

## INSTRUCTIONS FOR FILLING UP OF APAR

### INTRODUCTION

1.1 The Annual Performance Appraisal Report (APAR) is an important document. It provides the basic and vital inputs for further development of an officer. The Officer Reported Upon, the Reporting Authority, the Reviewing Authority and the Accepting Authority should therefore, undertake the duty of filling up the form with a high sense of responsibility.

1.2 APAR should be used as a tool for career planning and training, rather than a mere judgmental exercise. The Reporting, the Reviewing and the Accepting 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, the Reviewing and the Accepting Authorities should not shy away from reporting shortcomings in performance, attitudes or overall personality of the Officer Reported Upon.

1.3 The columns 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.

1.4 Although the actual documentation of performance appraisal is year-end exercise, in order that it may be a tool for human resource development, career planning and training, rather than a mere judgmental exercise, the Reporting Authority and the Officer Reported Upon should meet during the course of the year at regular intervals to review the performance and to take necessary corrective steps.

1.5 *Once an APAR has been duly approved and circulated, it is imperative that it remains unchanged, any unauthorized alterations in approved APAR document will be considered as tampering with official records.*

### **2. Part I of the APAR - Personal Data**

2.1 This section should be filled up in the Administration Division/Personnel Department. Period of report could either be the entire reporting year (exceeding 3 months).

2.2 Information on the present grade as well as present post and the date from which he/she has been on his/her present post needs to be mentioned.

2.3 In the table relating to the Reporting, the Reviewing and the Accepting Authorities, name and designation of the Reporting and the Reviewing and Accepting Authorities should be mentioned.

2.4 The period of absence from duty, on leave, training, or for other reasons, should also be mentioned in this section in the table provided for the purpose. Details of the training attended and date of filing of property returns (mainly for Group A & B officers) should be mentioned in the section for the purpose.

### **3. Part II of the APAR - Self Appraisal**

3.1 The Officer Reported Upon is first required to give brief description of his/her duties and responsibilities. Ideally, this should be in bullet form.

3.2 All officers are required to develop a work plan for the year and agree upon the same with the Reporting Authority. The work plan should incorporate the relative annual work rhythm and budgetary cycle. In case of a change of the Reporting Authority during the year, the work plan agreed with the previous Reporting Authority 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 31st October. Based on this review the work plan may undergo some changes from that originally prepared.

3.3 After the work plan is prepared, it is possible that the Officer Reported Upon is transferred out. There need not be more than one work plan for one post each year. The period spent by the officer during the year and his contribution could be considered for evaluating his performance against the work plan. In the case of mid-term transfers, continuity and assessment of work and the lower performance profile in the first quarter should be taken into consideration.

3.4 The work plans, duly signed by the Officer Reported Upon and the Reporting Authority has to 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. The Officer Reported Upon is required to fill up the table provided for the purpose in Part-II.

3.5 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.

3.6 Part II also provides an opportunity for the officer to reflect upon his/her performance during the year and indicate items which he/she thought were significant contributions made by him/her during the year. It is always possible for any officer to make significant contribution even in activities otherwise regarded as routine in nature.

3.7 The Officer Reported Upon is 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.

3.8 This section also requires the Officer Reported Upon to record certain certificates about submission of property returns and annual work plan for whom he/she would be the Reporting Authority.

3.9 Every page of Part II of APAR and all attached Annexures are to be duly signed by the concerned employee.

### **4. Part III of the APAR- Appraisal**

4.1 Part III requires the Reporting Authority to comment on Part II as filled out by the Officer Reported Upon, and specifically state whether he/she agrees with the responses relating to the accomplishments. In case of disagreement the Reporting Authority should highlight the specific portions with which he/she is unable to agree and the reasons for such disagreement.

4.2 This section then requires the Reporting Authority to comment on the skill upgradation needs as identified by the officer.

4.3 Thereafter, this section requires the Reporting Authority to record a numerical grade in respect of the work put of the Officer Reported Upon both in respect of the planned work as well as the unforeseen tasks. A numerical grade is also required in respect of the "Quality" of the output. In doing so, the Reporting Authority should take into account the costs incurred (whether the Officer Reported Upon has been cost conscious), the time taken and whether the laid down rules/procedures have been adhered to in accomplishing the tasks.

4.4 The Reporting Authority is also required to record a numerical grade in respect of Work Output, Personal Attributes and Functional Competencies.

4.5 Part III requires the Reporting Authority to comment on the integrity of the Officer Reported Upon. In recording remarks with regard to integrity, he/she need not limit him/herself only to matters relating to financial integrity but could also take into account the moral and intellectual integrity of the Officer Reported Upon. The following procedure should be followed-in filling up the column relating to integrity:

(i) If the officer's integrity is beyond doubt, it may be stated;

(ii) If there is any doubt or suspicion, the column 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 Performance Appraisal Report to the next superior officer who will ensure that the follow up action is taken expeditiously. Where it is not possible either to certify the integrity or to record the secret note, the Reporting Authority should state either that he/she had not watched the officer's work for sufficient time to form a definite judgment or that he/she 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 Annual Performance Appraisal Report;

(c) If the doubts or suspicions are confirmed, this fact should also be recorded and duly 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.

4.6 The Reporting Authority is also required to record a descriptive Pen – Picture on the overall qualities of the Officer Reported Upon and his/her performance including his attitude towards weaker sections. This need not exceed about 100 words and should try to cover overall qualities of the officer including areas of strengths and lesser strengths. Pen-Picture is also meant to be a qualitative supplement to the quantitative assessments made earlier part of this section.

## **5. Part IV of the APAR - Review**

5.1 This section is to be filled up by the Reviewing Authority. He/she is required to indicate if he/she agrees with the assessments made by the Reporting Authority. In case of disagreement, he/she may record his/her own assessment against the work output or any of the attributes in the column specifically provided for the purpose in Part III of the APAR. In case of agreement, he/she need not fill in the column meant for him/her in the attributes/work output tables.

5.2 The Reviewing Authority is required to record a Pen-Picture, not exceeding about 100 words, on the overall qualities of the Officer Reported Upon including areas of strengths and lesser strengths and his/her performance including his attitude towards weaker sections and recommendations relating to domain assignment. Finally, he/she is required to record an overall grade on the scale of 1-10.

## **6. Part V of the APAR – Acceptance**

6.1 This section is to be filled by the Accepting Authority. He/she is required to indicate if he/she agrees with the assessments made by the Reporting Authority/Reviewing Authority. In case of difference of opinion, he/she is required to give details and reasons for the same in the column specifically provided for the purpose in Part V of the APAR.

## **7. Numerical Grades**

7.1 At several places, numerical grades are to be awarded by Reporting and Reviewing Authorities. These should be on a scale of 1-10, where 1 refers to the lowest grade and 10 to the highest. It is expected that any grading of 1 or 2 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, 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.

## **8. Weightage & Mean**

8.1 Weights have been assigned to Work Output, Personal Attributes and Functional Competency. The overall grading will be based on the addition of the mean value of each group of indicators in proportion to weightage assigned.

## **9. Disclosure**

9.1 There should be more openness in the system of appraisal. The APAR, including the overall grade and integrity, should be communicated to the Officer Reported Upon after it has been finalized by the Accepting Authority.

## **10. Representation**

10.1 The officer reported upon may have the option to give his comments on the APAR. Such comments may be restricted to the specific factual observations contained in the Annual Performance Appraisal Report leading to the assessment of the officer in terms of attributes, competency and output. Further, the Reporting/Reviewing/Accepting Authorities would have the option to accept them and modify the APAR accordingly as per extant instructions.