WEB CIRCULATION

कर्मचारी भविष्य निधि संगठन
(श्रम एवं रोजगार मंत्रालय, भारत सरकार)
EMPLOYEES' PROVIDENT FUND ORGANISATION
(Ministry of Labour & Employment, Govt. of India)
मुख्य कार्यालय / Head Office
भविष्य निधि भवन, 14-भोजोली कचरा पट्टी, नई दिल्ली-110 066.
Bhavishya Nidhi Bhawan, 14, Bhikaiji Cama Place, New Delhi – 110 066.
No. File no. APAR-12/2015-16/SPARROW/Part File IV
To
All Addl. CPFCs(HQ) / Addl. CPFCs (Zones)/Addl.CPFC(ASD),
Director, PDNASS,
All RPFCs/OIC in-charge of ROs/ASD/ZTIs/DOs.

Dated: 10.2020
5 OCT 2020

Subject :- Initiation, Reporting & Review of Annual Performance Assessment Reports (APARs) of Commissioner cadre for the year 2018-19 & 2019-20 in physical format -regarding

References :- (i) Head Office Circular No. APAR-12/2015-16/SPARROW/1173 dt. 25.04.2019
(ii) Head Office Circular No. APAR-2/2016/ACC/RPFCs/11754 dt. 25.02.2020
(iii) Head Office Circular No. APAR-12/2015-16/SPARROW /Part File-IV/3 dt. 05.06.2020

Madam/ Sir,

Please refer to Head Office Circular No. APAR-12/2015-16/SPARROW/1173 dated 25.04.2019 regarding the generation/ submission of APARs online through SPARROW in r/o Commissioner cadre for the year 2018-19. As the said Portal is down and the matter of migration of SPARROW instance is under process and may take further time before completion, it has been decided that the APARs of the Commissioner cadre will be submitted in paper based format for the year 2018-19. Further, it has also been decided that the APARs of the Commissioner cadre for the year 2019-20 will also be submitted in paper based format.

2. Reporting/ Reviewing Officer :- The officers have to submit their resume to the Reporting Officer who in turn will submit the same to the Reviewing Officer in a time bound manner. The Reporting and Reviewing Officer be also advised to follow the target dates as per schedule given to this circular. The concerned RPFC and Officer In-charge are responsible for completion of APAR as per schedule given to this circular. It may, however, be noted that the immediate superior authority who is supervising the work is to act as the Reporting Officer and authority to whom the Reporting Officer is subordinate is to act as the Reviewing Officer. It is further clarified that in case the regular incumbent is not in the office to report or review the APAR, as may be the case, the next level officer in the hierarchy or the controlling officer may report or review the APAR of the officer as may be applicable. Where only one superior officer is in the channel of submission, the APAR may be reported and reviewed by the superior officer.

3. Timely Completion of APAR:- The Annual Performance Assessment Report is the basic management tool available in the Organization to assess the performance of an officer. The APAR contains vital inputs for considering the matter of confirmation, promotion, placement in Selection Grade, appointment to deputation posts etc. Hence, the timely rendering of APAR to the concerned authorities becomes all the more important. It is, therefore, requested that all concerned may be advised to strictly comply with the time table.

ii) As per the DoPT OM No.35014/4/83-Estt.(A) dated 23rd September 1985, if no self-appraisal is received by the stipulated date, the reporting officer can obtain another blank APAR form and proceed to write the report on the basis of his experience of the work and conduct of the officer reported upon. While doing so, he can also point out the failure of the officer reported upon to submit his self appraisal within the stipulated time.

iii) In case the APAR is not initiated by the Reporting Officer for any reason as per given schedule enclosed to this circular, he shall forfeit his right to enter any remarks in the APAR of the officer to be reported upon and he shall submit all APARs held by him for reporting to the Reviewing Officer on the next working day. Similarly, the Reviewing Officer shall also forfeit his right to enter any remarks in the APAR as per given schedule to this circular.

iv) As per the instructions *ibid* which are to be followed, the Reporting Officer and the Reviewing Officer are required to complete the APARs as prescribed date. The Reporting Officer shall have no right to enter any remarks in the APAR after prescribed date and the Reviewing Officer shall have no right to enter any remarks in the APAR after prescribed date.

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

4. Grading of APARs:- Guidelines regarding numerical grading in the APAR have been issued vide Head Office letters dated 14.01.2010(SI. No. 196 of 2009-10) and further reiterated vide letter dated 10/11.03.2011 (SI. No. 528 of 2010-11). Separate numerical gradings have to be given on the assessment of work output, personal attributes and functional efficiency. While writing performance appraisal through APAR of any officer/official, each reporting officer must ensure to compare the performance of the officer/official reported upon with reference to the targets given by organization through RPF/Timelines/Review meetings conducted by the CPFC. These three areas have separate weightage and add upto 100% of the numerical grading to be obtained by the officer reported upon. Both the reporting and reviewing officer shall enter the numerical grading in the same table at relevant column. The reporting/reviewing officer would also sum up the assessment and give a pen picture of the officer reported upon. While writing the APAR by the reporting/reviewing authority shall cross check the figure supported by attendance printout either by bio-metric attendance or attendance sheet/register.

5. Where to send the Reports :- The completed APARs for the year under report are required to be sent in sealed cover to RPF-II, APAR Cell, Headquarters regarding Group “A” Officers.

6. Communication of APARs and disposal of representations:- The authority having the custody of the APAR should ensure that the Performance Assessment Reports duly completed are received in time. Attention is invited to H.O. circular dated 27.07.2009 and DOP&T’s O.M. No.21011/1/2005-Estt.(A) (Pt.II) dated 14 May 2009 conveying the decision to modify the ACR and modification of the existing system of giving an opportunity to an individual to make
representation against the final entries in the APAR had been communicated. With the change in the system of writing of Performance Assessment Report, it has been instructed that the full APAR including the overall grade and assessment of integrity shall be communicated to the concerned officer after the report is complete with the remarks of reviewing officer.

(ii) Representation against the remarks or for upgradation of the final grading given in the APAR (previously known as ACR) should be examined by the Competent Authority in consultation, if necessary, with the Reporting and the Reviewing Officer, if any. While considering the representation, the Competent Authority decides the matter objectively in a quasi-judicial manner on the basis of material placed before it.

(iii) The Supreme Court observed that in the case of Dev Dutt Vs Union of India:

"Competent Authority" has to be the authority next to the Reviewing Officer "we also hold that the representation must be decided by an authority higher than the one who gave the entry, otherwise the likelihood is that the representation will be summarily rejected without adequate consideration as would be an appeal from Caesar to Caesar.

7. With a view to ensure timely completion of APARs for the year 2018-19 & 2019-20, the target dates as prescribed for completing the following activities mentioned against each have been revised as under:

<table>
<thead>
<tr>
<th>Sl. No.</th>
<th>Activities</th>
<th>Deadline</th>
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<tbody>
<tr>
<td>1.</td>
<td>Distribution of blank forms</td>
<td>By 10th October 2020</td>
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<td>2.</td>
<td>Submission of resume by officer reported upon to Reporting officer</td>
<td>1st November 2020</td>
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<tr>
<td>3.</td>
<td>Forwarding of report by Reporting Officer to Reviewing Officer</td>
<td>21st November 2020</td>
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<tr>
<td>4.</td>
<td>Forwarding of report by Reviewing Officer</td>
<td>21st December 2020</td>
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<td>5.</td>
<td>Disclosure to the officer reported upon</td>
<td>15th January 2021</td>
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<tr>
<td>6.</td>
<td>Submission of representation, if any on APAR</td>
<td>15 days from the date of disclosure</td>
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<tr>
<td>7.</td>
<td>Disposal of representation by the Competent Authority</td>
<td>Within one month from the date of receipt of representation by the Competent Authority</td>
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<tr>
<td>8.</td>
<td>Communication of the decision of the Competent Authority on the representation by the APAR Cell</td>
<td>Within 15 days of the finalization of decision by Competent Authority</td>
</tr>
<tr>
<td>9.</td>
<td>End of entire APAR process, after which the APAR will be finally taken on record</td>
<td>31st March 2021</td>
</tr>
</tbody>
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(This issues with the approval of the Competent Authority)

Yours faithfully,

(Brijesh Kumar Mishra)
Regional P.F. Commissioner-I (HRM)

Enclosure: As above

Copy to:
1. RPFC-I (NDC) for Web Upload.
2. Hindi Section for Hindi version

The undersigned is directed to say that Government e-Marketplace (GeM) portal facilitates online procurement of common use goods & services by various Government Ministries/Departments. Procurement of goods & services through GeM portal has been made mandatory by Government of India under Rule 149 of General Financial Rules, 2017, for goods and services available on GeM. GeM aims to enhance transparency, efficiency and speed in public procurement and to achieve the best value for money.

2. To ensure that this digital e-Commerce portal for procurement of goods and services is appropriately utilized by all the Ministries/Departments, it has been decided, with the approval of the competent authority, that a reflection of the work done through GeM by the Officer Reported Upon (ORU) shall be made in the APAR of Group ‘A’, Group ‘B’ and Group ‘C’ officers belonging to Central Civil Services (other than All India Services).

3. The ORU, who are handling procurement from GeM portal in their Ministry/Department/Organisation, while recording Self-appraisal in APAR form, against the column ‘Targets/Objectives/Goals’ shall specify the ‘Total budget allocated for procurement by the Ministry/Department/Division/Section’ (as may be applicable in the case of the ORU) and against the corresponding column ‘Achievements’, the ORU shall indicate (i) the ‘Total procurement through GeM portal’ made by him/her during the period of report, (ii) specifying the % of procurement through GeM portal, (iii) the procurements made outside GeM and the reasons therefor, and (iv) steps taken for promotion of GeM in the Ministry/Department/Division/Section.

4. The Reporting and Reviewing officers, shall, in general, while recording the numerical grading under ‘Work Output’, ‘Personal Attributes’ and ‘Functional Competency’ in the APARs, shall, wherever applicable, take into account the performance of the ORU for procurement of goods & services through GeM, in accordance with the extant instructions in force during the
period of report. Also, the remarks recorded by the ORU in Self-appraisal against Targets and Achievements on procurements made (as mentioned at para 3 above), may specifically be taken into account by the Reporting and Reviewing officers, while according numerical grading for items such as ‘Accomplishment of planned work/work allotted as per subjects allotted’ under Work Output and ‘Knowledge of Rules/Regulations/Procedures in the area of function and ability to apply them correctly’ under Functional Competency. A reflection of the performance of the ORU with reference to procurement through GeM or otherwise may also be recorded by the Reporting Officer in the Pen Picture.

5. The above provisions would be applicable for APAR from the reporting year 2019-20 onwards. The APAR format may be modified accordingly in the manner indicated in Annexure-I. A sample format of Self-appraisal Section and Reporting Section of APAR is at Annexure-II for reference.

6. All Ministries/Departments are requested to bring the above instructions to the notice of all the offices under them for strict implementation.

(Kabindra Joshi)
Director

All Ministries/Departments of the Govt. of India
(As per standard list)

Copy to:

1) Secretary General/Registrar General, Supreme Court of India.
2) Secretary General of Lok Sabha Secretariat/Rajya Sabha Secretariat.
3) Secretaries in President’s Secretariat / Vice-President’s Secretariat/ Prime Minister’s Office/ Cabinet Secretariat/ Central Vigilance Commission/UPSC/NITI Aayog.
4) The Comptroller and Auditor General of India, New Delhi.
5) Director, NIC, DoP&T for uploading on the website of this Department under Notifications/OM & Orders-Establishment-ACR.

Copy also to:

1) All attached offices under M/o Personnel, Public Grievances and Pensions.
2) Establishment Officer and Secretary, ACC.

(Kabindra Joshi)
Director
Part-2 Self-Appraisal - (To be filled up by Officer Reported Upon)

Instructions for Point No.2 as under:

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

<table>
<thead>
<tr>
<th>Targets/Objectives/Goals</th>
<th>Achievements</th>
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</thead>
<tbody>
<tr>
<td></td>
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</tbody>
</table>

may be modified as:

"Please specify targets/objectives/goals (in quantitative or other terms) of work you set for yourself or that were set for you, eight to ten items of work in the order of priority and your achievement against each target (Example: Annual Action Plan for your Division), particularly having regard to procurement planned and actually made through GeM portal for those Government servants who handled procurement during the period under reference.

<table>
<thead>
<tr>
<th>Targets/Objectives/Goals</th>
<th>Achievements</th>
</tr>
</thead>
<tbody>
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<tr>
<td>Procurements made through GeM portal (wherever applicable)</td>
<td></td>
</tr>
</tbody>
</table>

(i) Total budget allocated for procurement by the Ministry/Department/Division/Section in Rupees (as may be applicable in the case of the Officer Reported Upon).

(ii) % of procurement through GeM portal as against the budget indicated in the Target.

(iii) Procurements made outside GeM portal and the reasons therefor.

(iv) Steps taken for promotion of GeM in the Ministry/Department/Division/Section.

Contd..
Instructions before Numerical gradings may be modified to include the following:

"Numerical grading is to be awarded by reporting and reviewing authority which should be on a scale of 1-10, where 1 refers to the lowest grade and 10 to the highest. Numerical gradings, wherever applicable, may be awarded having special regard to the remarks recorded by the officer in the Self-appraisal regarding utilization of GeM portal for procurement and specifically for items 'Accomplishment of planned work/work allotted as per subjects allotted' under Assessment of Work Output and 'Knowledge of Rules/Regulations/Procedures in the area of function and ability to apply them correctly' under Assessment of Functional Competency."

Instructions before Pen Picture by Reporting officer may be modified to include the following:

"Wherever applicable, comments on steps taken by the officer for promotion of procurement on GeM during the period under report, percentage of procurement on GeM and his/her attitude towards full implementation of GeM in the office may also be recorded"
विश मालिकार्य का प्रतिवेदन निर्देश जाना है, उनके द्वारा बरे जाने के लिए
To be filled in by the Officer reported upon
(कृपया प्रतिरिपों को ध्यान से पढ़ने अनुदेशों को ध्यान से पढ़ें)
(Please read carefully the instructions before filling the entries.)

1. किए गए कार्यों का सारिन विवरण
Brief description of duties:

<table>
<thead>
<tr>
<th>संख्या/Number</th>
<th>उपलब्धियों</th>
</tr>
</thead>
<tbody>
<tr>
<td>Targets/Objectives/Goals</td>
<td>Achievements</td>
</tr>
</tbody>
</table>

नम्बर के जो लक्ष्य/उद्देश्य/अन्य अपने स्वयं अपने लिए निर्धारित किए गए हैं, या अपने लिए निर्धारित किए गए हों उन
(परिपात या अन्य रूप में) कार्यों की आल-दर-मद्द वागवात्त से आगरा पर माना गया और इतने लक्ष्य की प्रभुता ही
अपनी उपलब्धियाँ बनाईं। (उद्देश्यों के लिए अपने प्रश्नानुसार के लिए बाकी कार्यों को जोड़ना)

Please specify targets/objectives/goals (in quantitative or other terms) of work you set for yourself or
that were set for you, eight to ten items of work in the order of priority and your achievement
against each target. (Example: Annual Action Plan for your division).
5. (A) Please state briefly, the shortfalls with reference to the targets/objectives/goals referred to in item 2. Please specify constraints, if any, in achieving the targets.

(B) Please also indicate items in which there have been significantly higher achievements and your contribution thereon.

4. Please state whether the annual return on immovable property for the preceding calendar year was filed within the prescribed date i.e. 31st January of the year following the calendar year. If not, the date of filing the return should be given.

Raman
Date:............................

Signature of officer reported upon.
(A) अभ्यास का अंशमात्र (प्रतिशत) (यह भाग का भाग 40% होगा)

<table>
<thead>
<tr>
<th>पदवीभावना प्रशिक्षिका</th>
<th>पुनर्विवेचन प्रशिक्षिका की प्रशिक्षित प्रशिक्षिका (संदर्भ भाग-5 का वार्षिक 2)</th>
<th>पुनर्विवेचन प्रशिक्षिका के आदेश</th>
<th>प्रबंधन अधिकारी के आदेश</th>
</tr>
</thead>
<tbody>
<tr>
<td>प्रशिक्षित प्रशिक्षिका मॉडल</td>
<td>Reporting Authority</td>
<td>Reviewing Authority</td>
<td>Initial of Reviewing Authority</td>
</tr>
</tbody>
</table>

1) पूर्वसूचित कार्य को पूर्णता से पूर्णता तक सम्मानित करें।
   आवश्यकताएं के साथ कार्य करें।
   ‘अभ्यास का अंशमात्र’
   पूर्वसूचित कार्य को पूर्णता से पूर्णता तक सम्मानित करें।
   आवश्यकताएं के साथ कार्य करें।

2) गुणवानित प्रशिक्षित कार्यांक
   गुणवानित प्रशिक्षित कार्यांक
   गुणवानित प्रशिक्षित कार्यांक

(B) भविष्य के विशेषता (प्रतिशत) (यह भाग का भाग 30% होगा)

<table>
<thead>
<tr>
<th>पदवीभावना प्रशिक्षिका</th>
<th>पुनर्विवेचन प्रशिक्षिका (संदर्भ भाग-5 का वार्षिक 2)</th>
<th>पुनर्विवेचन प्रशिक्षिका के आदेश</th>
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<td>Reporting Authority</td>
<td>Reviewing Authority</td>
<td>Initial of Reviewing Authority</td>
</tr>
</tbody>
</table>

1) आदेश की अधिकृतता
   अधिकृतता की सीमा

2) समकालीन अवधिकार
   समकालीन अवधिकार

3) व्यवसायीक योग्यता
   व्यवसायीक योग्यता

4) संभवता स्वभाव
   संभवता स्वभाव

5) उद्देश्य समर्पण
   उद्देश्य समर्पण

6) अनुभव अथवा स्वभाव
   स्वभाव

7) व्यवस्था और व्यवस्था
   व्यवस्था और व्यवस्था

8) आधार और प्रतिक्षेप
   प्रतिक्षेप

9) स्वभाव और व्यवहार
   स्वभाव और व्यवहार

10) व्यवहार और व्यवहार
    व्यवहार और व्यवहार

Overall Grading on Personal Attributes
प्रशिक्षण

1. जनता के साथ सहयोगी (जहाँ की प्रयोजन)
   Relations with the public (wherever applicable)

2. (कृपया अधिकारी की प्रशिक्षित पर जानकारी या अलावा जानकारी दें)
   (Please give recommendations for training with a view to further improving the effectiveness and capabilities of the Officer.)
3. State of health

4. Integrity

(Please comment on the integrity of the Officer.)

5. Pen Picture by Reporting Officer (in about 100 words) on the overall qualities of the officer including area of strengths and lesser strength, extraordinary achievements, significant failures (ref 3(A) & 3(B) of Part-3) and attitude towards weaker sections.


Signature of the Reporting Officer

<table>
<thead>
<tr>
<th>Name Sate of Authority</th>
<th>Name in Block Letters:</th>
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<table>
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<tr>
<th>Designation:</th>
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<th>Annexure:</th>
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| During the period of Report: |
|-----------------------------|-------------------------|
|                             |                         |