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Instructions

For Officers upto SAG, HAG and above HAG

1. GENERAL

- 1.1 The APAR is an important document. It provides the basic and vital inputs for assessing the performance of an Officer and to his/her further advancement in his/her career. The Officer reported upon, Reporting, Reviewing and Accepting Authority, should therefore undertake the duty of filling out the form with a high sense of responsibility.
- 1.2 Performance appraisal through APAR should be used as a tool for human resource development. Reporting Authority should realize that the objective is to develop an Officer so that he/she realize his/her true potential. It is not meant to be a fault finding process but a developmental one. The Reporting Authority and the Reviewing Authority should not shy away from reporting short comings in performance, attitudes or overall personality of the Officer reported upon.
- 1.3 The column should be filled with due care and attention and after devoting adequate time. Any attempt to fill the report in a casual and superficial manner will be easily discernible to the higher authorities.
- 1.4 If an APAR for a Financial Year is not recorded by 31st December of the year in which the financial year ended, no remarks may be recorded thereafter and the officer may be assessed on the basis of the overall record and self-assessment for the year, if he has submitted his self-assessment in time.

2. PART I - PERSONAL DATA

- 2.1 This Section Should be filled up in the Administration Division/Personnel Deptt. Period of report could either be the entire reporting year, namely, from 1st of April to 31st March or a part of the year (exceeding 3 months). In case the period of report is a full year, it should be indicated accordingly; for example, 2007-2008. In case the period of report is less than the entire year, specific start and end dates should be indicated, for example, 10th September 2007- 31st march 2008.
- 2.2 Information on the present grade (pay-scale) as well as present post (actual designation and organization) 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 reporting, reviewing and accepting authorities the name and designation of the reporting, reviewing and accepting authorities should be mentioned so that the Officer reported upon is clear about whom he/she is required to send the report to.
- 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 date of filing of property returns and whether the Officer reported upon has reported/reviewed the annual performance report of all his/her subordinates Officers for the previous year.

3. PART II - (TO BE FILLED BY THE OFFICER REPORTED UPON)

- 3.1 Every answer shall be given in a narrative form except where box has been provided. The space in each column indicates the desired length of the answer. Words and

phrases should be chosen carefully and should accurately reflect the intention of the authority recording the answer. Please use unambiguous and simple language.

- 3.2 The Reporting Officer shall, in the beginning of the year, set quantitative/physical/financial targets in consultation with each of the Officers with respect to whom he is required to report upon. Performance appraisal should be a joint exercise between the Officer in the course of the reporting year, such targets/goals shall be set at the time of reported upon and the Reporting Authority as far as practicable. The targets/goals shall be set at the commencement of the reporting year i.e. April. In case an Officer takes up a new assignment assumption of the new assignment.
- 3.3 The targets/goals should be clearly known and understood by both the Officers concerned. While fixing the targets/goals, priority should be assigned item wise, taking into consideration the nature and the area of work and any special features that may be specific to the nature or the area of work. As far as possible, the indices used should be relevant and measurable.
- 3.4 Although performance appraisal is a year-end exercise. In order that it may be a tool for human resource development, the Reporting Authority and the Officer reported upon should meet during the course of the year at the regular intervals to review the performance and to take necessary corrective steps. Review should confirm understanding of goals and targets.
- 3.5 It should be the endeavour of each appraiser to present the truest possible picture of the appraisee in regard to his/her performance, conduct, behavior and potential.
- 3.6 Assessment should be confined to appraisee's performance only during the period of report. This will be possible if the Report is submitted soonest after the concerned period.
- 3.7 Some posts of the same rank may be more exacting than others. The degree of stress and strain in any post may also vary from time to time. These facts should be borne in mind during appraisal and should be commented upon appropriately.
- 3.8 **Training**
Item 5 of part II which deals with the training preference of officer for current and future assignments may be sent to the Training Directorate in Railway Board for planning the training of the officer accordingly.
- 3.9 **Medical Examination**
This Section(Part III in APAR above SAG) provides for regular annual medical examination. The health checkup is mandatory for all Officers above the age of 40 and may be totally dispensed with Officers below the age of 40, except in case of medical incident.
- 3.10 This Section (Part-II in APAR upto SAG) also requires the Officer reported upon to record certain certificates about submission of property returns, annual medical checkup and setting up of annual work plan for whom he/she would be the reporting authority.

4. Part -III REMARKS OF THE REPORTING AUTHORITY

- 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 The reporting authority is also required to record a numerical grade in respect of work output, personal attributes and functional competencies.

4.3 Integrity

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 :

1. If the Officer's integrity is beyond doubt, it may be so stated.
2. If there is any doubt or suspicion, the item should be left blank and notion taken as follows:
 - (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. Where it is not possible either to certify the integrity or to record the secret note, the Reporting Authority should state either that he had not watched the Officer's work for sufficient time to form a definite Judgement, 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 doubt or suspicions are cleared, the integrity should be certified and an entry made accordingly in the Confidential 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 the earlier action taken as indicated at (b) and (c) above.

5. Part IV- REMARKS OF THE REVIEWING AUTHORITY

5.1 This Part 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 Officer. 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 case of agreement, he/she should fill in the column meant for him/her in the attributes/work output tables and put initials in the given column.

6. Part V - REMARKS OF THE ACCEPTING AUTHORITY

6.1 This Part 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 authorities. 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 the table in Section V. Finally, the Accepting Authority is required to record an overall grade in the scale of 1-10.

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 (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, 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.

7.2 Weightage

Weightages have been assigned to work output, personal attributes and functional competency. The overall grade will be based on the addition of the weighted average of each group indicators in proportion to weightage assigned

8. Disclosure

8.1 There should be more openness in the system of appraisal. The Annual PAR, including the overall grade and integrity, should be communicated to the Officer reported upon after it has been finalized by the accepting authority.

9. Representation

9.1 The Officer reported upon may have the option to give his comments on the PAR. Such comments may be restricted to the specific factual observations contained in the Performance Appraisal Report leading to the assessment of the Officer in terms of attributes, competency and output. If comments are submitted, officer one level higher to the Accepting Authority in consultation with the Reporting/Reviewing/Accepting Authority would have the option to accept them and modify the PAR accordingly. If the comments are not accepted, the views of the Competent Authority (one level higher to Accepting Authority) would be communicated with reasons to the Officer reported upon.

9.2 For Junior and Senior scale officers, the APAR representations will be put up for finalization at the level of GM with the remarks of Reporting, Reviewing and Accepting Authority/One level higher to the Accepting Authority.

b) For JA Grade and Selection Grade Officers, APAR representation will be put for finalization at the level of functional Member/One level higher to the Accepting Authority with the remarks of Reporting, Reviewing and Accepting Authority.

c) For SAG Officers with less than 23 years of completed service, APAR representation will be put up for finalization at the level of Functional Member/One level higher to the Accepting Authority with the remarks of Reporting, Reviewing and Accepting Authority.

d) For SAG Officers with more than 23 years of completed service, where Functional Member is the Accepting Authority, APAR representation will be put up for finalization at the level of CRB/One level higher to the Accepting Authority with the remarks of Reporting, Reviewing and Accepting Authority.

e) For SAG/HAG & above, where MR is the Accepting Authority, the APAR representation will be put up for finalization to MR with the recommendations of three Members including the Functional Member of the service to which the officer belongs and Member Staff.

Once a representation is finalized as per the above procedure, no further appeal/memorial etc. shall be allowed.

Sample Numerical Calculation of Management Qualities (Up to SAG)

B. Management Qualities

3. Assessment of Work out put (This assessment should rate the Officer vis-a-vis his peers and not the general population. Grades should be assigned on a scale of 1-10 in whole numbers, with 1 referring to the lowest grade and 10 to the best grade. Weightage to this Section will be 40%).

		Reporting Authority	Reviewing Authority	Initials of Reviewing Authority
i	Accomplishment of planned work including training courses for various ranks.	8		
ii	Quality of output and effectiveness	7		
iii	Accomplishment of exceptional work/unforeseen tasks performed Overall	7		
	Grading on 'Work Output'	7.3*		

Calculated as $*[(8+7+7)/3=7.3]$

4. Assessment of Personal Attributes (on a scale of 1-10. Weightage to this Section will be 30%)

		Reporting Authority	Reviewing Authority	Initials of Reviewing Authority
i	Attitude to work	9		
ii	Sense of responsibility	8		
iii	Emotional stability	7		
iv	Communication Skills	8		
v	Moral courage and willingness to take professional stand	6		
vi	Leadership qualities	7		
vii	Capability to work in time limit	10		
	Overall Grading on Personal Attributes	7.8*		

Calculated as $*[(9+8+7+8+6+7+10)/7=7.8]$

5. Assessment of Functional Competency (on a scale of 1-10. Weightage to this Section will be 30%)

		Reporting Authority	Reviewing Authority	Initials of Reviewing Authority
i	Knowledge of laws/rules/procedures/knowledge of area and terrain	9		
ii	New technology innovation/IT skills	8		
iii	Strategic planning ability	8		
iv	Decision making ability	7		
v	Initiative	9		
vi	Ability to motivate and develop subordinates/work in a team/human resource development	10		
vii	Safety consciousness	9		
	Overall Grading on Personal Attributes	8.6*		

Calculated as $*(9+8+8+7+9+10+9)/7=8.6]$

11. Overall grade (on a score of 1-10).

7.8

Calculated on weighted average as $[(7.3 \times 0.4) + (7.8 \times 0.3) + (8.6 \times 0.3) = 7.8]$