Health of the employee
3. Integrity
4. Adverse Comments, if any
5. Overall Grading of the employee

1. Pen Picture

Guidelines for writing a pen picture of the employee

Please provide details on his/ her

- **Overall performance during the reporting period:** Did the employee show a consistent performance or drastic variation in the performance levels? What are the possible reasons for the variation?
- **Key strengths and development areas:** What are some of the strengths and proficiency areas of the employee? What are some of the work areas where he/ she would need training/ coaching to perform better?
- **Ability to manage the work assigned:** Did the employee show adequate capabilities to complete the assigned work without much direction and guidance. Does he/she have adequate knowledge of the required rules and regulations? Is he/ she able to apply them in his/her working?
- **Teaming and Leadership Abilities:** Did the employee display cooperation and respect to the team members and worked with them in a participatory manner or a follower? Did he/ she show capabilities to lead the team when required?

Reporting Officer	Reviewing Officer

2. Physical Health of the Employee
(Establishment to attach the annual medical report)

Reporting Officer	Reviewing Officer

3. Integrity of the Employee

Reporting Officer	Reviewing Officer
• **Impeccable** • **To be monitored**	• **Impeccable** • **To be monitored**

4. Adverse Comments

Adverse comments to be brought to the notice of superior officer for subsequent follow-up and action.

Please note any comment except for those indicated here will not be treated as adverse in nature.

Reporting Officer	Reviewing Officer

5. Overall Grading of the Employee

The Reporting and Reviewing Officer give an overall rating on the employee considering the performance on key responsibilities, personality and behavioral attributes, overall integrity, conduct and health.

Reporting Officer	**Average**	**Good**	**Very Good**	**Outstanding**
	☐	☐	☐	☐
Reviewing Officer	**Average**	**Good**	**Very Good**	**Outstanding**
	☐	☐	☐	☐

Reporting Officer **Date**

(Name and Signature)

Reviewing Officer **Date**

(Name and Signature)

Section 5: Work Plan for Current Year

This section has been included to encourage employee / incumbent to plan his/her work for the current year and define the key responsibilities and activities that need to be undertaken.

This section needs to be filled together through a discussion between the employee / incumbent and his/her Reporting Officer to:

- Define the key responsibilities
- Training requirements and
- Areas where the employee / incumbent can additionally contribute for the current year

Guidelines for filling this section

Guidelines for the Employee filling this section

- Employee documents his/her responsibilities in the format of a "Responsibility Matrix". **Please refer to Annexure 1 for draft indicative Responsibility Matrix**
- Employee discusses his/her Responsibility Matrixwith his/her Reporting Officer and finalizes it
- The Employee and the Reporting Officer sign and accept the Responsibility Matrix for Changes in the responsibilities are documented
    - If any new work is allocated/ assigned the same is added to the above list
    - If any existing responsibility is modified, then the same is accordingly changed
- Further, the employee needs to give inputs on which key areas he/ she wants training on
- He/She also needs to document areas of interest where he/she would want to additionally contribute

Guidelines for the Reporting Officer filling this section

- The Reporting Officer needs to discuss the Responsibility Matrix created by the employee and develop consensus on the same. **Please refer to Annexure 1 for draft indicative Responsibility Matrix**
- Any changes and modifications during the year need to be documented in the form
- The Reporting Officer needs to discuss the Training Needs and ensure that these are considered while nominations for training are made
- He/She also needs to allocate suitable responsibilities while forming dynamic teams as per the Interest Areas of the employee
- The Employee and the Reporting Officer sign and accept the Responsibility Matrix for Reporting Year.

Section 5: Part A. Responsibility Matrix

Instructions to the Employee

Responsibility Matrix: Please list down the key responsibilities allocated and assigned to you by the Reporting Officer for current year. Please also provide the indicative measures for them.

Please ensure agreement and consensus on the responsibilities documented between yourself and your Reporting Officer.

S No.	Key Responsibilities Allocated and Assigned (to be filled by the employee at	Key Activities
1		
2		
3		
4		
5		
6		
7		

Section 5: Part B. Development Planning & Areas of Interest for Current Year

Development Planning: Please indicate three areas in which you would want to develop your current skills and capabilities. Please provide specific inputs so that suitable training sessions can be organized.

Please note that the inputs provided here are only for planning your training and development sessions. **These will not be construed as adverse remarks.**

S No.	Area for Development and Need for training/ Competence Development
1	
2	
3	

b) Areas of Interest: Please indicate three work areas of your interest in which you would want to work. Some of the indicative areas where one can contribute are:

- any additional responsibilities that you wish to handle,
- any special project/ assignment you would like to be associated with e.g. Internal Audit team, Foundation Day celebrations, Policy review committees etc.
- any process improvement/ modification within the organization that you wish to initiate – process of filing within CSIR, take-up any of the 10 point charter for CSIR etc.

S No.	Areas in which I can additionally contribute
1	
2	
3	

Declaration on the Responsibility Matrix, Development Planning & Areas of Interest for Current Year

I accept that the above documented Responsibility Matrix for Current Year has been discussed and agreed between me and my Reporting Officer. I will ensure any changes to it are documented with immediate effect.

Employee Date

Name and Signature

I accept that the above documented Responsibility Matrix for Current Year has been discussed and agreed between me and my Reportee. I will ensure any changes to it are documented with immediate effect.

Reporting Officer Date

Name and Signature

Annexure – 1
Responsibility Matrix

Responsibility Matrix helps define and document the key responsibilities and activities that are allocated to an employee during the year.

Documenting the Responsibility Matrix at the start of the year ensures that there is an agreement and clarity on the performance standards, goals and objectives to be achieved by the employee on which appraisal shall be done at the end of the year.

Some illustrative Responsibility Matrix have been provided as reference and support documents in the annexure. Responsibilities and activities or process steps have been defined for some key functions for different levels.

In the matrix, 'responsibility' refers to the key responsibilities entrusted with a particular individual and 'activity' related to the key processes undertaken to accomplish the responsibility.

The functions for which Responsibility Matrix has been defined are:

- General Administration
- Finance & Accounts
- Lab Administration

Annexure II : Process Flow and Time Frame complied with (please record)

S No.	Step/ Activity	Date Completed
1.	At the start of the financial year, employee documents his/her responsibilities in the Work Plan	
2.	This work plan is sent to the Reporting Officer for finalization	
3.	Once the Work Plan is finalized between the Employee and the Reporting Officer, the same is sent to the Establishment for records and Reviewing Officer for inputs	
4.	Inputs from the Reviewing Officer, if any, are incorporated in the Work Plan and re-submitted	
5.	During the year any changes in the allocated work/ responsibilities are updated in the Work Plan. Any change in the Work Plan undergoes the same process of approval by the Reporting Officer and Reviewing Officer	
6.	Employee and the Reporting Officer are encouraged to conduct regular conversations (at least once in a quarter) to discuss the progress made on the Work Plan. Any hindrances and matters are taken into consideration and resolved	
7.	At the end of the financial year, the performance is appraised. The Employee does a self appraisal on the Work Plan and provides inputs on their achievements and contributions. Employees submits his/her self appraisal to the Reporting Officer	
8.	The Reporting Officer provides his/her assessment inputs on the Work Plan, Behavioral Attributes and Functional Know-how. This is submitted to the Reviewing Officer. It is encouraged that the Reporting Officer conducts a performance review meeting with individual Reportees before filling the assessment	
9.	The Reporting Officer submits assessment reports for his/ her Reportee to their respective Reviewing Officers	
10.	The Reviewing Officer discusses the performance assessments with the Reporting Officer for the Reportees. Based on this discussion and own review, the Reviewing Officer completes the assessment of the employees for whom he/she is the reviewing officer. This report is submitted to the Establishment for filing and endorsement by the Accepting Authority	
11.	Now the appraisal is communicated back to the employee	
12.	Employee submits any representation within 15 days of receipt of appraisal	
13.	The representation is reviewed by the Reviewing Officer and the Establishment team and appropriate action is taken. A suitable response is sent back to the employee	
14.	Work Planning for the next financial year is initiated	