

Instructions issued by Dte. and DOP & T on maintenance of APAR

(ANNUAL PERFORMANCE ASSESSMENT REPORT)

1. The immediate superior officer 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 subordinates in **an objective and impartial manner.**
2. The ultimate goal is to optimize the achievement of Government policies and programs. The main focus of the Reporting Officer should, therefore, be developmental rather than judgmental.
3. 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.
4. The system of APAR has **two principal objectives-** The **first objective 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 for future possible opportunities in service.**

GENERAL PRINCIPLES

Section No.	Information Required	Authority responsible for filling up
Section-I	Basic Information	Administration division/ Personnel Dept
Section-II	Self-appraisal	Appraisee
Section-III	Appraisal	Reporting officer/ Review Officer, if necessary
Section-IV	Review	Review Officer

5. The performance of every Government servant is assessed annually (**April-March**) through his APAR, 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 advance 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.**
6. The APAR is initiated by the Government servant to be reported upon himself, who gives a brief description of his duties (**not exceeds 100 words.**), specifies the targets

set for him, where applicable, achievements against each target, the shortfalls, if any, constraints encounters and areas where the achievements have been greater.

7. The officers at both Reporting and Reviewing levels are required to have at least **three months (3 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.
8. The reporting officer is also required to record a descriptive pen-picture on the overall qualities of the appraisee and his/her performance not exceeds **100 words**.
9. 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.
10. 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.
11. Where a Reporting Officer/ Reviewing officer retires, he may be allowed to give the report on his subordinates within **one month of retirement**.
12. 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.
13. **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.
14. If the reporting officer is transferred during the year. He should write the APARs for all the staff under his control up the date of his transfer **within 3-5 weeks of his transfer**.

CONTENTS OF ANNUAL PERFORMANCE ASSESSMENT REPORTS

1. The columns in the APAR should be filled with due care and attention and after devoting adequate time.
 2. Numerical grading is to be awarded by reporting and reviewing authorities for the quality of work output, personal attributes and functional competence of the officer reported upon.
 3. These should be on a scale of 1-10, where 1 refers to the lowest grade and 10 to the highest.
 4. **The overall grade on a score of 1-10 will be based on**
 - (a) 40% weightage on assessment of work output,
 - (b) 30% weightage on assessment of personal attributes
 - (c) 30% weightage on functional competency.
 5. **Grading 1 to 10 defined under:-**
- | Grading | Average score for promotion | Rated |
|---------------------------|------------------------------------|--------------------|
| Between 8 and 10 | 9 | Outstanding |
| Between 6 and less than 8 | 7 | Very Good |
| Between 4 and less than 6 | 5 | Good |
| Below 4 | 0 | -- |
6. The remarks against the integrity column shall be made by the reporting officer in one of 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 judgment but nothing adverse has been reported to me about the officer

7. 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.

General Guidelines for filling up the APAR

1. 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.
2. 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.

TIMELY COMPLETION OF APAR

1. Wherever there is any gap in the APAR during the 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 unauthorized 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.
2. While Annual Performance Assessment Report need not be written on officer appointed on honorary or purely part-time basis.
3. 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.

MISCELLANEOUS MATTERS

1. The maintenance and custody of the Annual Performance Assessment Reports will be regulated as follows:
 - (a) The APAR 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.
 - (b) The APAR on Group 'C' Government servants should be kept by the authority specified by the Head of the Department.
 - (c) The APAR should not in any case be kept by an authority higher than the appointing authority.
2. 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 APAR dossier with the cadre authorities and send out only a photocopy. Care should also be taken to ensure that the photocopies are destroyed immediately after the purpose for which they were made has been accomplished.
3. Annual Performance Assessment Reports preservation period: -
 - In case death – after 2 years from the date of death.



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- **Retirement /dismissal/ removal/ resigned** - after **5 years** from the date of retirement/dismissal/removal/resigned.
- 4. **Appeal- 6 months** for appeal against rejection of representation for adverse remark.
- 5. As far as possible **near relative** should not be posted under reporting authority for longer period. If in-escapable the APAR would be written by **Reviewing Officer**.
- 6. The Reporting Officer write the APAR of his subordinate **after retirement** within **one month**.
- 7. For **DPC** minimum “**Very Good**” bench mark in **3 years out of last 5 years**.
- 8. For **MACP** minimum “**Very Good**” bench mark in **5 years out of last 5 years**.
- 9. **SPARROW (Smart Performance Appraisal Report Recording Online Window)** is an online system for performance appraisal of Group A officers maintained by the National Informatics Centre (NIC).
- 10. In the Department of Posts, all APARs pertaining to Group” A” officers (SSP Cadre onwards) are processed in SPARROW.
- 11. The system was launched on **01/04/2014**.

Most Important Points

- **IP/ASP-** SSP/ SP is reporting officer and DPS is Reviewing officer.
- **PS Group B** - Reporting Officer is DPS and reviewing officer is PMG or CPMG
- **PA/LSG/HSG** - SSP/SP of the Division Reporting officer.
- **MTS/Post Man/ Mail Guard** - Inspector of Post/ Post master/ HRO is Reporting officer.
- **MTS APAR** written from 01.04.2019 as Group C employee.
- **DPS (HQ) is custodian of APAR of IP/ASP officers** and Sr. Private secretary of CPMG of PS Group B officer of entire circle.
- Self-Appraisal shall be submitted from **LSG officials and above**.



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Annexure-III

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)	<u>31st March.</u> (This may be completed even a week earlier)
2.	Submission of self-appraisal to reporting officer by officer to be reported upon (where applicable)	<u>15th April</u>
3.	Submission of report by reporting officer to reviewing officer	<u>30th June</u>
4.	Report to be completed by Reviewing officer and to be sent to Administration or CR section/Cell or accepting authority, wherever provided.	<u>31st July</u>
5.	Appraisal by accepting authority, wherever provided	<u>31st August</u>
6.	(a) Disclosure to the officer reported upon where there is no accepting authority.	<u>01st September</u>
	(b) Disclosure to the officer reported upon where there is accepting authority	<u>15th September</u>
7.	Receipt of representation, if any, on APAR	<u>15 days</u> from the date of receipt of communication
8.	Forwarding of representations to the competent authority	<u>21st September</u>
	a) Where there is no accepting authority for APAR b) Where there is accepting authority for APAR	<u>06th October</u>
9.	Disposal of representation by the competent authority	Within <u>one month</u> from the date of receipt of representation
10.	Communication of the decision of the competent authority on the representation by the APAR Cell	<u>15th November</u>
11.	End of entire APAR process, after which the APAR will be finally taken on record	<u>30th November</u>