

रक्षा लेखा महानियंत्रक
Controller General of Defence Accounts
उलान बटार रोड, पालम, दिल्ली छावनी-110010
Ulan Batar Road, Palam, Delhi Cantt 110010

No. AN/XIII/13128/APAR/2010-11

Dated 26.05.2014

To

All Pr. Controllers/Controllers/
PCA (Fys) Kolkata/ CsFA (Fys)/ CIA(Fys) Kolkata
PIFAs/IFAs

SUB: Writing and maintenance of Annual Performance Assessment Report (APAR).

REF: This office confidential letter No. AN/XIII/13128/3/Vol-XI dated 14.12.90 and
AN/XIII/13128/APAR/2010-11 dated 29/30.05.2013

Consequent upon introduction of APAR for numerical grading, the existing guidelines on writing and maintenance of Confidential Reports up to the rank of Sr. A O level circulated vide Hqrs office confidential letter No. AN/XIII/13128/3/Vol-XI dated 14.12.90 has been examined in consultation with Controller's/IFA offices and concerned sections of Hqrs office including IFA wing vide Hqrs letter bearing No. AN/XIII/13128/APAR/2010-11 dated 29/30.05.2013 and, revised statements A to D duly approved by the CGDA containing system of reporting, reviewing, accepting and consideration of representation against the entries and final grading in APAR are enclosed.

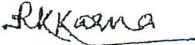
<u>Statement A</u>	Controller General of Defence Accounts
<u>Statement B</u>	Principal Controller of Defence Accounts/ Controller of Defence Accounts
<u>Statement C</u>	Principal Controller of Accounts (Factories) /Controller of Finance & Accounts (Factories)/ Chief Internal Auditor (ordnance Factories)
<u>Statement D</u>	Principal Integrated Financial Advisors/ Integrated Financial Advisors

2. Based on recent OMs issued by the DOPT on the subject and feedback/suggestions received from Controllers offices, the guidelines/instructions regarding writing and maintenance of APAR has been attempted and enclosed as following Annexures for reference, guidance and necessary action.

<u>Annexure- A</u>	Guidelines/instructions regarding preparation, maintenance and completion of APAR
<u>Annexure- B</u>	Guidelines regarding filling of APAR with numerical grading.
<u>Annexure- C</u>	Time schedule for preparation/completion of APAR

3. Further, the guidelines are only illustrative and not exhaustive in nature. All the Govt. orders/instructions on preparation, maintenance and completion of APAR issued from time to time shall continue to be followed.

Please acknowledge receipt.


(R K Karina)
Jt. CGDA (Admin)

Annexure-A

Guidelines/instruction regarding preparation, maintenance and completion of APAR

- i. The Annual Performance Assessment Report (APAR) is an important document providing the basic and vital inputs for assessing the performance of the Government servant. Therefore the report may be written with due care in an objective and impartial manner.
- ii. The performance of every Government servant is assessed annually. Generally reporting year is a financial year.
- iii. There may be two or more independent Reports 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.
- iv. 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 purposes of computing the period of 3 months which is relevant for writing of entries in the APAR.
- v. It is to be ensured that wherever a level is missing, the system is rendered into 2 tier in place of 3 tier and under no circumstances it is converted into multi-tier system. In general terms when a level is missing in the system, the immediate superior officer above the official reported upon shall initiate the APAR and next superior officer shall review and accept the APAR.
- vi. Where for 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 has in a position to fill the columns to be filled in by the Reporting Officer. Where a report is thus initiated, it will have to be reviewed by the officer above the Reviewing Officer.
- vii. 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.
- viii. APAR of SAS Apprentice may be initiated in case he has served for a minimum period of three months and SAS Apprentice may initiate APAR of his subordinate in case he has supervised them for a minimum period of three months.
- ix. APAR Formats of SAOs/AOs/AAOs may be used for writing APARs of SO (A) /SAS Apprentice.
- x. Supervisor (Accounts) may initiate APAR of his subordinate and reviewed by next higher authority
- xi. Since the responsibility of scrutiny and maintenance of APAR continues to vest in AN Sections of Main office, they should ensure that the full APAR including the overall grade and assessment of integrity shall be communicated to the concerned officer after the Report is complete.



- xii. The Government servant (officer reported upon) shall be given the opportunity to make any representation against the entries and final grading in APAR, within fifteen days from the date of receipt of the entries in the APAR.
- xiii. While communicating the entries/APAR, 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 and the APAR will be treated as final.
- xiv. If an employee is to be considered for promotion in a future DPC and his ACRs prior to the period 2008-09, which would be reckonable for assessment of his fitness in such future DPCs contain final grading which are below benchmark for his next promotion, before such ACRs are placed before the DPC, the concerned employee will be given a copy of the relevant ACR for his representation, if any and such representation will be considered by the competent authority, and pass order on said representation.
- xv. The representation against entries and final grading in APAR would lie to the next superior officer above the accepting officer.
- xvi. The AN sections of Main Office shall continue to be responsible for obtaining remarks of the Reporting, Reviewing and Accepting officers on the representations preferred against the entries and final grading in APAR and process them for consideration by the designated officer as per the statement enclosed.
- xvii. The decision on representation may be taken objectively in a quasi-judicial manner on the basis of material placed before it, after taking into account the views of the concerned Reporting/ reviewing Officers, if they are still in service. The competent authority after due consideration may reject the representation or may accept and modify the APAR accordingly. In case of up-gradation of the final grading given in the APAR, specific reasons therefor may also be given in the order of the competent authority.
- xviii. It is reiterated that proper disposal of representation in a quasi-judicial manner as outlined in this Department's OM dated 13.04.2010 is mandatory before the under consideration ACR/APAR may be placed/considered before/by the DPC.
- xix. In case the representation against entries/grading in APAR is to be considered in this Hqrs office, it may be ensured that all relevant documents (e.g. copies of APAR, comments of Reporting/ Reviewing/ Accepting officer etc.) may invariably be enclosed with the representation.
- xx. A second representation is not provided after the first representation against the entries in APAR has already been disposed of by the competent authority. However, this does not affect the memorial to the President that may be made as per existing instructions if any adverse remarks are subsisting after the decision of the competent authority.



Annexure-B

Guidelines regarding filling of APAR with numerical grading

The following guidelines shall be kept in mind while awarding numerical gradings:

- i. The columns in the APAR should be filled with due care and attention and after devoting adequate time.
- 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 accepting authority will also give overall grade on a score of 1-10.
- iii. 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.
[i.e. $\text{Weightage Average/Overall grade} = (40\% \text{ of mean value of assessment of work output} + 30\% \text{ of mean value of assessment of personal attributes} + 30\% \text{ of mean value of assessment of functional competency})$]
- iv. It is expected that any grading of 1 or 2 (against work output or attributes of 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 and reviewing authorities should rate the officer against a large population of his/her peers that may be currently working under them.
- v. 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.
- vi. APARs graded between 6 and short of 8 will be rated as 'very good' and will be given a score of 7.
- vii. APARs graded between 4 and short of 6 will be rated as 'good' and given a score of 5.
- viii. APARs graded below 4 will be given a score of zero.

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Authority: DOPT OM No. 21011/1/2010-Estt.A (Pt-II) dated 23.07.2009



- xxi. The column provided for irregularity/ punctuality in attendance in the APAR may be filled as per assessment by reporting and reviewing officers and as per the existing provisions the Accepting Officer may exercise its discretion and award **overall grading** accordingly in terms of Para 215, OM Part-I and Hqrs office No. AN/XIII/13128(652)/Vol.XI/Amend OM-I dated 10.01.2006.
- xxii. The remarks against the integrity column shall be made by the reporting officer as per the instruction issued under GI MHA OM No. 51/4/64-Estt (A) dated 21.06.1965 and DOPT O.M. No. 51/5/72-Estt. 'A' dated 20.05.1972. Generally, the integrity column may be remarked as 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 judgement but nothing adverse has been reported to me about the officer.

- xxiii. All the Govt. orders/instructions on preparation, maintenance and completion of APAR issued from time to time shall continue to be followed.

Authority:

- GOI, Dept of Per. & Trg OM No. 21011/8/85-Estt.(A), dated 23-9-1985
- Para 215, 217 of Office Manual Part – I
- Hqrs office letter No. AN/XIII/13128/3/Vol-XI dated 14.12.90
- Hqrs office letter No. AN/XIII/13128(652)/Vol.XI /Amend OM-I dated 10.01.2006
- Hqrs letter No. AN/VIII/0698/SAS Apprentice dated 09.05.2011
- GOI, Dept of Per. & Trg, OM No. 51/3/74--Estt.(A), dated 22.05.1975
- DOP&T OM No.21011/1/2006-Estt. (A) dated 16.1.2006
- O.M. No. 51/5/72-Estt. 'A' dated the 20 .05 1972
- DOP&T OM. No. 12/2/84-PP dated the 17.12. 1986
- DOPT OM No. 21011/1/2010-Estt.A (Pt-II) dated 14.05.2009
- DOPT OM No. 21011/1/2010-Estt.A dated 13.04.2010
- DOPT OM No. 21011/1/2010-Estt.A (Pt-II) dated 23.07.2009
- DOPT OM No. 21011/1/2005-Estt.A (Pt-III) dated 31.01.2014



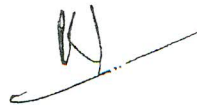
Annexure-C

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

The time schedule as mentioned below may strictly be adhered to:

Sl.	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 (b) 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

Authority: DOPT OM No. 21011/1/2010-Estt.A (Pt-II) dated 23.07.2009



Statement – A

No. AN/XIII/13128/APAR/2010-11

Dated 26.05.2014

SYSTEM OF WRITING OF ANNUAL PERFORMANCE ASSESSMENT REPORT (APARs)

CONTROLLER GENERAL OF DEFENCE ACCOUNTS

Sl.	Category/ Officials reported upon	Reporting officer	Reviewing officer	Accepting officer	CA to consider representation against entries and final grading in APAR	
I	MTS /RC /Clerk /Auditor /Sr. Auditor	1	2	3	4	5
		SO (A)/AAO	AO/SAO/ACGDA/Dy. CGDA/Sr. Dy. CGDA	AO/SAO/ACGDA/Dy. CGDA/Sr. Dy. CGDA	ACGDA/Dy. CGDA/Sr. Dy. CGDA, whosever is immediate superior to the Reviewing Officer	Jt. CGDA /An officer immediate superior to the Accepting Officer
II	Supervisor (A/Cs)/ SO (A) / AAO	AO/SAO/ACGDA/Dy. CGDA/ Sr. Dy. CGDA	AO/SAO/ACGDA/Dy. CGDA/ Sr. Dy. CGDA	ACGDA/Dy. CGDA/ Sr. Dy. CGDA	Dy. CGDA / Sr. Dy. CGDA /Jt. CGDA / Addl. CGDA whosever is immediate superior to the Reviewing Officer.	Jt. CGDA / Addl. CGDA/ An officer immediate superior to the Accepting Officer
III	AO / Sr. AO	i) ACGDA (AT) / Dy. CGDA / Sr. Dy. CGDA (AT) ii) ACGDA (A/Cs & Budget)/ Dy. CGDA /Sr. Dy. CGDA (A/Cs & Budget) iii) ACGDA (AN)/ Dy. CGDA / Sr. Dy. CGDA (AN) iv) ACGDA (EDPs)/ Dy. CGDA / Sr. Dy. CGDA (EDPs) v) ACGDA (Trg)/ Dy. CGDA / Sr. Dy. CGDA (Trg.) vi) ACGDA (IFA)/ Dy. CGDA / Sr. Dy. CGDA (IFA.)	Dy. CGDA /Sr. Dy. CGDA (AT) / Jt. CGDA (AT) Dy. CGDA/Sr. Dy. CGDA (A/Cs & Budget)/ Jt. CGDA (A/Cs & Budget) Dy. CGDA/ Sr. Dy. CGDA (AN)/ Jt. CGDA (AN) Dy. CGDA/Sr. Dy. CGDA (EDPs) / Jt. CGDA (IT) Dy. CGDA/Sr. Dy. CGDA (Trg.) Dy. CGDA/Sr. Dy. CGDA (IFA)/ Jt. CGDA (IFA)	Jt. CGDA (AT) / Addl. CGDA Jt. CGDA (A/Cs & Budget) / Addl. CGDA Jt. CGDA (AN) Jt. CGDA (IT)/Addl. CGDA Jt. CGDA (Trg.) /Addl. CGDA Jt. CGDA (IFA)/Addl. CGDA	Addl. CGDA / CGDA Addl. CGDA / CGDA C. G. D. A. Addl. CGDA / CGDA Addl. CGDA / CGDA Addl. CGDA / CGDA Addl. CGDA / CGDA	

Statement – C Contd

XIII/13128/APAR/2010-11

Dated 26.05.2014

SYSTEM OF WRITING OF ANNUAL PERFORMANCE ASSESSMENT REPORT (APARs)
PRINCIPAL CONTROLLER OF ACCOUNTS (FACTORIES)/CONTROLLER OF FINANCE AND ACCOUNTS (FACTORIES)

Sl.	Category/ Officials reported upon	Reporting officer	Reviewing officer	Accepting officer	CA to consider representation against entries and final grading in APAR
	1	2	3	4	5
IV.					
a.	Accounts Office headed by an Accounts Officer where Jt. CFA/Addl.CFA (Fys.) in-charge of a Group is in position				
	AOs/SAOs I/c	JCFA/ Addl. CFA (Group)	1st GM CFA (Fys) MO	2nd PCA (Fys)	Addl. CGDA
	AOs/SAOs (others)	JCFA/ Addl. CFA (Group)	CFA (Fys) MO	PCA (Fys)	Addl. CGDA
b.	Accounts Office headed by an Accounts Officer where CFA (Fys.) in-charge of a Group is in position				
	AOs/SAOs I/c	i) ACFA/ DCFA/JCFA/ Addl. CFA in the Group under CFA	1st Sr.GM/GM 2nd CFA (Fys)	PCA (Fys)	Addl. CGDA
		ii) CFA Gp. where there is no ACFA/DCFA /JCFA/ Addl.CFA	1st Sr.GM/GM 2nd PCA (Fys) /An officer who is immediate superior to the Reporting Officer	PCA (Fys)	Addl. CGDA
	AOs/SAOs (others)	i) ACFA/ DCFA/JCFA/ Addl. CFA in the Group under CFA	CFA (Fys) group	PCA (Fys)	Addl. CGDA
		ii) CFA Gp. where there is no ACFA/DCFA /JCFA/ Addl.CFA	PCA (Fys)/ /An officer who is immediate superior to the Reporting Officer	PCA (Fys)	Addl. CGDA
c.	Account Office headed by an IDAS officer namely ACFA/DCFA/JCFA/ Addl. CFA (Fys.)				
	AO/SAO	ACFA/DCFA/JCFA/ Addl. CFA	JCFA/ Addl. CFA group	CFA/JCFA CFA group/PCA (Fys)	Addl. CGDA

Note: based on feedback received vide PCA (Fys) No. AN-1/0/18/Vol-XVI dated 05.07.2013 & 04.03.2014

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Statement - C

No. AN/XIII/13128/APAR/2010-11

Dated 26.05.2014

SYSTEM OF WRITING OF ANNUAL PERFORMANCE ASSESSMENT REPORT (APARs)
 PRINCIPAL CONTROLLER OF ACCOUNTS (FACTORIES)/CONTROLLER OF FINANCE AND ACCOUNTS (FACTORIES)

Sl.	Category/ Officials reported upon	Reporting officer	Reviewing officer	Accepting officer	CA to consider representation against entries and final grading in APAR	
		1	2	3	4	5
I	MTS /RC /Clerk /Auditor /Sr. Auditor	SO (A)/AAO	AO/SAO	ACA or ACFA/ DCA or DCFA / JCA or JCFA (Fys) / Addl. C of A or Addl. C of FA (Fys) whosever is immediate superior to the Reviewing Officer	JCA or JCFA /Addl. C of A (Fys) or Addl. C of FA (Fys) or CF&A (Fys)/C of A (Fys.) /Pr. C of A (Fys.)	
II	Supervisor (ACs)/ SO (A) /AAO	AO/SAO /ACA/ACFA/ DCAM/DCFA (Fys) whosever is immediate superior to the officer reported upon	ACA or ACFA /DCFA or JCA or JCFA (Fys) /Addl. CA or Addl. CFA (Fys) whosever is immediate superior to the Reporting Officer	JCA or JCFA (Fys) /Addl. CA or Addl. CFA (Fys) /Pr. C of A (Fys) or Addl. C of A (Fys) whosever is immediate superior to the Reviewing Officer	CFA (Fys) or C of A (Fys.) or Pr. C of A (Fys) / Addl. CGDA whosever is immediate superior to Accepting Officer	
III	AO/SAO	ACA/ACFA/ DCA /DCFA /JCA or JCFA /Addl. CA or Addl. CFA (Fys)	JCA or JCFA /Addl. CA or Addl. CFA (Fys) whosever is immediate superior to the Reporting Officer	CF&A(Fys)/C of A (Fys.) /Pr. C of A (Fys)	Pr. C of A (Fys) /Addl. CGDA	

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Statement – C Contd

No. AN/XIII/13128/APAR/2010-11

Dated 26.05.2014

SYSTEM OF WRITING OF ANNUAL PERFORMANCE ASSESSMENT REPORT (APARs)

Chief Internal Auditor (Ordnance Factories)

Sl.	Category/ Officials reported upon	Reporting officer	Reviewing officer	Accepting officer	CA to consider representation against entries and final grading in APAR
	1	2	3	4	5
1	MTS /RC /Clerk /Auditor /Sr. Auditor	SO(A)/IAO	IAO/SIAO	ACIA (OFs) main office/ACIA(OFs) or DCIA (OFs) acting as RIAO	CIA(OFs)
2	Supervisor (ACs)/ SO (A) / AAO	IAO/SIAO	ACIA (OFs) main office/ACIA(OFs) or DCIA (OFs) acting as RIAO	Jt. CIA (OFs)/ Addl.CIA (OFs)/CIA CGDA	CIA (OFs)/ Addl. CGDA
3	IAO/SIAO	ACIA (OFs) main office/ACIA(OFs) or DCIA (OFs) acting as RIAO	Jt. CIA (OFs)/ Addl.CIA (OFs)	CIA (OFs)	Addl. CGDA

Note: based on feedback received vide CIA (Fys) No. CIA/APAR/44/XXXII dated 01.07.2013

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Statement -D
 No. AN/XIII/13128/APAR/2010-11 Dated 26.05.2014
SYSTEM OF WRITING OF ANNUAL PERFORMANCE ASSESSMENT REPORT (APARs)
PRINCIPAL INTEGRATED FINANCIAL ADVISORS/ INTEGRATED FINANCIAL ADVISORS

Sl.	Category/ Officials reported upon	Reporting officer	Reviewing officer	Accepting officer	CA to consider representation against entries and final grading in APAR
		1	2	3	4
					5
A	Offices headed by Pr. IFA (HAG Level)				
i	Clk/Adr/ Sr. Adr	SO(A)/AAO	AO/SAO	Dy. IFA./Sr. Dy IFA	Jt. IFA/ Addl. IFA
ii	SO(A)/AAO	AO/SAO	Dy IFA./Sr. Dy IFA	Jt. IFA/ Addl. IFA	PIFA
iii	AO/SAO	Dy. IFA./ Sr. Dy IFA	Jt. IFA/ Addl. IFA	PIFA	Addl. CGDA
B	Offices headed by IFA (SAG Level)				
i	Clk/Adr/ Sr. Adr	SO(A)/AAO	AO/SAO	Dy. IFA./Sr. Dy. IFA	Jt. IFA/ Addl. IFA
ii	SO(A)/AAO	AO/SAO	Dy IFA./Sr. Dy IFA	Jt. IFA/ Addl. IFA	IFA
iii	AO/SAO	Dy. IFA./ Sr. Dy IFA	Jt. IFA/ Addl. IFA	IFA	Addl. CGDA
C	Offices headed by IFA (JAG Level)				
i	Clk/Adr/ Sr. Adr	SO(A)/AAO	AO/SAO	Dy. IFA./Sr. Dy. IFA/Jt. IFA	IFA Command
ii	SO(A)/AAO	AO/SAO	Dy IFA./Sr. Dy IFA	Jt. IFA/ Addl. IFA	IFA Command
iii	AO/SAO	Dy. IFA./ Sr. Dy IFA	Jt. IFA/ Addl. IFA	IFA Command	Addl. CGDA
D	Offices headed by IFA (STS/JTS Level)				
i	Clk/Adr/ Sr. Adr	SO(A)/AAO	AO/SAO	Dy. IFA./Sr. Dy. IFA/Jt. IFA/A	IFA Command
ii	SO(A)/AAO	AO/SAO	Dy IFA./Sr. Dy IFA	IFA Command	Addl. CGDA
iii	AO/SAO	Dy. IFA./ Sr. Dy IFA	Jt. IFA/ Addl. IFA	IFA Command	Addl. CGDA
E	Offices headed by IFA (AO/SAO Level)				
i	Clk/Adr/ Sr. Adr	SO(A)/AAO	AO/SAO	Jt. IFA/ Addl. IFA (Command)/ Other HQ	IFA Command
ii	SO(A)/AAO	AO/SAO	Jt. IFA/ Addl. IFA (Command)/ Other HQ	IFA Command	Addl. CGDA
iii	AO/SAO	Dy. IFA./ Sr. Dy IFA	Jt. IFA/ Addl. IFA	IFA (Command) /other HQ	Addl. CGDA/ CGDA

Note: based on feedback received vide IFA Wing vide their UO No. IFA/1 dated 05.09.2011