

CENTRAL AGRICULTURAL UNIVERSITY, IMPHAL

**ANNUAL PERFORMANCE APPRAISAL REPORT (APAR)
FOR DEPUTY DIRECTOR (INSTRUCTION/ RESEARCH/ EXTENSION)
(Format adopted from ICAR, New Delhi)**

Office of the _____

Report for the Calendar Year: 1st January to 31st December, _____

PART- I: GENERAL PARTICULARS
(To be filled-in by the Administrative Office)

1. Name of the Deputy Director (in Capital letters) :
2. Date of Birth (DD/MM/YYYY) :
3. Date of entry in CAU service :
4. Present designation :
5. Date of joining in the present grade/PML/AL :
6. Present pay :
7. Period on leave during the year :
8. Details of service :

Period	Office/College	Designation

9. Academic qualification acquired during the year reported upon (in case no academic qualification has been acquired, the highest degree along with specialization need be given):

Degree	Year	Institute/University	Subject(s)

10. Please state whether the Annual Return on immovable property for the preceding calendar year was filed within the prescribed date i.e., 31st January of the year following the calendar year. If not, the date of filing the return should be given:

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11. Please attach Annual Health Check-up report by the University's M. O. for the assessment year:

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PART- II: SELF-ASSESSMENT

(To be filled-in by the Deputy Director reported upon)

2.1 Activities and Achievements:

(Information to be filled-in by the Deputy Director posted at the CAU Headquarters, Imphal)

S. No.	Activity	Time spent (%)	Achievements	Constraints, if any
1.	Research/Research Management/Administration/Management/Coordination activities related to SMDs including Extension, Education and Sections/Units; Data Management; Evaluation and Monitoring; IP Management; Technology Management, Skill Development, Human Resource Management, Knowledge Management, e-governance, e-portal, publicity, etc.			
2.	Training/ Entrepreneurship Development , other relevant activity (if any)			
3.	Policy/ Data support provided to CAU/ Subject Matter Divisions (SMDs)/ Section/ Unit			
4.	Support in formulation/ evaluation of foreign and externally funded projects (including international funding agencies, R&D and of other Ministry/ Department)			
5.	Support provided in formulation and processing of EFC/ SFC memo, cabinet notes, etc.			
6.	Preparation of agenda/ Action taken report for AGM/ GB/Directors' Conference/ Vice-Chancellors'/ SFC/RCM/IMC/QRT/ Mission, etc.			
7.	Support in formulation and processing of MoUs / Guidelines/ Databases/ Work Plans/ Concept Note, etc.			

8.	Support in Organization of senior-level meeting /Workshops / Symposium Conference/Consultations/ Ceremony / Function, etc.			
9.	Processing of matters pertaining to Parliament/ Cabinet, PMO and other VIP references, RTI/CPGRAM, Grievance redressed etc.			
10.	Nominations/ Representation to Committees, Boards, Foreign deputations, meetings, etc.			
11.	Other Special assignment/ Activities (please specify)			

2.2 Peer Recognition:

S. No.	Activity	Remarks
1.	Awards and Recognition	
2.	Professional Societies activity as (Office Bearer, Life Member, Editor for Journals, any other, please specify)	
3.	Reviewer/referee of papers/evaluation of thesis/dissertation/reports/proposals, etc.	
4.	Chair/Co-chair in scientific sessions/Resource person/Lead speaker in Training/HRD programme, etc.	
5.	Any other (please specify)	

2.3 Publications:

S. No.	Detail	Number & Remark
1.	Research Paper	
2.	Book (including edited)	
3.	Book chapters	
4.	Popular article	
5.	Bulletin	
6.	Brochure	
7.	Abstract / Extended Summary	
8.	Any other (please specify)	

2.4 Professional growth and development:

Please give details of the programmes attended within India/abroad.

S. No.	Programme Attended	Institute and Place	Period
1.	Training / Refresher Courses/ Summer/ Winter Schools		
2.	Seminars / Workshops/ Symposia/ Conferences		
3.	Any other (please specify)		

Date:

Place:

Signature of the Deputy Director reported upon

PART- III
Assessment by the Reporting Officer

3.1 Length of service of the Deputy Director being reported under your supervision.

3.2 Comments on PART- II:

Please make an objective comment on Part-2 as well as on the summary report made by the Deputy Director. While commenting, please take due note of the shortfalls/constraints mentioned by the Deputy Director as well as the extent to which the resources and facilities committed at the time of setting targets were provided (Maximum of 100 words.)

3.3 Assessment of Significant Achievements

Please score individually the group of indicators under each of the following parameters on a scale of 1-10, ten being the highest grade and 1 the lowest. Grading on each of the parameter of assessment is the mean score of all the indicators included under it. (Please follow the guidelines given in Annexure II A & B for grading.)

Indicators	Marks (1-10 Scale)	Weightage assigned	Total obtained (W x M)
Contribution to Research Management & support (point 1 to 11 under 2.1)	M ¹	W ¹	
Professional Growth & Development (2.2, 2.3 and 2.4)	M ²	W ²	
Personal attributes	M ³	W ³	
Functional Competency	M ⁴	W ⁴	

Final Grading: $(M^1 \times W^1) + (M^2 \times W^2) + (M^3 \times W^3) + (M^4 \times W^4)$
 =
 10

S. No.	Grade	Category
1.	8.5-10.0	Outstanding
2.	7.0-8.4	Very Good
3.	5.5-6.9	Good
4.	4.0-5.4	Average
5.	<4.0	Below Average

NOTE: Against work output/Personal attributes/functional competence, priority work output and overall grade:

1. Any grading of 1 or 2, and 'Below Average' to be adequately justified by way of specific failures.
2. Any grading of 9 or 10, and 'Outstanding' to be justified with respect to specific accomplishments.
3. Rating should be done against a large population of peer group of Deputy Directors that may be currently working under the Reporting Officer.

3.4 General Assessment

- (i) Please comment on the state of health of the Deputy Director.
- (ii) Please comment on the integrity of the Deputy Director by circling one of the following options:

Beyond doubt / Nothing adverse heard against / Doubtful

NOTE: Instructions of government of India to be followed in case of adverse remarks.

(iii) Please comment on the attitude of the Deputy Director towards Scheduled Caste/Scheduled Tribe/Weaker Sections of the Society and his/her understanding and willingness to deal with them.

(iv) Please comment on the major strengths of the Deputy Director.

(v) Suggest area of training/skill up-gradation.

3.5 Overall Grading:

Outstanding/ Very Good/ Good/ Average/ Below Average

(Based on the overall grade obtained at 3.3)

Date: **Signature of the Reporting Officer**

Place: Name (in Block Letters)

Designation.....

PART- IV
REMARKS AND OVERALL GRADING BY THE REVIEWING OFFICER

4.1 Length of service of the Deputy Director under your supervision and guidance.

4.2 Do you agree with the comments made by the **Reporting Officer** in 3.2?

Is there anything you wish to modify? Please give reasons.

Section	Yes	No	Remarks
3.2			
3.3			
3.4			
3.5			

4.3 Grading

Outstanding/ Very Good/ Good/ Average/ Below Average

Justification if different from Reporting Officer:

Date: **Signature of the Reviewing Officer**

Place: Name (in Block Letters)

Designation.....

GUIDELINES

ANNEXURE- I

Filling of Annual Performance Appraisal Report (APAR) Form

1. The Annual Performance Appraisal Report (APAR) form for the Deputy Directors is to be filled by the concerned Administrative Office, the Deputy Director reported upon, the Reporting Officer and the Reviewing Officer.
2. **PART- I** of the APAR is to be filled by the Administrative Office of the Institute/Headquarters where the Deputy Director has been working during the period reported upon. Since this part involves details of the service of the Deputy Director, his/her academic qualification and the nature of leave availed by him/her, he/she is required to submit all such information to the concerned Administrative Office from time to time.

While filling up these items, Deputy Directors may match them with what they have indicated in their six-monthly targets and achievements that are submitted on-line.

3. **PART- II** of the APAR Performa endeavors at the self-assessment of the Deputy Director reported upon. The targets set and the achievements made, along with time spent, against each activity should be given. Also, the constraints faced in accomplishing these targets, if any, should be highlighted.
4. The Deputy Director being reported upon is required to submit a summary report in about 400 words on the most significant accomplishments during the year reported upon.
5. In **PART- 3.1** of the APAR Performa, the Reporting Officer is required to write the grade (score) on 1-10 scale against each of the listed indicators under the three parameters in order to more objectively assess the achievements of the Deputy Director reported upon using weighted average method. The final cumulative weighted average can thus be arrived and reported.
6. Additionally, the Reporting Officer has to offer his/her comments on general assessment for the Deputy Director reported upon.
7. In **PART-3.2** of the APAR Performa, the Reviewing Officer shall express his/her agreement or suggest modifications on the assessment made by the Reporting Officer and then indicate his/her final grading.

ANNEXURE- II
Grading of Deputy Directors by Reporting and Reviewing Officers

A. Weight Factors for Various Categories of Deputy Directors

Indicators	Weightage (W ¹ to W ⁴)		
	Deputy Director (Instruction)	Deputy Director (Research)	Deputy Director (Extension)
1. Contribution to Academic/ Research/ Extension Management & Coordination	60	60	60
2. Professional growth & development	10	10	10
3. Personal attributes	15	15	15
4. Functional competency	15	15	15

B. Grading: Following guidelines may be observed to award grade (score) against each of the indicators included under the three major parameters considered for assessment.

B.1. Contribution to Research Management & Coordination

i) Accomplishment of planned work/work allotted as per objects allotted (*level of meeting expected output*):

Far below expectation		→		Meets expectation		→		Consistently exceeds expectation	
1	2	3	4	5	6	7	8	9	10

ii) Outputs (*quantum of various work outputs from education and extension activities like publications, academic programmes, training, etc.*):

Very low		→		Moderate		→		Very high	
1	2	3	4	5	6	7	8	9	10

iii) Quality of output (*now well meets the objectives; accuracy and thoroughness in handling the assigned work*):

Poor quality		→		Assignments carried out on time		→		Exceeds all measures for expected quality	
1	2	3	4	5	6	7	8	9	10

iv) Professional knowledge and skills and analytical ability (*depth and uniqueness of knowledge and skills, ability to identify cause of the problem by reducing it to significant components in a logical and systematic manner, and use realistic approaches to solve it after systematic synthesis*):

Very low		→		Moderate		→		Very high	
1	2	3	4	5	6	7	8	9	10

v) Accomplishment of exceptional work/unforeseen tasks performed (*peer recognition of results of exceptional quality from tasks not included in the targets set at the beginning; special awards and rewards received*):

No recognition		→		Moderate recognition		→		Very high recognition	
1	2	3	4	5	6	7	8	9	10

B.2 Professional Growth and participation in organizational activities

1) Accomplishment of planned work/work allotted as per the subjects allotted (*level of meeting expected output*):

a) Data management; Evaluation and monitoring; IP Management; Technology management, Skill development, Human Resource Management, Knowledge management, e-governance, e-portal, publicity, etc.:

Very poor		—————→		Moderate		—————→		Very good	
1	2	3	4	5	6	7	8	9	10

b) Policy/Data support provided to CAU/Subject Matter Divisions (SMDs)/Section/Unit:

Very poor		—————→		Moderate		—————→		Very good	
1	2	3	4	5	6	7	8	9	10

c) Support in formulation/evaluation of foreign and externally funded projects (*including international funding agencies, R & D and of other Ministry/Department*):

Very poor		—————→		Moderate		—————→		Very good	
1	2	3	4	5	6	7	8	9	10

d) Support provided in formulation and processing of EFC/SFC memo, cabinet notes, etc.:

Very poor		—————→		Moderate		—————→		Very good	
1	2	3	4	5	6	7	8	9	10

e) Preparation of agenda/Action taken report for AGM/GB/Directors' Conference/Vice-Chancellors' Conference/SFC/RCM/IMC/QRT/Mission, etc.

Very poor		—————→		Moderate		—————→		Very good	
1	2	3	4	5	6	7	8	9	10

f) Support in formulation and processing of MoUs/Guidelines/Database/Work Plans/Concept Note, etc.:

Very poor		—————→		Moderate		—————→		Very good	
1	2	3	4	5	6	7	8	9	10

g) Support in organization of senior-level meetings/Workshops/Conference/Symposium/ Consultations/Ceremony/Function, etc. and preparation of their reports/proceedings/ Reviews/agenda items, etc.

Very poor		—————→		Moderate		—————→		Very good	
1	2	3	4	5	6	7	8	9	10

h) Processing of matters pertaining to Parliament/Cabinet, PMO and other VIP references, RTI/CPGRAM, Grievance redressed etc.

Very poor		—————→		Moderate		—————→		Very good	
1	2	3	4	5	6	7	8	9	10

B.3 Personal Attributes

i) Attitude to work (*interest shown towards job; industrious and hard working, passion for excellence; readiness to accept change*):

Very low		—————→		Moderate		—————→		Very high	
1	2	3	4	5	6	7	8	9	10

ii) Innovativeness and initiative (*ingenuity and creativity to evolve new ideas and concepts, and handle unusual situations; ability to recognize what needs to be done and organize things on his/her own to get started*):

Very poor		—————→		Moderate		—————→		Very good	
1	2	3	4	5	6	7	8	9	10

iii) Sense of responsibility (*commitment to institutional goals; exhibiting accountability for the assignments taken up*).

Very low commitment and accountability		—————>		Moderate commitment and accountability		—————>		Very high commitment and accountability	
1	2	3	4	5	6	7	8	9	10

iv) Maintenance of discipline (*acceptance and delivery of assignments with a high sense of responsibility; punctuality; following institutional norms and procedures*):

Highly undisciplined		—————>		Disciplined		—————>		Very highly disciplined	
1	2	3	4	5	6	7	8	9	10

v) Communication skills (*ability to listen; effectively organize; present and sell ideas and information orally and by writing to others*):

Very low		—————>		Moderate		—————>		Very high	
1	2	3	4	5	6	7	8	9	10

vi) Leadership qualities (*ability to develop vision, foresight and judgement; properly judge and delegate assignments to others; create and maintain suitable work climate to get the best out of people; maintain poise under pressure*):

Very poor		—————>		Moderate		—————>		Exceptional	
1	2	3	4	5	6	7	8	9	10

vii) Inter-personal relations (*tact, courtesy and sincerity in personal contacts; friendliness and helpfulness to secure cooperation from others without positional authority*):

Very poor		—————>		Moderate		—————>		Very good	
1	2	3	4	5	6	7	8	9	10

B.4 Functional Competence

i) Knowledge of rules/ regulations/procedures in the area of function and ability to apply them correctly (*aptitude and potential for general administration*):

Very poor		—————>		Moderate		—————>		Very good	
1	2	3	4	5	6	7	8	9	10

ii) Managerial skills (*ability to plan, schedule and organize work by making effective use of available resources; set realistic goals and workable course of action; effectively monitor the progress and evaluate the results*):

Very low		—————>		Moderate		—————>		Very high	
1	2	3	4	5	6	7	8	9	10

iii) Strategic planning ability (*evolving appropriate strategies, plans and schedules and making adjustments as per the emerging needs while still maintaining the overall effectiveness*):

Very low		—————>		Moderate		—————>		Very high	
1	2	3	4	5	6	7	8	9	10

iv) Decision making ability (*developing alternative courses of action based on collection and analysis of factual information, and willingly taking decisions in a timely and effective manner*):

Very low		—————>		Moderate		—————>		Very high	
1	2	3	4	5	6	7	8	9	10

v) Coordination ability (*coordinating various purpose-oriented activities undertaken by ensuring active participation and cooperation of people associated with them*):

Very low		—————>		Moderate		—————>		Very high	
1	2	3	4	5	6	7	8	9	10

Time Schedule for Preparation/Recording/Completion

Annual Performance Appraisal Report (APAR) (Other than Teachers of HQ/ Colleges/ KVKs/ AICRPs/ MTTCs/ VTCs of CAU, Imphal)

Reporting Year – Calendar Year (1st January to 31st December, _____)

S. No.	Activity	Date by which to be completed
1.	Distribution of blank APAR forms to all concerned (i.e., to officer to be reported upon where self-appraisal has to be given and to Reporting Officers where self-appraisal is not to be given) after completion of Part-I by the concerned office/section, if applicable.	31 st December (This may be completed even a week earlier.)
2.	Submission of self-appraisal to Reporting Officer by officer to be reported upon (where applicable).	15 th January
3.	Forwarding of report by Reporting Officer to Reviewing Officer.	31 st March
4.	Forwarding of report by Reviewing Officer to Administration or APAR Section/Cell or Accepting Authority, wherever provided.	30 th April
5.	Appraisal by Accepting Authority, wherever provided.	31 st May
6.	(a) Disclosure to the officer reported upon where there is no Accepting Authority. (b) Disclosure to the officer reported upon where there is Accepting Authority.	1 st June 15 th June
7.	Receipt of representation, if any, on APAR.	15 days from the date of receipt of communication
8.	Forwarding of representations to the Competent Authority: (a) Where there is no Accepting Authority for APAR (b) Where there is Accepting Authority for APAR.	21 st June 6 th July
9.	Disposal of representation by the Competent Authority.	Within one month from the date of receipt of representation
10.	Communication of the decision of the Competent Authority on the representation by the APAR Cell/Section.	15 th August
11.	End of entire APAR process, after which the APAR will be finally taken on record.	31 st August