



**Open - Annual Performance Appraisal Report**

**(O-APAR) for**

**Administrative Cadre including Stenographic  
and Isolated Posts also**

**Form and Guidelines**

**Reporting Year 01/04/2017 to 31/03/2018**

	<b>Name and Signature</b>	<b>Date of Submission</b>
<b>Employee</b>		
<b>Reporting Officer</b>		
<b>Endorsement by Reviewing Officer</b>		

## Instructions and Guidelines

The Administration Apex Committee has undertaken a review exercise of the Performance Assessment process for Administrative Cadre. As a result of this initiative, the performance assessment form has been simplified and has been renamed as “**Open - Annual Performance Appraisal Report (O-APAR)**”. Modifications in the process steps have also been undertaken to make the process of performance assessment more objective and seek inputs for employee’s development.

This form is applicable on all officers in the Administrative Cadre, Stenographic Cadre and the Isolated Cadre at all levels - Assistants III, II, I, Section Officers/ PS, Under Secretary/ PPS, Deputy Secretary and Sr. Deputy Secretary.

This form includes detailed guidelines and explanatory notes to help the employee / incumbent and the senior officers during the course of filling the form.

### Overview of Sections in the O-APAR Form

Section No.	Description
Section 1	Personal Information
Section 2	A. Performance Assessment of Allocated/ Assigned work for reporting year 2017-2018 by Employee, Reporting Officer and Reviewer Officer
	B. Documentation of Significant Achievements during Reporting Year 2017-2018 by Self
Section 3	Performance Assessment of Personal & Behavioral Attributes for reporting year 2017-2018 by Reporting Officer and Reviewing Officer
Section 4	Pen Picture & Overall Grading for Reporting year 2017-2018
Section 5	A. Work Plan for the current year 2017-2018
	B. Development Planning, Areas of development & Areas of Interest for Current year 2017-2018
Annexure	Annexure 1: Draft Indicative “Responsibility Matrix”
	Annexure 2: Sample Pen Pictures
	Annexure 3: Process Flow and Time Frame to be reported

## Section 1: Personal Information

<b>Personal Information</b>	
Name	
Designation	
Date of Birth	
Employee Code	
Group	
Grade	
Division	
Laboratory/Institute	<b>CSIR Hqrs.</b>
Type of Report Period	<b>Annual</b>
Report Period	<b>01/04/2017 to 31/03/2018</b>
Reporting Officer	
Reviewing Officer	
Earlier Positions Held	
Leave Record	
Immovable Property Declaration Submitted	<b>Yes / NO</b>

## Section 2: Performance Assessment

This section is divided into 2 parts:

A.	Performance Assessment on Allocated/ Assigned work for Reporting Year 2017-2018
B.	Significant Achievements during Reporting Year 2017-2018

### Guidelines and Instructions for Filling Section 2

#### Guidelines and Instructions for Employee Filling Section 2

- In Part A of this section, the employee captures the responsibilities handled by him/her during the year 2016-2017. These need to be written in the form of **“Responsibility Matrix”**.
- **“Responsibility Matrix”** defines **key responsibilities** managed and **key activities** that are undertaken to ensure effective execution of the responsibilities.
- **Draft indicative Responsibility Matrix are shared in Annexure-1** to provide inputs on how to draft responsibilities and corresponding activities.
- After completing the Responsibility Matrix, the employee conducts a self-assessment using the **rating scale** provided for evaluating the responsibilities. The Rating Scale is given on **Page 5**
- In Part B, of this section, please provide details of your **key achievements** during the year

### **Guidelines and Instructions for Reporting Officer Filling Section 2**

- The Reporting Officer reviews the responsibilities documented by the employee for the reporting period 2017-2018 in the format of Responsibility Matrix
- **He/She makes appropriate modifications on the Responsibility Matrix and discusses them with the employee for acceptance and finalization. If required, the form is given back to the employee for self assessment on the modified responsibilities**
- The Reporting Officer then assesses the employee for the responsibilities performed and gives a rating as per the rating scale provided on Page 5 for measuring the responsibilities
- The Reporting Officer then **comments on the achievements** made by the employee during the year
- **He/She also gives an overall rating and comment on the responsibilities handled**

### **Guidelines and Instructions for Reviewing Officer Filling Section 2**

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

### Rating Scale for Assessment of Responsibilities

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

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

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

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

**Section 2: Part A. Performance Assessment on Allocated/Assigned Work for Reporting Year 2017-2018**

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

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

<b>Employee / Incumbent:</b> Please document your Responsibility Matrix for the year 2017-2018 and do a self appraisal on the performance in <i>Column A</i>
<b>Reporting Officer:</b> Please assess the performance of the incumbent on the key responsibilities assigned in reporting year in <i>Column B</i>
<b>Reviewing Officer:</b> Please assess the performance of the incumbent on the key responsibilities assigned in reporting year in <i>Column C</i>

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

S No.	Key Responsibilities Allocated and Assigned  (to be filled by the employee at the start of the financial year/ reporting period)	Column A		Column B		Column C	
		Self-Assessment on accomplishment of these responsibilities		Reporting Officer Assessment on accomplishment of these responsibilities		Reviewing Officer Assessment on accomplishment of these responsibilities	
		Rating	Remarks	Rating	Remarks	Rating	Remarks
1.							
2.							
3.							
4.							

**Section 2: Part B. Significant Achievements in Reporting Year 2017-2018**

Please mention the significant achievements, any additional/ exceptional/ unforeseen tasks that you performed during the reporting period 2017-2018.

<b>S No.</b>	<b>Self (Employee)</b>	<b>Remarks by Reporting Officer</b>	<b>Remarks by Reviewing Officer</b>

### Section 3: Performance Assessment of Personal & Behavioral Attributes for Reporting Year 2017-2018

#### Guidelines for Filling this Section

#### Guidelines for Reporting Officer and Reviewing Officer filling this section

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

#### Rating Scale for Assessing the Personality and Behavioral Attributes

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

1. Attitude to Work				
Behaviors	Reporting Officer		Reviewing Officer	
	Rating	Remarks	Rating	Remarks
Sense of Responsibility <i>Takes personal responsibility for completing tasks as per defined norms Prioritizes work as per organizational requirements</i>				
Discipline <i>Understand the processes and adheres to them in own area of work Extends support to others for adherence to the work guidelines</i>				
Working and collaborating in Teams <i>Collaboratively works with other members of the team/ organization towards a common goal Provides constructive inputs to the team performance</i>				
Capacity to Plan Work <i>Plans and prioritizes assigned tasks to ensure efficient and timely completion of assigned work Takes corrective action to address deviations/ delays/ process inefficiencies and keeps the concerned team informed</i>				
<b>Final Rating on Attitude to Work= (Average of Reviewing Officer's assessment)</b>				
2. Contribution to Work Culture				
Behaviors	Reporting Officer		Reviewing Officer	
	Rating	Remarks	Rating	Remarks
Interpersonal relations and ability to contribute to progressive work culture <i>Uses techniques like convincing and persuasion to achieve the desired result Maintains cordial work relations with everyone Supports maintenance of a healthy and conducive work environment</i>				

Ability to motivate subordinate <i>Helps team in reviewing their assumptions and conceptualize out of box ideas</i> <i>Recognizes and celebrates teams victories and promotes team work and collective win</i> <i>Acts as a coach or mentor to the team by sharing own experience and learning</i>				
<b>Final Rating on Contribution to Work Culture=</b>  <b>(Average of Reviewing Officer's assessment)</b>				
<b>3. Leadership Qualities</b>				
Behaviors	Reporting Officer		Reviewing Officer	
	Rating	Remarks	Rating	Remarks
Decision making and problem solving ability  <ul style="list-style-type: none"> <li>▪ <i>Interacts with others to collate the required information (like document study, team and inter-departmental interactions)</i></li> <li>▪ <i>Analyzes data and develops trends to facilitate decision making</i></li> <li>▪ <i>States/ communicates likely impact of decision on all concerned and proposes possible counter measures</i></li> </ul>				
Execution of tasks  <ul style="list-style-type: none"> <li>▪ <i>Initiates tasks and manages them till completion and closure</i></li> <li>▪ <i>Adopts planning and management tools to ensure successful execution</i></li> </ul>				
<b>Final Rating on Leadership Qualities=</b>  <b>(Average of Reviewing Officer's assessment)</b>				

#### **Section 4: Pen Picture and Overall Grading of the Employee for Reporting Year 2017-2018**

This section summarizes the performance appraisal of the employee for the reporting period 2016-2017. The Reporting and Reviewing Officers give their comments on following:

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

#### **1. Pen Picture**

##### **Guidelines for writing a pen picture of the employee**

Please provide details on his/ her

- **Overall performance during the reporting period:** Did the employee show a consistent performance or drastic variation in the performance levels? What are the possible reasons for the variation?
- **Key strengths and development areas:** What are some of the strengths and proficiency areas of the employee? What are some of the work areas where he/ she would need training/ coaching to perform better?
- **Ability to manage the work assigned:** Did the employee show adequate capabilities to complete the assigned work with out much direction and guidance. Does he/she have adequate knowledge of the required rules and regulations? Is he/ she able to apply them in his/her working?
- **Teaming and Leadership Abilities:** Did the employee display cooperation and respect to the team members and worked with them in a participatory manner or a follower? Did he/ she show capabilities to lead the team when required?

Reporting Officer	Reviewing Officer

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

Reporting Officer	Reviewing Officer

**3. Integrity of the Employee**

Reporting Officer	Reviewing Officer
<ul style="list-style-type: none"><li>• Impeccable</li><li>• To be monitored</li></ul>	<ul style="list-style-type: none"><li>• Impeccable</li><li>• To be monitored</li></ul>

**4. Adverse Comments**

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

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

Reporting Officer	Reviewing Officer

### 5. Overall Grading of the Employee

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

<b>Reporting Officer</b>	<b>Average</b>	<b>Good</b>	<b>Very Good</b>	<b>Outstanding</b>
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Reviewing Officer</b>	<b>Average</b>	<b>Good</b>	<b>Very Good</b>	<b>Outstanding</b>
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

\_\_\_\_\_  
**Reporting Officer**

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

**(Name and Signature)**

\_\_\_\_\_  
**Reviewing Officer**

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

**(Name and Signature)**

## **Section 5: Work Plan for Current Year 2018 - 2019**

This section has been included to encourage employee / incumbent to plan his/her work for the current year 2018–2019 and define the key responsibilities and activities that need to be undertaken.

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

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

### **Guidelines for filling this section**

#### **Guidelines for the Employee filling this section**

- Employee documents his/her responsibilities in the format of a “Responsibility Matrix”. **Please refer to Annexure 1 for draft indicative Responsibility Matrix**
- Employee discusses his/her Responsibility Matrix with his/her Reporting Officer and finalizes it
- The Employee and the Reporting Officer sign and accept the Responsibility Matrix for 2018-2019
- Changes in the responsibilities are documented
  - If any new work is allocated/ assigned the same is added to the above list
  - If any existing responsibility is modified, then the same is accordingly changed
- Further, the employee needs to give inputs on which key areas he/ she wants training on
- He/She also needs to document areas of interest where he/she would want to additionally contribute

#### **Guidelines for the Reporting Officer filling this section**

- The Reporting Officer needs to discuss the Responsibility Matrix created by the employee and develop consensus on the same. **Please refer to Annexure 1 for draft indicative Responsibility Matrix**
- Any changes and modifications during the year need to be documented in the form
- The Reporting Officer needs to discuss the Training Needs and ensure that these are considered while nominations for training are made
- He/She also needs to allocate suitable responsibilities while forming dynamic teams as per the Interest Areas of the employee
- The Employee and the Reporting Officer sign and accept the Responsibility Matrix for 2018-2019

## Section 5: Part A. Responsibility Matrix

### Instructions to the Employee

**Responsibility Matrix:** Please list down the key responsibilities allocated and assigned to you by the Reporting Officer for 2018-2019. Please also provide the indicative measures for them.

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

<b>S No.</b>	<b>Key Responsibilities Allocated and Assigned</b> <b>(to be filled by the employee at the start of the financial year)</b>	<b>Key Activities</b>

Section 5: Part B. Development Planning & Areas of Interest for Current Year  
2018 - 2019

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

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

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

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

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

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

**Declaration on the Responsibility Matrix, Development Planning & Areas of Interest for Current Year 2017 - 2018**

I accept that the above documented Responsibility Matrix for 2018-2019 has been discussed and agreed between me and my Reporting Officer. I will ensure any changes to it are documented with immediate effect.

Employee

Date

Name and Signature

I accept that the above documented Responsibility Matrix for 2018-2019 has been discussed and agreed between me and my Reportee. I will ensure any changes to it are documented with immediate effect.

Reporting Officer

Date

Name and Signature



**Annexure to**

**Open - Annual Performance Appraisal**

**Report**

**(O-APAR) for**

**Administrative Cadre**

**Reporting Year 2017 to 2018**

**Annexure 1:** Draft Indicative "Responsibility Matrix"

**Annexure 2:** Sample Pen Pictures

**Annexure 3:** Process Flow and Time Frame to be reported

## **Annexure – 1 Responsibility Matrix**

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

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

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

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

The functions for which Responsibility Matrix has been defined are:

- General Administration
- Finance & Accounts
- Lab Administration

## Example 1

**Designation: Under Secretary**

**Function: Central Office**

### **Illustrative Responsibility Matrix for the role of an Under Secretary – Central Office**

<b>Section 1: Role Summary</b>	
<b>Role Summary</b>	To manage and oversee the central office related responsibilities and provide regular update to function head
<b>Section 2: Key Responsibilities and Measures</b>	
<b>Key Responsibility</b>	<b>Key Activities</b>
<ul style="list-style-type: none"><li>• Manage all recruitment related activities for S&amp;T and other staff for HQ</li></ul>	<ul style="list-style-type: none"><li>• Collation of manpower requirements from various departments</li><li>• Prepare and review a proposal based on the roster and other recruitment rules and guidelines and send for review to superior authority</li><li>• Release advertisement for inviting applications</li><li>• Prepare a note for formation of committees for selection and screening committees</li><li>• Coordinate activities related to recruitment</li></ul>
<ul style="list-style-type: none"><li>• Manage assessment related activities for S&amp;T staff at HQ</li></ul>	<ul style="list-style-type: none"><li>• Review eligibility list prepared</li><li>• Review and make suggestions on the recommendations of RAB to Sr DS</li><li>• Follow-up and coordinate with RAB for completion of the assessment process</li><li>• Plan working of the team to ensure timely issue of orders as per the final approval of DG, CSIR</li></ul>
<ul style="list-style-type: none"><li>• Manage promotion of S&amp;T staff at HQ</li></ul>	<ul style="list-style-type: none"><li>• Review seniority list and ensure correctness</li><li>• Circulate the list to all concerned and incorporate modifications/ clarifications received</li><li>• Circulation of the revised list to all concerned</li><li>• Send request for constitution of DPC</li><li>• Maintaining complete confidentiality and comprehensiveness of the DPC proceedings</li><li>• Plan working of the team to ensure timely issue of orders as per the final approval of DG, CSIR</li></ul>
<ul style="list-style-type: none"><li>• Strengthens Knowledge Management system for enhanced service quality</li></ul>	<ul style="list-style-type: none"><li>• Contributions made by self to the Knowledge Management System</li><li>• Frequency of reference to Knowledge Management System in day-to-day working</li></ul>

<ul style="list-style-type: none"> <li>• Ensure training and development of subordinates</li> </ul>	<ul style="list-style-type: none"> <li>• Number of times subordinates are nominated / released for training as per schedule</li> <li>Number of training man days provided to subordinates</li> <li>Percentage adherence to training needs identification schedule</li> </ul>
<ul style="list-style-type: none"> <li>• Coordinate auditing requirements with the audit team</li> </ul>	<ul style="list-style-type: none"> <li>• Completion of audit as per the requirements defined in advance</li> <li>• Respond to paras/ audit remarks</li> <li>• Undertake actions to rectify deviations</li> </ul>

**Example 2**

**Designation: FAO (Internal Audit)**

**Function: Finance & Accounts**

**Illustrative Responsibility Matrix for the role of a FAO (Internal Audit) – Finance & Accounts**

Section 1: Role Summary	
<b>Role Summary</b>	To manage and oversee the responsibilities related to internal audit and provide regular update to function head
Section 2: Key Responsibilities and Measures	
Key Responsibility	Key Activities
<ul style="list-style-type: none"> <li>Ensure all rules &amp; regulations, bye-laws are followed scrupulously by all CSIR labs/institt/centres</li> </ul>	<ul style="list-style-type: none"> <li>Regular review of processes followed;</li> <li>Provide rule position, correct method of procedures and other advisory suggestions; Adoption of innovative methods to drive adherence/ compliance</li> </ul>
<ul style="list-style-type: none"> <li>Perform as a team leader of audit party to conduct the internal audit of each labs/institute as per schedule approved by FA, CSIR</li> </ul>	<ul style="list-style-type: none"> <li>Overall planning for audit implementation</li> <li>Preparation and compliance level achieved for external audit</li> <li>Correspondence sent to teams with details and guidelines for audit requirements</li> <li>Support extended to help teams prepare for external audit</li> <li>Discussion on major issues of the draft audit report with the Director of the respective labs for corrective action</li> <li>Preparation of the audit report for submission</li> </ul>
<ul style="list-style-type: none"> <li>Deputing audit team to different labs/ institute as per schedule approved by FA, CSIR HQ and coordination for any further assistant/ suggestion to the team to HQ and Laboratories</li> </ul>	<ul style="list-style-type: none"> <li>Communication to the team for audit</li> <li>Guidelines shared for audit preparation and readiness</li> </ul>
<ul style="list-style-type: none"> <li>Ensure corrective action by each labs/institute/unit on the Internal audit report shared</li> </ul>	<ul style="list-style-type: none"> <li>Scrutiny of the response received from labs on the audit paras shared</li> <li>Follow-up on compliance achieved for serious notings</li> <li>Resolve / prevent legal issues/ consequences</li> </ul>

### Example 3

**Designation: Section Officer (Internal Audit)**

**Function: Finance & Accounts**

**Illustrative Responsibility Matrix for the role of a Section Officer (Internal Audit) – Finance & Accounts**

<b>Section 1: Role Summary</b>	
<b>Role Summary</b>	To manage and oversee the responsibilities related to internal audit and provide regular update to function head
<b>Section 2: Key Responsibilities and Measures</b>	
<b>Key Responsibility</b>	<b>Key Activities</b>
<ul style="list-style-type: none"><li>• Ensure all rules &amp; regulations, bye-laws are followed scrupulously by all CSIR labs/institute/centres</li></ul>	<ul style="list-style-type: none"><li>• Regular review of processes followed; Provide rule position, correct method of procedures and other advisory suggestions;</li></ul>
<ul style="list-style-type: none"><li>• Perform as a team member on audit party to conduct the internal audit of each labs/institute as per schedule approved by FA, CSIR</li></ul>	<ul style="list-style-type: none"><li>• Support extended for planning of audit</li><li>• Correspondence sent to teams with details and guidelines for audit requirements</li><li>• Support extended to help teams prepare for external audit</li><li>• Suggestions and corrective actions proposed on major issues of the draft audit report</li><li>• Preparation of the audit report for submission</li></ul>
<ul style="list-style-type: none"><li>• Support in identifying additional manpower from other division/ labs</li></ul>	<ul style="list-style-type: none"><li>• Steps taken to induct/ orient the additional team on the audit processes</li></ul>
<ul style="list-style-type: none"><li>• Deputing audit team to different labs/ institute as per schedule approved by FA, CSIR HQ and coordination for any further assistant/ suggestion to the team to HQ and Laboratories</li></ul>	<ul style="list-style-type: none"><li>• Communication to the team for audit</li><li>• Guidelines shared for audit preparation and readiness</li></ul>
<ul style="list-style-type: none"><li>• Support labs/institute/unit in taking the required corrective action on the Internal audit report shared and major lapses or irregularities identified</li></ul>	<ul style="list-style-type: none"><li>• Scrutiny of the response received from labs on the audit paras shared</li><li>• Follow-up on compliance achieved for serious notings</li><li>• Highlight areas of concern to prevent legal issues/ consequences</li></ul>

### Example 4

**Designation: Under Secretary**

**Function: Lab Administration**

**Illustrative Responsibility Matrix for the role of an Under Secretary – Lab Administration**

Section 1: Role Summary	
<b>Role Summary</b>	Providing Policy Clarifications sought from references from the Labs, Data Collection and information Compilation to be sent to the Labs, Providing Clarifications on Matters relating to CGC, JCM etc. Dealing with matters concerning the CGHS, Compassionate Appointments, Commercial Employment, issues related to Isolated categories etc.
Section 2: Key Responsibilities and Measures	
Key Responsibility	Key Activities
<ul style="list-style-type: none"> <li>Policy Clarifications sought from references from the Labs like NRAS/ MANAS/ Revised MANAS/ Bye-Law 71(b)</li> </ul>	<ul style="list-style-type: none"> <li>Number of clarifications provided to the Labs relating to these policies matters</li> <li>Ensuring a smooth co-ordination among the labs in various policy matters</li> <li>Providing the clarifications in a timely manner</li> </ul>
<ul style="list-style-type: none"> <li>Dealing with matters relating to JCM, ESI Act, EPF Act, Gratuity Act, Medical Cases of employees or pensioners, CSMA rules and CGHS Rules etc.</li> </ul>	<ul style="list-style-type: none"> <li>Dealing with these matters in a timely manner by co-ordinating with the labs, collating the Information provided by them in an organised manner</li> </ul>
<ul style="list-style-type: none"> <li>Dealing with matters like Counting of Past Services, Commercial Employment, Qualifying to Service Under Rule30, Engagement of Consultants, Reservations of SC/ ST Minorities, Pay Fixation under FR 22, HRA/ Advances etc.</li> </ul>	<ul style="list-style-type: none"> <li>Receipt of PUC</li> <li>Examination of the same with reference to rules</li> <li>To call for additional information from concerned Lab/Institute, if required</li> <li>Submission to the authorities for decision/approval</li> </ul>
<ul style="list-style-type: none"> <li>Dealing with Recruitment of QHF, Deputation and Lien Of Employees, Ad-hoc appointments, Assured Career Progression Scheme, Pension Cases etc.</li> </ul>	<ul style="list-style-type: none"> <li>To obtain concurrence of Finance where ever required</li> <li>Re-submission to authorities after Finance concurrence</li> <li>Communication of decision/approval</li> </ul>
<ul style="list-style-type: none"> <li>Right to Information Action</li> </ul>	<ul style="list-style-type: none"> <li>Receipt of Communication</li> <li>Examination of the same by dealing assistant with reference to applicable rules and regulations</li> <li>Verification of records, based on the information sought</li> <li>Compilation of information</li> <li>Submission for approval of CA</li> </ul>

	<ul style="list-style-type: none"> <li>Forwarding the information to RTI Cell</li> </ul>
<ul style="list-style-type: none"> <li>Legal Cases</li> </ul>	<ul style="list-style-type: none"> <li>Receipt of note from Legal section</li> <li>Examination of the same by dealing assistant with reference to applicable rules and regulations</li> <li>Preparation of comments</li> <li>Submission of file to CA for approval</li> <li>Forwarding approved comments to the Legal Section</li> </ul>
<ul style="list-style-type: none"> <li>Seeking advice from DoP&amp;T, DP&amp;PW, MoF etc.</li> </ul>	<ul style="list-style-type: none"> <li>Compilation of views from administration and finance</li> <li>Preparation of note duly providing the rule position</li> <li>Forwarding UO note to the concerned ministry / department</li> <li>Obtaining reply from the ministry / department</li> <li>Submission for financial concurrence</li> <li>Submission to the authorities for decision / approval</li> <li>Communication of decision / approval to the concerned lab</li> </ul>
<ul style="list-style-type: none"> <li>Clarifications on verification of Character &amp; antecedents</li> </ul>	<ul style="list-style-type: none"> <li>Receipt of representation / application from the individual</li> <li>Examination of the same by dealing assistant with reference to applicable rules and regulations</li> <li>Sending communication to IB for clearance</li> <li>Receipt of communication from IB</li> <li>Forwarding the communication to the concerned lab</li> </ul>
<ul style="list-style-type: none"> <li>Inter laboratory transfer of S&amp;T staff</li> </ul>	<ul style="list-style-type: none"> <li>Receipt of representations / requests from S&amp;T staff</li> <li>Proposal submitted to DG for orders</li> <li>In case of non-availability of posts, proposal submitted for release of positions from DG's quota</li> </ul>
<ul style="list-style-type: none"> <li>Comments of MC / RC.</li> </ul>	<ul style="list-style-type: none"> <li>Receipt of minutes of MC / RC meetings</li> <li>Preparation of comments on the minutes related to administrative matters</li> <li>Receipt of approval from DS</li> <li>Forwarding the comments to CTE Section</li> </ul>

#### Example 5

**Designation: Section Officer**  
**Function: Lab Administration**  
**Illustrative Responsibility Matrix for the role of a Section Officer – Lab Administration**

Section 1: Role Summary	
<b>Role Summary</b>	To plan and implement activities pertaining to smooth working of the section. To manage and oversee activities related to employees
Section 2: Key Responsibilities and Measures	
Key Responsibility	Key Activities
<ul style="list-style-type: none"> <li>Provide policy clarifications sought for policies, acts responsible for (Joining Time, sexual harassment complaints, promotion cases of isolated cadre, reservations for SC/ST/ Minorities, Pay fixation under FR-22, pension cases, ACPs, CPF, GPF, FR-56(j), Counting of past service, Commercial Employment, Compassionate Appointment, Addition to qualifying service rule 30, Engagement of Consultant, Handle HRA/ Advances, OTA/ Honorarium/ Allowances, Write-off and waiver of Penal License Fee, Manage ad-hoc Appointment</li> </ul>	<ul style="list-style-type: none"> <li>Receipt of PUC</li> <li>Examination of the same with reference to rules</li> <li>Relevant rules highlighted and quoted</li> <li>To call for additional information from concerned Lab/Institute, if required</li> <li>Submission to the authorities for decision/approval</li> <li>To obtain concurrence of Finance where ever required</li> <li>Re-submission to authorities after Finance concurrence</li> <li>Communication of decision/approval</li> <li>Initiatives taken for improvement/ update of policy drafts</li> <li>Escalation of cases to concerned authority and follow-up</li> </ul>
<ul style="list-style-type: none"> <li>Ensure all required databases/ records are maintained and kept updated</li> </ul>	<ul style="list-style-type: none"> <li>Number of instances when updated data not available/ updated in time</li> <li>Number of times data requirements not as per audit rules</li> </ul>
<ul style="list-style-type: none"> <li>Complete ACR/APAR of self and reporting officers as per schedule</li> </ul>	<ul style="list-style-type: none"> <li>Timely completion of performance planning discussion</li> <li>Timely completion of self appraisal process</li> <li>Timely feedback sharing and review</li> <li>Timely completion of year-end reporting and review</li> </ul>
<ul style="list-style-type: none"> <li>Strengthen Knowledge Management system for enhanced service quality</li> </ul>	<ul style="list-style-type: none"> <li>Contributions made to the Knowledge Management System</li> <li>Frequency of reference to Knowledge Management System in the day-to-day working</li> </ul>

## Annexure 2: Sample Pen Pictures

Please find below three sample pen-pictures. These are only indicative in nature and are provided only to support the officer for writing the pen picture of the incumbent.

### Sample Pen Picture 1

Mr. Amit Singh comes across as hard-working, diligent and confident leader with a strong drive for action and results. He displays strong planning and organizing skills with thoroughness for attention to detail. He displays the ability to set stretch targets for self and team and detailing the strategies and plans to execute them. Mr. Singh appears resilient in face of failure and displays the ability to take end-to-end responsibilities for the tasks assigned to him. He believes in empowering his team and involving them in strategy creation and planning but needs to develop on his interaction with them to communicate his expectations to manage performance.

Developmentally, Mr. Singh tends to be little defensive when confronted with non-performance, delays, mistakes and conflicting view and opinions which may adversely impact his ability to engage in meaningful interaction with others. He would benefit by seeking inputs from all stakeholders to understand and acknowledge the differing views and opinions and incorporate them when planning for execution.

Though he displays ability to develop strong relationships, he needs to get out of his comfort zone and force himself to interact with others.

Key Strengths	Key Areas of Development
Collaborating and leveraging strengths across the organization to create sustainable value	Defensiveness when confronted with conflicting views and situations
Setting stretch targets for self and team and undertaking responsibility for its execution	Employing empathy and compassion when interacting with various stakeholders

## **Sample Pen Picture 2**

Mr. Shubh Raj displays a balanced leadership profile with a combination of business, operational and people excellence.

Mr. Shubh Raj seems to possess a sharp, analytical and creative business mindset. He displays robust awareness of the work environment and organization needs. Given his combination of innovative mindset, risk taking ability and urgency of implementation, he displays ability to champion change initiatives that bring value to the organization. He not only challenges the status quo but also encourages team to think out of the box.

In his own area of functioning, Mr. Shubh Raj displays clarity of thought and conviction in his plans while executing tasks. He would set stretched goals for self and team and take complete ownership for meeting quality standards and timely deliverables. He passionately drives towards resolving problems and improving existing processes to bring greater customer satisfaction.

While managing his team, Mr. Shubh Raj assumes natural leadership without displaying authority. He provides direction to the team members and allocates roles based on his understanding of individual strengths and their interest areas.

While Mr. Shubh Raj seems to be customer sensitive in his approach and proactive in meeting their requirements, he could do even better if he were to bring a personalized touch in responding to their needs.

## **Sample Pen Picture 3**

- Is an analytical, action oriented and energetic individual with abstract reasoning, listening and influencing skills
- Spends time in developing and building them
- His domain knowledge, flexibility and idea orientation make him capable to analyze multiple perspectives
- He will generally display the resilience and tenacity to persevere when faced with negative feedback or adverse conditions
- Employs a problem-solving strategy that considers the identification and evaluation of alternative solutions as a routine practice

- He is likely to take on and implement initiatives which can lead to tangible impact on process efficiencies

**Annexure 3: Process Flow and Time Frame complied with (please record)**

S No.	Step/ Activity	Date Completed
1.	At the start of the financial year, employee documents his/her responsibilities in the Work Plan	
2.	This work plan is sent to the Reporting Officer for finalization	
3.	Once the Work Plan is finalized between the Employee and the Reporting Officer, the same is sent to the Establishment for records and Reviewing Officer for inputs	
4.	Inputs from the Reviewing Officer, if any, are incorporated in the Work Plan and re-submitted	
5.	During the year any changes in the allocated work/ responsibilities are updated in the Work Plan. Any change in the Work Plan undergoes the same process of approval by the Reporting Officer and Reviewing Officer	
6.	Employee and the Reporting Officer are encouraged to conduct regular conversations (at least once in a quarter) to discuss the progress made on the Work Plan. Any hindrances and matters are taken into consideration and resolved	
7.	At the end of the financial year, the performance is appraised. The Employee does a self appraisal on the Work Plan and provides inputs on their achievements and contributions. Employees submits his/her self appraisal to the Reporting Officer	
8.	<p>The Reporting Officer provides his/her assessment inputs on the Work Plan, Behavioral Attributes and Functional Know-how. This is submitted to the Reviewing Officer.</p> <p>It is encouraged that the Reporting Officer conducts a performance review meeting with individual Reportees before filling the assessment</p>	
9.	The Reporting Officer submits assessment reports for his/ her Reportee to their respective Reviewing Officers	

10.	The Reviewing Officer discusses the performance assessments with the Reporting Officer for the Reportees. Based on this discussion and own review, the Reviewing Officer completes the assessment of the employees for whom he/she is the reviewing officer. This report is submitted to the Establishment for filing and endorsement by the Accepting Authority	
11.	Now the appraisal is communicated back to the employee	
12.	Employee submits any representation within 15 days of receipt of appraisal	
13.	The representation is reviewed by the Reviewing Officer and the Establishment team and appropriate action is taken. A suitable response is sent back to the employee	
14.	Work Planning for the next financial year is initiated	