

PERFORMANCE APPRAISAL FORM

FOR

(BOARD LEVEL EXECUTIVES IN PSU'S)

FOR THE YEAR ENDING 31.3.200....**PERSONAL DATA :**

(To be filled in by the Appraisee/Personnel Deptt.)

NAME OF PSU :

NAME:

EMPLOYEE No. :

DESIGNATION :

UNIT / LOCATION

QUALIFICATION : (Academic & Professional)
--

DATE OF JOINING THE BOARD :

DATE OF BIRTH :

DATE OF RETIREMENT:

PAST POSITIONS HELD

FROM	TO	PSU/UNIT/ LOCATION	POSITION HELD	KEY RESPONSIBILITIES

PART I : PERFORMANCE

A : PERFORMANCE PLAN AND MID YEAR REVIEW

Key Performance Areas together with measures/indicators and max. marks to be jointly agreed upon between the Appraiser and Appraisee at the beginning of the review period and then filled in the format given below:

PERFORMANCE PLAN		MID YEAR REVIEW		
Key performance Areas	Measures/ Indicators	Maximum Marks	Actual Achievement (given by appraisee)	Review by Appraiser
1. MOU Performance*	Company Rating	25
2.				
3.				
4.				
5.				
6.				
7.				
8.				

Signature of the Appraisee

Signature of the Appraiser
(CMD)

B : YEAR END PERFORMANCE REVIEW

The KPAs and measures after incorporating changes, if required, will be recast from the previous page and year-end review will be carried out.

		YEAR-END REVIEW			
Key Performance Areas	Measures/ Indicators	Max. Marks	Actual Achievement (given by Appraiser)	Review (by Appraiser)	Marks * Awarded
1. MOU Performance	Co. Rating	25	----	----	----
2.					
3.					
4.					
5.					
6.					
7.					
8.					

Total Performance Marks for the year (Prorated to total Marks of 50) Total Marks Obtained X 50 =
Total Maximum marks

SIGNATURE OF THE APPRAISEE

SIGNATURE OF THE APPRIASER
(CMD)

* The Column 'Marks Awarded' will be filled only by the Appraiser (CMD)

** To be awarded on the basis of final MOU Rating of the company for that year

PERFORMANCE REVIEW SHEET

COMMENTS ON PERFORMANCE AND REVIEW DISCUSSIONS IF ANY BY
APPRASER (CMD) INCLUDING NEED FOR TRAINING AND DEVELOPMENT

SIGNATURE OF THE APPRIASER

PART II - COMPETENCIES

(This section consists of functional/technical and managerial competencies required for successful performance in the job)

	Competencies	Ratings 1-2-3-4-5
1.	Business Environment Knowledge – Knowledge and understanding of economic, legal, socio political trends.	
2.	Function Related Knowledge – Knowledge related to profession as a whole. Knowledge which is determined by authority and responsibility of other positions, knowledge of mission, values and standard operating procedures, policies.	
3.	Making Business Decision – Use business related data to support effective and timely business decisions by *systematically gathering relevant business information *identifying the strengths and weaknesses of a particular business line *recognising opportunities or threats and acting on them rapidly *using business facts collected in daily decision making.	
4.	Vision – Develop a vision for the future of the organization by *grasping the meaning of trends and interrelationships between the organization and its environment at the local, national and international level, identifying fundamental values and beliefs to guide the organization into the future.	
5.	Systematic Thinking – Identifying connections between situations that are not obviously related *using common sense, past experience and basic rules to identify key underlying issues *generating and testing hunches which may explain complex situations or problems.	
6.	Networking – To cultivate an informal network which may help to get things done through *developing contacts with people outside of the immediate work unit *using networks as a source of information and support.	
7.	Organising Resources – Ensure that all financial, personnel and/or other resources are in place to meet needs by ‘identifying and acquiring the resources *allocating and utilising the resources in a timely and cost effective way *monitoring and controlling all resources required to maintain the efficiency of operations, Multi functional understanding.	
8.	Inspire People – To generate a sense of purpose for the work done by the organisation through instilling enthusiasm, loyalty and commitment among team members at all levels of the organisations *inspiring, motivating and guiding others toward organisational goals and objectives *setting an example for others by behaving in ways that are consistent with espoused beliefs and values and the organisation’s vision and direction.	
9.	Team Player – To contribute to group objectives in a team environment through *cooperating and interacting well with others, contributing actively and fully to team projects, *working collaboratively as opposed to competitively with others, *acknowledging diverse opinions, addressing relevant concerns and working towards consensual solutions that enhance the output of the team.	

Rating on Competencies = $\frac{\text{Total of all ratings} \times 20}{45}$
(Prorated to 20 marks)

Signature of the Appraiser

PART - III : VALUES

(This section consists of Values which are to be demonstrated in day to day activities)

	VALUES	RATINGS 1-2-3-4-5
1.	Fairness - Decisions are made objectively, free from patronage and reflect the just treatment of employees and applicants	
2.	Transparency – There is open communication about every aspect of managerial decisions which concern people.	
3.	Trust – Trustworthiness leading to confidence *allow staff the freedom to grow and develop *Relate to others on the basis of mutual respect *courage to stand by your convictions.	
4.	Candour – Frank and forthright *Give and receive constructive criticism/suggestions *openly discuss performance deficiencies and take corrective action *Appreciate good performance *be consistent in words and deeds *face up to your mistake.	
5.	Collaboration – working tandem *Be open in sharing information and in seeking suggestions/opinion *Be sensitive to concerns of others Honour your commitment *encourage team work across departments/function.	
6.	Involvement : Total commitment *Be dedicated and committed to work Build commitment by encouraging wide participation in decision making process to the maximum extent possible.	
7.	Flexibility : Ability to participate and adapt to changing circumstances using sound judgement, *Be open to accepting new ideas *Be willing to learn from anyone and to do things differently *Be prepared to operate and adapt to different environments.	
8.	Willingness to accept challenge : *Be willing to experiment, *Allow for freedom to fail, but learn from it too.	
9.	Discipline : Adherence to accepted norms *Honours the promises, and adhere to agreed system *respect for others time and space *Exercise self control.	
10.	Ethical Behaviour : Demonstrate honesty and sincerity in every action *Apply sound business and professional ethics *Show consistency with principles, values and behaviours.	

Ratings on Values
(Prorated to 15 marks)

$\frac{\text{Total of all the Ratings} \times 15}{50}$

Signature of the Appraiser

PART IV : POTENTIAL APPRAISAL

(This section consists of Attributes which are to be demonstrated in day to day activities. Attributes would represent the core values required for Board level positions)

	GENERIC ATTRIBUTES	RATINGS 1-2-3-4-5
1.	Leadership Abilities : Demonstrates ability *for guiding collective decision making *for succession planning *Crisis Management and *ability to take risks.	
2.	Team Building : Demonstrates effectiveness in re- organising his/her own department *manage diverse and divergent views and group processes without losing sight of objectives.	
3.	Ability to build a Strategic Vision : *Demonstrates ability to manage change *Focus on long term issues *Strategic thinking *Translate Vision into goals.	
4.	Business Sense : *Commitment to bottomline results by enhancing revenue generation by addressing interest of customers and stakeholders *Balancing need for viable short and long term performance *Optimising unit/ organisation's contribution while supporting Corporate objectives *Spotting and pursuing new business opportunities wherever possible.	
5.	Communication Skills : Communicate ideas and information effectively and market key points effectively through public speaking and presentation, ability to convert ideas through action plan and ensure acceptability within the organisation and performance at Board meetings.	

Ratings on Potential = $\frac{\text{Total of all the ratings} \times 15}{25}$

(Prorated to 15 marks)

Signature of the Appraiser

Appraiser's Comments on Potential Suitability

The Appraiser will indicate suitability of the Appraisee for higher Positions or horizontal movement in different functions/Organisations and/or suitability for any specific or particular Sector or further continuance.

Signature

PERFORMANCE & POTENTIAL PROFILE

Final Marks Scored

		Total Marks	Marks Scored
PART-I	PERFORMANCE	50	
PART-II	COMPETENCIES	20	
PART-III	VALUES	15	
PART-IV	POTENTIAL	15	
	TOTAL	100	

Name of Appraiser (CMD)

Date :

Signature

Comments of Reviewing Officer (Secretary)

Date :

Signature

Comments of Accepting Authority (Minister)

Date :

Signature

Space for Administrative Use

PERFORMANCE APPRAISAL FORM

FOR

(BELOW BOARD LEVEL EXECUTIVES IN PSU'S)

FOR THE YEAR ENDING 31.3.200....

PERSONAL DATA :

(To be filled in by the Appraisee/Personnel Deptt.)

NAME OF PSU :

NAME:

EMPLOYEE No. :

DESIGNATION :

UNIT / LOCATION

QUALIFICATION : (Academic & Professional)

DATE OF JOINING :

DATE OF BIRTH :

DATE OF RETIREMENT:

PAST POSITIONS HELD

FROM	TO	PSU/UNIT/ LOCATION	POSITION HELD	KEY RESPONSIBILITIES

PART I : PERFORMANCE

A : PERFORMANCE PLAN AND MID YEAR REVIEW

Key Performance Areas together with measures/indicators and max. marks to be jointly agreed upon between the Appraiser and Appraisee at the beginning of the review period and then filled in the format given below:

PERFORMANCE PLAN		MID YEAR REVIEW		
Key performance Areas	Measures/ Indicators	Maximum Marks	Actual Achievement (given by appraisee)	Review by Appraiser
1. MOU Performance*	Company Rating	25
2.				
3.				
4.				
5.				
6.				
7.				
8.				

Signature of the Appraisee

Signature of the Appraiser

(CMD)

B : YEAR END PERFORMANCE REVIEW

The KPAs and measures after incorporating changes, if required, will be recast from the previous page and year-end review will be carried out.

		YEAR-END REVIEW			
Key Performance Areas	Measures/ Indicators	Max. Marks	Actual Achievement (given by Appraiser)	Review (by Appraiser)	Marks * Awarded
1.MOU Performance	Co. Rating	25	----	----	----
2.					
3.					
4.					
5.					
6.					
7.					
8.					

Total Performance Marks for the year
(Prorated to total Marks of 50)

Total Marks Obtained X 50 =
Total Maximum marks

SIGNATURE OF THE APPRAISEE

SIGNATURE OF THE APPRIASER

* The Column 'Marks Awarded' will be filled only by the Appraiser (CMD)

PERFORMANCE REVIEW SHEET

COMMENTS ON PERFORMANCE AND REVIEW DISCUSSIONS IF ANY BY
APPRAISER (CMD) INCLUDING NEED FOR TRAINING AND DEVELOPMENT

SIGNATURE OF THE APPRIASER

PART - III : VALUES

(This section consists of Values which are to be demonstrated in day to day activities)

	VALUES	RATINGS 1-2-3-4-5
1.	Fairness - Decisions are made objectively, free from patronage and reflect the just treatment of employees and applicants	
2.	Transparency – There is open communication about every aspect of managerial decisions which concern people.	
3.	Trust – Trustworthiness leading to confidence *allow staff the freedom to grow and develop *Relate to others on the basis of mutual respect *courage to stand by your convictions.	
4.	Candour – Frank and forthright *Give and receive constructive criticism/suggestions *openly discuss performance deficiencies and take corrective action *Appreciate good performance *be consistent in words and deeds *face up to your mistake.	
5.	Collaboration : working in tandem *Be open in sharing information and in seeking suggestions/opinion *Be sensitive to concerns of others Honour your commitment *encourage team work across departments/function.	
6.	Involvement : Total commitment *Be dedicated and committed to work Build commitment by encouraging wide participation in decision making process to the maximum extent possible.	
7.	Flexibility : Ability to participate and adapt to changing circumstances using sound judgement, *Be open to accepting new ideas *Be willing to learn from anyone and to do things differently *Be prepared to operate and adapt to different environments.	
8.	Willingness to accept challenge : *Be willing to experiment, *Allow for freedom to fail, but learn from it too.	
9.	Discipline : Adherence to accepted norms *Honours the promises, and adhere to agreed system *respect for others time and space *Exercise self control.	
10.	Ethical Behaviour : Demonstrate honesty and sincerity in every action *Apply sound business and professional ethics *Show consistency with principles, values and behaviours.	

Ratings on Values
(Prorated to 15 marks)

$$= \frac{\text{Total of all the Ratings} \times 15}{50}$$

Signature of the Appraiser

PART IV : POTENTIAL APPRAISAL

(This section consists of Attributes which are to be demonstrated in day to day activities. Attributes would represent the core values required for Board level positions)

	GENERIC ATTRIBUTES	RATINGS 1-2-3-4-5
1.	Leadership Abilities : Demonstrates ability *for guiding collective decision making *for succession planning *Crisis Management and *ability to take risks.	
2.	Team Building : Demonstrates effectiveness in re- organising his/her own department *manage diverse and divergent views and group processes without losing sight of objectives.	
3.	Ability to build a Strategic Vision : *Demonstrates ability to manage change *Focus on long term issues *Strategic thinking *Translate Vision into goals.	
4.	Business Sense : *Commitment to bottomline results by enhancing revenue generation by addressing interest of customers and stakeholders *Balancing need for viable short and long term performance *Optimising unit/ organisation's contribution while supporting Corporate objectives *Spotting and pursuing new business opportunities wherever possible.	
5.	Communication Skills : Communicate ideas and information effectively and market key points effectively through public speaking and presentation, ability to convert ideas through action plan and ensure acceptability within the organisation and performance at Board meetings.	

Ratings on Potential
(Prorated to 15 marks)

$$= \frac{\text{Total of all the ratings} \times 15}{25}$$

Signature of the Appraiser

Appraiser's Comments on Potential Suitability

The Appraiser will indicate suitability of the Appraisee for higher Positions or horizontal movement in different functions/Organisations and/or suitability for any specific or particular Sector or further continuance.

Signature

PERFORMANCE & POTENTIAL PROFILE

Final Marks Scored

		Total Marks	Marks Scored
PART-I	PERFORMANCE	50	
PART-II	COMPETENCIES	20	
PART-III	VALUES	15	
PART-IV	POTENTIAL	15	
	TOTAL	100	

Name of Appraiser	
Date :	Signature

Comments of Reviewing Officer (Director)	
Date :	Signature

Comments of Accepting Authority (CMD)	
Date :	Signature

Space for Administrative Use	
------------------------------	--

**ANNUAL CONFIDENTIAL REPORT ON REPORT ON PERFORMANCE OF CHIEF
EXECUTIVES OF MOU SIGNING PUBLIC ENTERPRISES****FOR THE YEAR ENDING 31ST MARCH 20__****PART-I PERSONAL DATA**
(To be filled by Administrative/Personnel Office)

1.	Name
2.	Date of Birth
3.	Brief Academic & Professional Qualification
4.	a) Post held b) Date of continuous appointment in the present post c) Present pay and scale of pay d) Date of continuous appointment in the present enterprise
5.	Date of first appointment in a public enterprise and the scale of pay the post on first appointment

PART-II PERFORMANCE REPORT

A. REMARKS OF THE REPORTING OFFICER

WEIGHT	SCORE	WEIGHTED SCORE (SCORE x WEIGHT)
--------	-------	------------------------------------

1. Quantitative Factors

i. MOU Performance

0.75		
------	--	--

ii. Qualitative Factors (The performance of the appraise should be rated on 5 point rating scale, Ratings are to be given in numbers 1 to 5 in the space provided. Here 1 represents "Excellent" "2" very good", 3 "good", 4 "average" and 5 "poor")

1. Vision & Strategic Management

(Ability to perceive future development, identify challenges and develop strategic measures)

0.03		
------	--	--

2. Entrepreneurial Leadership

(Ability to inspire, motivate, guide & lead people to achieve business plan)

0.03		
------	--	--

3. Team Building

(Ability to carry the team along and provide cohesion among the top management)

0.03		
------	--	--

4. Innovation

(Ability to take risk and experiment in all spheres of organizational activities)

0.03		
------	--	--

5. Problem Analysis & Decision Making

(Ability to anticipate problems, diagnosis and quality of decision)

0.03		
------	--	--

- | | | | |
|--|------|--|--|
| 6. Empowerment
(Ability to delegate, empower and develop subordinates) | 0.02 | | |
| 7. Awareness of Social & Economic Factors Relevant to Decision Making
(Ability to scan the environment & assess implications on decision making) | 0.02 | | |
| 8. Initiating & Managing Change
(Ability to be an effective change-agent) | 0.02 | | |
| 9. Boundary Management
(Ability to influence interfacing groups stakeholders & other agencies) | 0.02 | | |
| 10. Communication
(Ability to be articulate) | 0.02 | | |

TOTAL WEIGHTED SCORE
(i.e. Composite Score)

Integrity (Please mark ())

Beyond Doubt

Doubtful

If doubtful, evidence/details may be given

Signature of Reporting Officer

Name _____

Designation _____

Date

B. REMARKS OF THE REVIEWING OFFICER

WEIGHT	SCORE	WEIGHTED SCORE (SCORE x WEIGHT)
--------	-------	------------------------------------

I Quantitative Factors

1. MOU Performance

0.75		
------	--	--

II Qualitative Factors (The performance of the appraise should be rated on 5 point rating scale, Ratings are to be given in numbers 1 to 5 in the space provided. Here 1 represents "Excellent" "2" very good", 3 "good" 4 "average" 5 "poor")

1 Vision & Strategic Management

(Ability to perceive future development, identify challenges and develop strategic measures)

0.03		
------	--	--

2 Entrepreneurial Leadership (Ability to inspire, motivate, guide & lead people to achieve business plan)

0.03		
------	--	--

3 Team Building (Ability to carry the team along and provide cohesion among the top management)

0.03		
------	--	--

4. Innovation (Ability to take risk and experiment in all spheres of Organizational activities)

0.03		
------	--	--

5 Problem Analysis Decision Making (Ability to anticipate problems, diagnosis and quality of decision)

0.03		
------	--	--

6.	Empowerment (Ability to delegate Empower and Develop subordinates)	0.02		
7.	Awareness of Social & Economic Factors Relevant to Decision Making (Ability to scan the environment & assess implication on decision making)	0.02		
8.	Initiating & Managing Change (Ability to an effective change- agent)	0.02		
9.	Boundary Management (Ability to influence interfacing groups stakeholders & other agencies)	0.02		
10.	Communication (Ability to be articulate)	0.02		

TOTAL WEIGHTED SCORE
(i.e. Composite Score)

III. Remarks of the Reviewing Officer
(The potentiality of the officer to succeed the Chief Executive should be specifically mentioned)

Signature of Reviewing Officer

Designation _____

Date

Observations of the Minister

Signature

Name _____

Date

**AN ILLUSTRATION OF THE CALCULATING PROCEDURE FOR THE
COMPOSITE SCORE IN THE APRs OF MOU SIGNING PSE CHIEF
EXECUTIVES**

FOR THE YEAR ENDING 31ST MARCH 20_____

PART II – PERFORMANCE REPORT

A. REMARKS OF THE REPORTING OFFICER:

	SCORE	WEIGHTED SCORE (RATING x WEIGHT)
I, Quantitative Factors		
1. MOU Performance		
	0.75	1.40
		1.05
II. Qualitative Factors (The performance of the appraise should be rated on 5 point rating scale, Ratings are to be given in numbers 1 to 5 in the space provided. Here 1 represents "Excellent", 2 "very good", 3 "good", 4 "average" and 5 "poor")		
1. Vision & Strategic Management (Ability to perceive future development, identify challenges and develop strategic measures)	0.03	1
		0.03
2. Entrepreneurial Leadership (Ability to inspire, motivate guide & lead people to achieve business plan)	0.03	2
		0.06
3 Team Building (Ability to carry the team along and provide cohesion among the top management)	0.03	2
		0.06
4. Innovation (Ability to take risk and experiment in all spheres of organizational activities)	0.03	3
		0.09

5	Problem Analysis Decision Making (Ability to anticipate problems, diagnosis and quality of decision)	0.03	1	0.03
6.	Empowerment (Ability to delegate empower and Develop subordinates)	0.02	2	0.04
7.	Awareness of Social & Economic Factors Relevant to Decision Making (Ability to scan the environment & assess implication on decision making)	0.02	3	0.06
8	Initiating & Managing Change (Ability to an effective change-agent)	0.02	1	0.02
9.	Boundary Management (Ability to influence interfacing groups, stakeholders & other agencies)	0.02	3	0.06
10.	Communication (Ability to be articulate)	0.02	2	0.04
TOTAL WEIGHTED SCORE Of QUALITATIVE FACTORS				0.49
TOTAL WEIGHTED SCORE (i.e., COMPOSITE SCORE)				1.54

In the above illustration, since the total weighted score is 1.54 the performance of the appraisee will therefore be rated as 'Very good'.

CHAPTER II PERSONNEL POLICIES

(e) Annual Performance Appraisal

1. DPE/Guidelines/II(e)/1

Annual Performance Appraisal of Top Management Incumbents of Public Enterprises—procedure regarding

1. BPE DO No.4 (13)/79-BPE (GM- II/US (G) dated 28.4.1980	The undersigned is directed to refer to the marginally noted DO/OMs on the subject mentioned above and to state that these instructions have been reviewed on the basis of the recommendations made by the guidelines review committee and it has now been decided to issue consolidated guidelines as under.
2. BPE DO No.5/11/82-GM-II dated 21.1.1983	
3. BPE OM No.5/11/82-GM dated 8.2.1985	
4. BPE DO No.17/24/84-GM dated 25.4.1985	
5. BPE OM No.5 (3)/85-GM dated 27.4.1987	
6. BPE OM No.16 (28)/88-GM dated 9.6.1989	
7. DPE DO No. 9(12)/94-DPE (MOU) dated 11.9.1995	
8. DPE OM No. 5(1)/95-GM dated 26.8.2002	

1.1 The Annual Performance Appraisal (APR) formats prescribed under BPE DO No. 5(11)/82-GM-II dated 21st January, 1983 for all top and senior level managers who do not belong to any organized services of the Central or State Governments, will now be replaced by two formats (enclosed as Annexure I and II), one for Chief Executives of non-MOU signing PSEs and Directors on the Board of all PSEs and the other for Executives upto two stages below the Board level in PSEs. These formats will be applicable for the year 2006-07 onwards. The format prescribed under DO dated 11.9.1995 for writing CRs of Chief Executives of MOU-signing PSEs will remain unchanged (Annexure-III).

1.2 The Annual Confidential Reports (ACRs) of Government officers, including Chief Vigilance Officers, on deputation to posts in PSEs will be written in the formats prescribed by the respective cadre authority and the procedure for writing the ACRs will be as prescribed by that authority.

2. Procedure for initiation, review and countersigning of APRs for executives of PSEs including CVOs.

(i) In the case of full-time Chairman or full-time Chairman-cum-Managing Director, the Secretary of the administrative Ministry/Department may initiate the confidential report, which should also contain the observations of the Minister-in-charge.

(ii) In the case of Managing Director of a single-unit enterprise, confidential report should be initiated by the Part-time/ Full-time Chairman, reviewed by the Secretary of the administrative Ministry and then submitted to the Minister-in-charge for his observations.

(iii) In the case of multi-unit enterprises where a number of Managing Directors are working under a common Chairman/ Chairman-cum-Managing Director, the confidential reports of the Managing Directors of the subsidiaries/units should be initiated by the Chairman/Chairman-cum-Managing Director of the holding company before it is sent for review by the Secretary of the administrative Ministry and observations of the Minister in-charge.

(iv) Confidential reports of full-time Functional Directors should be initiated by the Managing Director if there is one and reviewed by the part-time/full-time Chairman and then sent for countersignature of the Secretary of the administrative Ministry and observations, if any, of the Minister.

(v) In case there is no separate post of Managing Director, the part-time/full-time Chairman or Chairman-cum-Managing Director will initiate the confidential reports of Functional Directors and then send them for review by the Secretary of the administrative Ministry and observations, if any, of the Minister.

(vi) In case of General Managers and other officers of equivalent level the confidential reports should be written normally by the Functional Directors under whom they work and reviewed by the Managing Director/Chairman-cum-Managing Director. In case there are separate posts of Managing Director and part-time or full-time Chairman the report can be reviewed by the Managing Director and countersigned by the Chairman.

(vii) In cases where the General Managers and officers of equivalent level work directly under the Managing Director, their report should be initiated by the Managing Director and reviewed by the part time/full-time Chairman. In cases where such officers work directly under the Chairman/Chairman-cum-Managing Director their reports should be initiated by the Chairman/CMD

(viii) The Annual Confidential Reports of the Chief Vigilance Officers of Schedule 'A' and 'B' companies will be initiated by the CMDs and reviewed by the Secretary of the administrative Ministry concerned. Where there are separate incumbents holding the posts of MD and Chairman, the officer to initiate the CVO's ACR will be designated by administrative Ministry/Department. Review of ACRs will be done by the Secretary of the administrative Ministry/ Department.

(ix) The Reporting Officer should have at least 3 months experience of the work and conduct of the officer reported upon before writing an assessment of the work of an officer and if the period of observation happens to be less than 3 months, this fact only needs to be indicated in the report. However, when there is no Reporting Officer having the requisite experience of 3 months or more during the period of report, the Reviewing Officer himself may initiate the report as Reporting Officer provided the Reviewing Officer has been the same for the entire period of the report and he is in a position to fill in the columns to be filled in by the Reporting Officer. Needless to say, the period of the report should be at least 3 months. Where a report is thus initiated by the Reviewing Officer, it will be reviewed by the officer above the Reviewing Officer.

(x) When the Reporting Officer retires or otherwise demits office, he may be allowed to give his report on his subordinates within a month of his retirement or demission of office. However, a reviewing authority cannot review the CR after his retirement. Thus, while the grace period of one month is available to the Reporting Officer, no such period is prescribed for the Reviewing Officer.

3. Maintenance of APRs.

The reports of all Chief Executives may be written in duplicate with – one copy to be retained by the administrative Ministry. In respect of others down to the level of General Managers and their equivalents the reporting/reviewing and countersigning remarks should be recorded in duplicate – the original to be retained in the public enterprise concerned and the duplicate to be retained in the administrative Ministry.

4. Time for submission of APRs.

A systematic, objective and regular performance appraisal system requires that all confidential reports are written immediately after the end of the relevant year. For the sake of uniformity it may be ensured that the confidential reports of all top and senior level managers are written, reviewed and counter-signed within 45 days of the expiry of each Financial Year so that the duplicate copies of the reports are received by the administrative Ministry by 20th May of each year.

5. Remarks against the column of "Integrity".

There is a need to follow a uniform procedure in respect of remarks to be noted against the column of "Integrity" in APRs. In case there is any doubt about the integrity of an employee, the column in the APR form should be left blank and a secret note may be recorded and followed up. This is for the reason that if as a result of follow up action, the doubts are cleared, the employee's integrity should be certified

and if the doubts are confirmed, this should be recorded in the APR and communicated to the employee. This procedure for writing the remarks against integrity column should be clarified in a note appended to the APR form so that the officer writing the APR form is aware of the procedure in this regard.

6. Communication of adverse entries recorded in APRs.

(i) All adverse entries recorded in the APR of an officer should be communicated within one month by the Reviewing Officer after they have been seen by the countersigning authority, if any. The communication should be in writing and a record to that effect should be kept in the Confidential Roll of the officer. Where there is no Reviewing Officer, the adverse entry should be communicated by the Reporting Officer likewise.

(ii) While communicating the adverse remarks to the officer concerned, the identity of the superior officer making such remarks should not be disclosed. Further, the gist of favourable entries may also be communicated. It, however, needs to be ensured that the remarks are communicated in such a form that the identity of the officer making particular remarks is not disclosed.

(iii) Regarding representations received against the adverse entries from the concerned officers, these should normally be made within six weeks of the date of communication of adverse remarks. While communicating the adverse remarks to the officers concerned, the time limit as stated above may be brought to their notice. The competent authority may at his discretion entertain the representation made beyond the time specified above, if there is satisfactory explanation for the delay. All representations against adverse entries should be decided expeditiously by the competent authority and in any case not later than six weeks from the date of submission of the representation. All representations against adverse remarks need to be examined by an authority superior to the reviewing officer, in consultation, if necessary, with the reporting and the reviewing officers. For instance, in case there is any representation against the adverse remarks from the General Manager or above in an enterprise, this could be considered at the level of the Chief Executive and at the level of Secretary of the administrative Ministry and the Minister Incharge, in the case of functional Directors/Chief Executives.

7. All the administrative Ministries/Departments are requested to note the above decisions and also to issue suitable instructions to the public sector enterprises under their administrative control in this regard.

(DPE O.M. No. 5(1)/2000-GM-GL-71 dated 18th October, 2005)