

**GOVERNMENT OF NAGALAND
DEPARTMENT OF PERSONNEL & ADMINISTRATIVE REFORMS
(VIGILANCE BRANCH)**

No. PER/VIG-5/3/01

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OFFICE MEMORANDUM

**Preparation and maintenance of Annual Performance Assessment Report (APAR) for
State Government Servants**

A number of instructions have been issued from time to time by the state government on the subject of preparation and maintenance of Annual Performance Assessment Report (APAR) for State Government servants. However it has been noticed that the present system of preparation and maintenance of Annual Performance Assessment Report (APAR) has not been satisfactory and the content of the APAR offer no real clue to a Government servant's performance, capacity, efficiency or character. A need has also been felt to consolidate all these instructions issued from time to time and still in force and bring out a consolidated instruction with additions and modifications wherever necessary. Accordingly it has been decided to supersede all previous orders on the subject and to bring out the salient features of the existing instructions in this Office Memorandum for information, guidance and compliance of all concerned.

2. Importance of Annual Performance Assessment Report:

a) The Annual Performance Assessment Report (APAR) is an important document and forms the basic material for assessing the character, conduct, capabilities and performance of a Government servant throughout the year. It serves as the basis for assessing the suitability of a Government servant for his/her career advancement in the form of confirmation, promotion, placement, deputation, financial upgradation etc.

b) It is in the interest of the every Government servant that he/she should know how well or otherwise, he/she is performing the job assigned to him/her. In fact, he/she would be more interested to know particularly the defects and shortcomings, which would affect his/her career advancement in the long run. Unless he/she comes to know of them in time and overcomes them by taking remedial measures, he/she cannot plan his/her career development in a systematic manner.

c) The system of APAR has two principal objectives. First objective is to improve the performance of the subordinate in his/her present job and second objective is to assess the potentialities of the subordinate and prepare him/her through appropriate feedback and guidance. It ensures the efficiency and effectiveness of an employee. A credible APAR is thus important not only for the employees but also for the Government as well.

d) At present while assessing the suitability of a Government servant for his /her career advancement, the various committees like the Departmental Promotion Committee (DPC)

have only the APARs to rely upon while making the assessment. At times the assessment made by the DPCs on the basis of APARs alone, are at variance with the real qualities of the person assessed. Therefore the APARs are required to be written with the greatest care, so that the work, character, qualities and capabilities of the officer reported upon can be accurately judged from the report.

3. Annual Performance Assessment Report:

- a) An Annual performance Assessment Report (APAR) shall be written for every financial year (April - March).
- b) An Annual Performance Assessment Report (APAR) shall be written for all categories of employees in Group 'A', Group 'B' and Group 'C'.
- c) No Annual Performance Assessment Report need to be written for honorary or part-time employee. However Annual Performance Assessment Report shall be written for a Government servant appointed on contract. The APAR of the Government servant appointed on contract can be the basis to assess his/her performance and to decide whether the contract may be renewed if the circumstances require extension of the contract.
- d) No Annual Performance Assessment Report need to be written for Group 'D' employees. However a performance report on the work and conduct of such employees shall be written by the controlling officer.
- e) No Annual Performance Assessment Report need to be written for a Government servant joining during the year and have put in less than ninety days of service when the report is normally due. In such cases a '**No Report Certificate**' shall be placed in the APAR dossier certifying that "no report is written for the period from ____ to ____ since the period is less than ninety days". (see para 19)
- f) For the purpose of computing the ninety days, any leave availed for more than 15 days at a time by the officer to be reported upon shall be excluded.

4. Format:

- a) The format of the Annual Performance Assessment Report (APAR) shall be as prescribed by the department of Personnel and Administrative Reforms (P&AR) from time to time.
- b) The format at **Form I** shall be applicable for all Group 'A' and 'B' employees.
- c) The Format at **Form II** shall be applicable for all Group 'C' employees.
- d) The Format at **Form III** shall be applicable for all drivers.
- e) The format at **Form IV** shall be applicable for all Group 'D' employees.

f) The Format at **Form V** shall be applicable for Government servants who have gone on Training/ Study leave.

5. Performance Report of Group 'D' staff:

a) Presently no performance reports are recorded for Group 'D' employees, as a result there is no satisfactory system for the purpose of judging the relative merit of the employee at the time of his/her promotion, confirmation, financial upgradation etc. At present, the system of obtaining 'fitness certificate' of the employee at the time of his/her career advancement does not truly reflect the actual performance of the employee or the suitability of the employee thereby compromising efficient delivery of service.

b) Thus, the maintenance of regular performance reports would prove a useful record which may be utilized for purpose of career advancement as well as for purpose of general discipline. Henceforth, an assessment report on the performance of such employees for every financial year shall be recorded by the controlling officer as per the format at **Form IV** and placed in personal file of the employee.

6. Maintenance and Custody of APAR:

a) The APAR in respect of every official shall be maintained by the concerned department which controls the service of the official.

b) The APAR of all Gazetted Officers shall be in the custody of the Administrative Head of the Department/Cadre Controlling Authority.

c) The APAR of all non Gazetted Officers shall be in the custody of the Head of the Department.

d) Register of the APARs shall be maintained by the Custodian year wise.

7. Time schedule for preparation and completion of APAR:

a) The time limit for completion of Annual Performance Assessment Report shall be as prescribed in **Schedule -I**

8. Authorities for writing Performance Reports:

a) In order to minimize the operation of the subjective element and of conscious or unconscious bias, the Annual Performance Assessment Report on every employee should contain the assessment of more than one officer except in cases where there is only one supervisory level above the officer reported upon. The authorities prescribed at various levels are briefly classified below:

i) **Reporting Authority** means the authority supervising the performance of the officer reported upon during the period for which the APAR is written or any such other authority as may be specifically empowered in this behalf by the Government.

ii) **Reviewing Authority** means the authority supervising the performance of the Reporting Authority during the period for which the APAR is written or any such other authority as may be specifically empowered in this behalf by the Government.

iii) **Accepting Authority** means the authority supervising the performance of the Reviewing Authority during the period for which the APAR is written or any such other authority as may be specifically empowered in this behalf by the Government.

b) The assessment of the performance of an employee at more than one level ensures a greater degree of objectivity and fairness. However, in case of certain posts (Eg. Personal staff attached to officers, Deputy Secretary to the Chief Secretary etc.) wherein there is only one supervisory level above him/her, the assessment will be at the level of Reporting Authority only. The APAR with the assessment of the Reporting Authority shall be considered as a complete APAR.

c) Only one report shall be written on a Government servant for a particular period during the course of the financial year and there shall be a single reporting, reviewing and accepting authority at each level of the assessment.

d) When more than one person of the same superior level supervises the performance of the Government servant, the Government shall identify the Reporting/Reviewing/Accepting Authority, as the case may be, who has/have supervised substantial work of the officer reported upon of the period under report.

e) If the Officer reported upon occupies more than one post, the Government shall identify the post (substantive) to report, review and accept in advance of the relevant assessment year.

f) The Annual Performance Assessment Report should be objective, frank and honest. The APAR in order to be useful must give a critical analysis of the qualities as well as the faults of the government servant. It should be possible on the basis of APARs to judge the caliber of the Government servant as to whether he/she is good or average or poor in his/her performance. Also the manner of writing APAR would reveal the ability of the Reporting/Reviewing Authority in assessing the character, qualities and faults of his/her subordinate.

g) All officers who are charged with the responsibility of either reporting, reviewing or accepting the APAR should lay proper emphasis on the correct appraisal of the conduct, work and merit of the officer reported upon. They should have carefully observed the work and conduct of those under their control and the APAR should be based upon such observations as well as periodical inspection.

h) The Reporting/Reviewing Authority should also not shy away from reporting shortcomings in performance, attitudes or overall personality of the officer reported upon.

i) Inability or failure to report properly and objectively and undue delay in submission of the reports will be construed as an adverse trait in the Reporting/Reviewing Authority themselves and commented upon by their superior officers.

9. Self appraisal

a) The APAR is to be initiated by the Government servant to be reported upon himself/herself. The officer reported upon is required to give a brief description of his/her duties and responsibilities. Ideally this should be in a bullet form and normally not exceed 100 words.

b) The officer reported upon is provided the opportunity to reflect upon his/her performance during the year and indicate area which he/she thought was exceptional contribution made by him/her during the year. Examples of such contribution may be successful completion of an extraordinarily challenging task or successful dealing of an emergency or major systematic improvement resulting in significant benefits to the public or reduction in time and costs. (It is not possible for any officer to make such contributions every year and hence this need not be attempted for each year of his/her service)

c) The officer reported upon is required to indicate reasons for not achieving specific targets if any and details of factors that hindered his/her performance. His/her reflection should also enable him/her to record his/her specific learning from the experiences and possible systemic changes that could be made.

d) The officer reported upon is required to indicate specific areas in which he/she feels the need to upgrade skills and attend training programs for the current assignment and future career.

e) The officer reported upon is also required to certify that he/she has completed the APARs of all subordinate staff for the previous reporting year for whom he/she is the Reporting Authority. In case the APARs of any subordinate staff could not be completed, the reasons for the same need to be indicated. This could be due to the concerned subordinate staff not having submitted his/her self appraisal or some delay due to some emergent work.

10. Guidelines for Reporting

a) The primary responsibility of initiating the performance report assessing the performance, character, conduct and qualities of every official rests with the Reporting Authority.

b) The Reporting Authority should have supervised the performance of the officer to be reported upon for at least ninety days. For the purpose of computing the ninety days, the leave availed for more than 15 days at a time by the officer to be reported upon should be excluded.

c) The Reporting Authority must be fully conversant with the quality of work of the employees working under them so that the assessment is clear and useful. Remarks and

observation of the Reporting Authority should be specific and clearly mentioned under each column.

d) The Reporting Authority should take pain in writing the performance report with due care and attention and after devoting adequate time and make a genuine attempt to convey their appraisal of the work of the officer reported upon during the period under report.

e) The report should carry a general appreciation of the character, conduct and aptitude and shortcomings of the officer reported upon. The practice of writing vague, non-committal remarks such as 'good', 'very good', 'average' etc should be avoided as it does not reflect the caliber of the Government servant.

f) The comments and observation of the Reporting Authority should relate only to the period for which the report is written.

g) While writing of performance report is a year end exercise, every Reporting Authority should at regular interval review the performance of employee under his/her control and take necessary corrective steps by way of advice etc.

h) The Reporting Authority should ensure that his/her observation or comments are realistic and impartial and are not influenced by any prejudice against the officer reported upon.

i) The Reporting Authority is required to comment on the self assessment made by the officer reported upon and specifically state whether he/she agrees with the responses relating to the accomplishments/achievements. 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.

j) The Reporting Authority is required to comment on the skill upgradation needs as identified by the officer reported upon. In case, the Reporting Authority agrees with the training needs indicated by the officer reported upon, he/she may indicate specific steps taken/proposed to be taken by him/her to enable the officer reported upon to have the skill upgraded. In case, he/she disagrees with the officer reported upon, he/she should record his/her reasons for such disagreement.

k) 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/her attitude towards the weaker section. This need not exceed 100 words and should try to cover overall qualities of the officer reported upon including areas of strength and lesser strengths. The pen-picture is also meant to be a qualitative supplement to the quantitative assessment.

l) The Reporting Authority after completing his/her part of the report should submit it to his/her superior known as the Reviewing Authority.

11. Guidelines for Reviewing

- a) A Reviewing Authority should have supervised the performance of the officer to be reported upon for not less than ninety days. For the purpose of computing the ninety days, the leave availed for more than 15 days at a time by the officer to be reported upon should be excluded.
- b) In some cases, the Reviewing Authority may not be sufficiently familiar or have detailed knowledge of the qualities of the officer reported upon. It shall be the responsibility of the reviewing authority to verify the correctness of the remarks of the Reporting Authority after making such enquiries as may be necessary. Where necessary, he/she should also give a hearing to the officer reported upon before recording his/her remarks.
- c) The Reviewing Authority should exercise positive and independent judgment on the numerical grading given by the Reporting Authority and remarks of the Reporting Authority and express clearly his/her agreement or disagreement with these remarks. The Reviewing Authority is also free to make his/her own remarks on points not mentioned by the Reporting Authority.
- d) The Reviewing Authority should ensure that the various instructions for writing the performance report have been correctly followed by the Reporting Authority. The Reviewing Authority is required to state that he is satisfied that the report has been written with due care and attention.
- e) The Reviewing Authority should carefully go through the comments made by the Reporting Authority. If the comments are found to be vague or ambiguous, the report should be returned to the Reporting Authority for suitable modification.
- f) The Reviewing Authority is required to give comments not only on the assessment made by the Reporting Authority but also his/her own original comments on the overall qualities of the officer reported upon.
- g) If the Reviewing Authority does not agree with any of the remarks given by the Reporting Authority, he/she should mention so in the relevant column, giving reasons. The Reviewing Authority can modify or add his/her own observation. This is particularly necessary in regard to any adverse remarks or an outstanding report.
- h) If the Reviewing Authority states that he/she agrees with the assessment of the Reporting Authority, it would not be correct to give any comments substantially different from those given by the Reporting Authority.
- i) The Reviewing Authority after completing his/her part of the report should submit it to his/her superior known as the Accepting Authority.

12. Guidelines for Accepting

- a) The Accepting Authority shall after review of the APAR may record his/her own remarks and accept it after such modifications as may be necessary.
- b) The Accepting Authority is required to indicate if he/she agrees with the assessments made by the Reporting/Reviewing Authorities. In case of difference of opinion, he/she is required to give details and reasons for the same in the relevant column.
- c) When there are differences in the assessment/grading made by the Reporting and the Reviewing Authority, the Accepting Authority should ensure that the Reviewing Authority had suitably justified the reasons for upgrading or downgrading the assessment made by the Reporting Authority. In the absence of suitable justification, the Accepting Authority may upgrade or downgrade the assessment.
- d) An Accepting Authority should have supervised the performance of the officer to be reported upon for not less than ninety days. For the purpose of computing the ninety days, the leave availed for more than 15 days at a time by the officer to be reported upon should be excluded.
- e) The Accepting Authority after finalization/completion of the report should forward the same to the section entrusted with the maintenance of APARs.

13. Numerical grading

- a) The Reporting/Reviewing Authority is required to award numerical grading for the quality of work output, personal attributes and functional competence of the officer reported upon on a scale of 1-10 where 1 refers to the lowest grade and 10 to the highest.
- b) APARs graded between 8 and 10 will be rated as **‘Outstanding’**.
- c) APARs graded between 6 and short of 8 will be rated as **‘Very Good’**.
- d) APARs graded between 4 and short of 6 will be rated as **‘Good’**.
- e) APARs graded below 4 will be rated as **‘Fair/Poor’**.
- f) It is expected that any grading of 1 to 4 (against work output or attributes or overall grade) would be adequately justified while commenting on the overall qualities of the officer reported upon by way of specific failures and similarly, any grade of 8 to 10 should be justified with respect to specific accomplishment.
- g) In awarding a numerical grade, the Reporting/Reviewing/Accepting Authorities should rate the officer reported upon against a larger population of his/her peers that may be currently working under them or would have worked under them in the past.

h) Grades of 1-2 and 8-10 are expected to be rare occurrence and hence the need to justify them.

i) A Government servant should not be graded ‘**outstanding**’ unless exceptional qualities and performance have been noticed. Grounds for awarding such grading should also be clearly brought out. A brief and objective comment should be made justifying the grading and indicating the area of his/her exceptional contribution/achievement (reference may be made to his/her self-assessment/work plan) for their period under consideration.

j) In case the Reviewing Authority does not agree with any of the numerical assessment of the attributes given by the Reporting Authority, only then the assessment of the Reviewing Authority may be recorded in the columns provided along with initials.

14. Assessment of integrity:

a) In every form of the Annual Performance Assessment Report, there shall be a column regarding integrity to enable 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 performance report to the next superior officer who will ensure that the follow up action is taken expeditiously.

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 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 officers conduct should be watched for a further period and thereafter action taken as indicated at (b) and (c) above.

iii) Where it is not possible either to certify the integrity or to record the secret note, the Reporting Authority 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 reported upon, as the case may be. Such instances can occur when

the officer reported upon is serving in a remote station and the Reporting Authority has not had the occasion to watch his work closely or the officer reported upon has worked under the Reporting Authority only for a brief period

However a superior officer should make every effort to form a definite judgement about the integrity of those working under him/her, as early as possible, so that he/she may be able to make a positive statement.

b) Thus the remarks against the integrity column shall be made by the Reporting Authority in one of the three options mentioned below:

i)	Beyond doubt
ii)	Since the integrity of the officer is doubtful, a secret note is attached.
iii)	Not watched the officer's work for sufficient time to form a definite judgement but nothing adverse has been reported to me about the officer.

15. Difference in assessment:

a) When there are differences in the comments/grading given by the Reporting/Reviewing/Accepting Authority, the comment/grading of the higher officer will be taken as the correct assessment provided the superior officer has clearly indicated the nature and content of such differences.

b) A report containing adverse remark of the Reporting Authority which is overruled by the Reviewing Authority will be treated as a good report. Similarly if the Reviewing Authority gives any adverse remark on a good report written by the Reporting Authority, the report shall be treated as an adverse one.

c) A report containing adverse remark of the Reporting/Reviewing authority which is overruled by the Accepting Authority will be treated as a good report. Similarly if the Accepting Authority gives any adverse remark on a good report written by the Reporting/Reviewing Authority, the report shall be treated as an adverse one.

16. Mention of warning/displeasure/reprimands in Annual performance Assessment Report

a) A brief mention shall be made by the Reporting Authority in the relevant column of the performance report if the officer reported upon has been issued warning, censure, displeasure, reprimand or if any departmental proceedings or enquiries are pending during the period under report.

b) If the Reporting Authority comes to the conclusion that despite issue of such warning, censure, displeasure, reprimand as the case may be, the officer reported upon has not improved, he may make appropriate mention. A copy of the

warning/censure/displeasure/reprimand referred to in the performance report shall be place in the APAR dossier.

17. Propriety of issue of letters of appreciation or notes of commendation:

a) The practice of granting letter of appreciation or notes of commendation to Government servants and placing them in the APARs dossier should normally be discouraged. Appreciation of work should be recorded in the APAR rather than in letters of appreciation which do not give a complete perspective of the Government servant's good and bad qualities.

b) The following documents may, however be included in the in the APAR:

i) Letters of appreciation issued by the Government or Administrative Head of Department or Head of Department in respect of any outstanding work.

ii) Letters of appreciation issued by special bodies or commissions or committees, etc or excerpts of their reports expressing appreciation for a Government servant by name.

iii) Letters of appreciation from individual non-official/official (other than Administrative Head of Department or Head of Department) may go into the APAR if confined to expressing appreciation for services rendered far beyond the normal call of duty and provided the Administrative Head of Department or Head of Department so directs.

c) The mere fact that a letter of appreciation goes into the APAR does not give any official undue advantage in matters of promotion which goes more by overall and consistently good performance than by occasional flashes of good work.

18. Periodicity and Part Reports:

a) While normally there will be only one report covering a financial year, writing of more than one report during a financial year may become necessary in the following cases:

i) The officer to be reported upon is transferred to another office or within the same office with a different Reporting Authority during the course of a financial year. In such cases, the officer to be reported upon shall complete the report for the period prior to such transfer, provided the period is not less than ninety days. The officer to be reported upon should write the report at the time of transfer or immediately thereafter and not deferred till the end of the financial year. Any delay resulting in non submission of APAR shall be the responsibility of the officer to be reported upon.

ii) The Reporting Authority is transferred or retires during the course of a financial year. In such cases, the Reporting Authority should complete the report of all

subordinate staff at the time of such transfer, retirement or immediately thereafter and not deferred till the end of the financial year.

Illustration: *The Reporting Authority is transferred/retires, say in October 2020, then the APAR for the period April 2020 to Oct 2020 should be completed at the time of such transfer, retirement etc even if the APAR was not due. The APAR for the remaining period, i.e Nov 2020 to March 2021 may be initiated on completion of the financial year i.e from 1st April 2021 onwards.*

However in case the Reporting Authority is transferred/retires, say in the month of January and the new Reporting Authority will have less than ninety days to supervise the performance of the officer reported upon, then the APAR should be completed up to the date of transfer/retirement of the outgoing Reporting Authority and NRC may be issued for the remaining period.

Illustration: *The Reporting Authority is transferred/retires, say on 10th January 2021, then the APAR for the period 1st April 2020 to 10th January 2021 should be completed at the time of such transfer, retirement etc even if the APAR was not due.*

Since the remaining period (i.e from 11th Jan 2021 to 31st March 2021) is less than ninety days, it is not necessary to write a part report for the remaining period and a 'No Report Certificate' may be issued for the said period certifying that 'no report is written for the period from 11th Jan 2021 to 31st March since the period is less than ninety days'. (See Annexure I)

iii) The Reviewing Authority is transferred or retires during the course of a financial year, but the Reporting Authority continues. In such cases part reports are not necessary if the new Reviewing Authority will have the opportunity to watch the performance of the officer reported upon for atleast ninety days. The Reporting Authority will write the report for the full year which can be reviewed by the new Reviewing Authority, provided he/she has watched the performance of the officer to be reported upon for atleast ninety days.

Illustration: *The Reviewing Authority is transferred/retires, say in October 2020 but the Reporting Authority is same for the full financial year (i.e April 2020 to March 2021). Then the Reporting Authority will write the APAR for the full year (i.e April 2020 to March 2021) which can be reviewed by the new Reviewing Authority, assuming the new Reviewing Authority was immediately posted and he/she had supervised the performance of the officer reported upon from Nov 2020 to March 2021 which is more than ninety days. In doing so, the period worked under the new Reviewing Authority must be clearly indicated in the relevant column i.e Nov 2020 to March 2021.*

iv) Where the Reviewing Authority is not immediately posted and the period of his/her service is less than ninety days, the reports can be without review. An entry to this effect shall be made in the APAR.

Illustration: *The Reviewing Authority is transferred/retires, say in October 2020 and the new Reviewing Authority is posted only in February 2021. If the Reporting Authority is same for the full financial year, then the Reporting Authority will write the report for the full year (i.e April 2020 to March 2021) and the report can be without review since the period worked under the new Reviewing authority i.e from Feb 2021 to March 2021 is less than ninety days. A certificate can be issued and entered in the Review Section of the APAR certifying that 'the comments/remarks of the Reviewing Authority could not be recorded as the Reviewing Authority has not completed the ninety days period required for initiating the APAR or the Reviewing Authority has demitted office'. (See Annexure II)*

v) However if the Reviewing Authority is transferred/retires, say in the month of January and the new Reviewing Authority will have less than ninety days to see the performance of the officer to be reported upon, the report should be completed and reviewed up to the date of transfer/retirement of the outgoing Reviewing Authority and NRC may be issued for the remaining period.

Illustration: *If the Reviewing Authority is transferred/retires on 10th January 2021, the new Reviewing Authority even if posted immediately will have less than ninety days to supervise the performance of the officer reported upon (i.e from 11th January 2021 to 31st March 2021). In such cases the APAR for the period 1st April 2020 to 10th January 2021 should be completed at the time of such transfer, retirement etc even if the APAR was not due and a 'No Report Certificate' may be issued for the remaining period (i.e 11th January 2021 to 31st March 2021).*

vi) The Accepting Authority is transferred or retires during the course of the financial year but the Reporting and Reviewing Authority continues. In such cases part reports are not necessary. The Reporting and Reviewing Authority will report and review for the full year which can be accepted by the new Accepting Authority, provided he/she has watched the performance of the officer reported upon for at least ninety days. In case the new Accepting Authority has not watched the performance of the officer reported upon for at least ninety days, the report can be without acceptance. An entry to this effect shall be made in the APAR.

Illustration: *The Accepting Authority is transferred/retires in October 2020 with the Reporting and Reviewing Authority remaining the same for the full financial year. The Reporting and Reviewing Authority will report and review the APAR for the full period (i.e April 2020 to March 2021) which can be accepted by the new Accepting Authority. In doing so, the period worked under the new Accepting Authority must be clearly indicated in the relevant column i.e Nov 2020 to March 2021.*

However if the Accepting Authority is transferred/retires, say on 10th January 2021 and the Reporting and Reviewing Authority is the same for the full financial year. Then the Reporting and Reviewing Authority will report and

review the APAR for the full period (i.e April 2020 to March 2021). Since the period worked under the new Accepting Authority i.e from 11th Jan 2021 to 31st March 2021 is less than ninety days, the APAR can be without acceptance. A certificate can be issued and entered in the Acceptance Section of the APAR certifying that 'the comments/remarks of the Accepting Authority could not be recorded as the Accepting Authority has not completed the ninety days period required for initiating the APAR or the Accepting Authority has demitted office'. (See Annexure II)

- b) When more than one performance report is written for the same year, each report should indicate precisely the period covered by it.
- c) When a Reporting Authority who is in charge for substantial portion of the year has to proceed on long leave, transfer, deputation etc. he/she should write the report of his/her subordinates before handing over charge even if the reports are not due at that time.
- d) When an official has taken leave for a period of more than fifteen days, the total period spent on leave can be deducted from the total period spent on any post for the purpose of calculating the period of ninety days which is relevant for writing entries in the APAR.

19. Issue of No report Certificate (NRC)

- a) While normally there will be one report/part reports covering the whole financial year, instances may arise where there is gap in the period under report and issuance of NRC may become necessary for the deficient period.
- b) A No Report Certificate (NRC) is generally issued when the part period is less than ninety days. (See Para 3 (e) and 18 (a) above)
- c) While issuing the NRC for the deficient period, the reasons for issuance of NRC may be mentioned in the 'No Report Certificate'.
- d) A general indicative format for issuance of NRC is attached at **Annexure I - III**.
- e) Generally the following nature of cases have been noticed where issuance of NRC becomes necessary:
 - i) The part period is less than 3 months. Such cases may arise when the officer reported upon or the reporting /reviewing authority is transferred in the course of a financial year, say, in the month of January and the new reporting/reviewing authority will have less than 3 months to supervise the performance of the officer reported upon. As specified at Para 9 (a) (i) & 9 (a) (iv) the part report should be completed up to the date of transfer of the officer reported upon or the outgoing reporting/reviewing authority and NRC may be issued for the remaining period. (**Annexure I**)

ii) The part period is over 3 months but the part period is reckoned as reduced to less than 90 days as the officer reported upon was on leave/training for more than 15 days and the leave/training period is deducted from the period under report. In such cases the facts may be verified and NRC may be issued. (**Annexure I**)

iii) The part period is over 3 months but the officer reported upon has not completed 3 months under any single reporting authority. In such cases the facts may be verified and NRC may be issued. (**Annexure III**)

iv) The officer reported upon was on unauthorized absence. In such cases the facts may be verified and NRC may be issued.

f) Instances may also arise where the remarks/comments of the Reviewing/Accepting Authority could not be recorded because the Reviewing/ Accepting Authority retired/expired/demitted office. Such cases may arise if the Reviewing/Accepting authority demits office during the course of the financial year, say in the month of January and the new Reviewing/Accepting Authority will have less than ninety days to supervise the performance of the officer reported upon. In such cases the APAR may be filled up for the whole year and as specified in Para 9 (a) (iv) & 9 (a) (v), the report may be without review/acceptance as the case maybe and a certificate can be issued and entry to this effect shall be made in the performance report in the relevant section. (**Annexure II**)

g) Where for a period under report, there is no Reporting Authority with the requisite experience, the Reviewing authority may initiate the report as a reporting authority. Where a report is thus initiated by the reviewing authority, he/she will have to be submit to his/her own superior for review.

h) The primary responsibility of initiating the performance report assessing the performance, character, conduct and qualities of a Government servant rests with the Reporting Authority and the Reviewing/Accepting Authority own assessment are mostly based on the assessment given by the Reporting Authority. Thus a report should not be without reporting under any circumstances and NRC should not be issued in respect of the Reporting Authority.

However if due to some unforeseen circumstances, a gap arise and there is no Reporting Authority with the requisite experience, the Reviewing authority may initiate the report as the Reporting Authority. Where a report is thus initiated by the Reviewing Authority, he/she will have to be submit to his/her own superior for review. Such cases may arise when the Reporting Authority who is in charge for a substantial portion of the year dies in harness.

i) The above instances are only indicative, there may be other cases besides the above mentioned above.

j) Wherever the officer reported upon finds there is gap in the period under report and NRC is required to be issued for the deficient period, the concerned officer shall write to the custodian requesting him/her for issuance of NRC by providing the details and reasons. The custodian shall verify the facts before issuing NRC.

k) The competent authority to issue NRC for Gazetted Officers shall be the Administrative Head of Department. For non Gazetted Officers, it shall be the Head of Department. The NRC should be signed by the competent authority or an officer authorized by the competent authority.

20. Disclosure

a) The new performance appraisal system is no longer a confidential process and the entire appraisal is now required to be revealed to the officer reported upon. This fits in with the primary objective of the performance assessment being a tool for the development of the officer.

b) In order to make the performance assessment system more consultative and transparent, the full APAR shall be communicated to the officer reported upon after the APAR is completed and finalised by the accepting authority. All entries whether poor, fair, good, very good, outstanding should be communicated to the officer reported upon. Where there is only one supervisory officer above the officer reported upon, such communication shall be made after the reporting officer has completed the performance assessment.

c) The custodian after its receipt from the accepting authority shall disclose the same to the officer reported upon within 30 days or latest by 31st august whichever is earlier to enable the officer reported upon to represent his case.

d) The custodian should scrutinize the reports as soon as received to see whether any adverse remark has been entered in the report or grading below the below the prescribed benchmark for promotion to the next higher scale/grade.

e) The question whether or not a particular remark recorded in the performance report is an adverse remark shall be decided by the accepting authority.

f) Gradings in the performance report below the prescribed benchmark for promotion to the next higher grade/scale shall be treated as an adverse report. The prescribed benchmark for promotion to the next higher grade/scale shall be '**Very Good**' as prescribed by the department of P&AR.

g) While mentioning any faults/defects, the reporting/reviewing authorities should also give an indication to the efforts at reform made by him/her, by way of guidance, admonition etc. and the result of such efforts.

21. Representation:

a) The officer reported upon shall be given opportunity to make any representation against the entries or the final grading given in the report in writing to the custodian within a period of 30 days from the date of disclosure or by 30th September whichever is earlier.

- b) While communicating the entries to the officer reported upon, the custodian shall make it clear that in case no representation is received within 30 days from the date of disclosure, it shall be deemed that he/she has no representation to make.
- c) If the custodian does not receive any information from the concerned officer within 30 days from the date of disclosure or 30th September whichever is earlier, the APAR will be treated as final.
- d) The officer reported upon may give his comments/representation on the performance report in writing to the custodian.
- e) The comments/representation shall be restricted to the specific factual observations contained in the report leading to assessment of the officers in terms of attributes, work output etc.
- f) The custodian shall within 15 days of receipt of comments/representation from the officer reported upon or latest by 15 October, whichever is earlier, forward the same to the competent authority for examination. The competent authority to decide the representation will be the Accepting Authority.
- g) The Accepting Authority may consider such representation in consultation with the Reporting Authority and the Reviewing Authority if they are still in service.
- h) The Reporting/Reviewing authority, being satisfied with the contentions made by the officer reported upon, wish to change any of the remarks or assessments, they may do so. In case they are not satisfied, they may give their views and observations on the representation to the Accepting Authority.
- i) While deciding the representation, the Accepting Authority shall consider the comments of the officer reported upon, the views and remarks of the Reporting and Reviewing Authority and after due consideration may reject the representation or may accept them and modify the grading in the APAR accordingly within a period of 30 days from the date of receipt of representation from the custodian or latest by 15 November whichever is earlier.
- j) While deciding such representations, specific reasons must be necessarily be given in the order of the Accepting Authority. An order (**Annexure - IV**) stating the reasons for modification/upgradation/downgradation on the overall grading in APAR should be executed by the Accepting Authority and such order should be placed in the APAR dossier. APARs should, under no circumstances, be reconstructed in any manner whatsoever on account of modification/upgradation/downgradation on the overall grading in the APAR.
- k) The decision of the Accepting Authority and the final grading shall be forwarded to the custodian and the same shall be communicated by the custodian to the officer reported upon within 15 days from the receipt of the decision or latest by 30th November whichever is earlier and no further representation of any kind shall be entertained thereafter and a Disclosure Certificate shall be issued. (**Annexure V**)

22. Timely preparation and maintenance of APAR:

a) It is essential that the APARs are completed within the prescribed timeline so that up to date APARs are available at any given time. A number of instructions have been issued from time to time regarding the procedure for writing APARs and the need for timely action in this regard by all concerned, the APARs, however, are frequently received late and in some cases officer to be reported upon fails to submit/initiate their APARs.

b) Cases continue to occur where confirmation, promotion, deputation etc could not be considered in time because of the non-availability of APARs for the relevant period and in some cases, APARs of some officers were not available for 3-4 years out of the assessment period of 5 years. In many instances officers have been deprived of timely confirmations, promotions, deputations etc primarily because of delay in submission or non submission of APARs by some erring officers and for no fault of theirs.

c) Therefore the matter of timely completion of APARs was further reviewed and reiterated that in case APAR is not submitted by the officer to be reported upon within the stipulated timeline, promotions/confirmation etc will not be considered in the absence of APARs **which are due***.

****Illustration:** Cases for confirmation, deputation, promotion etc are considered basing on the assessment of APARs for 5 years. In cases where the DPC/Screening Committee sits before the date on which the entire process of APAR is to be completed (i.e 15th December), then the APARs may be assessed ending with the previous year APARs. Thus if the DPC/Screening Committee sits on, say November 2021, then the APARs starting from the period **2015-2016** and ending with the period **2019-2020** may be considered for assessment. The APAR for the period **2020-2021** may not be considered as the APAR process for the said period will end only on 15th December 2021.*

*However if the DPC/Screening Committee sits on, say January 2022, then the APAR of **2020-2021** may be considered for assessment as the APAR process for the said period will have been completed by then . Thus the APARs for the period from **2016-2017 to 2020-2021** may be considered for assessment.*

d) In instances where APAR(s) of the relevant period needed for confirmation, promotion, deputation, financial upgradation etc is/are not available, the officer reported upon shall be given a final opportunity to submit the same within a period of 15 days alongwith a written explanation for failure to submit the same within the stipulated time. In case the officer reported upon fails to submit the same within 15 days, the Custodian shall forward the available APARs to the DPC/Screening Committee by making suitable entry in the relevant section to the effect that the non available APAR(s) was/were not submitted by the officer reported upon. **Non availability of APARs which are due shall be a ground for denial of promotion, deputation, confirmation, financial upgradation etc.**

e) Any promotion/confirmation etc taken up due to the absence of APARs for the relevant period and consequently resulting in denial of promotion or supersession in seniority shall be final.

f) However on ascertaining that the officer concerned has duly submitted his/her APAR on time but the same was delayed at Reporting/Reviewing/Accepting Authority levels, then it should be construed that the officer is not at fault and he/she should not be penalized for confirmation, promotions etc. Such cases would be considered on the basis of available records of the preceding years.

g) If it comes to light that any Reporting/Reviewing Authority has willfully delayed submission of APAR of his/her subordinate beyond the stipulated timeline despite receiving it on time, the fact of this negligence is to be viewed seriously and an entry shall be made in the APAR of the concerned officer that he/she failed to complete the APARs of his/her subordinates in time.

h) The department may also call for an explanation from the concerned officer and in the absence of proper justification, a written warning for delay in completing the APAR in time shall be placed in the APAR folder of the defaulting officer

i) It shall be therefore mandatory for every Government Servant to submit their APAR with a forwarding letter to the Reporting Authority with intimation to the concerned department/ cadre controlling authority/ concerned branch entrusted with maintenance of the APARs.

j) Similarly the Reporting/Reviewing Authority while submitting APAR to the next higher authority shall endorse a copy of the forwarding letter to the concerned department/ cadre controlling authority/ concerned branch entrusted with maintenance of the APARs.

23. Maintenance of APARs of official on deputation.

a) In case of officials deputed to other departments/agencies or on deputation to foreign service, and where there is practice of writing APARs using the same format or similar format, their APARS shall be maintained by their parent department. It is the responsibility of the parent department to obtain the performance report of the officials on deputation and maintain such reports.

b) In case of officials deputed to United Nations or its Agencies, intergovernmental organisation or contract assignments under bilateral arrangements/assignments etc, where there is no practice of writing APARs by the concerned agency, it is not necessary to get APAR on government officials on deputation to it. An entry may be made in the Annual Performance Assessment Report dossier of the officer concerned to the effect that he/she was on deputation to an agency/organisation during the relevant period and where there is no practice of writing APARs. However the official on deputation may be asked to obtain a Performance Certificate/Assessment Report financial year wise in the format used by the agency/organisation.

24. Writing of APAR by a relative:

- a) When the Reporting Authority and the officer reported upon happens to be close relatives (Spouse, Siblings, In-Laws, immediate family members etc), the Reporting Authority should abstain from writing the APAR of the officer reported upon and instead the Reviewing Authority should take the role of the Reporting Authority.
- b) Similarly, if the Reviewing Authority and the officer reported upon happens to be close relatives, the Reviewing Authority should abstain from reviewing the APAR of the officer reported upon and instead the Accepting Authority should take the role of the Reviewing Authority.

25. Writing of APARs by officers under suspension:

- a) If an official was under suspension, performance report shall not be recorded for the period he/she was under suspension. A Certificate maybe issued to the effect that the officer reported upon was under suspension during the relevant period and kept in the APAR's dossier of the officer concerned
- b) No official under suspension should be allowed to report/review/accept the performance reports of his/her subordinates for the period he/she was under suspension as he/she might not have the full opportunity to supervise the work of his/her subordinates.
- c) He/she may be permitted to report/review/accept the performance report of his/her subordinates for the period prior to his suspension within one month from the date of his/her having placed under suspension or one month from the date on which the report was due, whichever is later.

26. Writing of APARs after retirement:

- a) A retired officer may be allowed to write the report of his/her subordinates within one month of retirement or demission of office.
- b) It is advisable to have the reports completed at the time of retirement or immediately thereafter even if the report is not due and not deferred it till the end of financial year.

26. APARs of retired and deceased officers and their disposal :

- a)) The APARs of a Government servant shall be retained for a period of 5 (five) years from the date of superannuation, retirement, resignation etc.
- b) In case of deceased Government servants, the APARs shall be retained for a period of 2 (two) years from the date of death.
- c) After the expiry of the retention period as specified in (a) & (b) above, the APARs shall be destroyed. The last five years reports of such APARs before being weeded out may be retained in electronic form such as in PDF format etc.

d) After the expiry of the retention period, if a specific written request is received from the concerned retired Government servant, certified copies of the APARs may be provided to him/her.

e) If any disciplinary proceedings are pending at the time of superannuation or retirement or resignation, the period of 5 (five) years shall count from the date of issue of final orders in the disciplinary proceedings.

f) Where cases are pending in court at the time of superannuation or retirement or resignation, the period of 5 (five) years shall count from the date of final decision or 5 (five) years from the lapse of time for filing of appeal or 5 (five) years from the date of final decision on the appeal filed if any.

27. Guidelines for the Custodian

a) The Administrative Heads of Department and Heads of Department should scrutinize the Performance Reports relating to officials under their control to see whether they have written in accordance with laid down instructions and whether representation has been received against adverse remarks/grading below benchmark for promotion and if received, whether the representation has been considered in accordance with the laid down instructions in Para 21.

b) The completed APARs should reach the Custodian by 31st July. The Custodian shall prepare a list of APARs not received and follow up with the concerned officers.

c) The Custodian shall evolve a suitable mechanism to ensure that the remarks of the Reporting/Reviewing/Accepting Authority are recorded without fail within the stipulated dates.

d) In case the Reporting/Reviewing/Accepting Authority fails to submit the APARs in time, action should be taken as stated in Para 22 (f) & (g) above.

28. Forwarding of APARs to Private/Autonomous bodies etc.

a) Copies of APAR's Dossier or the substance of the reports contained in the dossier should not be sent to private bodies in connection with any purpose whatsoever.

b) However, where a request is received from a public undertaking or an autonomous body controlled by the Government, a gist of the APARs may be supplied. If the Government's own interest requires that the management of the public undertaking or an autonomous body should see the APARs in full, the APARs may be shown with the approval of the Administrative Head of Department/Head of Department.

c) Whenever it becomes necessary to send the APARs to any outside authority other than the UPSC or NPSC or DPC or Screening Committee for the purpose of selection, promotion, appointment etc, it is advisable to keep the original APARs with the custodian and send out

only photocopy of the APARs. Care should also be taken to ensure that the photocopies are destroyed immediately thereafter.

29. Channel of Submission:

- a) The Channel of submission of Annual Performance Assessment Report for State Government servant shall be as specified in **Schedule –II**.
- b) **Schedule – II** is a general indicative and the channel of submission of APAR of all Government servants within the department may be laid down by the Administrative Head of Department/Head of Department keeping in mind the administrative structure of the Department and should be intimated to the concerned Government servant at the beginning of the reporting year.

30. Assessment by the Deputy Commissioner:

- a) The Deputy Commissioner exercises over-all supervision on other government agencies in the district. As the head of the district administration, he/she is the connecting link between the public and the government in so far as he/she executes the policies, administers the rules and regulations framed by the government from time to time.
- b) Therefore the reports on the Heads of Office in the District including Heads of Sub-Divisional/Block Offices will be routed through the Deputy Commissioner of the District who will forward the APAR to the Reporting Authority after recording his/her assessment in the relevant section.
- c) The Deputy Commissioner is required to give his/her comments on the officer reported upon vis-à-vis his/her contribution to the regulatory/development activities, availability in station and public perception including specific appreciation/complaints by public if any.
- d) Any adverse remark given by the Deputy Commissioner on the APAR will be considered as an adverse report.
- e) A report containing an adverse remark of the Deputy Commissioner and a good report written by the Reporting Authority will be treated as an adverse report. The assessment of the Deputy Commissioner will be taken as the correct assessment as the Deputy Commissioner exercises over-all supervision on other government agencies in the district. Since the Deputy Commissioner and the officer reported upon also serve in the same station, the Deputy Commissioner will have observed the performance/work of the officer reported upon more closely than the Reporting Authority and thus the assessment of the Deputy Commissioner may be a more accurate assessment of the actual performance of the officer reported upon on ground.
- f) The APAR of the Heads of Office in the District including Sub-Divisional/Block Offices without the assessment of the Deputy Commissioner will be considered as an incomplete report.

31. Interpretation:

In case of any doubt regarding interpretation or clarifications of any provisions of this OM, the matter shall be referred to the Department of Personnel & Administrative Reforms, whose decision shall be final.

The instructions contained in this OM should be brought to the notice of all concerned for strict compliance and implementation with effect from the date of issue of this OM.

The new format for APAR shall be used with effect from **1st April 2022** and shall be applicable for the financial year **April 2021 to March 2022**.

Sd/-

(J ALAM) IAS

Chief Secretary to the Govt. of Nagaland

SCHEDULE - I
Time schedule for preparation and completion of APAR

Activity	Date by which to be completed
Distribution of blank APAR forms to all concerned (i.e to the officer to be reported upon) by the custodian	1 st April (this may be completed even a week earlier)
Submission of self appraisal to the Reporting Authority by the Officer reported upon.	30 th April
Submission of appraisal to the Reviewing Authority by the Reporting Authority.	31 st May
Submission of appraisal to the Accepting Authority by the Reviewing Authority.	30 th June
Submission of the completed APAR to the Custodian by the Accepting Authority.	31 st July
Disclosure to the Officer reported upon by the Custodian.	31 st August
Receipt of comments/representation of the officer reported upon, if any.	30 th September
Forwarding of representation to the competent authority by the Custodian	15 th October
Disposal of representation by the competent authority	15 th November
Communication of the decision of the competent authority on the representation to the officer reported upon by the Custodian.	30 th November
End of the entire APAR process, after which the APAR will be finally taken on record.	15 th December

Schedule – II
Channel of submission of APAR

1. District Administration

Name of the Post/Designation	Reporting Authority	Reviewing Authority	Accepting Authority
Deputy Commissioner	Commissioner	Chief Secretary	Chief Minister
Additional Deputy Commissioner	Deputy Commissioner	Commissioner	Chief Secretary
Sub – Divisional Officer (Civil)/ Border Magistrates/ Revenue Officer	Deputy Commissioner	Commissioner	Chief Secretary
Extra Assistant Commissioner	Additional Deputy Commissioner	Deputy Commissioner	Commissioner
PA to DC	Additional Deputy Commissioner	Deputy Commissioner	Commissioner
Superintendent in DC's Offices	Sub – Divisional Officer (Civil)/ Additional Deputy Commissioner	Deputy Commissioner	Commissioner
Dobashis	Extra Assistant Commissioner / Sub – Divisional Officer (Civil)	Additional Deputy Commissioner	Deputy Commissioner
Staff/Assistants	Extra Assistant Commissioner/ Sub – Divisional Officer (Civil)	Additional Deputy Commissioner	Deputy Commissioner

2. Secretariat

Name of the Post/Designation	Reporting Authority	Reviewing Authority	Accepting Authority
Administrative Head of Department	Chief Secretary	Minister-in-Charge	Chief Minister
Secretary (not holding independent charge)	Administrative Head of Department	Chief Secretary	Minister-in-Charge
Joint Secretary /Additional Secretary	Administrative Head of Department	Chief Secretary	Minister-in-Charge
Under Secretary/Deputy Secretary	Joint Secretary /Additional Secretary/Secretary	Administrative Head of Department	Chief Secretary*

Junior Section Officers/Section Officer	Officer not below the rank of Under Secretary	Immediate superior officer	Administrative Head of Department
Staff/Assistants	Section Officer	Immediate superior officer	Administrative Head of Department

* Where there is no intermediate officer between the Administrative Head of Department and the Under/Deputy Secretary, the reports on the Under/Deputy Secretary may be written by the Administrative Head of Department, reviewed by the Chief Secretary and accepted by the Minister-in-Charge. In case the Minister-in-Charge is the Chief Minister, the APAR with the assessment at the level of Reviewing Authority(Chief Secretary) shall be considered as a complete APAR.

3. Commissions (NPSC, NIC, NSSB etc)

Name of the Post/Designation	Reporting Authority	Reviewing Authority	Accepting Authority
Secretary	Chairperson of the Commission	Chief Secretary	Chief Minister
Under Secretary/Deputy Secretary/Controller	Secretary	Chairperson of the Commission	-
Superintendent/Asst Superintendent	Under Secretary/Deputy Secretary	Secretary	Chairperson of the Commission
Staff/Assistants	Superintendent	Under Secretary/Deputy Secretary	Secretary

4. Directorate

Name of the Post/Designation	Reporting Authority	Reviewing Authority	Accepting Authority
Head of Department	Administrative Head of Department	Chief Secretary	Minister-in-Charge
Additional Director	Head of Department	Administrative Head of Department	Chief Secretary
Assistant/Deputy/Joint Director	Additional Director	Head of Department	Administrative Head of Department
Registrar	Deputy Director	Head of Department	Administrative Head of Department
Superintendent	Registrar/ Deputy Director	Joint/Additional Director	Head of Department
Staff/Assistants	Registrar/ Deputy Director	Joint/Additional Director	Head of Department

5. District

Name of the Post/Designation	Reporting Authority	Reviewing Authority	Accepting Authority
Head of Office	Officer immediately	Head of Department	Administrative Head

	below Head of Department		of Department
Head Assistant/Head Assistant (Sr)	Officer immediately below the Head of Office	Head of Office	Head of Department*
Assistants/Staff	Head Assistant/Head Assistant (Sr)	Officer immediately below the Head of Office	Head of Office

* Incase there is no officer immediately below the Head of Office, the APAR with the assessment at the level of Reviewing Authority(Head of Department) shall be considered as a complete APAR.

6. Sub-Divisional/Block Office

Name of the Post/Designation	Reporting Authority	Reviewing Authority	Accepting Authority
Sub-Divisional/Block Officer	District Head of office	Head of Department	Administrative Head of Department
Assistants/Staff	Sub-Divisional/Block Officer	Officer immediately below the Head of Office (above the rank of the Sub-Divisional/Block Officer)	District Head of Office *

* Incase there is no officer above the rank of the Sub-Divisional/Block Officer to review the APAR, the APAR with the assessment at the level of Reviewing Authority(Head of Office) shall be considered as a complete APAR.

7. Officers deputed to other departments (Accounts Officers, Executive Engineers etc)

Name of the Post/Designation	Reporting Authority	Reviewing Authority	Accepting Authority
Senior Accounts Officer /Accounts officer	Officer not below the rank of Joint Director	Head of Department	Administrative Head of Department
Executive Engineer	Officer not below the rank of Joint Director	Head of Department	Administrative Head of Department

8. Other Offices (Municipal Council, Nagaland House etc)

Name of the Post/Designation	Reporting Authority	Reviewing Authority	Accepting Authority
Resident Commissioner	Home Commissioner	Chief Secretary	Minister-in-Charge
Joint Resident Commissioner	Resident Commissioner	Home Commissioner	Chief Secretary
Deputy Resident Commissioner	Joint Resident Commissioner	Resident Commissioner	Home commissioner
Assistant Resident Commissioner	Deputy Resident Commissioner	Joint Resident Commissioner	Resident Commissioner

Assistant Resident Commissioner/Deputy Resident Commissioner (holding independent charge)	Home Commissioner	Chief Secretary	Minister-in-Charge
Administrator of Municipalities	Deputy Commissioner	Administrative Head of Municipal Affairs Department	Chief Secretary

9. Drivers

Name of the Post/Designation	Reporting Authority	Reviewing Authority	Accepting Authority
Driver	Officer to whom attached/officer incharge of vehicles in the Department	Next immediate higher officer* (in case of pool vehicle)	-

*In case of drivers attached to officers wherein there is only one supervisory level above him/her, the assessment will be at the level of Reporting Authority only.

10. MTS

Name of the Post/Designation	Controlling Authority
MTS	Officer to whom attached/officer incharge of the Branch or office to which attached

The above guideline is a general indicative and the channel of submission of APAR of all Government servants within the department may be laid down by the Administrative Head of Department/Head of Department keeping in mind the administrative structure of the Department and should be intimated to the concerned Government servant at the beginning of the reporting year.

FORM - I

**FORMAT OF ANNUAL PERFORMANCE ASSESSMENT REPORT (APAR) FOR
GROUP 'A' AND GROUP 'B' OFFICERS**

Annual Performance Assessment Report from _____ to _____

SECTION - I

Basic Information

(To be filled in by the Officer reported upon)

1. Name of the Official	
2. Service/Department	
3. Date of Birth	
4. Date of entry into Government Service	
5. Grade/Post (During the period of report)	
6. Date of appointment to the present post	

7. Reporting, Reviewing & Accepting Authorities:

Authority	Name & designation	Period Worked	
		From	To
Reporting Authority			
Reviewing Authority			
Accepting Authority			

8. Period of Absence:

	From	To	Type	Remarks
On Leave				
Others				

9. Training Program(s) Attended:

Date (from)	Date (to)	Institute	Subject

10. Awards/Honours:

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Date:

**Signature on behalf of
Administrative Head of Department/Head of
Department/Head of Office (with seal)**

SECTION – II (Self Assessment)

1. Brief description of duties:

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2. Describe your achievements during the period under report, giving details of specific targets set for you, if any, and targets achieved.

Targets/Objectives/Goals	Achievements

3. During the period under report, do you believe that you have made any exceptional contributions e.g. in successful completion of an extraordinarily challenging task or major systematic improvement (resulting in significant benefits to the public and/or reduction in time and costs)? Be specific, concise and give details in a point wise manner, quantifying your achievements wherever possible.

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4. What are the reasons for not achieving specific targets, if any? Give details of factors that hindered your performance?

--

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

For the current assignment:

--

For your future career:

--

6. Please specify the number of tours/inspections performed by you during the period under report (applicable only in the case of field officers):

No. and brief description of inspections or tours expected to be performed during the year. Please indicate if any specific target was fixed.	No. and brief description of inspections or Tours actually performed with reasons for shortfall, if any.

7. Have you completed the APARs of all subordinate staff for the previous reporting year?

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8. Date of submission of self assessment to Reporting Authority:

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Place:

Signature of the officer reported upon

SECTION - III (Assessment by Reporting Authority)

1. Please state whether you agree with the self assessment made by the officer reported upon, especially with regard to achievements made during the year.

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

3. Has the officer reported upon met with any significant failures in respect of his/her work or reprimanded for indifferent work or for other causes during the period under report? If yes, please furnish factual details.

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

5. State of Health

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6. Integrity

(In general the remarks against the integrity column shall be made by the Reporting Authority in one of the following three options: (a) Beyond doubt. (b) Since the integrity of the officer is doubtful, a secret note is attached. (c) Not watched the officer's work for sufficient time to form a definite judgement but nothing adverse has been reported to me about the officer)

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7. Assessment

(This assessment should rate the officer vis-à-vis his/her peers and not the general population. The reporting officer will assess the officer by assigning grades on a scale of **1 to 10**, with **1** referring to the lowest grade and **10** to the best grade)

(a) Assessment of work output:

Sl. No.	Description	Reporting Authority	Reviewing Authority	Initials of Reviewing Authority
1.	Accomplishment of planned work/work allotted as per subjects allotted.			
2.	Quality of output			
3.	Analytical ability			
4.	Accomplishment of exceptional work/ unforeseen tasks performed			
	Total (a)			

(b) Assessment of Personal Attributes:

Sl. No.	Description	Reporting Authority	Reviewing Authority	Initials of Reviewing Authority
1.	Attitude to work , sense of responsibility & maintenance of discipline			
2.	Leadership qualities, capacity to work in team spirit and capacity to work in time limit			
3.	Communication skills and Inter-personal relations			
	Total (b)			

c) Assessment of functional competency:

Sl. No.	Description	Reporting Authority	Reviewing Authority	Initials of Reviewing Authority
1.	Knowledge of rules/regulations/procedures/IT Skills in the area of function and ability to apply them correctly			
2.	Strategic planning ability & decision making ability & Initiative			
3.	Co-ordination ability & ability to motivate and develop subordinates			
	Total (c)			

8. Pen picture of the officer reported upon. Please comment on the overall qualities and competence of the officer reported upon.

[illegible]

9. Overall Grade (on a scale of 1-10)

Total (a) + Total (b) + Total (c)	

10	

Date:

**Signature of the Reporting Authority
(with seal)**

Name :

Designation : _____
(During the period of report)

Date of receipt of APAR from the officer reported upon	
Date of submission of APAR to the Reviewing Authority	

SECTION – IV (Assessment by the Deputy Commissioner of the District)

(This assessment should rate the officer vis-à-vis his/her peers with regard to his/her contribution to the regulatory and/or developmental activities of the officer in the district, and is applicable only for district officials)

1. Participation and attendance in DPDB. Contributions towards adding value to the deliberations/performance of the DPDB may be specifically mentioned:

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2. Physical availability in Station during the reporting period (in percentage):

100	90	80	70	60	50	40
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3. Performance of the officer in executing department's activities and schemes:

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4. Proactive action taken by the officer and his/her contributions towards overall development of the District:

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5. Pen picture of the officer reported upon. Please comment on the overall qualities and competence of the officer:

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Date:

**Signature of Deputy Commissioner
(with seal)**

SECTION – V (Assessment by the Reviewing Authority)

1. Do you agree with the assessment made by the reporting authority with respect to the work output and the various attributes in Section III & IV? 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 assessment of attributes please record your assessment in the column provided for you in that section and initial):*

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

3. Please comment on the overall qualities of the officer including areas of strengths and lesser strengths and his/her attitude towards working the weaker sections (Not exceeding 100 words):

4. Overall grade on a scale of 1 to 10:

Date:

**Signature of Reviewing Authority
(with seal)**

Name : _____

Designation : _____
(During the period of report)

Date of receipt of APAR from the Reporting Authority	
Date of submission of APAR to the Accepting Authority	

SECTION – VI (Assessment by the Accepting Authority)

1. Do you agree with the remarks of the reporting/reviewing authorities?

Yes	No
-----	----

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

3. Overall grade on a scale of 1 to 10:

Date:

**Signature of Accepting Authority
(with seal)**

Name : _____

Designation : _____
(During the period of report)

FORM - II

**FORMAT OF ANNUAL PERFORMANCE ASSESSMENT REPORT (APAR) FOR
GROUP 'C' EMPLOYEES**

Annual Performance Assessment Report from _____ to _____

SECTION - I

Basic Information

(To be filled in by the Employee)

1. Name of the Employee	
2. Service/Department	
3. Date of Birth	
4. Date of entry into Government Service	
5. Grade/Post (During the period of report)	
6. Date of appointment to the present post	

7. Reporting, Reviewing & Accepting Authorities:

Authority	Name & designation	Period Worked	
		From	To
Reporting Authority			
Reviewing Authority			
Accepting Authority			

8. Period of Absence:

	From	To	Type	Remarks
On Leave				
Others				

9. Training Program(s) Attended:

Date (from)	Date (to)	Institute	Subject

10. Awards/Honours:

--

Date:

Signature on behalf of
Administrative Head of Department/Head of
Department/Head of Office (with seal)

SECTION – II (Self Assessment)

1. Brief description of duties:

--

2. Describe your achievements during the period under report, giving details of specific targets set for you, if any, and targets achieved.

Targets/Objectives/Goals	Achievements

3. During the period under report, do you believe that you have made any exceptional contributions e.g. in successful completion of an extraordinarily challenging task or major systematic improvement (resulting in significant benefits to the public and/or reduction in time and costs)? Be specific, concise and give details in a point wise manner, quantifying your achievements wherever possible.

--

4. What are the reasons for not achieving specific targets, if any? Give details of factors that hindered your performance?

--

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

For the current assignment:

--

For your future career:

--

6. Please specify the number of tours/inspections performed by you during the period under report (applicable only in the case of field officers):

No. and brief description of inspections or tours expected to be performed during the year. Please indicate if any specific target was fixed.	No. and brief description of inspections or tours actually performed with reasons for shortfall, if any.

7. Date of submission of self assessment to Reporting Authority:

--

Place:

Signature of the officer reported upon

SECTION - III (Assessment by Reporting Authority)

1. Please state whether you agree with the self assessment made by the employee, especially with regard to achievements made during the year.

2. Please comment on the claim (if made) of exceptional contribution by the employee.

3. Has the employee met with any significant failures in respect of his/her work or reprimanded for indifferent work or for other causes during the period under report? If yes, please furnish factual details.

4. Do you agree with the skill up gradation needs as identified by the employee?

5. State of Health

--

6. Integrity

(In general the remarks against the integrity column shall be made by the Reporting Authority in one of the following three options: (a) Beyond doubt. (b) Since the integrity of the employee is doubtful, a secret note is attached. (c) Not watched the employee's work for sufficient time to form a definite judgement but nothing adverse has been reported to me about the officer)

--

7. Assessment

(This assessment should rate the employee vis-à-vis his/her peers and not the general population. The reporting officer will assess the employee by assigning grades on a scale of **1 to 10**, with **1** referring to the lowest grade and **10** to the best grade)

(a) Assessment of work output:

Sl. No.	Description	Reporting Authority	Reviewing Authority	Initials of Reviewing Authority
1.	Accomplishment of planned work/work allotted as per subjects allotted.			
2.	Quality of output			
3.	Analytical ability			
4.	Accomplishment of exceptional work/ unforeseen tasks performed			
	Total (a)			

(b) Assessment of Personal Attributes:

Sl. No.	Description	Reporting Authority	Reviewing Authority	Initials of Reviewing Authority
1.	Attitude to work , sense of responsibility & maintenance of discipline			
2.	Leadership qualities, capacity to work in team spirit and capacity to work in time limit			
3.	Communication skills and Inter-personal relations			
	Total (b)			

c) Assessment of functional competency:

Sl. No.	Description	Reporting Authority	Reviewing Authority	Initials of Reviewing Authority
1.	Knowledge of rules/regulations/procedures/IT Skills in the area of function and ability to apply them correctly			
2.	Strategic planning ability & decision making ability & Initiative			
3.	Co-ordination ability & ability to motivate and develop subordinates			
	Total (c)			

8. Pen picture of the employee. Please comment on the overall qualities and competence of the employee.

of the sample, etc.

9. Overall Grade (on a scale of 1-10)

Total (a) + Total (b) + Total (c)	

10	

Date:

**Signature of the Reporting Authority
(with seal)**

Name : _____

Designation : _____
(During the period of report)

Date of receipt of APAR from the employee	
Date of submission of APAR to the Reviewing Authority	

SECTION – IV (Assessment by the Reviewing Authority)

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

Yes	No
-----	----

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

--

3. Please comment on the overall qualities of the employee including areas of strengths and lesser strengths and his/her attitude towards working the weaker sections (Not exceeding 100 words):

--

4. Overall grade on a scale of 1 to 10:

--

Date:

**Signature of Reviewing Authority
(with seal)**

Name : _____

Designation : _____
(During the period of report)

Date of receipt of APAR from the Reporting Authority	
Date of submission of APAR to the Accepting Authority	

SECTION – V (Assessment by the Accepting Authority)

1. Do you agree with the remarks of the reporting/reviewing authorities?

Yes	No
-----	----

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

--

3. Overall grade on a scale of 1 to 10:

--

Date:

**Signature of Accepting Authority
(with seal)**

Name : _____

Designation : _____
(During the period of report)

FORM - III

FORMAT OF ANNUAL PERFORMANCE ASSESSMENT REPORT (APAR) FOR DRIVERS

Annual Performance Assessment Report from _____ to _____

SECTION - I
Basic Information

(To be filled in by the concerned section of the Administrative Department/HOD/Head of Office)

1. Name of the Employee	
2. Department/Office	
3. Date of Birth	
4. Date of entry into Government Service	
5. Grade/Post (During the period of report)	
6. Name & designation of the Officer to whom /Office to which attached during the period under report.	

7. Reporting, Reviewing authorities:

Name and Designation of the Reporting Authority	
Name and Designation of the Reviewing Authority	

8. Period of absence from duty:

	From	To	Type	Remarks
On Leave				
Training				
Others				

9. Awards/Honours:

--

Signature on behalf of
Administrative Head of Department/Head of
Department/Head of Office

SECTION - II (Assessment by Reporting Authority)

1. State of Health

--

2. Integrity

(In general the remarks against the integrity column shall be made by the Reporting Authority in one of the following three options: (a) Beyond doubt. (b) Since the integrity of the employee is doubtful, a secret note is attached. (c) Not watched the employee's work for sufficient time to form a definite judgement but nothing adverse has been reported to me about the employee)

--

3. Number of accidents, if any

Major	Minor

4. Has the employee ever been reprimanded for indifferent work or for other causes during the period under report? If yes, brief particulars may be given

--

5. Pen picture of the employee. Please comment on the overall qualities and competence of the employee.

--

6. Assessment

(This assessment should rate the employee vis-à-vis his/her peers and not the general population. The reporting officer will assess the employee by assigning grades on a scale of **1** to **10**, with **1** referring to the lowest grade and **10** to the best grade)

Sl. No.	Description	Grades
1	Regularity and punctuality in attendance	
2	Amenability to discipline	
3	General Intelligence	
4	Dedication/devotion to duty and sense of responsibility	
5.	Energy and reliability	
6.	Ability to drive the vehicle entrusted to him (fault such as rashness in driving, nervousness, lack of attention/concentration)	
7.	Care of the vehicle (capability to keep the vehicle clean and tidy and in attending to petty repairs of the vehicle)	
8.	Observance of traffic rules and regulations	
9.	Proper watch on the requirement of fuels, repairs etc	
10	Inter-personal relations and behaviour (showing proper courtesy and good manners towards all persons using the vehicle)	
	Total (a)	

Total (a) <hr style="border-top: 1px dashed black;"/> 10	
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**Signature of the Reporting Authority
(with seal)**

Designation : _____
(During the period of report)

1. Do you agree with the remarks of the reporting authority?

Yes	No
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**Signature of Reviewing Authority
(with seal)**

FORM - IV**PERFORMANCE REPORT OF MULTI TASKING STAFF (MTS)**

Performance Report for the period from _____ to _____

SECTION - I**Basic Information**

(To be filled in by the concerned section of the Administrative Department/HOD/Head of Office)

1. Name of the Employee	
2. Department/Office	
3. Date of Birth	
4. Date of entry into Government Service	
5. Branch/Office to which/Officer to whom attached during the period under report.	

6. Period of absence from duty:

	From	To	Type	Remarks
On Leave				
Training				
Others				

7. Awards/Honours:

--

Signature on behalf of
Administrative Head of Department/Head of
Department/Head of Office

SECTION - II (Remarks of the Controlling Officer)

1. State of Health

--

2. Integrity

(In general the remarks against the integrity column shall be made by the Controlling Officer in one of the following three options: (a) Beyond doubt. (b) Since the integrity of the employee is doubtful, a secret note is attached. (c) Not watched the employee's work for sufficient time to form a definite judgement but nothing adverse has been reported to me about the officer)

--

3. Has the employee ever been reprimanded for indifferent work or for other causes during the period under report? If yes, brief particulars may be given

--

4. Pen picture of the employee. Please comment on the overall qualities and competence of the employee.

--

5. Assessment

(This assessment should rate the employee vis-à-vis his/her peers and not the general population. The Controlling officer will assess the employee by assigning grades on a scale of **1 to 10**, with **1** referring to the lowest grade and **10** to the best grade)

Sl. No	Description	Grades
1.	Regularity and punctuality in attendance	
2.	Amenability to discipline	
3.	General intelligence	
4.	Dedication/devotion to duty	
5.	Promptness in attending to duty	
6.	Sense of responsibility	
7.	Ability to follow instructions and compliance in carrying out instructions	
8.	Relation with fellow employees and members of public	
9.	Communication skill	
10.	General awareness of the employee about the work of the department/ Office in which he/she is posted	
Total (a)		

6. Overall Grade (on a scale of 1-10)

Total (a)	

10	

Date:

**Signature of the Controlling Officer
(with seal)**

Name : _____

Designation : _____
(During the period of report)

Form – V

**FORMAT OF ANNUAL PERFORMANCE ASSESSMENT REPORT (APAR) FOR
TRAINING/STUDY LEAVE**

Annual Performance Assessment Report from _____ to _____

A. Basic Information:

1. Name of the Official	
2. Service/Department	
3. Date of Birth	
4. Date of entry into Government Service	
5. Grade/Post (During the period of report)	
6. Date of appointment to the present post	

B. Training Details:

1. Course	
2. Institution	
3. Duration	

Enclose copies of Degree/Certificate/Diploma/Evaluation obtained during the training if any.

C. Self Assessment:

--

Date:

Signature of the officer reported upon

D. Assessment by the Reporting Authority

Please comments on the overall qualities of the officer:

Performance in the training:

Date:

Signature of the Reporting Authority
(with seal)

Name : _____

Designation : _____
(During the period of report)

E. Assessment by the Reviewing Authority

Do you agree with the remarks of the reporting authority?

Yes	No
-----	----

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

Date:

Signature of Reviewing Authority
(with seal)

GOVERNMENT OF NAGALAND
DEPARTMENT/ OFFICE OF _____

NO REPORT CERTIFICATE

(For the period from _____ to _____)

Certify that Annual Performance Assessment Report (APAR) for the period _____ in respect of Shri/Smti _____ (Name & Designation) has not been written since the period is less than 90 (Ninety) days.

The period _____ in respect of the APAR of Shri/Smti _____ may be treated as 'No Report Period'.

**Signature on behalf of
Administrative Head of Department/Head of
Department/Head of Office**

GOVERNMENT OF NAGALAND
DEPARTMENT/ OFFICE OF _____

NO REPORT CERTIFICATE

(For the period from _____ to _____)

Certify that comments/remarks of the Reviewing/Accepting Authority for the period _____ in respect of the APAR of Shri/Smti _____ (Name & Designation) could not be recorded as the Reviewing/Accepting Authority has not completed the 90 (ninety) days period required for initiating the APAR.

- or -

Certify that comments/remarks of the Reviewing/Accepting Authority for the period _____ in respect of the APAR of Shri/Smti _____ (Name & Designation) could not be recorded as Shri/Smti _____ (Name & designation), the then Reviewing/Accepting Authority has demitted office.

Signature on behalf of
Administrative Head of Department/Head of
Department/Head of Office

GOVERNMENT OF NAGALAND
DEPARTMENT/ OFFICE OF _____

NO REPORT CERTIFICATE

(For the period from _____ to _____)

Certify that Annual Performance Assessment Report (APAR) for the period _____ in respect of Shri/Smti _____ (Name & Designation) could not be written as the Reporting Authority has not completed the 90 (ninety) days period required for initiating the APAR.

The period _____ in respect of the APAR of Shri/Smti _____ may be treated as 'No Report Period'.

Signature on behalf of
Administrative Head of Department/Head of
Department/Head of Office

ANNEXURE - IV
FORMAT FOR DISPOSAL OF REPRESENTATION (See Para 21)

1. Name of the Officer reported upon	
2. Year /Period of assessment	

3. Whether comments/remarks of the Reporting/Reviewing Authority on the representation has been received

Yes	No
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4. Do you agree with the representation made by the officer reported upon for changing the overall assessment/gradings for the period under report? (The Competent authority while deciding the representation shall consider the comments of the Officer reported upon and the comments/remarks of the Reporting/Reviewing Authority and reasons for the same may be recorded in the relevant column)

Yes	No
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5. Reasons for rejection/acceptance of the representation.

--

6. New overall grade on a scale of 1 to 10 (if the grading has been modified)

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Date:

Signature of Competent Authority

Name & Designation: _____

GOVERNMENT OF NAGALAND
DEPARTMENT/ OFFICE OF _____

CERTIFICATE FOR DISCLOSURE OF
ANNUAL PERFORMANCE ASSESSMENT REPORT

Certify that Annual Performance Assessment Report (APAR) for the period _____ in respect of Shri/Smti _____ (Name & Designation) has been disclosed to the officer reported upon and all actions in compliance to the P&AR OM No PER/VIG-5/3/01 dated 15th March, 2022 in connection with Preparation and maintenance of APAR of the officer has been completed.

Name of the Officer reported upon	
Year /Period of Assessment	
Date of disclosure of APAR to the Officer reported upon	
Whether comments/representation received from the officer reported upon	
If yes, date of communication of final report to the Officer reported upon after consideration by the competent authority	

Signature on behalf of
Administrative Head of Department/Head of
Department/Head of Office