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Form - I

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**रेल विकास निगम लिमिटेड**

(भारत सरकार का उपक्रम)

**Rail Vikas Nigam Limited**

(A Government of India Enterprise)

CIN : U74999DL2003GOI118633

**RUID No.-**

**Aadhar No-**

**Year/Period**

**Annual Performance Appraisal Report (APAR) for Officers up to  
Senior Administrative Grade**

**PART I – PERSONAL DATA (To be filled in by office)**

1	Name (Mr/Mrs./Ms) in BLOCK letters			
2	Academic, Professional and Technical Qualifications			
3	(a) Designation			
	(b) Service/Date of Increment in Time Scale (for Group A)			
	(c) Date of joining to Senior Scale (for Promotee Officers)			
4	Date of Birth			
5	Date of continuous joining to present grade	Date	Grade	
6	Various posts held during the year and dates of joining thereto	Designation and Station	Date	Grade
7	Period of absence from duty (on leave, etc.			

**8 Training programmes attended**

Date from	Date to	Institution	Subject

**9 Whether worked as DRM, if so, period and Division may be mentioned –**

YES	NO	
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Period: From _____ to _____
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Name of Division _____
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**10 Awards/Honours during the year**

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**11 Reporting, Reviewing and Accepting Authorities**

	Name & Designation	Period worked
Reporting Authority		
Reviewing Authority		
Accepting Authority		

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

(No sheet to be attached. Form to be returned by Officer reported upon within 30 days failing which APAR may be written by the Reporting Officer without self-appraisal. Reporting Authority to please ensure)

(Instructions given at the end of the form)

<b>1</b>	<b>Brief description of duties (objective of the position you hold and the tasks you are required to perform, in about 100 words)</b>

<p><b>2 Objectives and Targets – Quantitative/physical/financial items, in order of importance including cost and expenditure control, set by yourself or that set for you and your achievements against each. Clearly indicate your specific contribution. The column may be filled in reference to item no. 3.2 &amp; 3.3 of instructions at page no. 27 &amp; 28.</b></p>		
<b>Tasks Performed/Objectives</b>	<b>Targets</b>	<b>Achievements</b>
<b>3</b>	<p><b>Exceptional contribution, e.g. successful completion of a challenging task or systemic improvement resulting in significant benefits to the public or the Organisation and/or reduction in time and cost for any assignment. Brief description of your exceptional contribution (within 100 words).</b></p>	
<b>4</b>	<p><b>What are the factors that hindered your performance?</b></p>	
<b>5.</b>	<p><b>Please indicate specific areas in which you feel the need to upgrade your skills through training programs:</b></p>	
<b>5(a)</b>	<p><b>For the current assignment</b></p>	

5(b)	For the future career		
6	Declaration	Yes/No	Date
(a)	Have you filed your immovable property return, If yes, please mention date		
(b)	Have you undergone medical check up? If yes, please mention date and attach a copy. (For Officers above 40 years of age)		
Place :	Officer Reported upon	Signature	
Date :		Name	
		Designation	

**Part -III REMARKS OF THE REPORTING AUTHORITY**

(Instructions given at the end of the form)

**A. NATURE AND QUALITY OF WORK**

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

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

**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 highest grade. Weightage to this Section will be 40%).

Item	Reporting Authority	Reviewing Authority	Initials of Reviewing Authority

i	Accomplishment of work as per objectives & targets.			
ii	Quality of output and effectiveness			
iii	Accomplishment of exceptional work performed			
	Overall Grading * on 'Work Output'			

\* Average of above (i) (ii) & (iii).

4. **Assessment of Personal Attributes** (Grades should be assigned on a scale of 1-10 in **whole numbers**, with 1 referring to the lowest grade and 10 to the highest grade. Weightage to this Section will be 30%)

	Item	Reporting Authority	Reviewing Authority	Initials of Reviewing Authority
i	Attitude to work			
ii	Sense of responsibility			
iii	Emotional stability			
iv	Communication Skills			
v	Moral courage and willingness to take professional stand			
vi	Leadership qualities			
vii	Capability to work in time limit			
viii	Aptitude to work in the interest of Organisation as a whole			
	Overall Grading * on Personal Attributes			

\* Average of (i) to (viii).

5. **Assessment of Functional Competency** (Grades should be assigned on a scale of 1-10 in **whole numbers**, with 1 referring to the lowest grade and 10 to the highest grade. Weightage to this Section will be 30%)

	Item	Reporting Authority	Reviewing Authority	Initials of Reviewing Authority
i	Knowledge of Rules, regulations and Procedures in the area of functions and ability to apply them.			
ii	Strategic planning ability			
iii	Decision making ability			
iv	New technology, innovation/IT skills			

v	Initiative			
vi	Ability to motivate and develop subordinates/work in a team/human resource development			
vii	Safety consciousness			
	Overall Grading * on Personal Attributes			

\* Average of (i) to (vii).

**6. Integrity**

Please comment on the integrity of the Officer (please see instructions on last page):

**7. Pen picture by Reporting Officer.** Please comment on the overall qualities of the Officer including health, areas of strengths and lesser strengths, his attitude towards weaker sections as well as Rajbhasha and aptitude to work in the interest of Organisation as a whole.

**8. Any adverse remarks including penalties imposed or warnings/displeasures communicated.**

**9. Overall grading (is to be computed by system automatically) weighted average of B3, B4 & B5 of Reporting Authority (on a score of 1-10)**

(see instruction no. 7.1 & 7.2 and sample paper, if manual computation is required)

viii) **Suitability as DRM**

Authority	Suitability as DRM* (Write Yes or No)
Reporting	
Reviewing	
Accepting	

\*(Suitability as DRM should be given on completion of 13 years of regular service.)

Place \_\_\_\_\_

Signature \_\_\_\_\_

Date \_\_\_\_\_

Reporting  
Authority:

Name \_\_\_\_\_

Designation \_\_\_\_\_

**PART-IV REMARKS OF THE REVIEWING AUTHORITY**

1. Do you agree with the assessment made by the Reporting Officer with respect to the work output and the various attributes in Part III Section III including the pen picture by Reporting Officer? Do you agree with the assessment of the Reporting Officer in respect of extraordinary achievements and /or significant failures of the Officer reported upon?

Yes	No
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(In case you do not agree with any of the numerical assessments of the attributes please record your assessment in the column provided for you in that section and initial your entries).

2. In case of difference of opinion details and reasons for the same may be given.

3. Overall grading (is to be computed by system automatically) weighted average of B3, B4 & B5 of Reviewing Authority (on a score of 1-10)

(see instruction no. 7.1 & 7.2 and sample paper, if manual computation is required)

Counter Signing

Place \_\_\_\_\_

Signature \_\_\_\_\_

Date \_\_\_\_\_

Reviewing  
Authority:

Name \_\_\_\_\_

Designation \_\_\_\_\_

**Part -V REMARKS OF THE ACCEPTING AUTHORITY**

Remarks about assessment given by Reporting and Reviewing Authority and Acceptance

(Give reasons for difference of opinion with overall grading given by Reporting/ Reviewing Authority. Otherwise grading of Accepting authority shall not be accepted.)

Overall grade (on a score of 1-10)

Place \_\_\_\_\_

Signature \_\_\_\_\_

Date \_\_\_\_\_

Accepting  
Authority:

Name \_\_\_\_\_



## 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 31<sup>st</sup> 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 1<sup>st</sup> of April to 31<sup>st</sup> 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, 10<sup>th</sup> September 2007- 31<sup>st</sup> 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.

**Schedule for completion of APARs of Railways Officers**

Activity	Cut-off dates	
	Up to the level of SAG	HAG & above
Blank APAR form to be given to the Officer reported upon by the Administration Division/Personnel Department, specifying the reporting Officer and Reviewing Authority	15 <sup>th</sup> March	1 <sup>st</sup> April (for filling up Part II)
Self appraisal for current year	30 <sup>th</sup> April	15 <sup>th</sup> May
Appraisal by Reporting Authority	31 <sup>st</sup> May	30 <sup>th</sup> June
Appraisal by Reviewing Authority	30 <sup>th</sup> June	31 <sup>st</sup> July
Appraisal by Accepting Authority	31 <sup>st</sup> July	31 <sup>st</sup> August
Disclosure to the Officer reported upon	15 <sup>th</sup> August	15 <sup>th</sup> September
Representation of the Officer reported upon, if any (if none, transmission of the APAR to the DOPT)	30 <sup>th</sup> August	30 <sup>th</sup> September
Forwarding of representation of the Officer reported upon to the Reviewing and the Reporting Authority by the Concerned Office, in case the Officer reported upon makes representation.	15 <sup>th</sup> September	15 <sup>th</sup> October
Comments of Reporting Authority	15 <sup>th</sup> October	15 <sup>th</sup> November
Comments of Reviewing Authority	31 <sup>st</sup> October	30 <sup>th</sup> November
Comments of Accepting Authority/APAR to be finalized and disclosed to the Officer reported upon.	15 <sup>th</sup> November	15 <sup>th</sup> December
Disclosure to the Officer reported upon	30 <sup>th</sup> November	30 <sup>th</sup> December
End of entire APAR Process	15 <sup>th</sup> December	15 <sup>th</sup> January

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		
viii	Aptitude to work in the interest of Organisation as a whole	10		
	Overall Grading on Personal Attributes	8.1*		

Calculated as  $*[(9+8+7+8+6+7+10+10)/8=8.1]$

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). 7.9

Calculated on weighted average as  $[(7.3 \times 0.4) + (8.1 \times 0.3) + (8.6 \times 0.3) = 7.9]$