

# Performance Mapping of Faculty



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## 1.0 Introduction

Once an annual ritual, performance appraisal has become a continuous process by which a Faculty understands the Centre's goals and his or her progress towards contributing to them are measured. Performance measurement is an ongoing activity for all R&D Faculty and R & D Management Faculty.

Performance measurement uses the following indicators/parameters of performance, as well as assessments of those indicators.

- (i) **Quantity:** The number of units earned is a good objective indicator of performance. One needs to be careful of placing too much emphasis on quantity, lest quality suffer.
- (ii) **Quality:** The quality of work performed can be measured by several means. The percentage of work output that must be redone or is rejected is one such indicator. In a research or support environment, the percentage of studies/services converted to effective output and outcomes is an indicator of a faculty's quality, capacity, competence and ability.
- (iii) **Timeliness:** How fast work is performed is another performance indicator that should be used with caution. In the field of research, this has to be weighed against the Centre's average and overall performance.
- (iv) **Cost-Effectiveness:** The cost of work performed should be used as a measure of performance only if the employee has some degree of control over costs.
- (v) **Absenteeism/Tardiness:** An employee is obviously not performing when he or she is not at work. Other employees' performance may be adversely impacted by absences, too, as most of the measure of success of projects in CBMR are a team effort.
- (vi) **Creativity:** It can be difficult to quantify creativity as a performance indicator, but in R&D tasks, it is vitally important. Faculty and team leaders/project leaders/Division Heads should keep track of creative work examples and attempt to quantify them.
- (vii) **Adherence to Policy/Vision/Mission:** This may seem 'to be the opposite of creativity, but it is merely a boundary on creativity. Deviations from policy/vision/missions indicate a Faculty whose performance goals are not well aligned with those of the CBMR.
- (viii) **Personal Habits:** They may not seem performance-related to the Faculty, but some personal habits, like gossip, can detract from task/work performance and interfere with the performance of other team members. The specific behaviors should be defined, and goals should be set for reducing their frequency.
- (ix) **Work ethics:** Most people know how to conduct themselves for work with work ethics, however there is a possibility that someone needs to be told. Examples of inappropriate appearance and conduct should be spelled out, their effects upon the Faculty's performance and that of others explained, and corrective actions defined.

## **2.0 Present System**

The Assessment process in the present system goes through the following four stages of evaluation

- (i) Self Appraisal
- (ii) Appraisal by Reporting Officer
- (iii) Appraisal by Reviewing Officer
- (iv) Accepting by Appointing Authority

### **i) Self-Appraisal:**

The faculty appraises his or her own performance, in many cases comparing the self-appraisal to the reporting officer's review. Often, self appraisals can highlight discrepancies between what the faculty and management think are important performance factors and provide mutual feedback for meaningful adjustment of expectations.

The faculty gives both qualitative and quantitative description of the Tasks assigned to him during the assessment year and the actual outcomes against each task. This report is then reviewed by the reporting officer who evaluates the faculty based on the tangible and intangible deliverables of the faculty.

Performance indicators must be assessed by some means in order to measure performance itself. Here are some of the ways in which performance is assessed from the aforementioned indicators.

### **ii) Appraisal by Reporting Officer:**

A reporting officer appraises the faculty's performance and delivers the appraisal to the faculty through the Reviewing Officer/Head of the Institution. Appraisal by Reporting Officer is through critical examination and study of the work report submitted along with the self-appraisal form.

### **iii) Appraisal by Reviewing Officer:**

The reviewing Officer objectively look at the self-appraisal of the candidate, report provided by the corresponding Reporting Officer and the overall Centre's performance/average. Based on these inputs, a critical appraisal is made to agree or, to upgrade or downgrade the marks awarded with recording of justification for such an action.

### **IV Accepting by Appointing Authority:**

After the above three steps, the report is sent to appointing authority (President, CBMR/Chief Secretary, Government of Uttar Pradesh).

### 3.0 Proposed System

After reviewing the personnel policies of CBMR, it is strongly felt that the self appraisal methodology is the best form of evaluation, that is completely transparent and can be made highly objective. The concept of reporting officer and reviewing officer has been done away with. This would make the process of assessment easier, simpler and straightforward.

A novel method has been designed to capture the work outputs and outcomes of the faculty through a questionnaire given below. The faculty are expected to provide detailed/additional relevant information at appropriate places as Annexure suitably marked/identified which in their opinion truly reflects the measure of performance.

The proposed system also has three stages of evaluation which are as follows:

- Stage I - Self Appraisal by Faculty (by filing a questionnaire)
- Stage II - Evaluation by Collegiums which is done by assigning marks based on the inputs provided by the Faculty through the Self Appraisal Questionnaire.
- Stage III - Evaluation by Empowered Committee based on the inputs provided by the Collegiums.
- Stage IV- The grades awarded by the Empowered Committee to be ratified by the Appointing Authority.

#### 3.1 Stage I: Self Appraisal

The purpose of the self-appraisal is to seek relevant information in a manner that would clearly bring out the contributions/achievements, etc. of the faculty for objective evaluation by the Collegium.

##### Goals of the Appraisal Process

- Facilitate communication of all aspects of performance between the faculty and the Collegium/Empowered Committee.
- Identify areas in which improvement and learning will help the faculty become more successful in the future, allowing him/her to make further contributions to CBMR.
- Identify individual development needs, desires and plans.
- Establish a permanent record of the faculty's work history, which is as straightforward and objective as possible.
- Serve as one of the basis for assessment for promotion and
- Incorporate goals for meeting career development plan of the faculty

Considering the above, a questionnaire has been designed for the faculty. This has two parts, Part I has 2 questions common to Faculty in Pay Level 12 and above. Part II has 3 questions that need to be answered by only those in Pay Level 13 and above. The faculty have to fill the Questionnaire as detailed in Appendix-A. The faculty has to provide detailed information through annexure wherever required along with other basic details based on the Work Report format provided in Appendix-B. It is not expected that all sections of Appendix-B will be relevant to the concerned faculty and will be filled-in, ONLY those sections/sub sections that are closely relevant to the concerned faculty need to be responded to or filled-in.

This entire set has to be forwarded to the Chairman of the Collegium.

**Questionnaire — Part I**  
**Common to all (those in Pay Level 12 and above)**

Sl. No.	Question
	(Provide additional supporting information as annexure's in the Work Report format as per Appendix-B 'wherever necessary. It is not expected that all sections of Appendix-B will be relevant to the concerned faculty and will be filled-in. ONLY those sections/sub-sections that are closely relevant to the concerned faculty need to be responded to or filled-in.) -
1)	What do you consider to be your most important achievements sector wise for the past year? List sector-wise contribution in one or more areas, (Public goods/Private goods/Strategic goods/Societal goods*).
2)	Define your major knowledge portfolio - state whether you are involved in Knowledge Generation, Knowledge Development or Knowledge Management. Please elaborate by filling in the appropriate sections of the form provided in Appendix B.

**Questionnaire — Part II**  
**(for those who are on Pay Level 13 and above)**

3)	How has your contribution enhanced the prestige of CBMR?
4)	In light of your current capabilities, your performance against past objectives, and your future personal growth and/or job aspirations, what activities and tasks would you like to focus on during the next year? Again, also think of development and experiences outside of job skills -related to personal aims, fulfillment, passions, etc.
5)	What sort of training/experiences would benefit you in the next year? Not just job-skills - also your natural strengths and personal passions you'd like to develop - you, your work and team can benefit from these

**\*Broad definitions of Public, Private, Social and Strategic Goods**

**i) Public**

Basic research as reflected by publications, development of standards, databases, etc., and the policy support to government could be classified under public goods as they meet the criteria of non-rivalry and non-excludability.

**ii) Private**

Industrial training programs, consultancy services, certification and testing services, and sponsored research are considered as private goods as beneficiary preferences is reflected in their willingness to pay for these services. Intellectual property, particularly patents, technologies, products, processes and copyrights are in the private domain, but public funds have been used both at their generation (project) stage and at the patenting stage.

### iii) Social / Societal

Social/Societal good element is evident in activities, which generate livelihood opportunities to people located in far-off regions or to poor as in development of technologies, which use traditional knowledge, and use of indigenous resources.

### iv) Strategic

Strategic goods are those that are visible in the activities directly related to achieving self-reliance and services that meet the national/indigenous needs including national security for which no solution is available and enables creating technological options and 'resource centers', 'spin-offs', etc.

## 3.2 Stage II: Collegium

After submission of the self-appraisal by the faculty, the Committee recommends two-level evaluation process to be followed. The first level of evaluation is by a Collegium to be duly constituted by the Director CBMR for faculty and the second level of evaluation is through an Empowered Committee that also includes the Head (Director) of the Centre.

The following is the proposed composition of the Collegiums for evaluation of Faculty in their respective Grades to be constituted by the Director of the Centre .

Collegium No	Faculty Grade	Composition of Collegium for reporting		Composition of Empowered Committee for reviewing	Appointing Authority
		Group/Grade	Nos.		
I	Assistant Professor	Associate	1	02 Professors and Director	President, CBMR/Chief Secretary, Uttar Pradesh.
		Associate/Additional	1		
		Professor from the Empowered Committee.	1		
II	Associate Professor	Additional	1		
		Additional/Professor	1		
		Professor from the Empowered Committee	1		
III	Additional Professor	Professor	2		
		Professor from the Empowered Committee / Director	1		
IV	Professor	Director	1		

The Collegium should segregate the self-appraisal forms received as per the major knowledge portfolio defined by the faculty. The evaluation of the faculty will be based on the knowledge portfolio defined therein.

The composition of the Collegium is only indicative and the actual number of members under each Collegium and the number of Collegiums can be decided based on the size and composition of faculty at the Centre. A faculty nominated from the Empowered Committee will act as the Chairman. However, it may be seen that total number of members in the Collegium including the Chairman should be odd.

**3.2.1 Computation of Resultant Grade of Faculty:** The Collegium evaluates the responses provided by the concerned faculty to the Questionnaire (Part I or Parts I & II as the case may be) and assigns a score after careful study.

Sr. No.	Qualitative Evaluation	Equivalent Grade
1.	Outstanding	A+
2.	Very Good	A
3.	Good	B+
4.	Average	B
5.	Poor	C

If the performance of the candidate is far below par and far away from the average, he/she may be graded B or below Good stating clearly the reason that would be communicated to the candidate.

**Outstanding:** Outstanding means **significantly exceeds expectations of the Centre.**

**Very Good:** Very Good means **exceeds expectations of the Centre.** This is for those whose performance during the review period is found to be above the average performance of the Centre.

**Good:** Good means that candidate **just meets expectations of the Centre; however there is scope for making significant contributions that would exceed the expectations.**

**Average:** Average means the candidate just falls short of expectations of the Centre and in achieving it's superior standards.

**Poor:** **Needs to demonstrate additional effort and/or undertake further skill development.** Identifies an area that would benefit from additional attention and resources and requires specific recommendations for areas of development.

The form designed in MS-Word for the faculty to be filled-in is given in Appendix-A, whereas the form for evaluation by the Collegiums is presented in Appendix-C. The Collegium also evaluates the following Behavioral aspects and assesses the employee accordingly. Please note that this is only a qualitative evaluation and therefore no marks are to be awarded.



## A. PERSONAL ATTRIBUTES

1. Personality
2. Maturity and logical thinking
3. Level of self-confidence
4. Initiative and drive
5. Mental alertness

## B. PROFESSIONAL COMPETENCE

1. Perception of organizational role
2. Competence to handle the job
3. Ability to Communicate (both in speech and writing)
4. Dedication and commitment to the job
5. Comprehension and appreciation of new development related to his job

## C. MANAGERIAL CAPABILITIES

1. Ability to get along with colleagues
2. Willingness to accept responsibility
3. Decision making ability
4. Crisis handling
5. Qualities of Leadership

This is also presented as a part of Appendix-C for evaluation by the Collegium. The Collegium will state its comments on the overall qualities of the faculty including areas of strengths and if necessary, areas needing improvement. Along-with the evaluation of the faculty, the Collegium will also submit its opinion on the integrity of the faculty. The integrity and ethics part is mandatory as per the GOI OM No. 51/5/72-Estt "A" 20 May 1972 which is reproduced in Appendix-E. The evaluation report of the Collegium is then submitted to the Empowered Committee which does the final evaluation.

### 3.3 Stage III: Empowered Committee

The assessment of the Collegium would be reviewed by a duly constituted Empowered committee.

#### 3.3.1 Constitution of the Empowered Committee

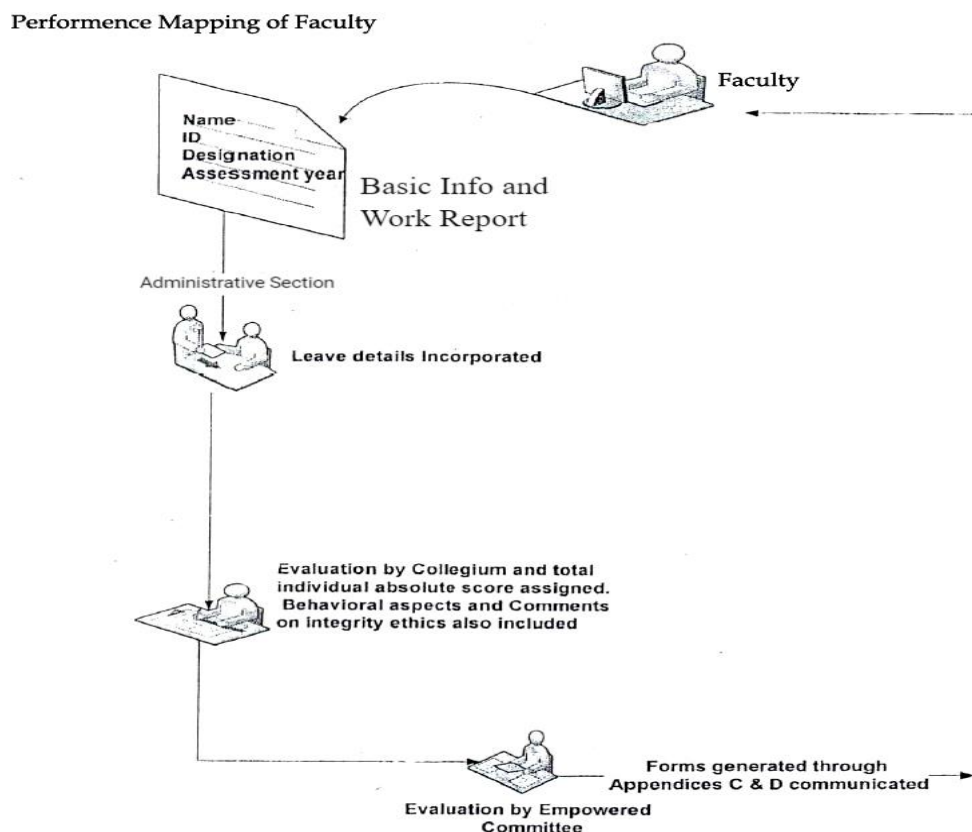
The Empowered Committee will consist of Director, Dean and a Professor.

The inputs of the Collegium are then carried forward to the Empowered Committee which can give its final evaluation and assign a suitable grade. This grade is communicated to the faculty. The Empowered Committee can revise the marks awarded by the Collegium citing clear and unambiguous justification. It is recommended that any upgrade or downgrade of marks at this stage can be considered based on the following:

- i) Basic character/nature of the Laboratory
- ii) Average performance of the Laboratory

The forms designed in MSWord for the empowered committee are given at Appendix-D. Forms generated as a result of the evaluation by the concerned Collegium and the Empowered Committee as per Appendices C and D are communicated to the employee. A typical flow of the appraisal process is shown in Fig. 1.

It is proposed to build the entire flow in the enterprise application being developed as part of the CBMR enterprise solution.



**Fig. 1 Employee Appraisal Process**

### **3.4 Accepting Authority**

President, CBMR (Chief Secretary, Government of Uttar Pradesh)

### **6.0 References**

- (i) Letter No. 5-1(44)/2007-PD dated 03.01.2012 of Council of Scientific & Industrial Research, New Delhi.



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**Centre of BioMedical Research**

(An Autonomous Centre of the Government of Uttar Pradesh)

### Performance Mapping for Faculty

Assessment Year \_\_\_\_\_ to \_\_\_\_\_

#### BASIC INFORMATION

Name of Faculty \_\_\_\_\_ ID No. \_\_\_\_\_

Position/ Post \_\_\_\_\_ Date of Birth \_\_\_\_\_

(DD/MM/YYYY)

Division/Department \_\_\_\_\_

Date of Joining CBMR \_\_\_\_\_

Category (Indicate if belonging to SC/ST/OBC) \_\_\_\_\_

Email ID \_\_\_\_\_

Mobile No. \_\_\_\_\_

#### About the Evaluation Period (and other obligatory Information)

Status \_\_\_\_\_

Part year or full year evaluation \_\_\_\_\_

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

CBMR Core Subject Area \_\_\_\_\_

Further sub subject Specialization of the area under which the activities have been carried out during the assessment period (refer: This may be different from the functional divisions of the Lab)

\_\_\_\_\_



## LEAVE RECORD

Please list leave record for the year being evaluated (Include all leave)

Type of Leave	No. of Days

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**Verified by Administrative Officer**

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

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**Signature of the Faculty**

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

**Questionnaire — Part I**  
**Common to all (those in Pay Level 12 and above)**

Please provide detailed/additional relevant information at appropriate places as Annexures suitably marked/ identified in the Work Report format as per Appendix-B wherever necessary. It is not expected that all sections of Appendix-B will be relevant to the concerned faculty and will be filled-in. ONLY those sections/sub-sections that are closely relevant to the concerned faculty need to be responded to or filled in.

1. What do you consider to be your most important achievements area-wise for the past year? List subject-wise contribution in one or more areas (Public goods/ Private goods/ Strategic goods/Societal goods).

2. Define your major knowledge portfolio — state whether you are involved in Knowledge Generation, Knowledge Development or Knowledge Management. Please elaborate by filling in the appropriate sections of the form provided in Appendix B.

Signature of the Faculty

Place :

Date :

## Questionnaire - Part II

**(for only those in Pay Level 13 and above)**

1. How has your contribution enhanced the prestige of the Centre?
2. In light of your current capabilities, your performance against past objectives, and your future personal growth and/ or job aspirations, what activities and tasks would you like to focus on during the next 2-3 years. Again, also think of development and experiences outside of job skills- related to personal aims, fulfillment, passions, etc.
3. What sort of training/ experience would benefit you in the next year? Not just job skills-also your natural strengths and personal passions you'd like to develop - you, your work and team can benefit from these.

Signature of the Faculty

Place :

Date :



**WORK REPORT FORMAT**

*(It is not expected that all sections/sub-sections of Appendix-B will be relevant to the concerned Faculty and will be filled-in. ONLY those sections/sub-sections that are closely relevant to the concerned Faculty need to be responded to or filled-in.)*

**SECTION I**

**Kindly ensure that there is no repetition while providing information.**

I.1 Participation in the “R&D /R&D Managerial activities” of the Centre:

Sl.No	Title of Project	Project Category	Participating Agencies	Your Role as defined

I.2 Participation in “major programmes” and/ or “facility creation” identified at the National level:

Sl.No	Title of the Project	Coordinating Agency	Contribution being made by you as representative of your organization*

I.3 Acquisition, operation and maintenance of “major facilities” of the Centre:

Sl.No	Title of the Facility	Your role in brief*	Beneficiaries*

I.4 Enlist notable contributions (upto ten, indicating status like individual achievement, output of a teamwork/collaborative work etc.)

*(not exceeding 150 words)*

I.5 Highlight the significance/impact of your work on industry/ society/ environment/ nation as a whole

*(not more than 100 words)*

*\*not more than ten words.*

## SECTION II

### II.1 Publications

#### II.1.1 Papers published in Journals (during the year)

- (i) In peer reviewed/SCI Journal (*Indicate the total Impact Factor and citations of your publications*)
- (ii) In non peer reviewed Journal
- (iii) Review papers (non SCI Journal)

Sl. No	Authors	Title of the Article	Year of Publication	Name of Journal	Publisher and Country	Vol No. Issue, Pages	DOI

**Note:** Faculty is fully responsible for the accuracy of their references. All references must include

- Author/editor last name plus initials (for six or fewer authors; if there are more than six authors, use "et al." after the sixth) or authoring agency
- Year of publication
- Full title of article or chapter (lower case)
- Title of journal (abbreviated according to standard engineering journal) or book/proceedings in title case
- City/state/country of publication and name of publisher
- Volume and inclusive page numbers
- DOI number, if available.

#### II.1.2 Papers published in Conference Proceedings

Sl.No	Authors	Title of the Article	Date/ Year	Name of Conference	Venue	Vol No. Pages	Publisher

#### II.1.3 Contribution to Books/Books Chapter

*(Indicate total number of chapters and pages)*

Sl.No	Authors	Title of the chapter	Title of Book and Editors	Year of Publication	ISBN	Edition No.	Publisher and Country

II.1.4 Enlist institutional publications brought out

*(specify the nature like Technical brochures, Feasibility reports, Training manuals, Publicity brochures, Organizational plans, Annual reports, Performance reports, Protocols, Brochures, IPR documents etc.)*

II.2 Patents filed and granted during the assessment period *(indicate separately total number of national and international patents filed and granted, also provide details as per format given below):*

SI No.	Title	Country and File no.	Filed (Date) on	Granted on (Date)	Names of other inventors

II.2.1 Copyrights/Trade mark:-

SI No.	Title	Country and File no.	Filed (Date) on	Granted on (Date)	Names of inventors

II.2.2 Technology / Process / Product development:

Sl. No	Title	Year of Development	Your contribution in the development*

*\*not more than ten words.*

II.3 Financial Contribution

II.3.1 EMF during reporting period:

Sl.No	Title of the project	Project Type/Category	Amount received	Govt./ Industry	Overhead generated

II.3.2 Technology / Process / Know-how transferred:

Sl. No	Title	Period during which developed	Date of transfer	Organization/Industry	Total fees realised	Your Role*

II.3.3 Testing, Evaluation and Calibration jobs undertaken and amount charged

II.3.4 Software developed & delivered, and amount charged

II.3.5 Others *(specify, if any)*

#### II.4 IMR Project during reporting period:

Sl.No	Title of the project	Duration of the Project (From...to.....)	Amount received	Output/Outcome

*In case your work such as 'spin-offs' etc., cannot be depicted in terms of the above parameters, you may like to quantify your contributions in your own way and while doing so you may refer to Section/Para No (s), in case such points are already reflected elsewhere in this report.*

### SECTION III

Kindly provide details on the following, whatever applicable, total information being within 300 words

- III.1. Field work undertaken
  - a) Field data collection indicating the number of days involved per year
  - b) Field implementation / Technology diffusion
  - c) Technical guidance / Counseling
- III.2. EMF catalyzed and budget handled
- III.3. Participation and contributions made for strategic sector
- III.4. Have you been able to create / add new clients to the organization.
- III.5. Contribution to indigenous technology / component / product / device / engineering systems design & development
- III.6. Activities leading to foreign exchange saving
- III.7. S&T Cooperation established with other National and International Institutions
- III.8. Assistance provided for national / international institution building
- III.9. National / International training programs organized
- III.10. Your contribution towards up-liftment of science & technology in the State/ country
- III.11. Any other point, not covered so far, to complete the spectrum of your achievements

## SECTION IV

Kindly provide information on following lines, whatever applicable, within 300 words

- IV.1. Participation in policy formulation and / or decision making
- IV.2. Formulating/amending existing rules / procedures for better effective functioning of the organization
- IV.3. Interaction with other R&D Organizations, Govt. Departments, Industry and / or International Agencies for project formulation or meeting effectively the objectives of identified programmes
- IV.4. Obtaining/processing for financial approval and associated management for implementing mega projects.
- IV.5. Providing major service to your organization in its efficient functioning & image building.
- IV.6. Membership in organizational / national / international committees.
- IV.7. Important administrative responsibilities taken and success achieved.
- IV.8. Major events organized as leader / coordinator.
- IV.9. Major initiative taken towards better positioning of your organization.
- IV.10. Any other dimension of your contribution essentially depicting your leadership quality.

## SECTION V

### Participation /Contribution to AcSIR/HRD

- V.1. No. of Lectures delivered and details

Sl.No	Subject/Course	Credits	No. of Students	No. of Lecture Hours	No. of Practical Sessions

- V.2. Did you have a role in the design of curriculum of any subject? (under 100 words)
- V.3. What other contributions you have made to the Academy this year? (under 150 words)
- V.4. Did you prepare any lecture notes, tutorials, test/assignments etc.? (under 100 words)
- V.5. Please explain any other responsibility you have been assigned/ undertaken including teaching PG/PhD students in 150 words.
- V.6. No. of Ph.D. students guided (indicate whether in progress or completed/awarded).
- V.7. Students guided for their project work/assignments for PG Courses like M.Sc./M.E/ M.Tech. /MBA/MCA/MD/MS/DM/MCh etc.

## SECTION VI

Provide salient details including the name of the organization and the year of award, on the following

- VI.1. Fellowships of professional societies (*restricted to **all India level selections** only, besides international selections, if any*)
- VI.2. Prestigious award / recognition received (*restricted to **national & international level recognitions** only, kindly also indicate in monetary terms, wherever applicable*)
- VI.3. Membership of Editorial Board of reputed journals

Date

(Signature of Faculty)

**NB:** Correctness of the information provided as above, is crucial as the assessment is based fully on the Work Report forwarded to the **Collegium** for the purpose.



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 उत्तर प्रदेश सरकार का एक स्वायत्तशासी सेन्टर  
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**Performance Mapping for Faculty**

Assessment Year \_\_\_\_\_ to \_\_\_\_\_

Name of Faculty \_\_\_\_\_ ID No. \_\_\_\_\_

**Pen Picture Behavioral Aspects**

(Please note that this is only a qualitative evaluation and therefore no marks are to be awarded)

A.	<u>PERSONAL ATTRIBUTES</u>	Outstanding	Very Good	Good	Average	Poor
	1. Personality					
	2. Maturity and logical thinking					
	3. Level of self-confidence					
	4. Initiative and drive					
	5. Mental alertness					
B.	<u>PROFESSIONAL COMPETENCE</u>					
	1. Perception of organizational role					
	2. Competence to handle the job					
	3. Ability to communicate (both in speech and writing)					
	4. Dedication and commitment to the job					
	5. Comprehension and appreciation of new development related to his job					
C.	<u>MANAGERIAL CAPABILITIES</u>					
	1. Ability to get along with colleagues					
	2. Willingness to accept responsibility					
	3. Decision making ability					
	4. Crisis handling					
	5. Qualities of Leadership					

D. INTEGRITY AND ETHICS  
 (Please refer Appendix E before filling this column)

	Impeccable	Beyond Doubt
	To be monitored	

E. Any Adverse Comment Yes/No  
 (If Yes give details separately)

Total individual Score

**(Member 1)**

**(Member 2)**

**(Member 3)**

**Members – Collegium**

Place: \_\_\_\_\_

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



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**Performance Mapping for Faculty**

Assessment Year \_\_\_\_\_ to \_\_\_\_\_  
Name of Faculty \_\_\_\_\_ ID No. \_\_\_\_\_

We concur with the individual score as assigned by the   
collegium

The Individual score may be upgraded to

Give reasons justifying the upgradation of individual score

The score may be downgraded to

Give reasons justifying the down gradation of the individual score

Final score of the individual

General Comments on Appraisal

Grade

Assign equivalent Grade

Please refer adjoining table

Qualitative Evaluation	Equivalent Grade
Outstanding	A+
Very Good	A
Good	B+
Average	B
Poor	C

**(Member 1)**

**(Member 2)**

**(Director, Chairman, Empowered Committee)**

Place: \_\_\_\_\_

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



### **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.N. 51/5/72-ESTT 'A' dated 20 May 1972.

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

- a) Supervisory Officer should maintain a confidential diary in which instances which create suspicion about the integrity of a subordinate should be noted from time to time and action to verify the truth of such suspicion should be taken expeditiously by making confidential enquiries departmentally or by referring the matter to the special police establishment. At the time of recording the Annual Confidential Report his diary should be consulted and the material in it utilized for filing, in the column relating to integrity. If the column is not filled on account of the unconfirmed nature of the suspicious, further action should be taken in accordance with the following sub-paragraphs.
- b) The column pertaining to integrity in the character Roll should be left blank and a separate secret note about the doubts and suspicions regarding the Government servants integrity should be recorded simultaneously and followed up.
- c) A copy of the secret note should be sent together with the character roll to the next superior officer who should ensure that the follow up action is taken expeditiously.
- d) If, as a result of the follow-up action, a Government servant is exonerated, his integrity should be certified and an entry made in the character roll.
- e) If suspicions regarding his integrity are confirmed, this fact can also be recorded and duly communicated to the Government servant concerned.
- f) There may be cases in which after a secret report/note has been recorded expressing suspicion about a faculty's integrity, the inquiries that follow or not disclose sufficient material to remove the suspicion or to 'confirm' it. In such a case the faculty's conduct should be watched for a further period, and in the meantime, he/she should as far as possible be kept away from positions in which there are opportunities for indulging in corrupt practices and thereafter action taken as indicated at (d) and (e) above.

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 he in possession of any information which would enable him to make a secret report to the head of the department. Such instances can occur when a government servant is serving in a remote station and the reporting officer has not had occasion to

watch his work closely or when a government servant has worked under the reporting officer only for a brief period or has been on a long leave etc. In all such cases, the Reporting officer should make an entry in the integrity column to the effect that he has not watched the government servant's work for sufficient time to be able to make any definite remark or that he has heard nothing against the government servant's integrity, as the case may be. This would be a factual statement which there can be no objection to. But it is necessary that a superior officer should make every effort to form a definite judgment about the integrity of those working under him. as early as possible. So that he may be able to make a positive statement.