

No. 51/5/72 Ests. (A)  
Government of India, Bharat Sarkar  
Cabinet Secretariat/Mantirmandal Sachivalaya  
Department of Personnel/Kermik Vibhag

New Delhi-1, the 29th May 1972.

OFFICE MEMORANDUM

Subject: Confidential Reports - preparation and maintenance of.

1.1 The undersigned is directed to state that a need has been felt for some time past of consolidating at one place the instructions issued from time to time and still in force on the subject of preparation and maintenance of confidential reports, communication of adverse remarks, etc. Accordingly it has been decided to bring out the salient features of the existing instructions on the subject in this Office Memorandum which may please be brought to the notice of all administrative authorities in or under the Ministry of Finance, etc. for information, guidance and compliance.

Importance of annual confidential reports.

2.1. Since Government have accepted the principle that confirmation, crossing of efficiency bar, promotion, grant of pensionary benefits, etc. should be based on the assessment of the confidential dossiers, this matter is of the greatest importance for the efficiency and the morals of the services. It is in the interest of Government no less than that of the employees that the value of a proper system of confidential reports is recognized by all concerned.

Responsibility for the maintenance of confidential reports

3.1 The head of every department/office should regard it as his personal and special responsibility to ensure that annual confidential reports are properly maintained in respect of all persons working under his direct or ultimate control.

3.2 In the case of Central Government officers who are deputed to other Departments/State Governments or are on foreign service the confidential files should be maintained by their parent Departments and the periodicity of such confidential reports should be the same as in the parent Department. It will be the responsibility of the parent Department to obtain the reports of their officers on deputation and maintain them.

3.3 Officers writing the confidential reports should have carefully observed the work and conduct of those under their control, and have provided the required training and guidance where necessary. The annual confidential reports as well as the periodical inspections.

Custody of confidential reports:

4.1. The confidential reports on officers of the organized services should, as hitherto, be kept by the Ministry/Department/Office which controls the service.

4.2. The reports of the heads of Departments and their deputies, other than those in the IAAS, where such reports are kept by the Comptroller and Auditor General should be kept by the administrative Ministry concerned.

4.3. The reports on other Class I and Class II officers should be kept by the head of the Department or any other authority specified by him.

4.4. The reports on Class III and Class IV employees should be kept by the authority specified by the head of the Department.

4.5. The reports should not in any case be kept by an authority higher than the appointing authority.

Form and content of confidential reports:

5.1. The form in which the confidential reports are recorded might vary from Department to Department and also between different levels of responsibility within a departmental hierarchy, depending upon the nature of work and duties attached to various posts. However, an assessment of certain qualities of general importance such as integrity, intelligence, keenness, industry, tact, attitude to superiors and subordinates, relations with fellow employees, etc., should invariably find place in the report. In addition to the detailed assessment of specific attributes, every confidential report should carry a general appreciation of the character, conduct and aptitudes and shortcomings of the officer reporting upon. Reference to specific incidents may be made, if at all, only by way of illustration to support adverse comments of a general nature, e.g. inefficiency, dilatoriness, lack of initiative or judgment, etc.

5.2. The procedure for filling up the column relating to integrity is as follows:

- (a) Supervisory officers 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 suspicions 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, this diary should be consulted and the material in it utilised for filling the column about integrity, if the column is not filled on account of the unconfirmed nature of the suspicions, 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 officer's 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 with due expedition.
- (d) If, as a result of the follow-up action, an officer is exonerated, his integrity should be certified and an entry made in the character roll. If suspicions regarding his integrity are confirmed, this fact can also be recorded and duly communicated to the officer concerned.
- (e) There are occasions when a reporting officer cannot in fairness to himself and to the officer reported upon, either certify integrity or make an adverse entry, or even be in possession of any information which would enable him to make a secret report to the Head of the Deptt. Such instances can occur when an officer is serving in a remote station and the reporting officer has not had occasion to watch his work closely or when an officer has worked under the reporting officer only for a brief period or or has been on 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 officer's work for sufficient time to be able to make any definite remark or that he has heard nothing against the officer's integrity as the case may be. This would be a factual statement to which there can be no objection. But it is necessary that a superior officer should make every effort to form a definite judgement about the integrity of those working under him, as early as possible so that he may be able to make a positive statement.
- (f) There may be cases in which after a secret report/note has been recorded expressing suspicion about an officer's integrity, the inquiries that follow do not disclose sufficient material to remove the suspicion or to confirm it. In such a case the officer's conduct should be watched for a further period, and, in the meantime, he should, as far as practicable, be kept away from positions in which there are opportunities for indulging in corrupt practices.

3.3 Specific mention should be made in the confidential reports on officers working in or holding charge of Top Secret/Secret Sections about their trustworthiness especially in matter affecting departmental security

MHA OM  
b.51/14/  
O-Ests.  
A) dt.  
9.1.62)

5.4 With respect to officers who have undergone any training in approved or at institutions in India or abroad the following procedure should be adopted:-

- (i) Whenever an officer attends an approved course\* of study or training the fact of his having done so should be entered in his confidential report.
- (ii) The report, if any, received from the head of the institution should either be placed in original in the confidential dossier of the officer or the substance of it entered therein.
- (iii) An entry about the 'report', if any, submitted by the officer on his work abroad should also find mention in his confidential report if it is either outstandingly good or of poor quality indicating that the officer had not made good use of his period of study or training.

Period and Frequency of reporting:

MHA OM  
b.51/14/  
O-Ests.  
) dt.  
(10.61)

6.1 In every Department confidential reports should be recorded annually preferably for the period covered by the financial year.

6.2 There is no objection to two or more independent reports being written for the same year by different reporting officers in the event of a change in the reporting officer during the course of a year provided that no report should be written unless a reporting officer has at least three months' experience on which to base his report. In such cases, each report should indicate precisely the period to which it relates and the reports for the earlier part or parts of the year should be written at the time of the transfer or immediately thereafter and not deferred till the end of the year. The responsibility for obtaining confidential reports in such cases should be that of the head of the Department or the office.

MHA OM  
b.51/14/  
O-Ests.  
) dt.  
(10.61)

Objectivity in confidential reports:

MHA OM  
b.51/14/  
O-Ests.  
) dt.  
(10.61)

7.1 In order to minimise the operation of the subjective human element and of conscious or unconscious bias, the confidential report of every employee should contain the assessments of more than one officer except in cases where there is only one supervisory level above the officer reported upon. The confidential report should be written by the immediate superior and should be submitted by the reporting officer to his own superior.

MHA OM  
b.51/2/  
O-Ests.  
) dt.  
(1.62)

\*Approved courses of training include courses sponsored by the Government, financed wholly or partly by Government attended with the permission of Government, or for which Government grant study leave.

7.2 While it might be difficult for the higher officer to get to know a large number of employees two grades below him his overall assessment of the character, performance and ability of the reported officer is vitally necessary as a built-in corrective. The judgement of the immediate superior, even though completely fair in its intent might sometimes be too narrow and subjective to do justice to the officer reported upon. The officer superior to the reporting officer should, therefore, consider it his duty to personally know and form his own judgement of the work and conduct of the officer reported upon. He should accordingly exercise positive and independent judgement on the remarks of the reporting officer under the various detailed headings in the form of the report as well as on the general assessment, and express clearly his agreement or disagreement with those remarks. This is particularly necessary in regard to adverse remarks (if any) where the opinion of the higher officer shall be construed as the correct assessment.

7.3 The reviewing officer is free to make his remarks on points not mentioned by the reporting officer. Such additional remarks would, in fact, be necessary where the report is too brief, vague or cryptic.

Communication of adverse remarks:

8.1 It is necessary that every employee should know what his defects are and how he could remove them. Past experience suggests that it would make for better efficiency and contentment of the public services if every reporting officer realizes that it is his duty not only to make an objective assessment of his subordinate's work and qualities but also to give him at all times the necessary advice, guidance and assistance to correct his faults and deficiencies. If this part of the reporting officer's duty is properly performed, there should be no difficulty about recording adverse entries which would only refer to defects which had persisted despite the reporting officer's efforts to have them corrected.

8.2 All adverse entries in the confidential reports of the officers should be communicated by the Reviewing Officer after they have been seen by the countersigning authority, if any. This should be done as far as possible within one month of the completion of the report. The communication should be in writing and a record to that effect should be kept in the confidential roll of the officer. Where there is no reviewing officer, the adverse entry will be communicated by the reporting officer likewise.

8.3 The authority in whose custody the character rolls of officers in a service/post are maintained will

- (a) ensure that the annual confidential reports of the officer in the service/post are received without undue delay;

(b) Scrutinise the reports as soon as received to see whether the adverse remarks, if any, have been communicated to the officers concerned. If it is found that the adverse remarks have not been communicated in any case, he should return the incomplete report, bringing it to the notice of the head of the Department/Office where the officer was last working during the period under report, requesting for the early return of the report after due compliance.

(c) communicate to the officer concerned through the Ministry/Department/Office in which the officer is serving the fall in standards, if any, in relation to his past performance as revealed through his annual confidential reports, as required in the Ministry of Home Affairs Office Memorandum No. 51/3/63-Ests. (A) dated the 2nd March, 1968. @

HA OM  
.51/14/  
-Ests.  
) dt.  
.10.61)

8.4 While mentioning any faults/defects, the reporting officer should also give an indication to the efforts at reform made by him, by way of guidance, admonition, etc. and the result of such efforts.

8.5 In communicating remarks to the officer reported upon, the following procedure should be adopted:

HA OM  
.51/14/  
-Ests.  
) dt.  
.10.61)

- (a) Where no adverse entry is made in a confidential report, nothing should be communicated except in cases dealt with in (c) below;
- (b) Where an adverse entry is made, whether it relates to a remediable or irremediable defect, (including a reference to the communication of a "warning" or "displeasure of the Government" or a "reprimand" it should be communicated under the orders of, and wherever possible, by an officer superior to the one to whom the remarks are communicated. In the case of an officer holding the post of Secretary to the Government of India (which term includes Additional Secretary and Special Secretary) such remarks will be communicated by the Cabinet Secretary. In all these cases, the substance of the entire report, including what may have been said in praise of the officer, should also be communicated; and

HA OM  
.51/3/69-  
ts.(A) dt.  
.9.69)

HA OM No.  
/4/66-Ests.  
) dt.  
12.66)

@ There may be cases where though the remarks in the CR are not adverse in a strict or narrow sense, the effect of these remarks ~~may be~~ on the service prospects of the officer are adverse (e.g. fall in standards of the officer's performance as compared to his past performance). In such cases, the attention of the officer should be specifically drawn to that fact, so that he could be alerted for improving his performance.

HA OM  
51/3/  
Ests.  
dt.  
.68)

(c) Where the report on an officer shows that he had made efforts to remedy or overcome defects mentioned in the preceding report, the fact should be communicated to the officer in a suitable form and a copy of such communication added to the confidential report.

The object of the second part of (b) and (c) is to let an officer know that his good qualities as well as his defects have been recognized and that notice has also been taken of the improvement, if any, made by him.

While communicating the adverse remarks to the Government servant concerned, the identity of the superior officer making such remarks should not normally be disclosed. If, however, in a particular case it is considered necessary to disclose the identity of the superior officer, the authority dealing with the representation may at his discretion allow the identity to be communicated.

(MHA OM No. 51/2/64-Ests. (A) (d) dt. 30.3.64)

(MHA OM NO. 1/3/65-Ests. (A) dt. 20.2.67)

Representations against adverse remarks:

9.1 The adverse remarks should be communicated expeditiously in all cases.

(MHA OM No. 1/3/65-Ests. (D) dt. 20.2.67 & MHA OM No. 51/3/69-Ests. (A) dt. 27.9.69)

9.2 Representations against adverse entries (including reference to 'warnings' or 'communications' of the displeasure of the Government or 'reprimands' which are recorded in the confidential report of the Government servant) should be made within six weeks of the date of communication of such remarks. While communicating the adverse remarks to the Government servant concerned, the time limit as stated above, should be brought to his notice.

(MHA OM No. 51/4/60-Ests. (A) dt. 31.10.61)

9.3 The competent authority may, at its discretion entertain a representation made beyond the time specified above, if there is satisfactory explanation for the delay.

9.4 All representations against adverse entries should be decided expeditiously by the competent authority and in any case not later than six weeks from the date of submission of the representation.

(MHA OM No. 51/14/50-Ests. (A) dt. 31.10.61)

9.5 The following procedure may be adopted in dealing with representations from Government servants against adverse remarks communicated to them:

- (1) All representations against adverse remarks should be examined by an authority superior to the reporting officer, in consultation, if necessary, with the reporting and the reviewing officers. The said superior authority shall be regarded as the competent authority to deal with such representations;

- (11) If the competent authority finds that -
- (a) the remarks justified and the representation is frivolous, a note will be made in the confidential report of the Government servant that he did not take the correction in good spirit;
  - (b) there is not sufficient ground for interference, the representation should be rejected and the officer informed accordingly;
  - (c) the remarks should be toned down, he will make the necessary entry separately, with proper attestation, at the appropriate place of the report (on no account will corrections be made therein the earlier entries themselves); and
  - (d) the adverse remarks was inspired by malice or is entirely incorrect or unfounded, and therefore, deserve expunction, he should score through the remarks, paste it over, or otherwise obliterate it, and also make a dated entry, under his signature, stating that he has done so, under intimation to the concerned head of the Department or office if he himself does not occupy that position.

(iii) Representations (including explanation) submitted in respect of adverse entries should not be appended to the respective confidential reports. If the representation was well founded, it would have resulted in the competent authority toning down or expunging the adverse remarks; if on the other hand, the representation was without substance, it would have been rejected. In any case, no useful purpose would be served by attaching the representation to the confidential report.

9.6 Representations against a "warning" or communication of the displeasure of the Government" or reprimand" recorded in the confidential report of the Government servant, should be dealt with in accordance with the above procedure unless:

- (a) an opportunity had already been given to the officer concerned to make a presentation in the matter relating to the relevant incident or fault and such representation had been duly considered and a decision taken before the "warning" or "reprimand" was administered or the "displeasure of the Government" communicated to him; or
- (b) where the "warning", "reprimand" etc. had been administered as a result to disciplinary proceedings.



131

Confidential reports on retired and deceased officers and their disposal:

MHA OM  
No. 51/14/  
60-Ests.  
(A) dt.  
31.10.61

10.1 Confidential reports or copies thereof should not be given to a retired officer or any body who has otherwise distinguished Government service. However, on request from such a person, there should be no objection to the issue of an objective testimonial based on his work and conduct.

10.2 Confidential reports relating to a deceased officer may be destroyed after a period of two years from the date of his death and that of a retired Government servant, five years after his date of retirement.

Confidential reports on honorary or part-time officers:

(MHA OM NO.  
51/14/60-Ests.  
(A)  
dt. 31.10.61)

11.1 Confidential report need not be written for honorary part-time officers.

Forwarding of confidential reports on Government servants to private/semi-Government/autonomous bodies etc.

(MHA OM  
No. 51/14/  
60-Ests.  
(A) dt.  
31.10.61)

12.1 Copies of confidential reports on Government servants or even the substance of such reports should not be sent to private bodies, in connection with appointment to posts advertised by them for other purposes.

12.2 If a request is received from a public or semi-autonomous body controlled by Government only a gist of the relevant reports may normally be supplied. There may, however, be cases in which it is in Government's own interest that the management of a corporate public enterprise should see the confidential report(s) in full. In such cases the reports may be shown under the orders of the head of the Department/Ministry concerned if the reports relate to a Class I or Class II officers.

Propriety of issue of letters of appreciation or notes of commendation to Government servants:

(MHA OM  
No. 51/14/  
60-Ests.  
(A) dt.  
31.10.61)

13.1 The general policy should be to discourage the practice of granting letter of appreciation or notes of commendation to Government servants and placing them in the confidential reports. Exceptions, may, however, be made in the following cases:

- ✓ (i) Letters of appreciation issued by the Government or a Secretary or Head of Department in respect of any outstanding work done should go into the confidential report dossier.
- ✓ (ii) Letters of appreciation issued by special bodies or commissions or committees, etc. or excerpts of their reports expressing appreciation for a Government servant by name should only go into the Confidential Report Dossier, and

- 732
- (iii) Letters of appreciation from individual non-officials or from individual officials (other than a Secretary or Head of Department) may go into the confidential report if confined to expressing appreciation for services rendered far beyond the normal call of duty, and provided the Secretary or the Head of the Department so directs.

13.2 Appreciation of work should more appropriately be recorded in the annual confidential report rather than in such letters of appreciation which do not give a complete perspective of the employee's good and bad points. However, the mere fact that a stray letter of appreciation goes into his confidential report does not give the officer undue advantage in the matter of promotion which is governed more by consideration of general and consistently high performance than by occasional flashes of good work.

Scrutiny of confidential reports:

14.1 The Establishment or Personnel branches of the Ministries/Departments concerned should scrutinise the annual confidential reports relating to the services and staff under their control, to see whether they have been written in accordance with these instructions, and whether adverse remarks, if any, have been communicated to the officers concerned. If there is any defect in a report, it should be returned to the reviewing officer concerned for rectification.

15.1 It is requested that these instructions may be brought to the notice of all concerned for favour of strict compliance.

sd/-

(S. KRISHNAN)  
DEPUTY SECRETARY TO THE GOVT. OF INDIA

**BROCHURE ON PREPARATION &  
MAINTENANCE OF  
ANNUAL PERFORMANCE ASSESSMENT  
REPORT FOR CENTRAL CIVIL  
SERVICES**

## **CHAPTER I**

### **ANNUAL PERFORMANCE ASSESSMENT REPORT – AN APPROACH TO THE SYSTEM**

1.1 The performance of Government is ultimately the sum total of the performances of the individuals through which it functions. Government has, therefore, to know from time to time how its constituents function. This information is essential for proper Personnel Administration and Management.

1.2 It is in the interest of every Government servant that he should know how well or otherwise, he is performing his job. Without this feed back information, it will be difficult for him to plan his career development in a systematic manner. In fact, he would be more interested in knowing his defects. His defects would affect his career advancements in the long run, unless he comes to know of them in time and overcomes them by taking special efforts.

1.3 The immediate superior officers of a Government servant, who is the Reporting Officer, in the matter of writing his assessment Report, should be vitally concerned, in writing the Annual Performance Assessment Report (APAR) of every one of his subordinate in an objective and impartial manner. As the superior officer functions through his subordinates, he also gets credit for the good work done by them. It would, therefore, be in the interest of the Reporting officer himself to assess the performance of the subordinates objectively and thereby give them counseling and proper guidance for improvement of their performance.

1.4 The system of APAR on the performance of Government servants is a means to an end and not an end in itself. The ultimate goal is to optimise the achievement of Government policies and programmes. This is possible only if the APAR lead to the optimization of the performance of the concerned Government servants. The main focus of the Reporting Officer should, therefore, be developmental rather than judgemental. The APAR should be a true indicator of the achievement of the Government servant; it should not be a mere tool to control or discipline him.

1.5 The system of APAR has two principal objectives and the Reporting Officer should have a very clear perception of these objectives. The first and foremost is to improve the performance of the subordinate in his present job. The second objective is to assess the potentialities of the subordinate and prepare him through appropriate feed back and guidance for future possible opportunities in service. To a great extent, the second objective is dependent on the achievement of the first.

1.6 It is the duty of the superior officer to give the subordinate a clear understanding of the tasks to be performed and to provide requisite resources for his performance. The subordinate is required to contribute to the best of his capacity to the qualitative and quantitative achievement of the given tasks making optimum use of the resources provided. Also, both the superior and his subordinate have to be necessarily aware of the ultimate goal of their organization, which can be achieved only through the joint efforts of both of them. This is the basic philosophy underlying any system of APAR.

## CHAPTER II

### GENERAL PRINCIPLES

2.1 The performance of every Government servant is assessed annually (April-March) through his Annual Performance Assessment Report, which is an important document providing the basic and vital inputs for assessing the performance of the Government servant and for assessing his suitability for his further advancement in his career on occasions like confirmation, promotion, selection for deputation, selection for foreign assignment etc. Performance appraisal is a tool for human resource development in order to enable a Government servant to realize his true potential.

*(Department Personnel & Training O.M. No. 12/2/84-PP dated the 17<sup>th</sup> December, 1986)*

2.2 The Reporting Officer, at the beginning of the year has to set quantitative/physical targets in consultation with each of the Government servants, whose reports he is required to write. Performance appraisal is meant to be a joint exercise between the Government servant reported upon and the Reporting Officer. While fixing the targets, priority should be assigned item-wise taking into consideration the nature and the area of the work. The APAR is initiated by the Government servant to be reported upon himself, who gives a brief description of his duties, specifies the targets set for him wherever applicable, achievements against each targets, the shortfalls, if any, constraints encountered and areas where the achievements have been greater.

*(Department of Personnel & Training O.M. No. 12/2/84-PP dated the 17<sup>th</sup> December, 1986)*

2.3 The performance is then assessed by the Reporting Officer, who after completing his part of the Report submits it to his own superior, known as the Reviewing Officer for review. The assessment of the performance of Government servant at two levels ensures a greater degree of objectivity and fairness. However, where a Government servant has only one supervisory level above him as in the case of personal staff attached to officers, the assessment will be at the level of Reporting Officer only. The officers at both Reporting and Reviewing levels are required to have at least three months experience of supervising the work and conduct of the Government servant reported upon, before they can record their assessment on the performance of the Government servant.

*(Department of Personnel & Administrative Reforms O.M. No. 51/3/74-Estt. 'A' dated the 22<sup>nd</sup> May, 1975.)*

2.4 While normally there should be only one Report covering the year of Report, there can be situation in which it becomes necessary to write more than one Report during a year. There is no objection to two or more independent Reports being written during a year by different Reporting Officers, subject to the condition that each Reporting Officer has at least three months experience on which he can base his Report on the Government servant reported upon. Where more than one Report is written in the course of a year, each Report should indicate precisely the period covered by it. When a Report has to be written by a Reporting Officer, who is under transfer, it should be written at the

time of transfer or immediately thereafter and not deferred till the end of the year. The responsibility for obtaining the APAR from the Reporting Officer concerned in such cases will be that of the section handling the APAR.

*(Department of Personnel O.M. No. 51/5/72-Estt. 'A' dated the 20<sup>th</sup> May, 1972)*

2.5 Where for a period of Report, there is no Reporting Officer with the requisite experience to initiate the Report, the Reviewing Officer himself may initiate the Report as a Reporting Officer provided the Reviewing Officer has been the same for the entire period of Report and he is in a position to fill in columns to be filled in by the Reporting Officer. Where a Report is thus initiated by the Reviewing Officer, it will have to be submitted by him to his own superior for Review if there is a superior officer to him.

*(Department of Personnel & Training O.M. No. 21011/8/85-Estt. 'A' dated the 23<sup>rd</sup> September, 1985)*

2.6 Where a Reporting officer/Reviewing officer retires, he may be allowed to give the report on his subordinates within one month of retirement.

2.7 Where an officer has taken Earned Leave for a period of more than 15 days, the total period spent on leave can be deducted from the total period spent on any post, for the purposes of computing the period of 3 months which is relevant for writing of entries in the APAR. Leave taken for short term duration need not be treated as relevant for the purpose.

2.8 Assessment of the performance of a Government servant at more than one level has been prescribed as a general rule with a view to ensure maximum objectivity. While it might be difficult for an officer to have a detailed knowledge of the qualities of a Government servant two levels below him, his over-all assessment of the character, performance and ability of the Government servant reported upon is vitally necessary as a built-in corrective. The judgement of the immediate superior can sometimes be too narrow and subjective to do justice to the Government servant reported upon. The Reviewing Officer should, therefore, consider it his duty to personally know and form his judgement of the work and conduct of the Government servant reported upon. He should exercise positive and independent judgement on the numerical grading given by the Reporting Officer and remarks of the Reporting Officer under the various detailed headings in the form of Report as well as on the pen picture, and express clearly his agreement or disagreement with these remarks. The Reviewing Officer is also free to make his own remarks on points not mentioned by the Reporting Officer. Such additional remarks would, in fact, be necessary where the Report of the Reporting Officer is too brief, vague or cryptic. However, the remarks of the Reviewing Officer himself should not be vague or self-contradictory to another remark given by himself in the APAR.

*(Department of Personnel O.M. No. 5/5/72-Estt. (A) dated the 20<sup>th</sup> May, 1972.)*

2.9 Where the Reviewing Officer is not sufficiently familiar with the work of the Government servant reported upon, so as to be able to arrive at a proper and independent judgement of his own, it should be his responsibility to verify the correctness of the

remarks of the Reporting Officer after making such enquiries as he may consider necessary.

*(Department of Personnel & Administrative Reforms O.M. No. 51/3/74-Estt (A) dated the 22<sup>nd</sup> May, 1975.)*

2.10 As a corollary to the need for maintaining objectivity by a Reporting and Reviewing Officer, care should be taken to ensure that a close relative of an officer is not posted under the direct charge of that officer. When such a situation becomes inescapable, it should not be allowed to continue beyond the barest minimum time necessary. In such a situation, the officer concerned should abstain from writing the Report on the Government servant who is his close relative and instead, the Reviewing Officer should take on the role of the Reporting Officer. If in a rare case, the Reviewing Officer is also closely related to the Government servant reported upon, the role of the Reviewing Officer will have to be taken by the Officer superior to him.

*(Department of Personnel & Administrative Reforms O.M. No. 21011/3/78-Estt.(A) dated the 31<sup>st</sup> May, 1978.)*

2.11 If a Reporting/Reviewing Officer is under suspension when the Annual Performance Assessment Report has become due to be written/reviewed, it may be written/reviewed by the officer concerned within two months from the date of his having been placed under suspension or within one month from the date on which the Report was due, whichever is later. An officer under suspension shall not be asked to write/review Annual performance Appraisal Reports after the time limit specified above. The Section entrusted with the maintenance of the APAR should take the necessary action to have such APAR completed.

*(Department of Personnel & Administrative Reforms O.M. No. 21011/2/78-Estt. (A0 dated the 1<sup>st</sup> August, 1978.)*

2.12 It is not necessary to maintain Annual Performance Assessment Report on existing Group D Government servants unless the maintenance of Confidential Report serves public interest, as for example, where the staff are employed on 'sensitive work'. Where the Annual performance Assessment Reports are dispensed with, punishments, including recordable warnings, commendations, etc. conveyed to the Government servants should be entered in their Service Books and these may be referred to as and when necessary.

*(Department of Personnel & Administrative Reforms O.M. No. 35014/11/76-Estt. 'A' dated the 25<sup>th</sup> August, 1977.)*

2.13 The various processes in regard to completion of the APAR and its final taking on record from the reporting year 2008-09 are given below:-

- (i) The full APAR including the overall grade and assessment of integrity shall be communicated to the concerned officer after the Report is complete with the remarks of the Reviewing Officer and the Accepting Authority wherever such system is in vogue. Where Government servant has only one supervisory level

above him as in the case of personal staff attached to officers, such communication shall be made after the reporting officer has completed the performance assessment.

- (ii) The Section entrusted with the maintenance of APARs after its receipt shall disclose the same to the officer reported upon.
- (iii) The concerned officer shall be given the opportunity to make any representation against the entries and the final grading given in the Report within a period of fifteen days from the date of receipt of the entries in the APAR. The representation shall be restricted to the specific factual observations contained in the report leading to assessment of the officer in terms of attributes, work output etc. While communicating the entries, it shall be made clear that in case no representation is received within the fifteen days, it shall be deemed that he/she has no representation to make. If the concerned APAR Section does not receive any information from the concerned officer on or before fifteen days from the date of disclosure, the APAR will be treated as final.
- (iv) The competent authority may consider the representation, if necessary, in consultation with the reporting and/or reviewing officer and shall decide the matter objectively based on the material placed before him within a period of thirty days from the date of receipt of the representation.
- (v) The competent authority after due consideration may reject the representation or may accept and modify the APAR accordingly. The decision of the competent authority and the final grading shall be communicated to the officer reported upon within fifteen days of receipt of the decision of the competent authority by the concerned APAR Section.

*(Department of Personnel & Training O.M. No. 21011/1/2005-Estt.(A)(Pt-II) dated 14<sup>th</sup> May, 2009.)*

### **CHAPTER III**

#### **CONTENTS OF ANNUAL PERFORMANCE ASSESSMENT REPORTS**

3.1 The form in which the Annual Performance Assessment Reports are recorded may vary between different departments and between different levels of responsibility within a departmental hierarchy depending upon the nature of work and duties attached to various posts. However, each Report should begin with the brief description of duties of the Government servant reported upon, the quantitative/physical targets/objectives set for him and his achievements against each target and shortfalls with reference to the targets and the constraints encountered if any and items where the achievements have been significantly higher.

*(Department of Personnel & Training O.M. No. 12/2/84-PP dated 17<sup>th</sup> December, 1986)*



3.2 From the reporting year 2009-10 onwards, the filling up of the APAR will be governed by the following guidelines:-

- (i) There shall be a box in the APAR for reflecting by the reporting officer the pen picture of the officer reported upon where the reporting officer will be required to indicate his comments on the overall qualities of the officer including areas of strengths and lesser strength and his attitude towards the weaker sections. A column will also be added in the section relating to the reviewing authority for giving the reviewing authority's remarks on the pen picture reflected by the reporting officer. There will be no other separate column in the APAR for overall assessment apart from the pen picture.
- (ii) The APAR will have a provision in the relevant section for remarks by the reviewing officer to indicate specifically the differences, if any, with the assessment made by the reporting officer, and the reasons therefor.
- (iii) Numerical gradings are to be awarded by reporting and reviewing authorities for the quality of work output, personal attributes and functional competence of the officer reported upon. These should be on a scale of 1-10, where 1 refers to the lowest grade and 10 to the highest. The guidelines given in **Annexure-I** shall be kept in mind while awarding numerical gradings.
- (iv) The format for the purpose of numerical grading for Group 'A' officers in the three areas of work output, assessment of personal attributes and assessment of functional competency is in **Annexure-II**. For Group 'B' and 'C' officials however, suitable changes may be made by the concerned cadre authorities in the items of assessment as per functional requirements of the job and the next promotional post for them. The overall grade on a score of 1-10 will be based on 40% weightage on assessment of work output, and 30% each for assessment of personal attributes and functional competency. The overall grading will be based on addition of the mean value of each group of indicators in proportion to weightage assigned.
- (v) Wherever 'accepting authority' has been prescribed in the existing system in the cadre, columns may also be provided for such authority to give his comments on the remarks of the reporting/reviewing authority and details of difference of opinion, if any, with reasons for the same. In such cases, the accepting authority will also give overall grade on a score of 1-10.

*(Department of Personnel & Training O.M. No. 21011/1/2005-Estt.(A)(Pt-II) dated 23rd July, 2009.)*

- (vi) There shall be a column in the APAR forms of all Group 'A' officers, indicating whether the officer had completed APARs of Group 'A' and 'B' officers working under him/her, in respect of the previous reporting year, within the stipulated time.

*(Department of Personnel & Training O.M. No. 21011/4/2003-Estt.A dated 26<sup>th</sup> May, 2003)*

3.3 With a view to ensure objectivity in reporting where the Government servant reported upon belongs to Scheduled Caste/Scheduled Tribe, the following column should be provided in the form of Annual Performance Assessment Report:

“If the Officer reported upon is a member of a Scheduled Caste/Scheduled Tribe, please indicate specifically whether the attitude of the Reporting Officer in assessing the performance of the Scheduled Caste/Scheduled Tribe officer has been fair and just.”

*(Department of Personnel & Administrative Reforms O.M. No. 21011/3/79-Estt.A dated the 25<sup>th</sup> July, 1979.)*

3.4 There should also be a column in the Annual Performance Assessment Report form for enabling the Reporting Officer to give his specific comments on the attitude of the Government servant towards Scheduled Castes/Scheduled Tribes/Weaker Sections of the Society, his understanding and his willingness to deal with them.

*(Department of Personnel & Administrative Reforms O.M. No. 12/2/84-PP dated the 17<sup>th</sup> December, 1986.)*

3.5 In every form of Annual Performance Assessment 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 matter 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 Performance Assessment Report, this diary should be consulted and the material in it utilized for filling in the column relating to integrity. If the column is not filled on account of the unconfirmed nature of the suspicions, 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 by the

officer in-charge for maintaining the APAR. For the purpose of monitoring, the officer in-charge may keep a separate list of APAR where the integrity of an office has not been certified.

- (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 Government servant's integrity, the inquiries that follow do not disclose sufficient material to remove the suspicion or to confirm it. In such a case, the Government servant's conduct should be watched for a further period, and, in the meantime, he should, as far as practicable, 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.
- (g) 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 be 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 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 to which there can be no objection. But it is necessary that a superior officer should make every effort to form a definite judgement about the integrity of those working under him, as early as possible, so that he may be able to make a positive statement.

*(Department of Personnel O.M. No. 51/5/72-Estt. 'A' dated 20<sup>th</sup> May, 1972.)*

- (h) The remarks against the integrity column shall be made by the reporting officer in one the three options mentioned below:-

i)	Beyond doubt
ii)	Since the integrity of the officer is doubtful, a secret note is attached.
iii)	Not watched the officer's work for sufficient time to form a definite judgement but nothing adverse has been reported to me about the officer.

## CHAPTER IV

### GENERAL GUIDELINES FOR FILLING UP THE ANNUAL PERFORMANCE ASSESSMENT REPORT

4.1 Performance assessment should be used as a tool for career planning and training, rather than a mere judgemental exercise. Reporting Authorities should realize that the objective is to develop an officer so that he/she realizes his/her true potential. It is not meant to be a fault finding process but a developmental tool. The Reporting Authority, and the Reviewing Authority should not shy away from reporting shortcomings in performance, attitudes or overall personality of the officer reported upon.

4.2 The period of absence from duty, on leave, training, or for other reasons, should also be mentioned. Details of the training attended, date of filing of property returns and whether the officer reported upon has reported/reviewed and the annual performance report of all his/her subordinate officers for the previous year should be mentioned.

4.3 All officers are required to develop a work plan for the year and agree upon the same with the reporting officer. The work plan should incorporate the relative annual work rhythm and budgetary cycle. This exercise is to be carried out at the beginning of the year. In case of a change of the reporting officer during the year, the work plan agreed with the previous reporting officer would continue to apply. The work plan agreed upon at the beginning of the year has to be reviewed again during the month of September/October as a mid-year exercise and finalized by 31<sup>st</sup> October. Based on this review the work plan may undergo some changes from that originally prepared.

4.4 The work plans may be submitted to the reviewing authority for his/her perusal and custody. The performance appraisal form provides for an assessment of the accomplishments vis-à-vis the work plan agreed at the commencement of the year and reviewed mid-year.

4.5 It is not necessary that the work plan should be entirely quantitative in nature. While for field level posts, the work plan would consist essentially of quantifiable targets, for secretarial level posts it would consist of policy objectives to be achieved etc.

4.6 The officer reported upon may be required to indicate specific areas in which he/she feels the need to upgrade skills and attend training programs. He/she should also mention the specific steps that he/she has taken or proposes to take to upgrade his/her skills in the identified area. The Reporting/Reviewing Officer may give specific comments on the requirement of skill upgradation for the officer reported upon and suggestions to achieve it.

4.7 There is an increased emphasis on competency building in the new performance assessment system. There would be a premium on competency and skill upgradation. Hence, all officers are advised to keep the cadre controlling authority informed, at least once in five years, of all educational and training programs attended, including the details of marks/grades secured in such programs, details of professional papers published.

4.8 It is expected that any grading of 1 or 2 (against work output or attributes or overall grade) would be adequately justified in the pen-picture by way of specific failures and similarly, any grade of 9 or 10 would be justified with respect to specific accomplishments. In awarding a numerical grade the reporting, reviewing and accepting authorities should rate the officer against a larger population of his/her peers that may be currently working under them or would have worked under them in the past.

## CHAPTER – V

### TIMELY COMPLETION OF ANNUAL PERFORMANCE ASSESSMENT REPORT

5.1 Annual Performance Assessment Reports are vital for proper personnel administration, it is essential that they are completed within a time-frame so that up-to-date Annual Performance Assessment Reports are available at any given time. With this end in view, a time-schedule has been prescribed; and the same is included as **Annexure III** at the end of the Brochure. After the expiry of the first week of the time-schedule, if the self appraisal is not received by that time, Reporting Officer should take it upon himself to remind the officer to be reported upon in writing, asking him to submit his self-appraisal. If no self-appraisal is received by the stipulated date, the reporting officer can obtain another blank APAR form and proceed to write the report on the basis of his experience of the work and conduct of the officer reported upon. While doing so, he can also point out the failure of the officer reported upon to submit his self-appraisal within the stipulated time.

*(Ministry of Personnel & Training, Administrative Reforms and Public Grievances and Pensions O.M. No. 35014/4/83-Estt.A dated the 23<sup>rd</sup> September, 1985.)*

5.2 As cases continue to occur where confirmation, regular promotion, appointment to sensitive posts, etc., could not be considered in time because of non-availability of APARs for the relevant period, the matter of timely completion of APARs was further reviewed and it has now been provided that in case the APAR is not initiated by the Reporting Officer for any reason beyond 30th June of the year in which the financial year ended, he shall forfeit his right to enter any remarks in the APAR of the officer to be reported upon and he shall submit all APARs held by him for reporting to the Reviewing Officer on the next working day. Similarly, the Reviewing Officer shall also forfeit his right to enter any remarks in the APAR beyond 31st August of the year in which the financial year ended. The Section entrusted with maintaining the APARs shall, while forwarding the APARs for self-appraisal with copy to the Reporting/Reviewing Officers also annex the schedule of dates. It shall also bring to the notice of the Secretary concerned in the case of Ministry/Department and the Head of the organization in the case of attached and subordinate offices, the names of those Group A and B Reporting Officers and Group A Reviewing Officers in the month of October after receiving the completed APARs who have failed to initiate/review the APARs even by 30th June or 31st August as the case may be. The Secretary in the Department/Head of the organization in the case of attached/subordinate offices may direct to call for the explanation of the concerned officers for not having performed the public duty of writing

the APARs within the due date and in the absence of proper justification direct that a written warning for delay in completing the APAR be placed in the APAR folder of the defaulting officer concerned.

5.3 In case the remarks of the Reporting officer or Reviewing Officer as the case may be have not been entered in the APAR due to the concerned officer forfeiting his right to make any entry as per the provision in para 2 above, a certificate to this effect shall be added in his APAR for the relevant period. In case both the Reporting officer and Reviewing officer had forfeited their rights to enter any remarks, the CR format with the self appraisal given by the officer to be reported upon will be placed in his ACR dossier.

5.4 The instructions in para 5.2 & 5.3 above shall be applicable for the APARs for the reporting period 2008-09 onwards.

*(Department of Personnel & Training O.M. No. 21011/02/2009-Estt.A dated the 16<sup>th</sup> February, 2009.)*

5.5 Wherever there is any gap in the APAR during a particular reporting period, it is the responsibility of the officer in-charge for maintaining the APAR to place a no report certificate indicating the reasons, e.g. the officer has not worked for minimum 3 months under a reporting officer; he was on leave/training during the period; he was on unauthorised absence if it is a fact; the APAR could not be completed by lapse of the time limit for making remarks by the retired reporting/reviewing officer etc.

## **CHAPTER –VI**

### **SPECIAL PROVISIONS IN CERTAIN CASES**

6.1 While Annual Performance Assessment Report need not be written on officer appointed on honorary or purely part-time basis, they should be written on Government servants appointed on contract. As Annual Performance Assessment Report is an annual assessment of the work and conduct of every Government servant serving under the Government, the Annual Performance Assessment Report written on a Government servant appointed on contract can be the basis to assess his performance and to decide whether the contract may be renewed if the circumstances require extension of the contract.

*(Department of Personnel O.M. No. 51/5/72-Estt. (A) dated the 20<sup>th</sup> May, 1972  
Department of Personnel & Administrative Reforms O.M. No. 21011/1/84-Estt. (A) dated the 26<sup>th</sup> April, 1984.)*

6.2 In the case of Government servants who are deputed to the United Nations or its Agencies, the following procedure should be followed:-

- (a) Where there is no practice of writing periodical assessment reports by the concerned agency, it is not necessary to get Annual Performance Assessment Reports on Government servants on deputation to it. An entry, however, may be made in the Annual Performance Assessment Report dossier of the Government

servant to the effect that he is on deputation to a U.N. Agency where there is no practice of writing Annual Performance Assessment Reports.

- (b) In respect of Government servants working on deputation under the World Bank, Asian Development Bank and I.M.F., Annual Performance Assessment Report may be obtained through the Executive Directors, normally at the end of the tenure of the Government servants and, in special cases, when a Government servant is to be considered for promotion. Ministry of Finance (Department of Economic Affairs) may be approached for obtaining such reports as and when required by any cadre authority.
- (c) Annual Performance Assessment Reports in respect of past cases where the Government servant might have already returned from deputation need not be obtained.

*(Department of Personnel & Administrative Reforms O.M. No. 51/1/67-Estt.(A) dated the 19<sup>th</sup> October, 1974.)*

6.3 In the matter of writing Reports on the Integrated Financial Advisers, the following procedure should be followed:-

- (1) The Annual Performance Assessment Report on the Integrated Financial Adviser would be initiated by the Secretary of the Administrative Ministry/Department to which the Integrated Financial Adviser is attached.
- (2) Where the Integrated Financial Adviser is attached to more than one Ministry/Department, the Secretaries in the Ministries/Departments concerned would write separate reports.
- (3) The Secretary concerned in the Ministry of Finance would write a report on each of the Integrated Financial Advisers.
- (4) The Reports referred to at (1), (2) and (3) above would then be submitted to the Minister in charge of the Administrative Ministry for a review.
- (5) After review by the Minister(s) in the Administrative Ministry/Ministries, the report or reports would be submitted to the Finance Minister for his counter-signatures.
- (6) Where the Minister in the Administrative Ministry is the Prime Minister himself, the reports referred to at (1), (2) and (3) above would, in the first instance, be submitted to the Finance Minister for a review and thereafter submitted to the Prime Minister.

*(Department of Personnel & A.R. O.M. No. 21011/2/77-Estt.(A) dated the 22<sup>nd</sup> June, 1977)*

6.4 In the case of Chief Controllers/Controllers of Accounts, whose reports are written by Integrated Financial Adviser and reviewed by the Secretary in the

Administrative Ministry/Department, the Controller General of Accounts will communicate his remarks or observations, whenever he feels it necessary, to the Secretary concerned for incorporating the same in the Annual Performance Assessment Reports of the Chief Controller/Controller of Accounts. On receipt of such remarks from the Controller General of Accounts, the Secretary concerned, as the Reviewing Officer, may incorporate them, adding his own comments, if necessary.

*(Department of Personnel & A.R. O.M. No. 21011/2/79-Estt. 'A' dated the 26<sup>th</sup> April, 1979.)*

6.5 No Annual Performance Assessment Report need be obtained on Government servants deputed to foreign Governments (other than Government of Bhutan) on Contract assignments under bilateral arrangements and assignments under ITEC, SCAAP etc. A note may be kept in the Annual Performance Assessment Reports dossier of such a Government servant indicating that during the relevant period the Government servant concerned was on foreign assignment.

*(Department of Personnel & Training O.M. No. 1/5/86-FAS dated 3<sup>rd</sup> March, 1986)*

6.6 In regard to Chief Vigilance Officer, who are working on a full time basis, their Annual Performance Assessment Reports shall be written by the Secretary of the Ministry/Department concerned. Thereafter, the Report would be reviewed by the Minister. As regards Chief Vigilance Officers working on a part-time basis in addition to other items of work, where the vigilance work forms the major part of the Government servant's work, the head of the Department would write the Annual Performance Assessment Report after obtaining the opinion of the immediate superior about the performance of the Government servants reported upon in the non-vigilance areas and thereafter the report would be reviewed in the manner indicated above. Where the vigilance work forms only a small part of the work of the part-time Chief Vigilance Officer and he is mostly engaged on other work, the Reporting Officer in respect of the major items of work would record his assessment in respect of non-vigilance work and submit the same to the Head of the Department, who will not only review the Report but also add his remarks about vigilance work. The work of the Chief Vigilance Officer will also be assessed by the Central Vigilance Commissioner as provided in the Government Resolution setting up the Central Vigilance Commission.

*(Department of Personnel & Training O.M. No. 122/2/85-AVD.I dated the 28<sup>th</sup> January, 1986).*

6.7 In the case of Central Government servants who are deputed to other Departments, State Governments or are on Foreign Service, the Annual Performance Assessment Report should be maintained by their parent Departments and the periodicity of such confidential reports should be the same as in the parent Departments. It will be the responsibility of the parent Departments to obtain the reports of their officers on deputation and maintain them.

*(Department of Personnel O.M. No. 51/5/72-Estt. 'A' dated the 20<sup>th</sup> May, 1972.)*



## CHAPTER VII

### MISCELLANEOUS MATTERS

7.1 The maintenance and custody of the Annual Performance Assessment Reports will be regulated as follows:-

- (a) The Annual Performance Assessment Reports on Government servants of the organized services should be kept by the Ministry/Department/Office, which controls the service.
- (b) The Annual Performance Assessment Reports of the Heads of Departments and their deputies, other than those in the IAAS where such Annual Performance Assessment Reports are kept by the Comptroller and Auditor General should be kept by the administrative Ministry concerned.
- (c) The Annual Performance Assessment Reports on other Group 'A' and Group 'B' Government servants should be kept by the Head of the Department or any other authority specified by him.
- (d) The Annual Performance Assessment Reports on Group 'C' and 'D' Government servants (whenever maintained) should be kept by the authority specified by the Head of the Department.
- (e) The Annual Performance Assessment Reports should not in any case be kept by an authority higher than the appointing authority.

*(Department of Personnel O.M. No. 51/5/72-Estt. 'A' dated the 20<sup>th</sup> May, 1972)*

7.2 In order to give at one place, information regarding the qualifications acquired by a Government servant from time to time, various training courses attended by him etc. a History Sheet in the prescribed form should be added at the beginning of the Annual Performance Assessment Reports dossier. This History Sheet should be kept up-to-date by adding additional material as and when it becomes necessary. In History Sheet of Group 'A' Government servants, a passport size photograph of the Government servant concerned should also be affixed at the right hand top corner.

*(Department of Personnel & A.R. O.M. No. 21011/2/76-Estt. 'A' dated the 31<sup>st</sup> May, 1976)*

*(Department of Personnel & Training O.M. No. 21011/9/85-Estt. 'A' dated the 18<sup>th</sup> September, 1985.)*

7.3 Whenever it becomes necessary to send the Annual Performance Assessment Reports dossier to an outside authority for purpose of selection, promotion, appointment etc., it would be advisable to keep the original Annual Performance Assessment Reports dossier with the cadre authorities and send out only a photocopy. If the Character Roll is required simultaneously at more than one place, the requisite number of photocopies may be prepared and sent. Care should also be taken to ensure that the photocopies are destroyed immediately after the purpose for which they were made has been accomplished.

*(Department of Personnel & Training O.M. No. 21011/1/85-Estt. 'A' dated the 23<sup>rd</sup> August, 1985.)*

7.4 Copies of Annual Performance Assessment Report dossiers or the substance of the Reports contained in the dossier should not be sent to private bodies in connection with any purpose whatsoever. However, where a request is received from a public undertaking or an autonomous body controlled by Government, a gist of the relevant Annual Performance Assessment Reports may be supplied, unless Government's own interest requires that the management of the public undertaking or autonomous body should see the Annual Performance Assessment Reports in full. In such cases, the full dossier may be furnished to the offices concerned after taking the orders of administrative Ministry/Department in the case of Group 'A' or Group 'B' Government servant.

*(Department of Personnel O.M. No. 51/5/72-Estt. 'A' dated the 20<sup>th</sup> May, 1972.)*

7.5 Annual Performance Assessment Reports relating to deceased Government servants may be destroyed after a period of two years from the date of death. In the case of retired Government servants, the Annual Performance Assessment Reports dossiers may be retained for a period of five years after the date of retirement.

*(Department of Personnel O.M. No. 51/5/72-Estt. 'A' dated the 20<sup>th</sup> May, 1972.)*

7.6 The practice of granting letter of appreciation or notes of commendation to Government servants and placing them in Annual Performance Assessment Reports Dossier should be discouraged except in the following cases:

- (i) Letters of appreciation issued by the Government or a Secretary or Head of Department in respect of any outstanding work.
- (ii) Letters of appreciation issued by special bodies or commissions or committees, etc. or excerpts of their Reports expressing appreciation for a Government servant by name.
- (iii) Letters of appreciation from individual non-officials or from individual officials (other than a Secretary or Head of Department) may go into the Confidential Report if confined to expressing appreciation for services rendered far beyond the normal call of duty and provided the Secretary or the Head of the Department so directs.
- (iv) Appreciation of work should be recorded in Annual Performance Assessment Report rather than in letters of appreciation which do not give complete perspective of the Government servant's good and bad points.

*(Department of Personnel O.M. No. 51/5/72-Estt. 'A' dated the 20<sup>th</sup> May, 1972)*

## Annexure-I

### **Guidelines regarding filling up of APAR with numerical grading**

- (i) The columns in the APAR should be filled with due care and attention and after devoting adequate time.
- (ii) It is expected that any grading of 1 or 2 (against work output or attributes or overall grade) would be adequately justified in the pen-picture by way of specific failures and similarly, any grade of 9 or 10 would be justified with respect to specific accomplishments. Grades of 1-2 or 9-10 are expected to be rare occurrences and hence the need to justify them. In awarding a numerical grade the reporting and reviewing authorities should rate the officer against a larger population of his/her peers that may be currently working under them.
- (iii) APARs graded between 8 and 10 will be rated as 'outstanding' and will be given a score of 9 for the purpose of calculating average scores for empanelment/promotion.
- (iv) APARs graded between 6 and short of 8 will be rated as 'very good' and will be given a score of 7.
- (v) APARs graded between 4 and 6 short of 6 will be rated as 'good' and given a score of 5.
- (vi) APARs graded below 4 will be given a score of zero.

**Annexure II**

**Assessment of work output (weightage to this Section would be 40%)**

	Reporting Authority	Reviewing Authority	Initial of Reviewing Authority
i) Accomplishment of planned work/work allotted as per subjects allotted			
ii) Quality of output			
iii) Analytical ability			
(iv) Accomplishment of exceptional work / unforeseen tasks performed			
Overall Grading on 'Work Output'			

**Assessment of personal attributes (weightage to this Section would be 30%)**

	Reporting Authority	Reviewing Authority	Initial of Reviewing Authority
i) Attitude to work			
ii) Sense of responsibility			
iii) Maintenance of Discipline			
iv) Communication skills			
v) Leadership qualities			
vi) Capacity to work in team spirit			
vii) Capacity to work in time limit			
viii) Inter-personal relations			
Overall Grading on personal attributes			

**Assessment of functional competency (weightage to this Section would be 30%)**

	Reporting Authority	Reviewing Authority	Initial of Reviewing Authority
i) Knowledge of Rules / Regulations /Procedures in the area of function and ability to apply them correctly.  ii) Strategic planning ability  iii) Decision making ability  iv) Coordination ability  v) Ability to motivate and develop subordinates  Overall Grading on functional competency			

**Time schedule for preparation/completion of APAR  
(Reporting year- Financial year)**

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)	31 <sup>st</sup> March. (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 <sup>th</sup> April.
3.	Submission of report by reporting officer to reviewing officer	30 <sup>th</sup> June
4.	Report to be completed by Reviewing Officer and to be sent to Administration or CR Section/Cell or accepting authority, wherever provided.	31 <sup>st</sup> July
5.	Appraisal by accepting authority, wherever provided	31 <sup>st</sup> August
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	01 <sup>st</sup> September  15 <sup>th</sup> September
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	21 <sup>st</sup> September

	(a) where there is accepting authority for APAR	06 <sup>th</sup> October
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	15 <sup>th</sup> November
11.	End of entire APAR process, after which the APAR will be finally taken on record	30 <sup>th</sup> November