

No.1/13/89/GA/Vol.I/PART/2934
Administration of Daman & Diu,
Department of Personnel &
Administrative Reforms,
Secretariat, Daman – 396 220

Dated : 22 / 11 / 2011

C I R C U L A R

Sub : Preparation & Maintenance of Annual Performance Appraisal Report (APAR)

The Department of Personnel & Training, Ministry of Personnel, Public Grievances and Pensions, Government of India, New Delhi vide its Office Memorandum No.210/11/1/2005-Estt(A) (Pt.II) dated 14-05-2009 and dated 23-07-2009 circulated instructions on preparation and maintenance of Annual Performance Assessment Reports (APAR). The copies of above mentioned OMs of DoPT to commence action for compliance of the provisions of these instructions are enclosed herewith.

The existing system of Annual Confidential Reports will be modified as Annual Performance Assessment Report (APAR), which is to be implemented from the assessment year 2011-2012.

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. These should be on a scale of 1-10. The guidelines given in Annexure-I of the OM dated 23-07-2009 are to be kept in mind while awarding numerical gradings.

The overall grade on a score of 1-10 will be based on 40% weightage on assessment of work output, and 30% on 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 the weightage assigned.

The respective Head of Office has to carry out amendments in the existing ACR format, as per detailed guidelines issued by DoP&T referred to above. The format for the purpose of numerical grading in the three areas of work output, assessment of personal



attributes and assessment of functional competence to be included in APAR is to be prepared as per Annexure-II of OM dated 23-07-2009. 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. Also a box is to be included in the reporting section of the APAR for pen picture of the officer reported upon reflecting his overall qualities and in reviewing section for remarks of the Reviewing Authority on the pen picture of the Reporting Authority. A column for overall grading by the Reporting and Reviewing Authorities also needs to be incorporated in the APAR.

All Head of Offices are requested to comply with the instructions contained in the above mentioned OM of DOP&T for preparation and printing of fresh APAR forms for all posts under their administrative control.

APAR forms in respect of Superintendent (Gazetted / Non-Gazetted), Head Clerk / Information Assistant / Assistant / Confidential Assistant, Upper Division Clerk / Lower Division Clerk, Senior / Junior Stenographers have been prepared by the Department of Personnel & Administrative Reforms, Daman and are available on the website of this UT Administration, i.e., www.daman.nic.in.

The upto date ACR Dossier of an employee is a pre-requisite for deciding his case for promotion / grant of Financial Benefits under MACP Scheme / Confirmation etc. by the DPC.

All the Heads of Offices / Reporting Officers are requested to initiate action for reporting APAR in respect of their subordinate employees. They should directly forward the APARs to the concerned Reviewing Officer and follow up for reviewing of APARs with Reviewing Officers. The time schedule for preparation and completion of APAR is enclosed with DoPT OM dated 23-07-2009 should be followed strictly.

All Reviewing Officers are also requested to take immediate action to review on receipt of the duly reported APARs and complete the Review within the prescribed time schedule.




The officers will not be relieved from this UT Administration on account of their transfer until they clear Reporting / Reviewing of APARs of their subordinate staff.

The APAR duly completed in all respects in respect of common cadre posts such as LDC / UDC / Head Clerk / Assistant / Confidential Assistant / Junior Stenographer / Senior Stenographer / Drivers and of Group 'A' and 'B' posts may be forwarded to Personnel Department for records and rest may be retained by the concerned Office / Department. The Head of Offices shall scrutinize the APARs for communication of adverse entry, if any, to the concerned employee within the time limit and take necessary action as per rules / instructions issued by Government of India.

This issues with the approval of the Competent Authority.

Encl : As above


(P.S. Jani)
Joint Secretary (Pers.)

To,
All Heads of Offices,
Daman

Copy to :

1. The Deputy Collector, Diu with a request to circulate the same to all the Heads of Offices in Diu District.
2. The DIO, NIC, Daman for uploading in the website.
3. The Deputy Secretary (Personnel), Secretariat, DNH, Silvassa for information and necessary action.

No. 21011/1/2005-Estt (A) (Pt-II)
Government of India
Ministry of Personnel, Public Grievances and Pensions
(Department of Personnel and Training)

North Block, New Delhi, 14th May, 2009

OFFICE MEMORANDUM


Subject: Maintenance and preparation of Annual Performance Appraisal Reports-communication of all entries for fairness and transparency in public administration.

The undersigned is directed to invite the attention of the Ministries/Departments to the existing provisions in regard to preparation and maintenance of Annual Confidential Reports which inter-alia provide that only adverse remarks should be communicated to the officer reported upon for representation, if any. The Supreme Court has held in their judgement dated 12.5.200 in the case of Dev Dutt vs Union of India (Civil Appeal No.7631 of 2002) that the object of writing the confidential report and making entries is to give an opportunity to the public servant to improve the performance. The 2nd Administrative Reforms Commission in their 10th Report has also recommended that the performance appraisal system for all services be made more consultative and transparent on the lines of the PAR of the All India Services.

2. Keeping in view the above position, the matter regarding communication of entries in the ACRs in the case of civil services under the Government of India has been further reviewed and the undersigned is directed to convey the following decisions of the Government:-

- (i) The existing nomenclature of the Annual Confidential Report will be modified as Annual Performance Assessment Report (APAR).
- (ii) 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.
- (iii) The Section entrusted with the maintenance of APARs after its receipt shall disclose the same to the officer reported upon.
- (iv) 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.

- (v) The new system of communicating the entries in the APAR shall be made applicable prospectively only with effect from the reporting period 2008-09 which is to be initiated after 1st April 2009.
- (vi) The competent authority for considering adverse remarks under the existing instructions 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.
- (vii) 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.
3. All Ministries/Departments are requested to bring to the notice of all the offices under them for strict implementation of the above instructions.


(C.A. Subramanian)
Director

To

All Ministries/Departments of Government of India

Copy to:-

1. Chief Secretaries of All State Governments/U.T.s
2. The President's Secretariat, New Delhi.
3. The Prime Minister's Office, New Delhi.
4. The Cabinet Secretariat, New Delhi.
5. The Rajya Sabha Secretariat.
6. The Lok Sabha Secretariat.
7. The Comptroller and Auditor General of India, New Delhi.
8. The Union Public Service Commission, New Delhi.

Copy also to:-

- (a) All Attached offices under the Ministry of Personnel, Public Grievances and Pensions.
- (b) Establishment Officer and Secretary, ACC (10 copies).
- (c) All officers and Sections in the Department of Personnel and Training.
- (d) Secretary, Staff Side, National Council (JCM), 13-C, Ferozeshah Road, New Delhi.
- (e) All Staff Members of Departmental Council (JCM).
- (f) All Staff members of the Departmental Council (JCM), Ministry of Personnel, Public Grievances and Pensions.
- (g) NIC (DoP&T) for placing the Office Memorandum on the web-site of DoP&T.
- (h) Hindi Section for Hindi version of the O.M.

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No. 21011/1/2005-Estt (A) (Pt-II)

Government of India
Ministry of Personnel, Public Grievances and Pensions
(Department of Personnel and Training)

North Block, New Delhi,
23rd July, 2009

OFFICE MEMORANDUM

Subject:- Preparation and maintenance of Annual Performance Assessment Reports (APAR).

The undersigned is directed to invite the attention of the Ministries/Departments to the instructions contained in this Department's O.M. No. No. 21011/02/2009-Estt.(A) 16/02/2009 and O.M. of even number dated 14.05.2009 on the subjects of timely preparation and proper maintenance of APAR and making the APAR transparent for representation for upgradation, if any, by the officer reported upon. The matter of preparation and maintenance of APAR has been further reviewed in this Department keeping in view the system in this regard in respect of All India Services (AIS) and the undersigned is directed to convey the following decisions:-

- (i) All cadre authorities shall include 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) A provision may be made in the APAR 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.
- (ii) Numerical grading 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 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.

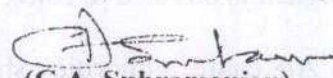
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(v) Wherever 'accepting authority' has been prescribed in the existing system in the cadre, columns may also be provided for such authority to give his comments on the remarks of the reporting/reviewing authority and details of difference of opinion, if any, with reasons for the same. In such cases, the accepting authority will also give overall grade on a score of 1-10.

(vi) A schedule for completion of all activities relating to the APAR is given in Annexure-III.

2. The above provisions would be applicable for the APAR from the reporting year 2009-10 onwards. The concerned authorities may accordingly make necessary changes in the APAR format for numerical grading to be given by reporting and reviewing officer. This O.M. does not in any way affect the part to be filled in by the officer reported upon and other existing columns in the APAR format like attitude towards SC/ST/OBC, relations with public (wherever applicable), integrity, training requirement etc. for descriptive remarks.

3. All Ministries/Departments are requested to bring to the notice of all the offices under them for strict implementation of the above instructions.


(C.A. Subramanian)
Director

To

All Ministries/Departments of Government of India

Copy to:-

1. Chief Secretaries of All State Governments/U.T.s
2. The President's Secretariat, New Delhi.
3. The Prime Minister's Office, New Delhi.
4. The Cabinet Secretariat, New Delhi.
5. The Rajya Sabha Secretariat.
6. The Lok Sabha Secretariat.
7. The Comptroller and Auditor General of India, New Delhi.
8. The Union Public Service Commission, New Delhi.

Copy also to:-

- (i) All Attached offices under the Ministry of Personnel, Public Grievances and Pensions.
- (ii) Establishment Officer and Secretary, ACC (10 copies).
- (iii) All officers and Sections in the Department of Personnel and Training.
- (iv) Secretary, Staff Side, National Council (JCM), 13-C, Ferozeshah Road, New Delhi.
- (v) All Staff Members of Departmental Council (JCM).
- (vi) All Staff members of the Departmental Council (JCM). Ministry of Personnel, Public Grievances and Pensions.
- (vii) NIC (DoP&T) for placing the Office Memorandum on the web-site of DoP&T

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.

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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			

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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)	31 st March
2.	Submission of self-appraisal to reporting officer by officer to be reported upon (where applicable)	15 th April
3.	Submission of report by reporting officer to reviewing officer	30 th June

EsttE/ACR matters

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			

9.	Disposal of representation by the competent authority	(a) where there is accepting authority for APAR (b) where there is no accepting authority for APAR	05 th October
10.	Communication of the decision of the competent authority on the representation by the APAR Cell		15 th November
11.	End of entire APAR process, after which the APAR will be finally taken on record		30 th November

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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)	31 st 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 th April.
3.	Submission of report by reporting officer to reviewing officer	30 th 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 st July
5.	Appraisal by accepting authority, wherever provided	31 st 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 st September 15 th 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 (a) where there is accepting authority for APAR	 21 st September 06 th 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 th November
11.	End of entire APAR process, after which the APAR will be finally taken on record	30 th November