

Government of Himachal Pradesh
Department of Personnel

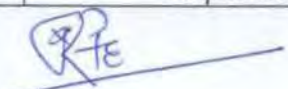
No. Per (AP.B)-B(11)-1/2015

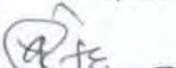
Dated: Shimla-171002, the 20th May, 2022.

NOTIFICATION

The Governor, Himachal Pradesh, is pleased to make the following Rules of "The Himachal Pradesh Class-I and Class-II Officer (Annual Performance Appraisal Report) Rules, 2022", in the Department of Personnel, namely:-

1. Short title, commencement and application:	(1) These rules may be called the Himachal Pradesh Class-I and Class-II Officer (Annual Performance Appraisal Report) Rules, 2022. (2) They shall come into force from the date of their publication in the Rajpatra (e-Gazette), Himachal Pradesh.
2. Definitions:	In these rules, unless the context otherwise requires, (a) "accepting authority" means the authority which supervises the performance of the reviewing authority as may be specifically empowered in this behalf by the Government; (b) "Government" means the Government of Himachal Pradesh. (c) "annual performance appraisal report" means the performance appraisal report referred to in rules 4 and 5; (d) "performance appraisal dossier" means the compilation of the performance appraisal reports written on an officer of the Class-I & Class-II officer under the State Government of H.P including Departmental HoD's & HPSS, REFERRED TO IN RULE 3 , and includes such other documents as may be specified by the Government, by general or special order, in this behalf; (e) "referral board" means a board consisting of such officers designated by the Government for cases relating to all officers of the Service on Central deputation, or for officers serving in the State, specified in Schedule-3 ; (f) "reporting authority" means such authority or authorities supervising the performance of the member of the Service reported upon as may be specifically empowered in this behalf by the Government;



	<p>(g) "reviewing authority" means such authority or authorities supervising the performance of the reporting authority as may be specifically empowered in this behalf by the Government;</p> <p>(h) "Schedule" means the Schedule annexed to these rules;</p> <p>(i) "Service" means the service being rendered as Class-I and Class-II officer under the State Government of H.P. including Departmental HoD's & HPSS and excluding officers of AIS, HPAS & HPPS.</p>
<p>3. Maintenance and custody of annual performance appraisal dossier:</p>	<p>A comprehensive performance appraisal dossier shall be maintained for each member of the Service by the Government in the manner specified under these rules and the performance appraisal dossier shall consist of the documents specified in <u>Schedule-1</u>.</p>
<p>4. Form of the annual performance appraisal report:</p>	<p>(1) The reporting authority shall write the performance appraisal report in such form as may be specified by the Government in <u>Schedule-2</u> and the officer reported upon and the reporting, reviewing and accepting authority shall ensure that the portions of the forms which are to be filled in by them are completed by them within the time limit specified in this behalf by the Government,</p> <p>Provided that the Government may make such additions in the form or the cut-off dates so specified as may be considered necessary or desirable.</p> <p>Provided further that the annual performance appraisal report shall also be written in such form as may be specified in this behalf by the Government for the members of the Service on deputation.</p> <p>Provided also that the annual performance appraisal report shall also be written for members of Service who are on training or study leave in such form as may be specified in this behalf by the Government.</p>
<p>5. Performance appraisal reports:</p>	<p>(1) An annual performance appraisal report assessing the performance, character, conduct and qualities of every member of the Service shall be written for each financial year or as may be specified by the Government in the <u>Schedule-2</u>.</p> <p>Provided that an annual performance appraisal report may not be written in such cases as may be specified by the Government, by general or special order</p> <p style="text-align: center;"></p>

Provided further that if a performance appraisal report for a financial year is not recorded by 31st of December of the year in which the financial year ended, no remarks may be recorded thereafter and the officer may be assessed on the basis of the overall record and self assessment for the year, if he has submitted his self-assessment on time.

(2) Subject to the provisions of sub-rule (4), a performance appraisal report shall also be written when either the reporting or reviewing authority or the member of the Service reported upon relinquishes charge of the post, and, in such a case, it shall be written at the time of the relinquishment or ordinarily within one month of such relinquishment.

(3) Where more than one performance appraisal reports are written on a member of the Service during the course of a financial year each such report shall indicate the period to which it pertains.


Provided that only one report shall be written on a member of the Service for a particular period during the course of the financial year and there shall be reporting, reviewing and accepting authority at each level of assessment which shall be specified in the channel for writing annual performance appraisal reports by the Government

(4) Where the reporting authority has not seen, but the reviewing authority has seen the performance of a member of the Service for at least three months during the period for which the annual performance appraisal report is to be written the reviewing authority shall write the performance appraisal report of any such member for any such period.

(5) Where, both the reporting authority and the reviewing authority have not seen and the accepting authority has seen, as referred to in sub-rule (4), the performance of any such member, the accepting authority shall write the performance appraisal of any such member during such period.

(6) Where the reporting authority, the reviewing authority and the accepting authority have not seen the performance of a member of the Service for at least three months during the period for which the report is to be written, the Government shall make an entry to that effect in the annual performance appraisal report for any such period.

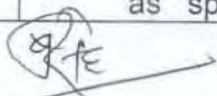


	<p>(7) Notwithstanding anything contained in sub-rules (1), (2), (4) and (5), it shall not be competent for the reporting authority, the reviewing authority or the accepting authority to write an annual performance appraisal report after he demits office where the authority writing the performance appraisal report is not a Government servant.</p> <p>Explanation - For the purposes of this rule, "a Minister" shall not be construed as having demitted the office if he continues to be a Minister in the Council of Ministers with a different portfolio or in the Council of Ministers immediately reconstituted after the previous Council of Ministers of which he was a Minister with the same or a different portfolio provided the Chief Minister continues in office.</p>
<p>6. Review of the performance appraisal report:</p>	<p>(1) The reviewing authority shall record his remarks on the annual performance appraisal report, within the timeframe specified in the <u>Schedule-2</u>.</p> <p>(2) Where the report is written by the reviewing authority under sub-rule (4) of rule 5, or where the reviewing authority has not seen, and the accepting authority has seen, the performance of a member of the Service for at least three months during the period for which the annual performance appraisal report is written, the accepting authority shall review the annual performance appraisal report of any such member for any such period within the timeframe specified in the <u>Schedule-2</u>.</p> <p>(3) It shall not be competent for the reviewing authority, or the accepting authority, to review any such performance appraisal report unless it has seen the performance of the member of the Service for at least three months during the period for which the report has been written, and in every such case an entry to that effect shall be made in the annual performance appraisal report.</p> <p>(4) Notwithstanding anything contained in sub-rules (1) and (2), it shall not be competent for the reviewing authority or the accepting authority to review any such performance appraisal report-</p> <p>(a) Where the authority reviewing the annual performance appraisal report is a Government servant, after one month of his retirement from service, and</p> 

	<p>(b) In other cases, after one month of the date on which he demits office.</p> <p>Explanation - For the purposes of this rule, "a Minister" shall not be construed as having demitted the office if he continues to be a Minister in the Council of Ministers with a different portfolio or in the Council of Ministers immediately reconstituted after the previous Council of Ministers of which he was a Minister with the same or a different portfolio provided the Chief Minister continues in office.</p>
<p>7. Acceptance of the Annual Performance Appraisal Report:</p>	<p>(1) The accepting authority shall, within the timeframe specified in <u>Schedule-2</u>, record his remarks on the annual performance appraisal report and may accept it, with such modifications as may be considered necessary, and countersign the report;</p> <p>Provided that where the accepting authority has not seen the performance of any member of the Service for at least three months during the period for which the performance appraisal report has been written, it shall not be necessary for the accepting authority to accept any such report and an entry to this effect shall be made in the performance appraisal report.</p> <p>(2) Notwithstanding anything contained in sub-rule (1), it shall not be competent for the accepting authority to accept and countersign any such performance report-</p> <p>(a) where the accepting authority is a Government servant, after one month of his retirement from service, and</p> <p>(b) in other cases, one month after the date on which he demits the office.</p> <p>(3) When the performance appraisal report be not written or revised.- Notwithstanding anything contained in rule 5 or rule 6, where the accepting authority writes or reviews the performance appraisal report of any member of the Service, it shall not be necessary to review or accept any such report.</p>
<p>8. Communication of the annual performance appraisal report to the Government:</p>	<p>A certified true copy of the annual performance appraisal report shall be sent to the Government in case of a member of the service working on secondment/ deputation basis outside the cadre and the APAR is recorded manually and not electronically.</p>



	<p>Provided that if the performance appraisal report is written in a language other than Hindi or English, it shall be accompanied by an authentic certified translation in Hindi or English.</p>
<p>9. Disclosure of performance appraisal report to the officer reported upon and procedure for representation to the Referral Board:</p>	<ol style="list-style-type: none"> (1) The full annual performance appraisal report, including the overall grade and assessment of integrity, shall be disclosed to the officer reported upon after finalisation by the accepting authority to enable the officer reported upon to represent his case. (2) The officer reported upon may have the option to give his comments on the annual performance appraisal report in writing to the accepting authority within fifteen days of the receipt of the Annual Performance Appraisal Report. (3) The comments shall be restricted to the specific factual observations contained in the Annual Performance Appraisal Report leading to the assessment of the officer in terms of attributes, work output and competency. (4) The accepting authority shall within fifteen days of receipt of comments from the officer reported upon forward the same to the reviewing and the reporting authority and call for their views on the comments. (5) The reporting authority shall, within fifteen days of receipt of comments from the officer reported upon forward his own views on the comments to the reviewing authority failing which it shall be presumed that he has no views thereon. (6) The reviewing authority shall forward the comments of the officer reported upon along with the views of the reporting authority and his own views to the accepting authority within fifteen days of receipt of the views of the reporting authority. (7) The accepting authority shall consider the comments of the officer reported upon, the views of the reporting authority and the reviewing authority and after due consideration may accept them and modify the performance appraisal report accordingly and the decision and final grading shall be communicated to the officer reported upon within fifteen days of receipt of the views of the reviewing authority. (8)(a) In case the officer reported upon chooses to represent against the final assessment conveyed to him according to this procedure, he may represent his case through the accepting authority for a decision by the Referral Board, as specified in the Schedule-3, within one month,



	<p>provided that such representation shall be confined to errors of facts.</p> <p>(b) The representation of the officer reported upon along with the views of the reporting authority, the reviewing authority and the accepting authority shall be forwarded to the Referral Board on the request of the officer reported upon within a period of fifteen days of receipt of communication.</p> <p>(9)(a) The Referral Board shall consider the representation of the officer reported upon in the light of the comments of the reporting authority, the reviewing authority and the accepting authority and confirm or modify the performance appraisal report, including the overall grade and the decision of the Referral Board shall be confined only to errors of facts and the decision of the Referral Board shall be final.</p> <p>(b) In case an entry or assessment is upgraded or downgraded, reasons for the same shall be recorded in the annual performance appraisal report.</p> <p>(c) The entire performance appraisal report, including the overall grade, shall thereafter be communicated to the officer reported upon which shall conclude the process of assessment and no further representation of any kind shall be entertained thereafter.</p>
<p>10. Memorial against assessment:</p>	<p>Nothing in these rules shall be deemed to preclude an officer from making a memorial to the Governor on the Annual Performance Appraisal Report, as provided under the Central Civil Services (Classification, Control and Appeal) Rules, 1965.</p>
<p>11. General:</p>	<p>The Government may issue instructions, not inconsistent with the provisions of these rules, or as it may consider necessary, with regard to the writing of the annual performance appraisal reports, the maintenance of the performance appraisal dossier and the effect of the annual performance appraisal reports on the conditions of service of a member of the Service.</p>



By Order

Prabodh Saxena
 Additional Chief Secretary (Personnel) to the
 Government of Himachal Pradesh

Endst. No. As above.

Dated Shimla-171002, the 20th May, 2022

A copy if forwarded to :-

1. All the Additional Chief Secretaries to the Government of Himachal Pradesh, Shimla-171002.
2. The Additional Chief Secretary to Chief Minister, Himachal Pradesh, Shimla-2.
3. All the Pr. Secretary/ Secretaries to the Govt. of Himachal Pradesh, Shimla-2.
4. All the Divisional Commissioners/Deputy Commissioners/Heads of Departments in the Himachal Pradesh.
5. The Secretary, HP Public Service Commission, Nigam Vihar, Shimla-2.
6. The Secretary, HP Staff Selection Commission, Hamipur.
7. The Accountant General (Audit), Himachal Pradesh, Shimla-171003.
8. The Sr. Dy. Accountant General (A&E), HP, Shimla-171003.
9. Deputy Secretary (GAD) to the Government of Himachal Pradesh, Shimla-171002 with reference to the decision taken by the Cabinet vide Item No. 37 in its meeting held on 11.05.2022.
10. The DLR-cum-Joint Secretary (Law-Opinion) to the Govt. of HP, Shimla-2.
11. Guard file /spare copies-15.



(Balbir Singh)

Deputy Secretary (Personnel) to the
Government of Himachal Pradesh.
Ph. No. 0177-2880851

SCHEDULE 1

[See rule 3]

Documents to be maintained in the Performance Appraisal Dossier:

- (i) The performance appraisal reports earned throughout the career.
- (ii) Certificates of training, academic courses attended after joining service, study leave
- (iii) Details of books, articles and other publications.
- (iv) Appreciation letters from Government or Secretary or Head of Department or special bodies or Commissions.
- (v) Reports of medical check-up.
- (vi) Copy of order imposing any of the penalties specified in the Central Civil Services (Classification, Control and Appeal) Rules, 19695 and final result of inquiry into allegations and charges against a member of the Service.
- (vii) Warnings or displeasure or reprimands of the Government

SCHEDULE 2

[See rule 4]

Performance Appraisal Report Forms and summary of medical report for the Himachal Pradesh Class-I and Class-II Officers:

- Form I and general guidelines for filling up the Annual Performance Appraisal Report form
- Form II for the Himachal Pradesh Class-I and Class-II Officers are on deputation outside the State.
- Form III Performance Report on study leave or leave for study for the Himachal Pradesh Class-I and Class-II Officers.
- Form IIIB Performance report on training.

Timelines for completion of APARs.

Reporting year-Financial year

Activity	Cut off dates	
	Due date	Auto forward
Blank APAR form to be given to the officer reported upon by the Department of Personnel, specifying the reporting officer and Reviewing Authority	1 st April	-
Self appraisal for the year under report	31 st May	1 st June
Appraisal by Reporting Authority	31 st July	1 st August
Appraisal by Reviewing Authority	30 th September	1 st October
Appraisal by Accepting Authority	31 st December	31 st December
Disclosure to the officer reported upon	31 st December	
Timelines for Representation		
Comments of the officer reported upon, if any (if none, transmission of the APAR to the dossier)	15 days from disclosure	
Forwarding of comments of the officer reported upon to the Reviewing and the Reporting Authority by the Accepting Authority, in case the officer reported upon makes comments	15 days	
Representation to the Referral Board by the officer reported upon.	One month	
Forwarding of representation to the Referral Board along with the comments of Reporting Authority/ Reviewing Authority and Accepting Authority	15 days	
Finalisation by Referral Board, if the officer reported upon represents against the decision of Competent Authority	One month	
Disclosure of the decision of Referral Board to the officer reported	15 days	



SCHEDULE 3

[See rule 2 (e)]

Composition of the Referral Board for the Himachal Pradesh Class-I and Class-II Officers

- | | | |
|-------|--------------------------------------|---------------|
| (i) | Chief Secretary of the State | - Chairperson |
| (ii) | Senior most Secretary in the State | - Member |
| (iii) | Administrative Secretary (Personnel) | - Convener |



“Form-IV”

(See rule 3)

**The Himachal Pradesh Class-I and Class-II Officers
(Annual Performance Appraisal Report) Rules, 2022.**

PROFORMA FOR HEALTH CHECK UP

Name: _____ Age: _____ Sex: M/F _____

Brief clinical history, if any:

(A) Physical

Investigations:

1) Haemogram

- i) Hb%
- ii) TKC
- iii) DKC
 - a. Polymorphs
 - b. Lymphocytes
 - c. Eosinophils
 - d. Basophils
 - e. Monocytes

iv) Peripheral Smear

2) Blood Sugar

- i) Fasting
- ii) Post-Prandial

3) Lipid Profile

- i) Total Cholesterol
- ii) HDL Cholesterol
- iii) LDL Cholesterol
- iv) VLDL Cholesterol
- v) Triglyceride

4) Liver Function Test

- i) S. Bilirubin (Total)
- ii) S. Bilirubin (Direct)



Form I
[See rule 4]

The Himachal Pradesh Class-I and Class-II Officers (APAR) Rules, 2022

Report for the year/period from.....to..... Department/ Office of.....

Section I - Basic Information:
(To be filled in by the Department)

1. Name of the officer reported upon:

2. Date of birth:

4. Present post:

5. Date of appointment to the present post:

6. Reporting, Reviewing and Accepting Authorities

	Name & Designation	Period worked
Reporting Authority		
Reviewing Authority		
Accepting Authority		

7. Period of absence on leave, etc.

	Period	Type	Remarks
On leave (specify type)			
Others (specify)			

8. Training programmes attended

Date from	Date to	Institute	Subject

9. Awards/ Honours

10. Details of APARS of HPSSS and other Class-I and Class-II officers not written by the officer as Reporting/ Reviewing/ Accepting Authority for the previous year

(s).....
.....

11. Date of filing the annual property return for the year ending December:

Date:

Signature on behalf of Administrator



Section II

1. Declaration

Have you filed your annual property return as due. If yes, please mention date	Yes/ No	Date
Have you set the annual work plan for all officers for the current year in respect of whom you are the reporting authority	Yes/ No	
Have you prepared the work plan for yourself	Yes/ No	
Have you enclosed a note on important achievements during the period	Yes/ No	

Date:

Signature of the
Officer Reported upon

Section III

Appraisal

1. **Assessment of Attributes** (This assessment should rate the officer vis-à-vis the peers and not the general population. Grades should be assigned on a scale of 1-10 in whole numbers with 1 referring to the lowest grade and 10 to the best grade. 70% weightage will be assigned to this item)

	Reporting officer	Reviewing officer	Initial of Reviewing officer
i) Attitude to work			
ii) Decision making ability			
iii) Initiative			
iv) Ability to inspire and motivate			
v) Strategic planning ability/ innovativeness			
vi) Co-ordination ability			
Overall grading on attributes			

2. **Assessment of work output** (This assessment should rate the officer vis-à-vis the peers and not the general population. Grades should be assigned on a scale of 1-10 in whole numbers with 1 referring to the lowest grade and 10 to the best grade. 30% weightage will be assigned to this item)

	Reporting officer	Reviewing officer	Initial of Reviewing officer
i) Accomplishment of planned work			
ii) Quality of output			
iii) Accomplishment of exceptional work, unforeseen tasks during the period			
Overall grading on work output			

3. Integrity

Please comment on the integrity of the officer keeping in mind both the financial integrity and moral integrity

4. Pen picture by the Reporting Authority

Please comment (in about 100 words) on the overall qualities of the officer including areas of strengths and lesser strengths and his attitude towards weaker sections

5. Overall Grade on a scale of 1-10

Date:

Signature of Reporting Authority

A handwritten signature in blue ink, appearing to be 'RTE', with a long horizontal stroke extending to the right.

Section IV Review

1. Do you agree with the assessment made by the reporting officer with respect to the work output and the various attributes in Section III? 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 assessments of attributes, please record your assessment in the column provided for you in that section and initial your entries)

Yes	No
-----	----

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

3. Please comment (in about 100 words) on the overall qualities of the officer including areas of strengths and lesser strengths and his/her attitude towards weaker sections :

4. Overall Grade on a scale of 1-10

Date:

Signature of Reviewing Authority



Section V

Acceptance

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

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 1-10

Date:

Signature of Accepting Authority

A handwritten signature in blue ink, appearing to be 'R. Te', is written over a horizontal line.

Form II
[See rule 4]

The Himachal Pradesh Class-I and Class-II (Annual Performance Appraisal) Rules, 2022

[Applicable for the Himachal Pradesh Class-I and Class-II Officers who are on deputation/secondment]

Annual Performance Appraisal Report for the period from _____ to _____

Section I - Basic Information:

(To be filled in by the Department of Personnel)

1. Name of the officer reported upon:

2. Year of allotment:

3. Date of birth:

4. Present Grade:

5. Date of appointment to the present post:

6. Reporting, Reviewing and Accepting Authorities

	Name & Designation	Period worked
Reporting Authority		
Reviewing Authority		
Accepting Authority		

7. Period of absence on leave, etc.

	Period	Type	Remarks
On leave (specify type)			
Others (specify)			

8. Training programmes attended

Date from	Date to	Institute	Subject



9. Awards/ Honours

--

10. Details of the Himachal Pradesh Secretariat Services and other officers not written by the officer as Reporting/ Reviewing/ Accepting Authority for the previous year

(s).....
.....

11. Date of filing the annual property return for the year ending December:

12. Date of the last prescribed medical examination (for officers over 40 years of age)

Attach copy of the summary of the medical report

Date:

Signature on behalf of Administrator/Personnel Department

Section II-Self Appraisal

1. Brief description of duties:

(Objectives of the position you hold and the tasks you are required to perform in about 100 words)

Date:

Signature of the
Officer Reported upon

2. Annual work plan and achievement

Tasks to be performed	Deliverables		Actual Achievements
	Initial	Mid year	

Rte

3. During the period under report, do you believe that you have made any exceptional contribution ? If so, please give a verbal description (within 100 words)

--

4. Declaration

Have you filed your annual property return as due. If yes, please mention date	Yes/ No	Date
Have you undergone the prescribed medical check up	Yes/ No	
Have you set the annual work plan for all officers for the current year in respect of whom you are the reporting authority	Yes/ No	
Have you prepared the work plan for yourself	Yes/ No	
Have you enclosed a note on important achievements during the period	Yes/ No	

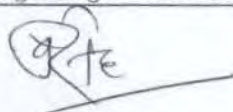
Date:

Signature of the
Officer Reported upon

Section III Appraisal

1. **Assessment of Attributes** (This assessment should rate the officer vis-à-vis the peers and not the general population. Grades should be assigned on a scale of 1-10 in whole numbers with 1 referring to the lowest grade and 10 to the best grade. 70% weightage will be assigned to this item)

	Reporting officer	Reviewing officer	Initial of Reviewing officer
i) Attitude to work			
ii) Decision making ability			
iii) Initiative			
iv) Ability to inspire and motivate			
v) Strategic planning ability/ innovativeness			
vi) Co-ordination ability			
Overall grading on attributes			



2. **Assessment of work output** (This assessment should rate the officer vis-à-vis the peers and not the general population. Grades should be assigned on a scale of 1-10 in whole numbers with 1 referring to the lowest grade and 10 to the best grade. 30% weightage will be assigned to this item)

	Reporting officer	Reviewing officer	Initial of Reviewing officer
i) Accomplishment of planned work			
ii) Quality of output			
iii) Accomplishment of exceptional work, unforeseen tasks during the period			
Overall grading on work output			

3. **Integrity**

Please comment on the integrity of the officer keeping in mind both the financial integrity and moral integrity

4. **Pen picture by the Reporting Authority**

Please comment (in about 100 words) on the overall qualities of the officer including areas of strengths and lesser strengths and his attitude towards weaker sections

5. Overall Grade on a scale of 1-10

Date:



Signature of Reporting Authority

Section IV

Review

1. Do you agree with the assessment made by the reporting officer with respect to the work output and the various attributes in Section III? 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 assessments of attributes, please record your assessment in the column provided for you in that section and initial your entries)

Yes	No
-----	----

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

3. Comments, if any, on the pen picture written by the Reporting Authority

3 A Comments, if any, on the pen picture written by the Reporting Authority

4. Overall Grade on a scale of 1-10

Date:

2/2/10

Signature of Reviewing Authority

Section V

Acceptance

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

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 1-10

Date:

Signature of Accepting Authority

A handwritten signature in blue ink, consisting of stylized initials and a horizontal line extending to the right.

Form III A
[See rule 4]

The Himachal Pradesh Class-I and Class-II Officer (Annual Performance Appraisal) Rules, 2022

PERFORMANCE REPORT ON STUDY LEAVE/ LEAVE FOR STUDY

Annual Performance Appraisal Report for the period from _____ to _____

A. PERSONAL DATA

1. Name of the officer reported upon:

2. Year of allotment:

3. Date of birth:

4. Present Grade:

5. Date of appointment to the present post:

6. Study leave/ leave details

a) Course

b) Institution

c) Duration

7. Period of sanctioned leave

8. Details of Degree/ Certificate/ Diploma and evaluation obtained during the period (copies to be enclosed)

9. Date of filing Annual Property Return

B. SELF ASSESSMENT

Date

Signature of the
Officer Reported upon



Form III B

[See rule 4]

The Himachal Pradesh Class-I and Class-II Officer (Annual Performance Appraisal) Rules, 2022 Performance report on training

Annual Performance Appraisal Report for the period from _____ to _____

A. PERSONAL DATA

1. Name of the officer reported upon:

2. Year of allotment:

3. Date of birth:

4. Present Grade:

5. Date of appointment to the present post:

6. Training details

a) Course

b) Institution

c) Duration

7. Details of Degree/ Certificate/ Diploma and evaluation obtained during the period (copies to be enclosed)

8. Date of filing Annual Property Return

B. SELF ASSESSMENT

Date

Signature of the
Officer Reported upon



General guidelines for filling up the APAR form for the Himachal Pradesh Class-I and Class-II Officers.

1.1. The Annual Performance Appraisal Report is a vital tool for assessment and career advancement of an officer. It provides the basic, relevant and significant input for further development of an officer. The officer reported upon, the Reporting Authority, Reviewing Authority and Accepting Authority should therefore, fill up the form with a high sense of responsibility, impartiality and objectivity.

1.2 Performance appraisal should be used as a tool for career planning and training, rather than a mere judgmental exercise. Reporting Authorities should realize that the objective is to develop an officer so that he/she realizes his/her true potential. It is not meant to be a fault-finding process but a developmental tool. The Reporting Authority, the Reviewing Authority and the Accepting Authority should not shy away from reporting shortcomings in performance, attitudes or overall personality of the officer reported upon.

1.3 The columns should be filled with due care and attention and after devoting adequate time. Any attempt to fill the report in a casual or superficial manner will be easily discernible to the higher authorities.

1.4 Although the actual documentation of performance appraisal is a year-end exercise, in order that it may be a tool for human resource development, career planning and training, rather than a mere judgmental exercise, the Reporting Authority and the officer reported upon should meet during the course of the year at regular intervals to review the performance and to take necessary corrective steps.

2. Section-I 2.1 This Section should be filled up in the Confidential Cell in the Department of Personnel. Period of report could either be the entire reporting year, namely, from 1st of April to 31st March or a part of the year (exceeding 3 months). In case the period of report is a full year, it should be indicated accordingly; for example, 2018-2019. In case the period of report is less than the entire year, specific start and end dates should be indicated, for example, 13th October 2018 – 31st March 2019.

2.2 Information on the present grade (pay-scale) as well as present post (actual designation and organization) and the date from which he/she has been on his/her present post needs to be mentioned.

2.3 In the table relating to reporting, reviewing and accepting authorities, the name and designation of the reporting and reviewing authorities should be mentioned so that the officer reported upon is clear about whom he/she is required to send the report.

2.4 The period of absence from duty, on leave, training, or for other reasons, should also be mentioned in this section in the table provided for the purpose. Details of the training programmes attended, date of filing of property returns and whether the officer reported upon has reported/reviewed the annual performance report of all his/her subordinate officers for the previous year should be mentioned in the table for the purpose.

2.5 This Section provides for regular annual medical examination. The health check is mandatory for all officers above the age of 40 and may be totally dispensed with for officers below the age of 40, except in case of medical incident. A copy of the summary of



the medical report is to be attached to the APAR Form by the Administrator / Department of Personnel. The format of the health check-up and the summary of medical report will be as circulated by the Personnel.

3. Section-II 3.1 The officer reported upon is first required to give brief description of his/her duties and responsibilities, which would normally not exceed about 100 words. Ideally, this should be in bullet form. 3.2 All officers are required to develop a work plan for the year and agree upon the same with the reporting officer. The work plan should incorporate the relative annual work rhythm and budgetary cycle. This exercise is to be carried out at the beginning of the year and finalized by 30th April, positively. In case of a change of the reporting officer during the year, the work plan agreed with the previous reporting officer would continue to apply. The work plan agreed upon at the beginning of the year has to be reviewed again during the month of September/October as a mid-year exercise and finalized by 31st October. Based on this review the work plan may undergo some changes from that originally prepared.

3.3 After the work plan is prepared, it is possible that the officer reported upon is transferred out. There need not be more than one work plan for one post each year. The period spent by the officer during the year and his contribution could be considered for evaluating his performance against the work plan. In the case of mid-term transfers, continuity and assessment of work and the lower performance profile in the first quarter should be taken into consideration.

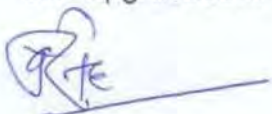
3.4 The work plans, duly signed by the officer reported upon and the reporting authority have to be submitted to the reviewing authority for his/her perusal and custody. The annual performance appraisal form provides for an assessment of the accomplishments vis-à-vis the work plan agreed at the commencement of the year and reviewed mid-year. The officer reported upon is required to fill up the table provided for the purpose in Section-II.

3.5 It is not necessary that the work plan should be entirely quantitative in nature. While for field level posts, the work plan would consist essentially of quantifiable targets, for secretarial level posts it would consist of policy objectives to be achieved etc.

3.6 Section II also provides an opportunity for the officer to reflect upon his/her performance during the year and indicate one item which he/she thought was a significant contribution made by him/her during the year. It is always possible for any officer to make significant contribution even in activities otherwise regarded as routine in nature. Examples of such contribution may be the successful organization of a major event or successful conclusion of an activity that has been going on for a long time, or even successful dealing of an emergency (e.g. major earth quake/flood) would certainly be an exceptional contribution.

3.7 The officer reported upon is required to indicate specific areas in which he/she feels the need to upgrade skills and attend training programs. He/she should also mention the specific steps that he/she has taken or proposes to take to upgrade his/her skills in the identified area.

3.8 There is an increased emphasis on competency building in the new performance appraisal and career progression system. There would be a premium on competency and skill upgradation. Hence, all officers are advised, through a note in Section II, to keep the



Department of Personnel informed, at least once in five years, of all educational and training programs attended, including the details of marks/grades secured in such programs, details of professional papers published. These would be taken into account in the future career progression.

3.9 This Section also requires the officer reported upon to record certain certificates about submission of property returns, annual medical check up and setting up of annual work plan for whom he/she would be the reporting authority.

4. Section-III 4.1 Section III requires the reporting authority to comment on Section II as filled out by the officer reported upon and specifically state whether he/she agrees with the responses relating to the accomplishments. In case of disagreement the reporting authority should highlight the specific portions with which he/she is unable to agree and the reasons for such disagreement.

4.2 This Section then requires the reporting authority to comment on the skill upgradation needs as identified by the officer.

4.3 Thereafter, this Section requires the reporting authority to record a numerical grade in respect of the workout put of the officer reported upon both in respect of the planned work as well as the unforeseen tasks. A numerical grade is also required in respect of the "quality" of the output. In doing so, the reporting authority should take into account the costs incurred (whether the officer reported upon has been cost conscious), the time taken and whether the laid down rules/procedures have been adhered to in accomplishing the tasks.

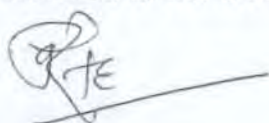
4.4 The reporting authority is also required to record a numerical grade in respect of work output, personal attributes and functional competencies.

4.5 Section III requires the reporting authority to comment on the integrity of the officer reported upon. In recording remarks with regard to integrity, he/she need not limit him/herself only to matters relating to financial integrity but could also take into account the moral and intellectual integrity of the officer reported upon. The following procedure should be followed in filling up the column relating to integrity: (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 Annual Performance Appraisal Report to the next superior officer who will ensure that the follow up action is taken expeditiously. Where it is not possible either to certify the integrity or to record the secret note, the Reporting Officer 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, as the case may be.

(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 Annual Performance Appraisal 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.

4.6 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 attitude towards weaker sections. This need not exceed about 50 words and should try to cover overall qualities of the officer including areas of strengths and lesser strengths. The penpicture is also meant to be a qualitative supplement to the quantitative assessments made earlier part of this section.

4.7 Reporting authority is then required to make recommendations relating to domain assignment. The list of domains is at para 10.

4.8 Finally, the reporting authority is required to record an overall grade. This should also be done on a scale of 1- 10, with 1 referring to the lowest grade and 10 to the highest.

5. Section-IV 5.1 This Section is to be filled up by the reviewing authority. He/she is required to indicate if he/she agrees with the assessments made by the reporting officer. In case of disagreement, he/she may record his/her own assessment against the work output or any of the attributes in the column specifically provided for the purpose. In case of agreement, he/she need not fill in the column meant for him/her in the attributes/work output tables. Finally, the reviewing authority is required to record an overall grade in the scale of 1-10.

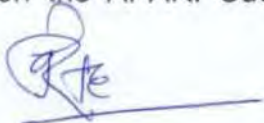
6. Section-V 6.1 This Section is to be filled by the accepting authority. He/she is required to indicate if he/she agrees with the assessments made by the reporting authority/reviewing authorities. In case of difference of opinion, he/she is required to give details and reasons for the same in the column specifically provided for the purpose in the table in Section V.

7. Numerical Grades 7.1 At several places, numerical grades are to be awarded by reporting and review authorities. These should be on a scale of 1-10, where 1 refers to the lowest grade and 10 to the highest. It is expected that any grading of 1 or 2 (against work output or attributes or overall grade) would be adequately justified in the pen-picture by way of specific failures and similarly, any grade of 9 or 10 would be justified with respect to specific accomplishments. Grades of 1-2 or 9-10 are expected to be rare occurrences and hence the need to justify them. In awarding a numerical grade the reporting, reviewing and accepting authorities should rate the officer against a larger population of his/her peers that may be currently working under them or would have worked under them in the past.

7.2 Weightage and Mean Weights have been assigned to work output, personal attributes and functional competency. The overall grade will be based on the addition of the mean value of each group of indicators in proportion to weightage assigned.

8. Disclosure 8.1 There should be more openness in the system of appraisal. The annual PAR, including the overall grade and integrity, should be communicated to the officer reported upon after it has been finalized by the accepting authority.

8.2. Representation The officer reported upon may have the option to give his comments on the APAR. Such comments may be restricted to the specific factual observations



contained in the Annual Performance Appraisal Report leading to the assessment of the officer in terms of attributes, competency and output.

If comments are submitted, the Reporting/Reviewing/Accepting Authority would have the option to accept them and modify the PAR accordingly.

If the comments are not accepted, the views of the Reporting/Reviewing/Accepting Authority would be communicated with reasons to the officer reported upon.

Thereafter, only if the officer reported upon so desires, he may request for the matter to be forwarded to the Referral Board. The representation shall be confined to errors of facts and nothing else.

The Referral Board shall give clear findings on the representation and take a final decision on the assessment, including the overall grading in regard to the parameters affected thereby. The decision along with details in case an entry is upgraded or downgraded with, reasons for same may be recorded in the APAR and the same communicated to the officer reported upon. The decision of the Referral Board shall be final.

9. Schedule for completion of APARs of Class-I and Class-II Officers.

9.1 The following schedule should be strictly followed:

Reporting year- Financial year

Activity	Cut off dates	
	Due date	Auto forward
Blank APAR form to be given to the officer reported upon by the Department of Personnel, specifying the reporting officer and Reviewing Authority	1 st April	-
Self appraisal for the year under report	31 st May	1 st June
Appraisal by Reporting Authority	31 st July	1 st August
Appraisal by Reviewing Authority	30 th September	1 st October
Appraisal by Accepting Authority	31 st December	31 st December
Disclosure to the officer reported upon	31 st December	
Timelines for Representation		
Comments of the officer reported upon, if any (if none, transmission of the APAR to the dossier)	15 days from disclosure	
Forwarding of comments of the officer reported upon to the Reviewing and the Reporting Authority by the Accepting Authority, in case the officer reported upon makes comments	15 days	
Representation to the Referral Board by the officer reported upon.	One month	

Forwarding of representation to the Referral Board along with the comments of Reporting Authority/ Reviewing Authority and Accepting Authority	15 days	
Finalisation by Referral Board, if the officer reported upon represents against the decision of Competent Authority	One month	
Disclosure of the decision of Referral Board to the officer reported	15 days	

9.2 The completed APAR should reach the Cadre Controlling Authorities after completion of final process as per schedule specified in para 9.1 above. The Cadre Controlling Authority will prepare a list of APARs not received and follow up with the Nodal Officer of the Administrative Departments.

9.3 The Administrative Departments shall designate Nodal officers to ensure that the APARs of the members of Service, duly completed, are sent to the Department of Personnel after completion of the final process as per schedule specified in para 9.1 above. They shall send a list each Class-I & Class-II officer, including Departmental HoD's & HPSS, as the case may be, whose APARs are to be written and reviewed to the concerned Reporting/Reviewing/Accepting Authorities by 15th April every year to enable them to ensure completion of APARs within the time-schedule.

9.4. If an APAR relating to a financial year is not recorded by the 31st of December of the year in which the financial year ended, no remarks shall be recorded thereafter. The HPAS officer will be assessed based on the overall record and self-assessment of the year concerned, if he had given his self-assessment in time and the Reporting Authority, Reviewing Authority and the Accepting Authority have not completed the APAR according to the time schedule given in para 9.1.

9.5. The nodal officer shall also keep a note of the failure of the Reporting Authority to submit the PAR of his subordinate in time for an appropriate entry in the PAR of such Reporting Authorities.

9.8. The Nodal Officer shall evolve a suitable mechanism to ensure that the remarks of the Reporting, the Reviewing and the Accepting Authorities are recorded without fail by the dates given in the schedule below Para 9.1.

