

DELHI POLLUTION CONTROL COMMITTEE

Annul Performance Appraisal Reports
(Applicable for Senior Law Officer/ Sr. Administrative Officer/Administrative Officer/ Finance & Accounts Officer/Law Officer)

Annual Performance Appraisal Report for the period from _____ to _____

Section I – Basic Information

[To be filled in by the Administration Division (Personnel)]

1. Name of the officer reported upon (in block letters):

2. Present post:/Grade:

3. Pay Band and Grade Pay:

Pay Band	Grade Pay	Basic Pay	Grade Pay

4. Date of Birth:

5. Date of appointment to the present post/grade:

6. Qualifications (Academic, Professional, Technical):

7. Division is which working and the duration:

Division	Duration	
	From	To

8. Reporting and Reviewing Authorities:

	Name & Designation	Period worked
Reporting Authority		
Reviewing Authority		

9. Period of absence from duty:

	Period	Type	Remarks
On Leave (specify type)			
Others (specify)			

10. Details of APARs of officers not written by the officer as reporting/reviewing authority for the previous year:

S. No.	Name of the officers	Period for which APARs have not been written	Period for which APARs have not been reviewed.
1			
2			
3			
4			

11. Date of filing the property return for the year ending December :

Signature on behalf of _____

Admn(Personnel)

Date:

Section II – Self Appraisal

1. **Brief description of duties:**
(Objectives of the position you hold and the tasks you are required to perform, in about 100 words)

2. Please specify objectives/targets/goals (in quantitative or other terms) of work you set for yourself or that were set for you, eight to ten items of work in the order of priority and your achievement against each target. (Example: Annual Action Plan of your Division)

Targets/Objectives/Goals	Achievements

3. During the period under report, do you believe that you have made any exceptional contribution, e.g. successful completion of an extraordinarily challenging task or major systemic improvement (resulting in significant benefits to the public and/or reduction in time and costs)? If so, please give a verbal description (within 100 words):

4. What are the factors that hindered your performance?

5. Please indicate specific areas in which you feel the need to upgrade your skills through training programmes:

For the current assignment:
For your future career

6. Training Programmes attended:

Date from	Date to	Institute	Level of participation	Subject

7. Declaration

Have you filed your immovable property return, as due? If yes, please mention date.	Yes/No	Date
Have you set the annual work plan for all officers for the current year, in respect of whom you are the reporting authority?	Yes/No	

{Please Note: You should send an updated CV, including additional qualifications acquired/ training programs attended/ publications/ special assignments undertaken, in a prescribed proforma, to the Admn. (Personnel), once in 3 years, so that the records available with them remain updated.}

Signature of officer reported upon _____

Date:

Section III - Appraisal

1. State of Health:

2. Please state whether you agree with the responses relating to the accomplishments of the work plan and unforeseen tasks as filled out in Section II. If not, please furnish factual details.

3. Please comment on the claim (if made) of exceptional contribution by the officer reported upon.

4. Has the officer reported upon met with any significant failures in respect of his work? If yes, please furnish factual details.

5. Do you agree with the skill up-gradation needs as identified by the officer?

6. Assessment of work output: (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			
ii. Quality of output			
iii. Accomplishment of exceptional work / unforeseen tasks performed			
Overall Grading on 'Work Output'			

7. 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			
li Sense of responsibility			
lii Overall bearing and personality			
lv Emotional stability			
V Communication skills			
vi Moral courage and willingness to take a professional stand			
vii. Leadership qualities			
viii. Capacity to work in time limit			
Overall Grading on Personal Attributes			

8. 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/ IT skills and awareness of the local norms in the relevant area			
ii. Strategic planning ability			
iii. Decision making ability			
iv. Initiative			
v. Coordination ability			
vi. Ability to motivate and develop subordinates / work in a team.			
Overall Grading on 'Functional competency'			

9. Integrity: Please comment on the integrity of the officer:

10. Pen picture by Reporting Officer. Please comment (in about 100 words) on the overall qualities of the officer including areas of strengths and lesser strengths and his attitude towards weaker sections.

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

Date:

Signature of Reporting Authority _____

Section IV – Review

1. Do you agree with the assessment made by the reporting officer with respect to the work output and the various attributes in section III? Do you agree with the assessment of the reporting officer in respect of extraordinary achievements and/or significant failures of the officer reported upon? (In case you do not agree with any of the numerical assessments of attributes please record your assessments in the column provided for you in that section and initial your entries).

Yes	No
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2. In case of difference of opinion details and reasons for the same may be given.

3 Pen picture by Reviewing Officer: Please comment (in about 100 words) on the overall qualities of the officer including areas of strengths and lesser strengths and his attitude towards weaker sections.

4 Overall grade on a scale of 1-10:

Date:

Signature of Reviewing Authority _____

General guidelines for filling up the APAR form

1. Introduction

1.1. The Annual Performance Appraisal Report (APAR) is an important document, which provides the basic and vital inputs for further development of an officer. The officer reported upon, the Reporting Authority and the Reviewing 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 objective is to develop an officer so that he/she realises his/her true potential. It is not meant to be a faultfinding process but a developmental tool. The Reporting Authority and the Reviewing Authority should not shy away from reporting shortcomings in performance, attitudes or overall personality of the officer reported upon.

2. Section-I

2.1. This Section should be filled up in the Administration Division (Personnel). Period of report could 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, 2009-2010. In case the period of report is less than the entire year, specific start and end dates should be indicated, for example, 10th September 2009 – 31st March 2010.

2.2. In the table relating to reporting and reviewing authorities the name and designation of the reporting and reviewing authorities should be mentioned so that the officer reported upon is clear about whom he/she is required to send the report.

2.3 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. Date of filing of property returns and whether the officer reported upon has reported/reviewed the annual performance report of all his/her subordinate officers for the previous year should be mentioned in the table for the purpose.

3. Section-II

3.1 The officer reported upon is first required to give brief description of his/her duties and responsibilities, which would normally not exceed about 100 words. 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 officer. The work plan should incorporate the relative annual work rhythm and budgetary cycle. This exercise is to be carried out at the beginning of the year and finalized by 30th April, positively. In case of a change of the reporting officer during the year, the work plan agreed with the previous reporting officer 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 annual 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 Section-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 Section II also provides an opportunity for the officer to reflect upon his/her performance during the year and indicate items in which he/she thinks to have made significant contributions during the year. It is always possible for any officer to make significant contribution even in activities otherwise regarded as routine in nature. Examples of such contribution may be the successful organization of a major event or successful conclusion of an activity that has been going on for a long time, or even successful dealing of an emergency would certainly be an exceptional contribution.

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 There is an increased emphasis on competency building in the new annual performance appraisal and career progression system. There would be a premium on competency and skill

upgradation. Hence, all officers are advised, through a note in Section II, to keep the competent authority informed, at least once in three years, of all educational and training programs attended, including the details of marks/grades secured in such programs, details of professional papers published. These can be taken into account in the future career progression.

3.9 This Section also requires the officer reported upon to record certain certificates about submission of property returns and setting up of annual work plan for whom he/she would be the reporting authority.

4. Section-III

4.1 Section III requires the reporting authority to comment on Section II as filled out by the officer reported upon, and specifically state whether he/she is in agreement with the accomplishment of work plan and unforeseen tasks, as mentioned by the officer reported upon. He is also required to mention about scientific and technical achievements as also training programmes attended by the officer.

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 output 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 personal attributes and functional competencies.

4.5 Section 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 APAR 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 Officer should state either that he/she had not watched the officer's work for sufficient time to form a definite judgement 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 Assessment Reports.
 - (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 officers 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. The pen-picture is also meant to be a qualitative supplement to the quantitative assessments made in earlier part of this section.

4.7 Finally, the reporting authority is required to record an overall grade. This should also be done on a scale of 1-10, with 1 referring to the lowest grade and 10 to the highest.

5. Section-IV

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 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 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. Finally he/she is required to record an overall grade in the scale of 1-10.

6. Numerical Grades:

6.1. 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.

6.2. 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.

6.3. APARs graded between 6 and short of 8 will be rated as 'very good' and will be given a score of 7.

6.4. APARs graded between 4 and short of 6 will be rated as 'good' and given a score of 5.

6.5. APARs graded below 4 will be given a score of zero.

7. Weightage & Mean:

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

8. Disclosure:

8.1 The APAR, including the overall grade and integrity, should be communicated to the officer reported upon after it has been finalised.

8.2. Representation: 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 APAR leading to the assessment of the officer in terms of attributes, competency and output. If comments are submitted, the Reporting/Reviewing Authority would have the option to accept them and modify the APAR accordingly. If the comments are not accepted, the views of the Reporting/Reviewing Authority would be communicated with reasons to the officer reported upon.

9. Representation against the adverse remarks:

9.1 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 authority 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.

9.2. 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 decisions of the competent authority by the concerned Section.

10. Schedule for completion of APARs:

10.1 The following schedule should be strictly followed: -

Reporting Year – Financial Year

S. No.	Activity	Date by which to be completed
1.	Distribution of blank APAR forms to all concerned	31 st March (This may be completed even a week earlier)
2.	Submission of self-appraisal to reporting officer by the officer reported upon	15 th April
3.	Submission of report by reporting officer to reviewing officer	30 th June
4.	Completion of report by Reviewing Officer and submission to Administrative Officer (P)	31 st July
5.	Disclosure to the officer reported upon	1 st September
6.	Receipt of representation, if any, on the APAR by the officer reported upon	15 days from the date of receipt of communication
7.	Forwarding of representation to the competent authority	21 st September
8.	Disposal of representation by the competent authority	Within one month from the date of receipt of representation
9.	Communication of the decision of the competent authority on	15 th November

	the representation by the AO (Pers) Division to the officer reported upon.	
10.	End of entire APAR process, after which the Reports will be finally taken on record	30 th November

10.2. If the APAR is not initiated by the Reporting Officer for any reason beyond 30th June of the year in which the financial year ended, he shall forfeit his right to enter any remarks in the APAR of the officer to be reported upon and shall submit all APARs held by him for reporting to the Reviewing Officer on the next working day. Similarly, the Reviewing Officer shall also forfeit his right to enter any remarks in the APAR beyond 31st August of the year in which the financial year ended. In the month of October, A.O.(P) Division shall bring to the notice of the CCB names of those Reporting and Reviewing Officers who have failed to initiate/ review the APARs even by 30th June or 31st August, as the case may be. The CCB may direct to call for the explanation of the concerned officers for not having performed the public duty of writing the APARs within the due date and in the absence of proper justification direct that a written warning for delay in completing the APAR be placed in the APAR folder of the defaulting officer concerned.

10.3. In case the remarks of the Reporting Officer or Reviewing Officer, as the case may be, have not been entered in the APAR due to the concerned officer forfeiting his right to make any entry, a certificate to this effect shall be added in his APAR for the relevant period. In case both the Reporting Officer and Reviewing Officer had forfeited their rights to enter any remarks, the APAR format with the self appraisal given by the Officer to be reported upon will be placed in his APAR Dossier.