

INSTRUCTIONS ON APAR

1. The Annual Performance Appraisal Report is an important document, it provides the basic and vital inputs for assessing the performance of an officer and for his/her further advancement. The officer reported upon, the Reporting Officer and the Reviewing Officer should, therefore, undertake the duty of filling out the form with a high sense of responsibility.
2. Reporting Officers and Reviewing Officer 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 one. The Reporting Officer and Reviewing Officer should not shy away from reporting shortcomings in performance, attitudes or overall personality of the officer reported upon.
3. The items should be filled with due care and attention and after devoting adequate time. Any attempt to fill the report in a casual or superficial manner will be easily discernible to the higher authorities.
4. Every answer shall be given in a narrative form except where numerical grading is to be awarded. The space provided indicates the desired length of the answer. Words and phrases should be chosen carefully and should accurately reflect the intention of the officer recording the answer. Unambiguous and simple language may be used.
5. The Reporting/ Reviewing Officers shall, in the beginning of the year, assign targets to each of the officers to whom he/she is required to report upon for completion during the year. In the case of an officer taking up a new post in the course of the reporting year, such targets/goals shall be set at the time of assumption of the new change. The tasks/targets set should clearly be known and understood by both the officers concerned.
6. Although performance appraisal is a year-end exercise, in order that it may be a tool for human resource development; the Reporting/Reviewing Officers should at regular intervals review the performance and take necessary corrective steps by way of advice etc.
7. It should be the endeavour of each appraiser to present the truest possible picture of the appraisee in regard to his/her performance, conduct, behaviour and potential.
8. Assessment should be confined to the appraisee's performance during the period of report only.
9. The officers are to be graded on a scale of 1 to 10 where 1 refers to the lowest grade and 10 to the highest.
10. It is expected that any grading of 1 & 2 (against work output or attribute or overall grade) would be adequately justified in the comments on the overall qualities of the Officer being reported/reviewed upon by way for special failures and similarly any grade of 9 & 10 would be justified with respect to special 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 grading, the reporting and reviewing authorities should rate the officer against a large population of his/her peers that may be currently working under them.
11. Both Reporting and Reviewing Officers shall award numerical grading in Sections 2(A), 2(B) and 2(C) of Part 3 against various indicators listed in those sections and calculate the overall gradings of each section as well as the overall grading of APAR in the manner specified in the paras hereunder.

12. In case, overall numerical grading given by the Reviewing Officer differs from overall numerical grading given by the Reporting Officer by more than 2 numerical grades, Reviewing Officer is required to give reasons for the same in the relevant column of the APAR. In case of difference between overall gradings awarded by the Reporting and Reviewing Officer, the grading awarded by the Reviewing Officer shall be deemed to be the grading of the officer reported upon. However, DPC shall be free to make its own assessment on the basis of the entries made in the APARs.
13. Overall grading of each section viz. Section 2(A), 2(B) and 2(C) of Part 3 is to be calculated by dividing the sum of numerical gradings given against various indicators of that section by the number of indications in that section, as indicated in APAR form itself.
14. Sections 2(A), 2(B) and 2(C) of Part-3 of the Report have weightage of 40%, 30% and 30% respectively. The weighted average is to be arrived at by multiplying the overall grading of the concerned section by 4/10 or 3/10, as the case may be, as indicated in the APAR form itself. The overall grading of APAR is to be obtained by adding the weighted average of gradings of Sections 2(A) 2(B) and 2(C) of Part-3.
15. A mandatory penal provision has been incorporated in APAR for inordinate delay in filing of property return/completion of APAR. As per these provisions, overall numerical grading shall be reduced by one numerical grade in each of the following two cases:-
 - (i) If, by the 30th September of the year of Report, any employee of Group 'A' or Group 'B' has not submitted his/her property return for the year prior to the year of report.
 - (ii) If, by the 30th September of the year of Report, any officer/staff has not submitted to his/her Reporting Officer his/her APAR for the year prior to the year of Report, after filling part 2 thereof.

OR

If, by the 30th September of the year of Report, any officer has not completed APAR of his/her subordinates for the years prior to the year of report and such APARs have remained pending with him/her for over a month.

16. Both Reporting and Reviewing Officers shall distinctly indicate the reduction in overall gradings, if any, made in pursuance of para 15 of these guidelines. This is to be done by first indicating the actual overall grading of the APAR obtained by the reported officer in the relevant box and then subtracting from it 1 or 2 numerical grading as the case may be and thereafter indicating the final grading. For example, if overall grading obtained by an officer is 7 and 1 numerical grading is to be reduced on account of non-completion of APARs of his/her subordinate, it is to be shown in relevant box as under:

7-1 = 6

Personnel Section would cross check if reductions have been made as per these instructions and in case of any discrepancy, Personnel Section with the approval of Secretary-General, in case of gazetted officers, and with the approval of Additional Secretary/Joint Secretary, in-charge of Personnel Section, in case of non-gazetted officers, shall be competent to rectify it.

17. For purpose of calculating average scores for promotion, the following grades will be considered:

APARs graded	Grading	Score to be considered
Between 8 and 10 or 10	Outstanding	9
Between 6 and 8	Very Good	7
Between 4 and 6	Good	5
Below 4	-	0

Note : ‘Between x and y’ shall refer to a grading which is equal or more than ‘x’ but less than ‘y’.

18. The time schedule for the completion of the APAR for the year 2012 onwards as at **Annexure-I** should be strictly adhered to. Entries in the slips attached, as at **Annexure- II** be made by the concerned officers at every stage and sent to Personnel Section without fail.
19. These instructions are not exhaustive but only broad general guidelines on the subject and an individual Reporting/Reviewing Officer may devise his/her own methods of assessment. However, the emphasis should be on making an objective assessment of an individual reflected through his/her APAR.
20. The following procedure should be followed in filling up the item relating to integrity:-
- (i) If the officer’s integrity is beyond doubt, it may be so stated.
 - (ii) If there is any doubt of suspicion, the item should be left blank and action taken as under:-
 - (a) A separate secret note should be recorded and followed up. A copy of the note should also be sent together with the Confidential Report to the next superior officer who will ensure that the follow up action is taken expeditiously. Whether it is not possible either to certify the integrity or to record the secret note, the Reporting Officer should state either that he has not watched the officer’s work for sufficient time to form a definite judgment or that he has heard nothing against the officer as the case may be.
 - (b) If, as a result of the follow-up action the doubts or suspicions are cleared, the officer’s integrity should be certified and an entry made accordingly in the Confidential Report.
 - (c) If the doubts or suspicions are confirmed, the fact should also be recorded and duty communicated to the officer concerned.
 - (d) If as a result of the follow up action, the doubts or suspicions are neither cleared nor confirmed the officer’s conduct should be watched for a further period and thereafter action taken as indicated at (b) and (c) above.
21. Full APAR, including the overall grade and assessment of integrity, shall be disclosed to the officer reported upon in the manner as stated hereinafter by the Personnel Section after it is received by the Personnel Section.
22. A photocopy of the completed APAR alongwith disclosure certificate shall be sent to the officer reported upon by Personnel section.

- 23* Any officer wishing to make a representation against the entries and/or the gradings given in his APAR shall do so within fifteen days from the date of receipt of a copy of APAR. In case no representation is received from an officer within the said period of fifteen days, it shall be deemed that he/she has no representation to make and his APAR shall be treated as final. No further opportunity after this period shall be given to any officer for making any representation.
- 24** Representation submitted by an officer within 15 days in pursuance to para 23 above shall be submitted to an authority which is superior to the reviewing officer of the concerned officer for decision and such superior authority shall take a decision on it.
25. ***The overall grading should not be rounded off. The grading may have a maximum of two digits after the decimal point. To illustrate, if the overall grading comes to 6.57 it should be written as such and not rounded off to 6.6 or 7.***
26. ***No cutting/overwriting should be done in APAR Forms. If the same is unavoidable, the officer should append his/her signature on the part which has the cutting/overwriting.***
27. ***The totaling should be checked properly.***
28. ***In case of APARs of messengers who are attached to a officer the concerned officer in Part-3 should fill up only the columns of Reviewing Officers but part-4 & Part-5 both should be filled up completely by the same officer before sending it to the Personnel Section.***
29. ***The officer being reported upon (in case of self assessment), the Reporting Officer and the Reviewing Officer should specify the date of filling up of their respective parts of the APAR below their signature.***

* ***Amendment made vide Circular No. RS/17/4/2015-Perl. dated 15/5/2015 (existing para 23 substituted and para 24 deleted, accordingly existing para nos. reduced by one)***

** ***Further amendment made vide Circular No. RS/17/2011-Perl. dated 30/9/2015(Existing para 24 substituted)***

**TIME -SCHEDULE FOR PREPARATION OF ANNUAL PERFORMANCE
APPRAISAL REPORT**

Nature of Action	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)	: Latest by 7 th January, 2017
2. Submission of self-appraisal to reporting officer by officer to be reported upon (where applicable)	: 22 nd January, 2017
3. Submission of report by reporting officer to reviewing officer-	
- Where self-appraisal by officer reported upon is prescribed	: 12 th February, 2017
- Where self-appraisal by officer reported upon is not prescribed	: 28 th January, 2017
4. Report to be completed by Reviewing Officer and sent to Administration or APAR Section/Cell	: - 26 th February, 2017 where the due date for the reporting officer is 12 th February, 2017. - 12 th February, 2017 where the due date for the reporting officer is 28 th January, 2017.

RAJYA SABHA SECRETARIAT
(To be filled by the Officer reported upon)

I Designation have submitted my APAR Form for the period/year to the Reporting Officer, namely, Shri/Ms. Designation (Tele) on after completing Part-II of the APAR Form.

Signature :
Name :
Designation :
Division/Section :
Tele No. :
Dated :

Personnel Section

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(SLIP-B)

RAJYA SABHA SECRETARIAT
(To be filled by the Reporting Officer)

The undersigned has forwarded the APAR of Shri/Ms. Designation for the period/year to the Reviewing Officer, namely, Shri/Ms. Designation on after recording my comments as Reporting Officer.

Signature :
Name :
Designation :
Tele No. :
Dated :

Personnel Section

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(SLIP-C)

RAJYA SABHA SECRETARIAT
(To be filled by the Reviewing Officer)

APAR of Shri/Ms. Designation for the period/year duly reviewed by the undersigned is forwarded herewith.

Signature :
Name :
Designation :
Tele No. :
Dated :

Personnel Section