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No.6/15/2003-Admn.II

Dated: 30.3.2010

To

The Directors/Director-in-charge,
of all Institutes/Centres of ICMR

Subject:- Revised format for Annual Performance Assessment Report (APAR) with
guidelines for rendition of Confidential Annual Performance Appraisal
Report for Scientists –

Sir/Madam,

Refer to this office letter of even number dated 10th Dec. 2007 regarding recruitment rules for Health Research Scientist Cadre. The competent authority has revised the format for Annual Performance Assessment Report (APAR) for Scientists. A copy of the format for APAR alongwith guidelines for rendition of Confidential Annual Performance Appraisal Report for Scientists is enclosed herewith for necessary action.

Yours faithfully

(B.P. Singh)

Sr. Administrative Officer
For Director General

**GUIDELINES FOR RENDITION OF
CONFIDENTIAL ANNUAL PERFORMANCE APPRAISAL REPORT
(C-APAR) FOR SCIENTISTS**



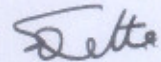
INDIAN COUNCIL OF MEDICAL RESEARCH

**Department of Health Research
MINISTRY OF HEALTH & FAMILY & WELFARE
New Delhi**

PREFACE

With the introduction of changes in the Personnel policies relating to the Scientists of ICMR, it became imperative to have digital Performance Appraisal System. A need was also felt to consolidate, revise and up-date the various instructions issued from time to time relating to rendition of Performance Appraisal Report in respect of Scientists.

Based on the recommendations of DOP&T a numerical method of Performance Appraisal for the Scientist is being introduced. The revised formats for different category of Scientists along with the detailed instructions covering all aspects relating to rendition of Performance Appraisal Report have been compiled. These formats and instructions will be effective from the year 2010 onwards.



Sanjiv Datta
Sr. Deputy Director General (A)

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INTRODUCTION

The aim of this instruction is to guide the officers on various aspects of initiation and rendition of the Annual Performance Appraisal Report on the Scientists of ICMR.

These instructions supersede all the instructions issued for completion of ACRs on the scientists of ICMR. The assessing/reviewing officer is to adhere to this instruction in letter and spirit as non-compliance of the instructions may adversely affect the objectivity of the report.

The objective of the Confidential Annual Performance Appraisal Report (C-APAR) is to evaluate and record the performance of all scientists/engineers/staff and make use of this data for the optimum utilization of manpower resources for achieving the organizational objectives. Appraisal reports form a record of the scientist's ability and performance and as such are extremely important documents that provide essential data to organization on several issues concerning the career of a scientist, namely:

- (a) Career Planning;
- (b) Suitability for confirmation and assessment;
- (c) Placements;
- (d) Selection for training/courses;
- (e) Deputation etc.

It is, therefore emphasized that these reports be completed in time and with utmost care, attention and in an objective/unbiased manner. The Performance Appraisal Report has two principal objectives. The first and the foremost is an aid to assess the performance of an individual and advise the individual on possible improvements; the second as a measure of the suitability of an individual for specific jobs in the organization and for consideration for determining eligibility and suitability for promotion.

The quality of reporting may have a direct correlation with the quality of the management decisions. Hence, the importance of objective and timely reporting can hardly be over-emphasized.

Certain basic points are to be borne in mind while writing the C-APAR

- (i) Over assessment distorts the performance evaluation and thereby may affect the cadre structure.

- (ii) Constant over or underrating may prejudice the career of scientist reported upon.
- (iii) There is a tendency to over assess scientists who have been deferred/superseded for promotion on one or more occasions. It does not imply, however, that a scientist once superseded cannot improve. But the grading must be objective and must give a clear reference to any such improvement, observed during the year under review.
- (iv) Remarks such as ' of a retiring nature', 'mixes with a few' 'could have done better' etc., though not adverse, should be brought to the notice of the scientist orally to help him to overcome such shortcomings. These are not to be recorded as a matter of course, but only in cases where they affect assigned duties and potential to the next higher grade. Detailed procedure about adverse remarks is explained in chapter-IV.
- (v) General remarks and pen picture in C-APAR should by and large, corroborate the final numerical grading.

The abbreviations used in these instructions are as given below:

- (a) C-APAR -Confidential Annual Performance Appraisal Report
- (b) Reporting authority-RA
- (c) Reviewing authority-REVA

The RA has a special responsibility in C-APAR as the total effectiveness of the report depends upon initial evaluation and assessment. It is the bounded duty of the RA to endorse their assessment in an unambiguous and deliberate manner without any prejudice or partiality. The role of REVA, who may have to review C-APARs assessed by several RAs, is one of an overseer and is to be no less objective than that RA.

Rendition of the Performance Appraisal Report

Performance Appraisal Report on the personnel of ICMR is rendered annually. The reports should, as far as possible, be assessed, reviewed and accepted by three superior officers in the chain of the command. Where this is not possible, the Reports should be reviewed/accepted by at least one officer who is superior of the AO/RO.

The RA and REV-A should have had the opportunity to supervise/overview the work and conduct of an individual scientist for at least three months during the period of the report. The levels at which the reports are assessed/reviewed/accepted are to be defined as shown in appendix 'A'. If an individual scientist/engineer/staff has served under more than one assessing officer for three months or more during the year, separate assessment should be made by each of the RAs for the period served under them. In some cases, the reports are assessed/reviewed and accepted by a single officer only and in such cases it becomes necessary to get those reports reviewed at another level.

Appraisal of the performance of a scientist at more than one level has been prescribed with a view to ensuring maximum objectivity. It is the judgment of the RA is too narrow and subjective to do justice to the scientist/engineer/staff reported upon, and then the Reviewing Authority should appropriately modify the assessment by providing reasons for the same.

The report of a scientist who is under transfer should be written at the time of transfer or immediately thereafter and not deferred till the end of the year.

During the period of report, if there is no assessing officer who is acquainted with the work of scientist/engineer/staff to assess the C-APAR, the reviewing authority may himself act as the assessing officer provided he has supervised or has knowledge of the work of the scientist being reported upon.

When the reviewing authority is not sufficiently familiar with the work of the scientist reported upon, so as to be able to arrive at a proper and an independent judgment, it should be the responsibility of the REV-A to verify the correctness of the assessment and remarks of the RA. REV-A may even give a hearing to the scientist reported upon if considered appropriate/necessary before recording any remarks. He should exercise positive and independent judgment on the remarks of the assessing officer and express clearly agreement or any disagreement with those remarks. This is particularly necessary in regard to adverse remarks where the opinion of the higher officer shall be construed as more appropriate. The REV-A /Head of the Cadre may make additional remarks on points not covered by the RA/REV-A.

As a corollary to the necessity for maintaining objectivity by the assessing, reviewing and accepting officer, and care should be taken to see that no relative of an officer be posted under the direct charge of that officer. When such a situation becomes inescapable, it should not be allowed to continue beyond the barest minimum period necessary. In such a situation the officer concerned should abstain from writing the report on the scientist who is a relative and instead the reviewing officer should take on the role of the assessing officer. If the reviewing officer is also related to the officer reported upon, the role of the RA/REV-A would have to be taken by the officer superior to him.

If an RA/REV-A officer is under suspension when the report has become due, it may be reviewed by the officer concerned within two months from the date of his having been placed under suspension or within one month of the date on which the report was due, whichever is later. An officer under suspension should not be asked to write/review report after the time limit specified above.

Head of the Group/Div. should ensure that report, in respect of all their scientist/engineer/staff including those who are on study leave, training, deputation to other departments etc., are obtained by them in time. In such cases, the officer/professors under whom the scientist is serving/studying may make the initial assessment, the review by a senior officer of ICMR may do acceptance.

CHAPTER III

RENDITION OF C-APAR: A FEW GUIDELINES

The Confidential Performance Appraisal Report is in part written by the scientist themselves by way of self-appraisal and by way of a brief report on the work output and on the target set for themselves on their achievements and shortfalls and on the constraints and limitations of the system.

The work output, both quantum and quality of work, and other attributes assigned separately for each level are to be judged and numerically graded except for scientist 'G' and above. The various attributes are explained in formats at appendix II. Due care should be taken before awarding the grades or points. The form for executive director and above is qualitative and not based on numerical points. Some explanations on the quality of the attributes to facilitate grading and differentiation between scientists is given in the table below:

Detailed description of the attributes

[These are only guidelines and not are quoted as an authority for deciding eligibility for assessment]

Top (Outstanding) graded between 8-10	Middle (Very Good) graded between 6-8	Bottom (Good) graded between 4-6
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1. Work Output (Scientific, Technological, and Managerial)

(i) Quality of Work (CR Part III a (iii)- of CR form)		
Excellent quality of work characterized by brilliance, thoroughness, originality, efficiency, ability to overcome obstacles and recognition among peers etc.	Reasonably good quality of work in respect of most of the assignments, adequate accomplishment of goals set in majority of the tasks.	Poor quality of work characterized by non-scientific approach shoddiness, half hearted efforts, inefficiency, poor management & tendency to offer excuses
(ii) Quantum of Work (CR Part III a- i and ii)		
Large volume of work accomplished during the year, characterized by completion of most of the task well ahead of schedules, maintenance of momentum right through	Reasonably good amount of work during the year with goals reached on schedule in majority of the tasks assigned, capable of putting in	Practically no visible work output at the end of the year, characterized by schedule slippage in most of the tasks, discernibly meager effort, laziness &

<p>instead of in bursts, logging in significantly more hours beyond the normal working hours whenever need arose. For example papers published, new technique/product developed, patent obtained or trials completed etc. Highlight accomplishment of exceptional work/unforeseen tasks performed</p>	<p>additional 'crash' effort on persuasion. For example papers submitted, new technique/product being developed, patent in process or trials started etc.</p>	<p>unwillingness to rise to the occasion through additional efforts. No papers published etc.</p>
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<p>2. Intellect /Analytical ability (Part III a-iv)</p>		
<p>(i) Readily perceives the essentials of difficult problem. Penetrates deep into complex issues. Reacts to extra-ordinary situations quickly and effectively.</p> <p>Theoretical/Experimental / Managerial ability</p> <p>(ii) Exceptionally good in theory, analysis & interpretation of data. Excellent in conducting experiments/ in evolving conceptual detailed design in engineering hardware/ in production technology. Excellent in Software design/ engineering & development. Excellent as a manager of a team remarkably successful in man-management, resources management & in planning extremely effective in synthesizing the efforts of the members of the team.</p> <p>Originality/Innovativeness</p> <p>(iii) Thinks frequently along lines to produce better and</p>	<p>(i) May take time but grasps the essentials of situation. Reacts to ideas and situations in a satisfactory manner.</p> <p>(ii) Generally good in theory/ experiments; fairly successful in management of human resources, funds and time schedules.</p> <p>(iii) Reasonably good in the specialized</p>	<p>(i) Does not go deep into a problem. Gets confused even in familiar situations and fail to react in an appropriate manner.</p> <p>(ii) Very weak in theory, incapable of carrying out experiments. Very poor in design, incapable of understanding drawings and production methods. Incapable of understanding software design/development methodology, poor manager of schedule, funds and resources.</p> <p>(iii) Very poor understanding of the fundamentals and</p>

<p>innovative solutions to problems totally free from prejudices for considering and expressing ideas not tried so far. Encourages originality in thinking among colleagues.</p> <p>Tenacity (iv) Demonstrates determination and strength of purpose to achieve the tasks and goals set even under trying circumstances.</p>	<p>knowledge of own branch of Science/ Technology/management Reasonably good knowledge of science, technology and management.</p> <p>(iv) Adequately determined in attaining the goals in normal circumstances. Can face occasional stress.</p>	<p>details of his specialized Branch of science/ technology/management. Poor knowledge in related fields.</p> <p>(iv) Lacks determination and purpose to achieve the organizational goals</p>
<p>3. Attitude towards work (Part III, B (i) of CR form)</p>		
<p>(i) Totally devoted to the scientific / technological / managerial work assigned. Absolutely scientific & systematic in approach. Enjoys work and disseminates the approach among colleagues.</p> <p>Perseverance (ii) Leaves no stone unturned to achieve the target once it has been set. Exceptionally active in attaining the mission goal. Can withstand prolonged stress and strain.</p>	<p>(i) Shows keenness in his work. Adopts a scientific approach. Does not consider work as a burden.</p> <p>(ii) Adequately determined in attaining the goal of the tasks. Not inclined to abandon work because of obstacles.</p>	<p>(i) Treats work as a great burden. Totally casual and unsystematic in approach to work.</p> <p>(ii) Inclined to give up in the face of stress & difficulties. Lacks resilience & perseverance in attaining his goals. Abandons work when the least obstacle is encountered.</p>
<p>4. Sense of responsibility (Part III, B ii of CR form)</p>		
<p>Remarkable sense of responsibility characterized by demonstrated keenness and initiative. Ensures that all aspects of the work assigned are properly taken care of and the end objectives are fully met even in unexpected situations en route</p>	<p>Reasonably good in this earnestness to see the job completed even under unanticipated difficulties</p>	<p>Tends to shrink responsibility for action especially in the face of difficulties</p>
<p>5. Maintenance of Discipline (Part III, B iii of CR form)</p>		

<p>Excellent in arriving at correct decision without losing time; takes an overall view of the situation, takes appropriate decisions even under stress. Also enforces discipline.</p>	<p>Display fair judgment; follows systematic & logical approach in decision making but inclined to take time; at times, under stress, decision making likely to get hampered. Tries to enforce discipline.</p>	<p>Lacks ability to take proper decisions; under stress loses touch with logic and becomes indecisive. Does not bother for discipline.</p>
<p>6. Communication skills (Part III, B iv of CR form)</p>		
<p>Excellent in communicating scientific/technological/managerial ideas in speech and in writing characterized by precision clarity and simplicity.</p>	<p>Reasonably good in communicating scientific/ technological/ managerial ideas in speech and in writing.</p>	<p>Very poor in communicating ideas characterized by lack of precision. Confusion in the order & style of presentation & poor linguistic ability.</p>

7. Leadership qualities (Part III, B v of CR form)		
<p>(i) With excellent organizing ability and exemplary discipline inspires respect and confidence in the team; coordinates the activities of the team in an effective manner; utilizes the potential of the team members to optimum level.</p> <p>Resourcefulness Excellent in finding solutions or in getting things done to achieve the goals set by adaptation, by enlisting cooperation of others and by timely thinking.</p>	<p>(i) Fair organizing skill and good sense of discipline makes him acceptable as a leader; generally takes timely decisions, which are fairly correct; achieves fair success in coordinating the activities of the team; makes provision for the capabilities and limitations of the members; provides necessary guidance when asked for.</p> <p>Reasonably good in finding solutions though quick thinking and flexibility of approach.</p>	<p>(i) Lacking in organizing skill & falling short of the minimum standard of discipline makes a poor impact as a leader; lacks skill in coordinating the activities of the team & achieves little success; remains ignorant of the capabilities & limitations of the team members.</p> <p>Very poor in finding solutions. Rigid and inflexible approach.</p>
8.. Capacity to work in team spirit (Part III, B vi of CR form)		
<p>Identifies himself clearly & totally with the larger goals of the lab & the organization. Never thinks of the good of own small group at the cost of the organization to which he belongs. Exhibits outstanding sense of 'belonging'.</p>	<p>Capable of understanding the larger goals beyond his own small group and the need to assist others. Exhibits a 'sense of belonging'.</p>	<p>Narrow minded in attitude. Unable or unwilling to visualize the larger goals of the lab/organization. No sense of belonging.</p>
9. Capacity to work in time limit (Part III, B vii of CR form)		
<p>Completes work ahead of schedule.</p>	<p>Complete work within time limit</p>	<p>Always delays work</p>
10. Inter-personal relations (Part III, B viii of CR form)		
<p>Excellent in working with others. Never instills fear or mistrust among colleagues.</p>	<p>Reasonably good in working with others and winning the confidence</p>	<p>Very poor in working with colleagues characterized by selfish and superior attitude</p>

<p>Absolutely fair in credit sharing. Takes pleasure in helping colleagues to make progress and blossom. Goes out of the way to establish warm personal relations with colleagues.</p>	<p>and cooperation of colleagues.</p>	<p>and by mistrust.</p>
<p>11. Knowledge of Rules/regulations/Procedures in the area of function and ability to apply them correctly. (Part III, C (i) of CR form)</p>		
<p>(i) Outstanding in specialized knowledge of own branch of science / technology / management, characterized by depth of understanding of the theory & practical details. Keeps abreast of the latest innovations & developments in the field. Has excellent knowledge in related fields of science, technology and management.</p> <p>(ii) Excellent in assessing all factors and making a judicious technical/managerial choice. Has an excellent intuition based on experience and accumulated knowledge. Proven right on most of the occasions. Quick in weighing the pros & cons of available alternatives.</p> <p>(iii) Reasonably good in making judicious choice when all aspects are not still clearly visible.</p> <p>(iv) Demonstrates determination and strength of purpose to achieve the tasks and goals set even under trying circumstances.</p>	<p>(i) Reasonably good in the specialized knowledge of own branch of science / technology / management. Reasonably good knowledge of science, technology and management.</p> <p>(ii) Reasonably good in making judicious choice when all aspects are not still clearly visible.</p> <p>(iii) Reasonably good in making judicious choice when all aspects are not still clearly visible.</p> <p>(iv) Adequately determined in attaining the goals in normal circumstances. Can face occasional stress.</p>	<p>(i) Very poor understanding of the fundamentals and details of his specialized branch of science / technology / management. Poor knowledge in related fields.</p> <p>(ii) Reasonably good in making judicious choice when all aspects are not still clearly visible.</p> <p>(iii) Very poor in exercising a judgment and making a technical /managerial choice</p> <p>(iv) Lacks determination and purpose to achieve the organization goals.</p>

(v) Thinks frequently along original lines to produce better and innovative solutions to problems totally free from bias/prejudices for considering and expressing ideas not tried so far. Encourages originality in thinking among colleagues.	(v) Reasonably good in the specialized knowledge of own branch of Science/ Technology/management Reasonably good knowledge of science, technology and management.	(v) Very poor understanding of the fundamentals and details of his specialized Branch of science/ technology/management. Poor knowledge in related fields.
(vi) Imaginative perceptions, exceptional ability to formulate short/medium/long terms requirements and integrates them effectively.	(vi) Reasonably imaginative perceptions but not consistent in formulating requirements.	(vi) No power of imagination and unable to formulate requirements for future.
12. Strategic planning ability (Part III, C ii of CR form)		
Displays planning ability of high order; anticipates problems and work needs well ahead of time; analyses a situation in all respects; sets realistic objectives; manages resources optimally.	Fairly effective and systematic in planning familiar tasks but likely to lose sight of proper perspective in complex situations; analyses only some facets of a problem.	Lacks planning abilities; accords priorities in a haphazard manner; lacks foresight; cannot analyze a situation properly.
13. Decision making ability (Part III, C iii of CR form)		
Arrives at correct decision without losing time; takes an overall view of the situation, takes appropriate decision even under stress.	Display fair judgment; follows systematic & logical approach in decision making but inclined to take time; at times, under stress, decision making likely to get hampered.	Lacks ability to take proper decisions; under stress loses touch with logic and becomes indecisive.
14. Coordination ability (Part III, C iv of CR form)		
Takes proactive action and interact with concern people to achieve goals well ahead of time	Takes reasonable action to interact in time with individuals to achieve goals.	Lacks capacity to interact with concern people in time.
15. Ability to motivate and develop subordinates (Part III, C v of CR form)		
(i) Activity supports, guides and encourages subordinates; make everyone feel that they are involved in the action and	(i) Encourages subordinates to make use of various facilities for on-the-job training, their	(i) Does not encourage, guide and support subordinates. Indefinite to the personal and

are important to the team efforts; helps subordinates in their personal & career development; rewards fairly, is receptive to employees concerns, ideas and suggestions; is a good listener; brings out the best in the people.	personal growth and development. More often open to suggestions than not.	professional growth of subordinates.
(ii) With lively enthusiasm, personal example and conduct stimulates the team for optimum performance; display exceptional skill in raising the moral of subordinates under difficult situations & maintains it at high level.	(ii) Achieves fair success in motivating his subordinates; his personal bearing and conduct have an uplifting influence on his subordinates.	(ii) Subordinates feel demoralized and demotivated when working under him; makes unhealthy impact on team members

Integrity

Integrity should not be described as “excellent”, “good”, “average” etc. It would be appropriate say “beyond doubt or no reason to doubt”, except where lack of integrity is evident. In the later case there should be enough evidence for such an adverse comment and the following guidelines are to be followed before such an entry. Normally following statements may be used for filling column under integrity

Top	Middle	Bottom
Show absolute honesty, moral courage, and sense of justice, fair play & propriety in the use of service position & resources; always offers correct information & sincere advice; reputed for exemplary management of personal affairs and finance.	Generally displays honesty and propriety in the use of service position and resources; uses discretion in offering correct information and advice; keeps his personal affairs and finances under control.	Apt to misuse service position & resources for personal gains; cannot be trusted in offering correct information; does not exercise adequate control over personal affairs and finance.

- (a) Supervising 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. Action verifies the truth of any suspicion should be taken expeditiously by making confidential inquiry or by referring the matter to the special police establishment. At the time of recording in the Performance Appraisal Report this diary should be consulted and the material in it should utilized in filling the column relating to the integrity. If the column is not filled on

account unconfirmed nature of suspicion, further action should be taken in accordance with the succeeding subparagraphs.

- (b) A separate secret note about the doubt and suspicion regarding the officer's integrity should be recorded simultaneously and followed up.
- (c) A copy of the secret note should be sent to the next superior officer who should ensure that follow up action is taken expeditiously.
- (d) If as a result of the follow up action, a scientist is exonerated, his integrity should be certified and entry made in the C-PAR.
- (e) If suspicion regarding his integrity is confirmed this fact should also be recorded and communicated to the officer concerned.
- (f) There may be cases in which after a secret report/note has been recorded expressing suspicion about a scientist's integrity, the inquiry that followed does not disclose sufficient material remove the suspicion or to confirm it. In such cases the scientist's conduct should be watch for a further period and in the mean time he should as far as practicable, be kept away from a position in which there are opportunities to indulge in corrupt practices. Thereafter action be taken as indicated at (d) and (e) above.

Ministry of Home Affairs OM No. 51/4/84-Estt (A) dated 21.6/1965

ADVERSE REMARKS

It is necessary that a staff member should know what his defects are and how he could improve upon. Every assessing officer should realize that it is AOs duty not only to make an objective assessment of subordinate's work and qualities, but also to give them at all times, the necessary advice, guidance and assistance to correct the faults and deficiencies. If this part of the assessing officer's duty is properly performed, there should be no difficulty about recording adverse entries, which would only refer to defects which persist despite the assessing officer's efforts to have them corrected. In any case, the assessing/reviewing and accepting officer should not shy away from mentioning shortcomings in performance, attitude and overall personality of the scientist reported upon.

In all cases where the C-PAR contains adverse remarks or remarks about the shortcomings, failings, etc., these remarks together with what have been stated in favor of the person concerned should be communicated in writing, and a duplicate copy should be attached to the C-PAR before it is forwarded to this headquarters. It will be the responsibility of the head of the Establishment/Laboratory to ensure that this is invariably done in all where such a communication is required to be made under existing orders.

Superior officers are not only required to supervise the work of their subordinates but also to help and guide them constantly in their duties, so that any failings and shortcomings may be pointed out to them with suggestions for improvement, the aim being essentially corrective. The individual should be progressively advised verbally once or twice during the year about failings, shortcomings, etc., and also possible ways to improve. The records of verbal advice fails to correct the individual, the same should be given in writing. If in spite of this, the individual still does not show the desired improvement, only then should the adverse remarks, failings, shortcomings, etc. be reflected in the C-PAR. If this drill is followed scrupulously, there should be no difficulty or hesitation on the individual. The individual too will not then have any grounds to protest that he/she was taken unaware by such remarks or that he/she was never apprised of his/her shortcomings and failings.

In communicating remarks to the scientist reported upon, the following procedure should be followed:

- (a) Where no adverse entry is made in confidential report nothing should be communicated, except in cases dealt with in sub Para (c) below.

- (b) Where an adverse entry is made, whether it relates to an irremediable or remedial defect, shortcoming, weakness or failing it should be communicated to the individual. But while doing so, the substance of the entire report, including what may have been said in praise of the scientist should also be included in the communication.
- (c) Where the report on an officer shows that efforts have been made to remedy or overcome the defects mentioned in the preceding report, the fact should be communicated to the scientist in a suitable form.

The aim of communicating remarks as mentioned at subparts (b) and (c) is to let the scientist know that the qualities as well as defects/weaknesses have been recognized/observed and that notice has been taken of the improvement made by him/her. All such remarks should be communicated to the scientist concerned in writing by the head of the division/group etc. A copy of such communication with the signature of the scientist thereon for having received the same should be appended to the C-APAR.

Representations, if any, against adverse remarks in the C-APAR communicated to a scientist/engineer/staff should be submitted by him through proper channel within six weeks of the date of communication of the adverse remarks. The representations should be concise and should clearly indicate the specific remarks, which are objected to, reasons therefore and the redress desired. The language used in the representation should be courteous and dignified and should not involve vilification of the superior officers.

Director General of ICMR would be the final authority to examine and dispose of all such representations of scientists/engineers.

The competent authority should decide all representations against adverse entries expeditiously from the date of submission of the representations.

Adverse remarks should not be deemed operative; if any representation filed within the prescribed time limit is pending. If no representation is made within the prescribed time limit or once this has been finally disposed off, there would be no further bar to taking notice of the adverse entries.

The following procedure may be adopted in dealing with the representation received from scientists/engineers/staff against adverse remarks communicated to them:

- (a) If the competent authority feels that there is insufficient ground for altering the remarks already recorded in the C-APAR, representation should be rejected and the scientist/engineer informed accordingly.

- (b) If, however, the competent authority feels that the remarks should be toned down, appropriate entry to this extent should be made in the C-APAR with proper attestation at appropriate places of the report. However the original entries regarding the adverse remarks should not be removed.
- (c) If it is found that the remarks recorded in the C-APAR are justified and the representation is frivolous, a note should be placed in the C-APAR of the scientist/engineer to the effect that he/she did not take correction in good spirit.
- (d) In the event of the competent authority coming to the conclusion that the adverse remarks were inspired by malice or was entirely incorrect or unfounded and, therefore, deserved expunction, then he should score out the remark, paste over it or obliterate it otherwise, and should make an entry, with the signature and date stating that he has done so. But before taking such action, he should bring to the notice of the group/ division. A note regarding expunction of remarks is placed in the C-APAR.

Appeal against the rejection of the representation should be allowed only if it is made within three months after rejection.

CHAPTER V

SUBMISSION OF CONFIDENTIAL ANNUAL PERFORMANCE APPRAISAL REPORT

The C-APARs should be completed and forwarded to the Directors, not later than by April end of the year.

It is expected that there will be performance spread among the scientists/engineers in a group/division. As a guideline the following pattern of performance spread is likely to occur.

<u>Marks secured by Scientist (%)</u>	<u>Population (%)</u>
>85	5
75-84	25-30
65-74	30-35
50-64	20-25
<40	5

The following time schedule for preparing and submitting C-APAR shall enable the office to hold the assessment boards in time every year and implements the promotions. As such every effort should be made to stick to the time schedule indicated below:

TIME SCHEDULE FOR PREPARATION OF C-APAR

<u>Distribution of blank C-APAR forms</u>	<u>First week of April</u>
Submission of C-APAR by Scientist	15 April
Submission of C-APAR by AO to RO	30th April
Submission of C-APAR by RO to Gp/Div. head	15 May
<u>Completion of C-APAR by Gp/Div. head</u>	<u>30th May</u>
<u>C-APARs to reach Director/DG , ICMR</u>	<u>15 June</u>
<u>C-APARs to Director, ICMR if required</u>	<u>30 June</u>
<u>Finalization of C-APARs by Director/DG, ICMR</u>	<u>07 July</u>

If C-APARs of certain scientists/engineers/staff are not submitted by the deadline the Gp/Div. head is to submit the list of such scientists/engineers/staff, the reasons for not submitting the C-APARs on time and the expected of submission of such C-APARs.

OTHER ASPECTS

C-APARs are to be written on Scientists/Engineers/staff appointed on adhoc or contract basis. As C-APAR is an annual assessment of the work and conduct of every Scientist/Engineer/staff serving in SOI, the C-APAR written on a Scientist/Engineer appointed on contract can be the basis to assess the Scientist's/Engineer's performance and to decide renewal of the contract.

The practice of placing letter of appreciation, awards etc. in C-APAR dossier generally be discouraged except in the following cases:

- (a) Letters of appreciation issued by the Govt. or a Secretary/DG, ICMR or Head of Division in respect of any outstanding work
- (b) Letters of appreciation issued by special bodies or commissions or committees, etc. or excerpts of their reports expressing appreciation for a Scientist/Engineer by name.
- (c) Letters of appreciation from individual non-officials or official (other than Secretary/Head of Gp or Div. may go into the C-APAR if confined to expressing appreciation for service rendered far beyond the normal call of duty and provided approved by Secretary/DG, ICMR
- (d) Letters of awards issued by Secretary/DG, ICMR /National Agencies etc. may go into the C-APAR.

Appreciation of work should be recorded in C-APAR rather than in letters of appreciation, which do not give complete perspective of the Scientist.

It need be hardly emphasized that the C-APAR dossier is the very foundation on which the career of a Scientist/Engineer is built. It is, therefore, imperative that all authorities carefully observe the various principles and procedures relating to the preparation and maintenance of C-APARs, as it will go a long way in promoting sound personnel management.

INSTRUCTIONS

General Report

1. The General Report although written with reference to the Scientist/Engineer/Staff's present assignment should also include a survey of his fundamental capability. An endorsement on integrity, if questionable, is to be made.

Definitions

2. Leadership
Is that quality in a human being, which makes other men, follow him, even in adversity? It is the sum total of the Officer's personality and his innate ability to inspire and lead large bodies of men/organizations/institutions. At senior level this invariably includes ability to motivate and manage highly ambitious and intelligent persons. Also denotes ability to give positive lead at organizational and national-level activities.
3. Professional standing
Knowledge, expertise and achievement in the relevant area.
4. Vision
Imaginative perception; ability to formulate requirements of short/medium and long-term dimensions; also perception of environmental possibilities.
5. Decisiveness
The ability to weigh up the situation and to take decisions; not wavering or hesitant. A higher marking is to be awarded for decision making under stress. It will also include handling of the unfamiliar/unexpected circumstances.
6. Contributions
Demonstrates contributions
7. Effectiveness
The managerial abilities incorporate planning in inter-lab/inter-agency relationship, as scientific and technical manager and as spokesperson for lab/organization.

Appendix I

1	2	3		5	
Scientist reported upon	Reporting Authority (RA)	Reviewing Authority (REV-A)	Grading officer Gp/Div Head	Controlling Authority	Competent Authority to decide representation against C-PAR