

# **Performance Appraisal Form for Public Servants and Corporations /Statutory Boards - (Individual Performance)**

## **Guide Lines**

### **1. Objectives**

- 1.1 Improve the productivity and efficiency of public Servants and employees of Public Corporations/ Statutory Boards.
- 1.2 Grant Annual Increments, Bonus Payments, Awards/Rewards, Promotions, Transfers, Extension of Service and Training opportunities to promote Improvement of Performance
- 1.3 Grant Awards/Rewards for special achievements/Inventions.
- 1.4 Improve the personal qualities, skills and knowledge of below average level performers.

### **2 Period**

Performance Appraisal should be carried out twice a year.

Mid Term – by 30<sup>th</sup> June each year

Final - by 31<sup>st</sup> December each year

### **3 Participants of Performance Appraisal**

#### **3.1 Appraisee**

A permanent or Probation Public Servant/Employee of the Organization / Institution , whose performance is appraised.

#### **3.2 Officer In charge of the Administration/Human resources**

The staff officer, in charge of establishment matters.

#### **3.3 Immediate Supervisor**

The staff officer, who immediately supervises the Appraisee.

#### **3.4 Panel of Appraisers**

In order to maintain standard in the process of Performance Appraisals the Head of the Organisation / Institutions should make arrangement to subject all appraisees or appraisees selected on random basis to a Panel Appraisal. For this purpose a panel of 03 staff officers should be appointed by the Head of the Organization / Institution. One of the members should be appointed as the Chairman of the Panel. An appropriate number of Panels could be appointed as and when required for appraisal of various levels of Staff / Employees. Seniority shall be maintained when appointing the members of the panel by taking in to consideration of the seniority of the Appraisee

The Chief Executive Officer / Head of the Organization should chair the Panel of Appraisers, which appraises the performance of the Senior Managers. Where necessary the Managers too can be appraised by the panel.

### **3.5 Head of the Institution**

Chief Executive Officer (CEO) of the Organization /Institution

### **3.6 Responsibility of all the Participants of Performance Appraisal**

All the Permanent/Probation Staff/Employees, working in the Organization /Institution should be appraised on an annual basis, twice a year, mid term by 30<sup>th</sup> June and final by 31<sup>st</sup> December each year.

The Participants are expected to perform impartially and maintain the highest degree of integrity in their assessment.

### **3.7 Methodology**

What is prescribed here is the method for the appraisal of performance of employees the majority of the public servants whose achievement can be measured as stated here. In case of employees whose functions are purely of professional nature such as medical, academic etc. the special features in keeping with the special nature of their duties may be added to the appraisal criteria, contained in Form B Serial No. 13 and No. 14. The total number of marks in respect of Performance Evaluation for these categories too should be 70, as indicated under Serial No. 14 of Form B.

## **4. The Forms**

### **4.1 Form A**

Form A is for the agreement between the line Ministry and the respective organisation, the objective of which is to provide for the background and the norms for the overall appraisal of the organisation. This has to be finalized and signed by the secretary to the Line Ministry and the Head of the respective organisation at the end of the preceding year. The year of appraisal for this purpose shall be the calendar year. A similar arrangement to set the performance plan and targets for different sectors within the organisation can be made by the Head of the Organisation. A format similar to Form A can be used for the purpose. The individual performance plan of employees should then arise from the sectoral plan.

### **4.2 Form B**

Form B is for the agreement between the Head of the Organisation and the respective employee for the purpose of individual appraisal of the performance of each employee.

### **4.3 Filling of the Form B**

#### **4.3.1 Serial No. 1 to 12**

- (a) Appraisee to fill and sign.
- (b) Certification by the officer In charge of Administration/Human Resources Development.

#### **4.3.2 Serial No. 13 & 14**

**(a) Serial No 13**

Appraisee to fill in consultation with the Immediate Supervisory Officer. Both parties to sign. It is suggested to assign agreed Functions, Activities and Targets in writing before commencement of duties / appraisal period as the case may be.

**(b) Serial No 14**

Award of Marks is the responsibility of the Immediate Supervisory officer. The marks should be awarded in the presence of Appraisee. To compute the final score to be carried forward to Part IV Serial No. 17, for the purpose of Final Appraisal, the total score in the column No. 7 or 8 as the case may be, has to be multiplied by 0.7

Example: Total marks in column 8: 60

Number to be carried forward to Part IV:  $60 \times 0.7 = 42$

#### **4.3.3 Serial No. 15 and 16**

(a) Certification and award of marks by the head of the Institution in the presence of Appraisee. The attributes applicable to each individual employee has to be decided on the basis of the Scheme of Recruitment, nature of duties assigned to the post and the needs of the organisation.

(b) The panel to select few Qualities and Skills on random basis and lead questions at the interview to form a general idea about the appraisals. Marks should be awarded for selected Qualities and Skills only. Enter the marks in the cage: " Panel Appraisal". The total Marks awarded by the Supervisory Officer may be revised by the panel either by adding or reducing based on the marks awarded by them.

(c) The formula for the calculation of the competency score is given under Serial No. 16 in Form B itself.

#### **4.3.4 Serial No. 17 (Final Appraisal)**

Supervisory Officer to enter the marks in the cage: "Score in respect of Performance Appraisal- (Serial No. 14) and Competency Score (Serial No. 16)

#### **4.3.5 Serial No. 18, 19 and 20**

The Head of the Institution / Human Resources Development Division to complete the components applicable and compute the enhancement / degradation factors under 18, 19 and 20 as per the instructions there in. Ultimate total under Serial No. 21 to be worked out accordingly.

#### **4.3.6 Ultimate Total Serial No. 21**

In respect of mid term appraisal only the score under serial No. 17 is applicable. For the final appraisal at the end of the year the ultimate total has to be computed as stated under 4.3.5 above.

#### **4.3.7 Serial No. 22**

Final Grading of the Appraisee.: Based on the "Ultimate Total (Serial No. 21)" make the grading of the Appraisee on the following basis.

85% and above	- Excellent
70% and above – less than 85%	- Above Average
50% and above – less than 70%	- Average
less than 50%	- Below Average

Make necessary recommendations on the appropriate cages only.

#### Any Other Comments

Comments on specific areas relevant to the Appraisee should be made by the panel and the Head of the Organization /Moderator.

#### **4.3.8 Serial No 23**

The part VII of the form 'B' is for the Head of the Organisation to prescribe the awards / rewards / remedial measures in respect of each appraisee on the basis of the recommendations in Serial No. 22.

#### 5.) **Definitions of Personal Qualities & Skills - Serial No. 15**

1. Attitude: -  
The attitudes of the individual towards the duties, functions etc. entrusted to him and towards the peers, subordinates, superiors, customers and general public.
2. Knowledge in the Area / Field of work: -  
The employees familiarity with and competency of the individual tasks within the employees own area / field of work.
3. Ability to work under pressure: -  
Whether the employee maintains control or not when pressure / demand is above normal and whether he fares well or fails under such circumstances.
4. Adaptability / Flexibility: -  
Ability to change or shift productively while being adequately firm.
5. Innovation: -  
Seeks new ways / solutions which are practical and result oriented, within ones limits of authority, in a manner compatible with the old.
6. Creativity: -  
Ability to find solutions to problems to which solutions are readily not available. Imagination and realization.
7. Computer Skills: -  
Ability to use computer as an instrument in performing duties.
8. Working with subordinates: -  
Ability to guide and lead subordinates to the best of the interest of the organization in a manner acceptable to the management and the subordinates. Ability to command their respect.

9. Working with superiors: -  
Ability to work harmoniously with superiors to achieve the utmost and to earn their appreciation.
10. Working with colleagues: -  
Ability to work harmoniously with peers / colleagues in a manner appreciated by them and the ability to earn their respect.
11. Working with General Public / Beneficiaries / Customers / Suppliers: -  
Ability to understand and appreciate the needs of General Public / Beneficiaries / Customers / Suppliers and to be adequately polite and attentive. Ability to manage relationships productively .
12. Negotiation / Persuasion Skills: -  
Ability to sell ideas and get buy in, to persuade others to concur / accept.
13. Cross Cultural Awareness: -  
Ability to understand and appreciate other cultures within and outside the organization and to work harmoniously in a multi-cultural back ground.
14. Policy Making: -  
Ability to analyze the corporate needs, the vision and mission of the organization and to formulate conducive policies.
15. Project Planning, Implementation & Control: -  
Ability to understand and identify the needs and set project goals, achievement strategy, time scales and to harness resources. Ability to monitor progress, to feed back and to take remedial action when necessary.
16. Disaster Management :-  
Ability to foresee disasters and to avoid. Ability to manage disasters well and to take mitigatory measures.
17. Control of Costs: -  
Ability to analyze, control and minimize costs to achieve the maximum results in all respects.
18. Control of Quality: -  
Ability to achieve highest level of quality in all respects.
19. Decision Making / Problem Solving: -  
Ability to make appropriate decisions and to analyze and solve problems to achieve set goals and standards.
20. Creating / Maintaining Standards: -  
Ability to maintain best standards of performance create such standards where necessary in all respects within ones purview.
21. Time Management: -  
Ability to make maximum use of time, to set time targets well and to complete tasks within targets set.

22. Listening: -  
Ability to listen attentively, to understand and respond well and effectively.
23. Written Communication: -  
Ability to write accurately and effectively in all written communications.
24. Verbal Communication: -  
Ability to express ideas opinions and conclusions verbally in an effective and straight forward manner to convince the listeners adequately.
25. Presentation: -  
Ability to make presentations to ensure maximum achievement of intended purposes / goals.
26. Ability to work in other languages: -  
Ability to speak, read and write languages other than the medium of enrolment.
27. Handling of Power and Managing Grievances: -  
Ability to handle power and influence in an effective and responsible manner and to recognise grievances to manage them positively.
28. Risk taking: -  
Willingness and ability to take calculated risks, initiate action to capitalize on all opportunities to the maximum.
29. Managing Change : -  
Be open and ready to change and ability to identify opportunities and to capitalize.
30. Strategic Planning: -  
Ability to think laterally and strategically in advance to plan the way forward and to take long term measures.
31. Judgment: -  
Ability to assess and evaluate complex situations, to make objective and not subjective decisions independently.
32. Ingenuity: -  
Ability to think positively to tide over difficult and seemingly hopeless and insurmountable situations.
33. Global Awareness: -  
Ability to see and understand situations beyond own unit, department or organization and to identify opportunities and threats.
34. Harnessing Resources: -  
Ability to harness human and material resources to achieve the maximum.
35. Counseling: -  
Willingness and ability to understand the personal issues of others and to support them with tact and diplomacy in solving them effectively.

36. Coaching: -  
Guiding subordinates consistently and continuously throughout their activities.
37. Delegating: -  
Willingness and ability to delegate authority, functions and responsibilities to others while maintaining overall control.
38. Motivating Others: -  
Motivating both good and poor performers to do better and well. Creating enthusiasm without pushing.
39. Creating Team Spirit: -  
To direct and develop the group to bind together as a team. Encourage trust, openness participation and mutual respect.
40. Appraising: -  
Ability to measure and appraise performance of subordinates.