

No.-A-28011/12/2017-APAR
Government of India/भारत सरकार
Ministry of Corporate Affairs/कारपोरेट कार्य मंत्रालय

'A' Wing, 5th Floor, Shastri Bhawan,
New Delhi, the 22nd March, 2018

OFFICE MEMORANDUM

Subject : Preparation and Maintenance of on-line Annual Performance Appraisal Report

Pursuant to decision taken by the Ministry to implement 'online APAR module (SPARROW)' for all the cadres of Ministry of Corporate Affairs w.e.f. Assessment Year 2017-18, some on-line roles are required to be performed at various levels. Keeping this in view, and with the approval of the Competent Authority, these 'roles' have been assigned hereunder:

SN	Standard Roles	Designated Authorities/ Functionaries	Functions
1.	PAR State Custodian (Primary)	DS/Dir (APAR Cell), MCA & Regional Director (RD), or in his absence, the senior most officer of the Directorate	Signatory for duly filled Part-I of on-line APAR, and responsible for forwarding it to concerned officials for self-appraisal.
2.	PAR State Custodian (Alternate)	US (APAR Cell), MCA & Officer of the Directorate, as nominated by RD	All functions of Primary Custodian, except deletion of incorrectly generated APAR(s).
3.	EMD Verifier (EMD Administrator)	As nominated by Dir/DS (APAR Cell), MCA & Officer of the Directorate, as nominated by RD	Maintaining Personal Information (including Login details) of officials; and Exclusion/inclusion of officers' name/details in EMD Database.
4.	PAR Manager	As nominated by Dir/DS (APAR Cell), MCA & Officer of the Directorate, as nominated by RD	Creation of workflow (Reporting /Reviewing Authority) and collation of data for filling up Part-I of the APAR [on behalf of Custodian]

[APAR Cell of MCA will be responsible for generation and processing of APAR of Regional Directors, officials in MCA HQ, ICLS Academy, and those on deputation]

2. As Annual Performance Appraisal Reports are vital for personnel administration, it is important that instructions and guidelines issued by the Govt/DoPT for its processing and maintenance, are strictly adhered by all concerned authorities. In this regard, specific attention is invited to the following instructions:

(I) Prescribed timelines for processing of APAR:-

SN	Activity	Date by which to be completed
1.	Distribution of blank APAR form to all concerned (i.e, to officer to be reported upon, where self-appraisal has to be given and to reporting officers where self-appraisal is not to be given)	31 st March (This may be completed even a week earlier)
2.	Submission of self-appraisal to reporting officer by officer to be reported upon (where applicable)	15 th April
3.	Submission of report by reporting officer to reviewing officer	30 th June
4.	Report to be completed by Reviewing officer and to be sent to Administration or CR Section/Cell or accepting authority, wherever provided	31 st July
5.	Disclosure to the officer reported upon	Latest by 01 st September
6.	Receipt of representation, if any, on APAR	Fifteen (15) days from the date of receipt of the communication.

(II) If 'officer reported upon' fails to submit his/her APAR in time:-

Annual Performance Assessment Reports are to be completed within a time-frame, as mentioned above, so that up-to date Reports are available at any given time. If the self-appraisal is not received on time, Reporting Officer should take it upon himself to remind the 'officer to be reported upon' in writing, asking him to submit his self-appraisal. If no self-appraisal is received by the stipulated date, the reporting officer can request the Custodian to **force-forward** the APAR 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) If the Reporting/Reviewing Officer misses the 'timeline':-

If APAR is not initiated by the Reporting Officer beyond 30th June of the year in which the financial year ended, he/she shall forfeit his/her right to enter any remarks in the APAR of the officer to be reported upon and he/she shall submit all APARs held by him/her for reporting to the Reviewing Officer **on the next working day**; or else the Custodian may also force forward such APARs to such authority. Similarly, the Reviewing Officer shall forfeit his right to enter any remarks in the APAR beyond **31st July** of the year in which the financial year ended.

In cases of delay and slippage of the prescribed timeline(s), the Secretary of the Ministry may direct to call for the explanation of the concerned officers for not having performed the **public duty** of writing the APARs within the due date, and in the absence of proper justification direct that a **written warning for delay** in completing the APAR be placed in the APAR folder of the defaulting officer concerned.

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 abovementioned provisions, a certificate to this effect shall be added in the APAR for the relevant period.

(IV) 'Qualifying Period' for Report/Review of APAR:-

The Reporting Officer after completing his part of the Report submits it to his own superior, known as the Reviewing Officer for review. The officers at both Reporting and Reviewing levels are required to have **at least three months experience** of supervising the work and conduct of the Government servant reported upon, before they can record their assessment on the performance of the Government servant.

(V) Assessment at one level

Where a Government servant has only one supervisory level above him/her as in the case of personal staff attached to officers, the assessment will be at the level of Reporting Officer only.

(VI) More than one APAR for one year

While normally there should be only one Report covering the year of Report, there can be situation, in which it becomes necessary to write more than one Report during a year. There is no objection to two or more independent Reports being written during a year by different Reporting Officers, subject to the condition that each Reporting Officer has at least three

months experience on which he/she can base his/her Report on the Government servant reported upon. Where more than one Report is written in the course of a year, each Report should indicate precisely the period covered by it. **When a Report has to be written by a Reporting Officer, who is under transfer, it should be written at the time of transfer or immediately thereafter and not deferred till the end of the year.** The responsibility for timely circulation of the on-line APAR and obtaining it from the Reporting Officer concerned in such cases, will be that of PAR State Custodian.

(VII) Situation when Role of Reporting Officer is performed by Reviewing Officer

Where for a period of Report, there is no Reporting Officer with the requisite experience to initiate the Report, the Reviewing Officer himself may initiate the Report as a Reporting Officer provided the Reviewing Officer has been the same for the entire period of Report and he is in a position to fill in columns to be filled in by the Reporting Officer. Where a Report is thus initiated by the Reviewing Officer, it will have to be submitted by him to his own superior for Review if there is a superior officer to him in the prescribed channel.

(VIII) Effect of suspension of Reporting/Reviewing Officer

If a Reporting/Reviewing Officer is under suspension when the Annual Performance Assessment Report has become due to be written/reviewed, it may be written/reviewed by the officer concerned **within two months** from the date of his having been placed under suspension or **within one month** from the date on which the Report was due, **whichever is later.** An officer under suspension shall not be asked to write/review Annual performance Appraisal Reports after the time limit specified above. The Section entrusted with the maintenance of the APAR should take the necessary action to have such APAR completed.

(IX) No Report Certificate (NRC):-

Wherever there is any gap in the APAR during a particular reporting period, it is the responsibility of the officer in-charge for maintaining the APAR to place a No Report Certificate (NRC) **indicating the reasons**, e.g. the officer has not worked for minimum 3 months under a reporting officer; he/she was on leave/training during the period; he/she was on unauthorised absence; the APAR could not be completed by lapse of the time limit for making remarks by the retired/suspended reporting/reviewing officer etc.

The NRC will not be placed in the CR dossier, 'casually', under any circumstances.

(X) Effect of retirement of Reporting or Reviewing Officer:-

Where a Reporting officer/Reviewing officer retires, he/she may be allowed to give the report on his/her subordinates **within one month of retirement**. The section responsible to generate the APARs should take a call at least two weeks before the retirement of the officer and ensure that the APAR(s) of his/her subordinates should reach in the account of the retiring officer on the day of his/her retirement.

(XI) Disposal of Representation:-

The officer can represent against the entries and the final grading in the Report within a period of **fifteen (15) days** from the date of receipt of the APAR. The representation should be restricted to the specific factual observations contained in the report leading to assessment of the officer in terms of attributes, work output etc. In case, no representation is received within the fifteen days, it shall be deemed that he/she has no representation to make. If the concerned APAR Section does not receive any information from the concerned officer on or before fifteen days from the date of disclosure, the APAR will be treated as final. The representations against the remarks or for up gradation of final grading in the APAR will be considered by the competent authority objectively in a quasi-judicial manner on the basis of material placed before it.


(Vivek Kumar)**Deputy Secretary (APAR Cell)**

1. All Regional Directors (for compliance and circulation amongst officers/officials posted under their jurisdiction)
2. ROCs/OLs/ICLS Academy/CRC, Manesar/SFIO/NCLT/NCLAT
3. All ICLS officers/Group 'B' & 'C' officials posted at MCA Headquarters.
4. US(Ad.II)
5. SO(Ad.II)
6. E-Governance – for uploading on MCA website under APAR Section.

Copy, to:-

1. PPS to Secretary, CA
2. PPS to JS(G)
3. US (MKS)