



वैज्ञानिक तथा औद्योगिक अनुसंधान परिषद
COUNCIL OF SCIENTIFIC AND INDUSTRIAL RESEARCH

ANNUAL REVIEW OF PERFORMANCE FOR
GROUP IV STAFF

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 of 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 (Choose from Never / Seldom/Sometime/ 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 and 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 and have been asked to fill part 3 B 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(Choose from High, Significant, Moderate, Low; leave blank when not applicable)
Research, Development & Consulting/Scientific services	
. 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)	
Ladership and management	
. Management of functional unit/ division/ institute	

Management and institutional processes	
. Business development, contracts and technology marketing	
. Public relations publicity popularization of organization events, conferences, exhibitions etc	
. Human resource management, recruiting, Mentoring	
. Intellectual property management	
. R&D planning ; planning; project monitoring evaluational and management	
. Management of international scientific Collaborations	
. Information dissemination and institutional Reports	
. Customer interface management	
. General infrastructure management and maintenance (ncludes engineering services)	
. Medical services	
. Participation in organizational committees	
Other (please specify)	
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3. What do you regard as your most important assets or strengths (especially which you feel your senior officers should notice and use to 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 : 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/ lecturs 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)

Outputs relevant to the following responsibilities and functions	State briefly key achievements and shortfalls with reasons including barriers/ difficulties. (If necessary, attach supporting information as an appendix and refer to it here.)
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 exhibition 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/ contemporiness. You can also choose to highlight the significance of the S&T output.

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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` .

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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 awards/ nomination/ appointment	Information regarding award/ nomination/ appointment

6. Personal growth (for the year under evaluation)

Time perid (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 3 B : Self-Assessment of Performance
 To be filled-in addition to part : 3 A 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, news 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 earning 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.

Quantity of results (Consider - for example - for the individual and group managed a) accomplishment against established objectives, b) cost effectiveness, c) completed, d) timeliness in completing work, e) ability to handle simultaneous assignments]	Quality of results (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.)	Relevance, importance, Contemporariness of results toward institutional outcomes (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 (30)	Results exceed all measures for expected quality, Goals are consistently achieved in manner to minimize current/ future problems (40)	Achievements are contemporary important, and extremely relevant for CSIR (30)
Assignments exceed expectations at least in a few tasks; but meet expectations in all others (25)	Assignments are carried out with due diligence and care with minimum intervention (35)	Achievements are important, contemporary and relevant (25)
Results meet expectations in all major areas (20)	Assignments are carried out well and in time (30)	Achievements are important, and contemporary but not so important (20)
Some results meet or exceed expectations but individual lacks consistency in meeting all expectations (15)	Quality is inconsistent (25)	Achievements are relevant (15)
Major efforts are not accomplished (10)	Major problems result from lack of attention to quality (20)	Achievements are relevant in some ways but not very important or contemporary (10)
Accomplishments far below expectation (5)	Poor quality of work. (10)	Not relevant, unimportant and out - dated work. (5)
Performance Index		
(Sum of score for quantity + quality + Relevance - importance - contemporariness)		
PI		

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 anticipated 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 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 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 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

Values and Qualities Index									
(Sum of score under each of the above Categories)									
VQI =									

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 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 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 ber certified and an entry made in the character Roll.
- e) If suspicions regarding his integrity are confirmed, this fact can also be recorded and dulhy 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 o not disclose sufficient material to remove thes 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 practics and thereafter action taken as indicated at(d) and (c) 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 lnot 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 objectiopn. 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 :

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Summary of scores

Category	Max point per category	Points obtained, A	Weight factor, B	Weighted points, AxB
Performance Index (PI)	100		B 1 =	
Capabilities & Potentials Index (CPI)	100		B 2 =	+
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/ programe/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	0.8	0.1	0.1
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 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 judgement of the Head or Normalization committee.

Employee's areas of strengths and skills which he/she should take advantage of.	
Areas which 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/ outs (Please quantify wherever possible)

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

Guideline for the Annual Review of Performance (ARP)

Contents
1. Goals of the ARP system (page 1)
2. General philosophy behind the ARP form (page 1)
3. Parts of the ARP form (page 3)
4. Procedure (page 3)
5. Suggestions for increasing objectivity in the evaluation of performance (page 4)
6. Suggestions for weight factors and normalization procedures (page 5)
7. Other guidelines and suggestions (page 6)

The importance of the Annual Review of Performance for the effective functioning of the CSIR laboratories and the creation of an organizational culture of fairness, justice and meritocracy cannot be overemphasized. This is one of the most critical organizational processes and should be taken up by every employee seriously and with complete responsibility to the organization.

1. Goals of the ARP system

- . (SELF - APPRAISAL) Provide an opportunity to every employee to stop for a moment, look back and evaluate one's own performance and capabilities.
- . (DOCUMENTATION and REFERENCE) Provide an opportunity to every employee to state and document one's achievements (in agreement with supervising officers) and thus stake claim for commensurate rewards and opportunities for career advancements. Also provides an opportunity for current supervising officers to document an employee's performance, capabilities and qualities for reference of a succeeding supervisor.
- . (EVALUATION and RECEIVE SUGGESTIONS) Provide an opportunity to every employee to receive an honest constructive critique on last performance and suggestions for improvement and career growth.
- . (PLANNING) Provide an opportunity to every employee to set goals and directions for the future.
- . (UNDERSTAND AND JOB REQUIREMENTS AND EXPECTATIONS) Provide an opportunity to every employee to understand job requirements/ expectations and reorient one's activities to towards job requirement/ expectations in the context of organizational goals. Provides an opportunity to supervisors to clearly define (and document) expectations for the employee (preferably but not necessarily in mutual consultation) and reiterate job requirements in the direction of achieving institutional goals.
- . (RECOGNIZE, REWARD, PENALIZE) Provides an opportunity for the supervising officers to recognize and reward employee performance with fairness and justice to all and with the organizational interest in mind. Reward could include promotions or recognitions or opportunities.
- . (PROVIDES AUTHORITY). Provides the supervisor with increased credibility and authority while working with employee.
- . (REORIENTING EMPLOYEE TOWARDS GROUP AND INSTITUTIONAL GOALS) Provides an opportunity to the senior officers to stop and re-examine skill groups and employee performance in the group, build better teams by reorienting individual talents and efforts towards group and institutional goals.
- . (PERFORMANCE MATTERS) Allows institutions to promote institutional goals (and not get derailed into the pursuit of personal goals) by rewarding excellence (and penalizing poor performance) of its employees towards achieving institutional goals. The ARP system should clearly reinforce that performance matters!
- . (CAPABILITIES ARE RECOGNIZED AND REWARDED) Allows institution to promote institutional goals by rewarding/ retaining capabilities skills and competencies useful to the institution over a longer time frame.
- . (MERIT, FAIRNESS AND JUSTICE) Allows institutions to promote and institutional culture that rewards merit and employee contributions and thus brings in a sense of fairness and justice in the institution.
- . (VALUES) Allows institutions to promote certain values desirable for the institution by rewarding people who exhibit those values. For example, boldness and creativity can be important values for a R&D institute.
- . (HR PLANNING) Provides an institution with a mechanism to recognize employee skills, aptitudes etc for the continued performance of the institution in future years, deployment of employees etc. For example, identifies leaders for the future etc.
- . (COMPLIANCE) Complies with regulations so as to support institutional decisions relating to employee's career progress.

2 General Philosophy

The new annual review of performance system has been designed as an important component of a larger human resource development and management programme within CSIR. In an increasing competitive world, CSIR and its constituent laboratories have to match the standards of leading R&D organizations worldwide in order to compete for the rapidly shrinking R&D resources. The standards of the CSIR constituents will be largely determined by the quality of the people it recruits and nurtures. CSIR will have to strive to attract people of quality by promising them just rewards commensurate with their.

performance. It will have to carefully nurture its staff with performance-dependent incentives and attractive growth opportunities. The Annual Review of Performance (ARP) is the tool and institutional process that can make this possible. This ARP form has been designed after carefully reviewing similar systems practiced globally and within India in R&D organizations, both in the public and private sector.

The ARP incorporates several features:

- 0 **The ARP distinguishes between 1) Activities and 2) Results (Outputs and Outcomes).** All of us are engaged in various activities, which produce certain results. This ARP form evaluates results and not activities. In other words, employees will be required to state results and not activities in this form.
- 0 **The ARP also distinguishes between two components in reporting results- outputs and outcomes.** Every organization has outputs and outcomes. An organization produces an output (say, a product or information or technology package etc.) which could result in an outcome (say, 20% increase in sales or entry into a new market etc.) Note that the outcome is the eventual consequence that interests the stakeholders and not the output. Also note that all outputs do not result in outcomes. For example, a patent granted is an output. It contributes to the outcome of building the S&T image of the organization. But the patent does not contribute to the Indian economy or institutional earnings directly unless it is licensed and exploited in commercial process.
- 0 **The ARP defines different categories of employees based on the roles played by them in the organization and uses this for tailoring evaluation forms.** The categories are: Director, Head of Division/ Department/ Programme. Unit, Project Leader, Contributing Team Member/ Individual Contributor, and Assisting Member. These categories are based on functions of the employee and not designation or salary grade.
- 0 The desired outcomes of an organization are the same as the promises made by the organization to the stakeholders. On the other hand, the staffs of the laboratory are more at ease with the outputs. It is therefore essential for the organization to define as clearly as possible the outcomes and outputs and identify how the outputs will lead to the desired outcomes. Therefore it is essential that **Heads of Divisions/ Departments/ Programmes/ Units are evaluated for performance in terms of outcomes, while the scientific staff are evaluated more in terms of outputs.**
- 0 Another departure that this ARP makes from evaluation systems used in the past is that it **evaluates HODs and Directors on collective performance of the people under their leadership and not only on their individual accomplishments.** It is expected that the evaluation of leaders of divisions and labs on the collective performance of the group that they lead will promote team work and greater cooperation within the division.
- 0 **The ARP evaluates not only performance but also capabilities and values.** By doing so, it recognizes the importance of capabilities and values that an employee brings to an organization. It is expected that the employee translates his/her capabilities and values into performance. While the performance section highlights contributions of the employee to the organization's success during the preceding year, the capabilities and values sections highlight lasting qualities that the employee brings to the organization.
- 0 **The ARP evaluates an employee's performance under three heads -1) Quantity, 2) Quality and 3) Importance-Relevance-Contemporaneity.**
- 0 **Performance in the ARP form is evaluated against targets.** The employee in consultation with his/her Reporting Officer sets the targets for the coming year.
- 0 The capabilities and potentials of an employee are evaluated for general professional abilities, expertise and knowledge, managerial skills as well as leadership skills.
- 0 **The ARP yields three indices viz, Performance Index (PI), Capabilities & Potentials Index (CPI) and Values and Qualities (VQI) Index. The overall ARP Score (OVERALL Score) is determined by a combination of these three indices by the use of weight factors.** Each laboratory shall decide suitable weight factors for its purposes. The weight factors may need to be different for each category of employees.
- 0 It is desirable that the ARP form extracts an objective response from the evaluating officers. However, given the heterogeneity of the CSIR family of laboratories and practical difficulties in quantifying all aspects of R&D performance, the ARP does not attempt to codify performance in terms of metrics. However, **It is recommended that individual laboratories set up their own set of metrics for evaluation of performance of employees.** While performance cannot and should not be measured only in terms of these metrics, these metrics are nonetheless useful and objective (although incomplete) indicators of performance.
- 0 The current ARP system allows for "normalization" of the scores of the employees within each laboratory. However, **the exact process of normalization is to be decided by each laboratory.** The system of normalization should be such that it reduces subjectivity. Individual laboratories can then choose their basis for normalization.
- 0 The scoring system in the ARP form has been designed so as to be directly usable for screening for eligibility for promotion as per the CSIR Scientist Recruitment and Assessment Promotion Rules, 2001.
- 0 While the current version of the ARP is a paper version, it has been structured such that **it can be easily converted to a web-based, online form, possibly a part of a human resource management system.** Some labs already equipped with state-of-the-art intranets and suitable servers.

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may wish to set up a web- based system after ensuring suitable safeguards for security and privacy.

Any performance evaluation system can only be as honest and true to its purpose as the people who use it. In this context it is important that all evaluators fill in these forms honestly and frankly keeping in mind that their primary responsibility is to CSIR. Evaluators should evaluate an employee keeping in mind the interest of CSIR above that their own interests or the employee's interests.

It is recommended that this ARP form be filled and submitted within 1 month of the completion of the year being evaluated for.

3. Part of the ARP form

Part 1 : Basic information (pg 1, number of pages = 1)

Part 2: Self- assessment of current job and responsibilities (pg 2-3 number of pages =2)

Part 3A : Self-assessment of performance (to be filled by all staff) (Pg4-7 number of page =4)

Part 3B: Self assessment of performance(to be filled in addition to part 3A by Director Heads Divisions/ Departments/ Programmes/ Units and any other staff indentified by the Director of the lab) (pg 8-9,number of pages =2)

Part 4: Evaluation by reporting officer (pg 10-15, number of pages =6)

Part 5: Decision of the head of the laboratory/ institute or designated authority/normalization committee. (pg 16, number of pages =1)

Part 6: Employee's targets for coming year and continual growth plan (Optional) (pg 17-18, number of pages =2)

Employee commitments to ARP system

Most employees to fill pgs 1-7	7 pages
Senior employees to fill pgs 1-9	9pages
Reporting officer to review pgs 1-7(for most people) and pgs 1-9 (for senior employees)	7-9pages
Reporting officer to fill pgs 10-15 (only selection minimal writing)	6 pages
Reviewing officer to review pg 1-15(only agreement	15 pages

4. Procedure

Step 1: Employee receives the form on April 1st from the Administration with leave record filled in. Employee is to fill in Parts 1-3 Employee to sign - off on **Parts 1-3** Employee then hands over the ARP to the reporting officer.

Step 2 : Reporting Officer to discuss(only if necessary) **Part 3** with the Employee in order to agree with contents of these parts. Reporting officer and Employee to sign off on part 3 (if necessary, after corrections and amendments. In case of unresolved disagreements, Reporting Officer may note disagreements on those pages) (If the employee is reporting to more than one Reporting Officer, the Reporting Officers should work together in completing the process.)

Step 3: Reporting officer (s) to fill - in part 4 and submit to the Reviewing officer after signing -off (If there are more than one Reporting Officer then each should sign- off.)

Step 4: Reviewing officer (who, if possible, should be different from and senior to the Reporting Officer) to review part 4 and accept the evaluation of the Reporting Officer. In case of disagreement with the Reporting Officer, the Reviewing Officer and Reporting Officer can discuss before agreeing on the evaluation. If the disagreement cannot be resolved, then the Reviewing Officer may note his comments/ suggested rating under each category and the overall ratings. The Reviewing Officer sends the ARP to the administration by April 30th.

Step 5: A suitable and competent authority in the Administration then verifies and signs-off on Part 1. The ARP (with part 5.1 accurately filled) is then kept ready for the Head of the Institute Laboratory or designated authority. Normalization Committee along with statistical information on the employee ratings in each division/ department.

Step 6: The Head of the Institute /Laboratory or designated authority/Normalization Committee fills -in and signs-off on **part 5**.

Step 7: The contents of Part 5.4 are then communicated to the Employee via the Reporting Officer by May 31st so that the employee has sufficient time his/her improve his performance for the coming year.

Optional: **Part 6**. can be filled after submission of the rest of the ARP to the Administration(April 30th.) Please do not delay the submission of the rest of the ARP form(Part 1-5)due to Part 6. should be finalized before May 15th. The employee should retain the original. The Reporting Officer should retain a copy.

5. Suggestions for Increasing Objectivity in the Evaluation of Performance

One way to make performance evaluation more objective is to use quantifiable metrics for outputs and outcomes. Due to the heterogeneous nature of CSIR institute/ laboratories and the functions they serve, it is difficult to list all possible outputs and outcomes. It is even more difficult to identify metrics that capture all aspects of performance related to any one output. For example, research publications are outputs from many CSIR laboratories. A metric for quantity of research publications is easy to estimate. However, quality of research publications is often to quantify. Even if one chooses to use impact factors of the ISI as indicators of quality, it is often difficult to compare across disciplines. Relevance-importance-contemporariness of research publications is also difficult to quantify. Yet another degree of complication is added when one realizes that while most easy to calculate metrics quantify outputs, there are very few metrics used in practice to quantify outcomes. Outcomes are often difficult to pin point (since they can sometimes be diffuse) and require a lot more effort and patience to quantify. For example, it is often difficult to state the outcome or net benefit of a research publication. Sometimes, the research publication may result in value creation 20 years down the line. While these difficulties and limitations exist, these metrics nonetheless are useful and objective (although incomplete) indicators of performance.

In this context, it is suggested (but not required) that individual laboratories define several metrics that capture quantitatively the various outputs and outcomes that they produce. This is especially important for those functions which have a direct impact on the outcomes that CSIR is expected to show - primarily S&T outcomes. It is recommended that the employees be encouraged to also estimate and report these metrics while filling Part 3 so that the Reporting & Reviewing Officers can see those metrics while filling Part 4. Efforts should be taken to define sets of metrics that together give a better picture of performance. Hastily defined metrics can do more harm than good.

The following are examples of how metrics could be defined:

Consider for example, research publications as outputs. Research publications as outputs minimally contribute to the following outcomes:

- 0 Research publication indicate that "Outcome: New capabilities/ understanding/Knowledge" was created.
- 0 Research publications contribute to "other outcomes: Image of the laboratory and its staff amongst professional peers in the academia and industry and thus indirectly contributes to long term earnings/ funding.

Thus, while recognizing the contribution of outputs (research publications) towards outcomes (new capabilities and image), one can define the metrics for research publications such as:

- 0 Quantity: Number of research publications
- 0 Quality: Number of research publications in journals indexed by the Science Citation Index
- 0 Quality: Number of research publications in international peer-reviewed journals
- 0 Quality : Average normalized (normalized against the best journal within a discipline) impact factor of journals published in.
- 0 Contemporariness and importance: Average normalized immediacy index of journals Published in.
- 0 Importance: Cumulative number of citations received by employees research publications.

Consider another example analyzed differently. Consider the case of the outcome "Earnings for CSIR which aids in Self-financing" In this case, one could define and use two metrics simultaneously in order to get a better picture of individual's contribution while elimination opportunities to pervert the system. These are:

- 0 Quantity: Cumulative earnings wherever you were a team member or leader (such a metric encourages team work in securing large projects)
- 0 Quantity: Cumulative earnings wherever you were a team leader divided by the number of team leaders (such a metric encourages leadership roles without creating an incentive to unnecessarily list all members as team leaders.)
- 0 Importance: Chances that success in this project will result in increasing levels of business/ income in the coming years (High/Moderate/ Low/None)

Suitable metrics for the outcome "Wealth and /or improved competitive position due to intellectual property":

- 0 Quantity: Number of patents, copyrights etc granted
- 0 Quantity: Total earnings from all IP divided by the total investment in securing the same (in Rs)

Suitable metrics for the outcome "Commercialization of technology led to new companies, new plants/ Production facilities":

- 0 Quantity: Entrepreneurial investments (by private, public, govt sector/ Indian or MNC) on new companies, new plants, new production facilities based on know-how (in Rs)
- 0 Relevance- Importance: Entrepreneurial investments (by private, public, govt sector/ Indian or MNC) within India on new companies, new plants, new production facilities based on know-how (in Rs)

Suitable metrics for the outcome "Facilitation of decision making (R&D), business, public policy)~":

- 0 Quantity and importance: "Contract value of assignments (which to some degree represents value of your work to client)
- 0 Quantity: Number of completed assignments and final reports
- 0 Importance: Money value of decisions in terms of dependent investments, budgets of grants, etc

6. Suggestions for Weight Factors and Normalization Procedures`

Multiple indices and weight factors:

- . The Overall Score obtained in this evaluation will eventually be used for screening for eligibility for promotion as per the CSIR Scientist Recruitment and Assessment Promotion Rules, 2001. Therefore, it is essential that the Overall Score reflect as many of the reasons as possible for why and when an employee should be or not be promoted. Career advancement of any employee in any organization should in principle be determined not only by the Performance (PI) in the preceding year but to some degree also the capabilities and Potentials (CPI) that the employee bring to the organization and the desirable Values and Qualities (VQI) that the employee possesses.
- . The three indices-PI, CPI and VQI- are useful for different purposes under different circumstances and can be used creatively by the laboratories to gauge and reward an employee's strengths.
- . For example, a freshly recruited scientist who has been busy setting up his lab may have to be evaluated with a greater emphasis on Capabilities & Potentials (CPI) and Values & Qualities (VQI) rather than an emphasis on Performance (PI)
- . It is clear that management and leadership skills assume increasing importance as an employee climbs toward leadership positions in an organization. Thus it is important the Capabilities and Potentials Index also assume greater importance in the overall score for the employee as he/she rises to leadership roles.
 - . In yet another scenario, an organization may choose to use only or mainly PI scores in the evaluation of Overall Scores. In such a case, CPI and VQI scores can be reported along with PI scores to the assessment committee for consideration while deciding on promotions.
- . The weight factors concept permits the possibility of the three different indices being valued differently in different organizations and also being valued differently for people in different job categories and with different job functions.
- . Here is an example of a calculation using weight factors: Employee Z who is a Project leader gets the following scores-PI =70, CPI =50, VQI=90. The laboratory where employee Z works has decided that weight factors for Project leaders should be as follows: B1=0.70, B2 = 0.15, B3 =0.15 (Note that B1+B2 +B3= 1.0)Then, the employee's Overall Score = $(70 \times 0.60) + (50 \times 0.25) + (90 \times 0.15) = 68$.

Normalization procedures :

- . Supervising officers are likely to differ in their expectations from their subordinates and also likely to differ in how liberal they are with the awarding of points. Such heterogeneity in evaluations is clearly a cause for worry since under performers and star performers across divisions may get similar scores. While the current attempts to minimize this possibility, a system for rational normalization of scores across various divisions in a laboratory is required.
- . Each laboratory must decide on the criterion or set of criteria for normalization that serves its purpose the best. Most criteria have their own strengths and limitations- a perfect system is difficult to find. In any case, objectivity must be encouraged. One possible normalization procedure could be as follows:
 - 0 The administrative staff of a lab should collect all the ARP forms. They should then plot histograms of the frequency of occurrence of Overall Scores for each division. Such histograms would reveal the following information for each division:
 - . The average Overall Score in each division
 - . The peak of the distribution or mode Overall Score
 - . The standard deviation or spread of the distribution
 - . The highest Overall Score
 - 0 Following this the normalization committee of the lab can look at the statistical data and decide on one criterion or a combination of criteria for the normalization. Some possible criteria are:
 - . Equating the average or mode Overall Scores in all divisions
 - . Equating the highest Overall Scores in all divisions
 - . Pegging the distributions to the Overall Score of the HOD. (In this case, if the division as a whole performs badly, everybody in the division also sees his/ her Overall Score slide along with the HOD's Overall Score. Note that in this ARP form, the HOD is rated for collective performance of the division also and not only for his individual accomplishments.)
 - . In a small organization, the Overall Scores of employees in each division known to be roughly equivalent in performance can be equated.
 - . The best judgement of a committee in equating comparable performances.

7. Other Guidelines**Check list for the head of the institute/ laboratory**

For the ARP system to succeed, the heads, of laboratories/ institutes have to play an important role. Some of the tasks they need to undertake are as follow:

- . **Ensure that all the employees are familiar with and understand the philosophy behind the form and know how to fill it correctly. Ensure thaty the form and guidelines is available to every Group IV employee as soon as the ARP system is approved and accepted by CSIR.**
- . **Clearly articulate the desirable institutional outcomes every year without fall. Clearly define the expectations of the head of the laboratory from the heads of divisions and other members of his/ her leadership team(the expectations from different divisions and groups can be different).**
- . **Work with the leadership team to create enabling atmostphere and mechanisms, and also make available required resources and facilities to the extent possible.**
- . **Decide if the laboratory should or should not use metrics for evaluation lof employees. If metrics are used provide guidelines on the correct choice and use of the metric.**
- . **Decide on the weight factors to be used within the laboratory.**
- . **Decide on procedure and mechanism for normalization of grades within the laboratory.**
- . **Decide on an internal mechanism for addressing any grievances.**
- . **Ensure that employees are receiving feedback on their strengths and weaknesses and suggestions for improvements. (Ensure that section 5.4 is not left blank in any of the evaluation forms.)**