

**AN ASSESSMENT OF UTILIZATION OF ANNUAL PERFORMANCE
APPRAISAL REPORTS AS A TOOL FOR HUMAN RESOURCE
MANAGEMENT OF INDIAN ADMINISTRATIVE SERVICE OFFICERS**

**A dissertation submitted to the Panjab University, Chandigarh for the award of
Master of Philosophy in Social Sciences, in partial fulfilment of the requirement
of the Advanced Professional Programme in Public Administration (APPPA)**

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NEW DELHI**

CERTIFICATE

I have the pleasure to certify that **Shri Amandeep Garg** has pursued his research work and prepared the present dissertation titled "**An Assessment of Utilization of Annual Performance Appraisal Reports as A tool for Human Resource Management of Indian Administrative Service officers**" under my guidance and supervision. The dissertation is the result of his own research and to the best of my knowledge, no part of it has earlier comprised any other monograph, dissertation or work which has previously formed the basis for the award of any degree, diploma, or certificate of this institute without proper citation.

This is being submitted to the Panjab University, Chandigarh for the purpose of **Master of Philosophy (M. Phil) in Social Sciences** in partial fulfilment of the requirement for the Advanced Professional Programme in Public Administration (APPPA) of the Indian Institute of Public Administration (IIPA), New Delhi.

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DECLARATION

I, the undersigned, hereby declare that this dissertation titled “**An Assessment of Utilization of Annual Performance Appraisal Reports as A tool for Human Resource Management of Indian Administrative Service officers**”, is my own work, and that all the sources accessed or quoted have been indicated or acknowledged by means of completed references. The dissertation has not been submitted for any other degree of this University or elsewhere.

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List of Abbreviations

| Sr. No. | Acronym | Expanded Form |
|----------------|----------------|--|
| 1. | 2nd ARC | Second Administrative Reforms Commission |
| 2. | 7th CPC | Seventh Central Pay Commission |
| 3. | ACC | Appointments Committee of the Cabinet |
| 4. | ACR | Annual Confidential Report |
| 5. | AIS | All India Services |
| 6. | APAR | Annual Performance Appraisal Report |
| 7. | AS | Additional Secretary |
| 8. | ASK | Attitude, Skills, and Knowledge |
| 9. | COAS | Chief of Army Staff |
| 10. | CPC | Central Pay Commission |
| 11. | CR | Confidential Report |
| 12. | CSB | Civil Services Board |
| 13. | DPVs | Demonstrated Performance Variables |
| 14. | DRPSC | Department-Related Parliamentary Standing Committee on Personnel, Public Grievances, Law and Justice |
| 15. | EP | Experts panel |
| 16. | EPG | Eminent Persons Group |
| 17. | ER | Executive Record |
| 18. | HR | Human Resource |
| 19. | HRM | Human Resource Management |
| 20. | IAS | Indian Administrative Service |
| 21. | ICT | Information, Communication and Technology |
| 22. | IFoS | Indian Forest Service |

| | | |
|-----|------|---------------------------------------|
| 23. | IGoT | Integrated Government Online Training |
| 24. | IPS | Indian Police Service |
| 25. | IO | Initiating Officer |
| 26. | IT | Information Technology |
| 27. | JS | Joint Secretary |
| 28. | KPI | Key Performance Indicator |
| 29. | MS | Military Secretary |
| 30. | MSF | Multi Source Feedback |
| 31. | ORU | Officer Reported Upon |
| 32. | PAR | Performance Appraisal Report |
| 33. | PQs | Personal Qualities |
| 34. | QsAP | Qualities to Assess Potential |
| 35. | RFD | Results Framework Document |
| 36. | RO | Reviewing Officer |
| 37. | SNC | Surinder Nath Committee |
| 38. | SRO | Superior Reviewing Officer |
| 39. | TPVs | Technical Performance Variables |

Chapter 1 : Introduction

A system of performance appraisal of Indian Administrative Service (IAS) officers is laid down under the All India Services (Performance Appraisal Report) Rules, 2007, as amended from time to time. As per the rules, an Annual Performance Appraisal Report (APAR) assessing the performance, character, conduct and qualities of every member of the service shall be written for each financial year in a prescribed format. The rules specify that the purpose of the APAR is to provide basic and vital inputs for further development of an officer. Further, the performance appraisal should be used as a tool for human resource development, career planning and training. The rules provide that the objective of performance appraisal is to develop an officer so that he/she realizes his/her true potential and it is not meant to be a fault-finding process or a mere judgmental exercise but a developmental tool (Govt. of India, 2007). Human resource (HR) management is, thus, one of the key objectives of APARs. In the context of IAS officers, this refers to their empanelments, promotions, placements and skill upgradation etc.

Statement of the Problem:

The performance appraisal and management system for Civil Servants has been examined by various Commissions/Committees in the past. The Department-Related Parliamentary Standing Committee on Personnel, Public Grievances, Law and Justice (DRPSC) in its 92nd Report (presented to the Rajya Sabha on 08.08.2017 and laid on the Table of Lok Sabha on 10.08.2017) examined the Appraisal and Empanelment of

Civil Servants under the Central Government. The Committee observed that under the present system, the APARs need to be disclosed to the officer reported upon. There is a tendency to give very good remarks to the officers reported upon because the supervisory officers know that the officer concerned is going to see those remarks. There is a general reluctance to write unpleasant things. It has been observed that the Reporting Officers have become quite reluctant to record honestly the weakness of the officer reported upon, either in a spirit of camaraderie or not to upset the apple cart. As a result, more than ninety percent of officers are now getting outstanding gradings. The Committee feels that this trend of inflated gradings is defeating the very purpose of the appraisal system as it leads to difficulty in finding out outstanding officers with impeccable integrity and weeding out the incompetent ones. The appraisal being a precondition for career progression appears to have lost its importance and this has compelled the Government to supplement the process of APAR with new tools like Multi Source Feedback (360 degree appraisal) for the limited purpose of empanelment. The 360 degree assessment also intends to capture the qualities of officers in terms of integrity, capability and general reputation based on the feedback received from various stakeholders, which the APAR system fails to gather (Rajya Sabha, 2017).

The tenth report of the Second Administrative Reforms Commission (2nd ARC) - *'Refurbishing of Personnel Administration-Scaling new heights'* contains a chapter on performance management system. The Commission, in this report, observed that the newly introduced APAR format for IAS officers, does not recognise adequately the development and improvement aspects and it does not adequately assess the potential of an officer to hold higher responsibilities. It emphasizes career development, but does not link it sufficiently with performance improvements. It underplays the need for

performance improvements as a career growth intervention. The focus still continues to be on ratings and evaluation rather than on performance planning, analysis, review development and improvements which ultimately enables employees to achieve superior performance. The Commission also observed that the new format does not do away with the element of subjectivity when it comes to assigning numerical ratings/grades to different attributes of the Government servants (Govt. of India , 2008).

The reports of these Commissions/Committees have brought out certain aspects of the working of performance appraisal system for the Civil Servants, including, objectivity in the gradings, its use as a tool for career development, performance planning and analysis etc. However, there is limited literature assessing the utilisation of APARs as a tool for human resource management, particularly in the context of IAS officers. This study would be an attempt to bridge this knowledge gap.

Objectives of the Study:

- I. To assess the utilisation of Annual Performance Appraisal Reports (APARs) as a tool for human resource management of Indian Administrative Service (IAS) officers.
- II. To suggest measures to further enhance the utilisation of APARs as a tool for human resource management of IAS officers.

Research Questions:

- I. What are the parameters in the APAR, which enable its use as a tool for human resource management of IAS officers?
- II. Are the APARs being effectively utilised for the purpose of human resource management of IAS officers and if not, what are the limitations?
- III. What measures can be taken to further enhance the utilisation of APARs as a tool for human resource management of IAS officers?

Rationale or Justification:

IAS officers man key senior management positions in Government of India and the State/UT Governments. For effective Human Resource management, it is important to identify officers with right behavioural, functional and domain specific skill sets for specific jobs and impart appropriate skills to the officers. The system of APAR is meant to serve that purpose. The study intends to assess the utilisation of APARs as a tool for human resource management of IAS officers and suggest measures to further enhance their utilisation for this purpose. The study would be an attempt to bridge a knowledge gap in this area. The findings of the study may also be useful for other Civil services.

Chapterisation Scheme:

Chapter 1: Introduction

Chapter 2: Literature Review

Chapter 3: Research Methodology & Design

Chapter 4: Performance appraisal system for IAS officers and the parameters in the APAR enabling its use for HR functions.

Chapter 5: Findings from key informant interview(s) and expert(s) views.

Chapter 6: Analysis of reports of previous committees/commissions and performance appraisal systems/practices in select organisations.

Chapter 7: Analysis of SPARROW data

Chapter 8: Feedback from key stakeholders.

Chapter 8: Conclusions.

Chapter 2 : Literature Review

A. Performance Appraisal:

Performance Appraisal is a systematic and periodic process to assess performance, productivity and potential of the personnel in relation to predetermined standards/parameters laid down for the purpose (Rajya Sabha, 2017). Performance Appraisal is the systematic evaluation of the performance of employees and to understand the abilities of a person for further growth and development (Management Study Guide, 2022).

B. Objectives/Functions of Performance appraisal:

Performance appraisal has three basic functions (Levinson, 1976):

- I. To provide adequate feedback to each person on his or her performance;
- II. To serve as a basis for modifying or changing behaviour towards more effective working habits; and
- III. To provide data to managers with which they may judge future job assignments and compensation.

Performance Appraisal is done with following objectives in mind (Management Study Guide, 2022):

- I. To maintain records in order to determine compensation packages, wage structure, salaries raises, etc;

- II. To identify the strengths and weaknesses of employees to place right men on right job;
- III. To maintain and assess the potential in a person for growth and development;
- IV. To provide a feedback to employees regarding their performance and related status;
- V. It serves as a basis for influencing working habits of the employees;
- VI. To review and retain the promotional and other training programmes.

The need of performance appraisal is to find the suitability of the personnel for the purpose of promotion, placement, foreign assignment/deputation, empanelment, training, etc. Besides this, performance appraisal also helps the personnel to align their personal aspirations to the goal/plan of the organization (Rajya Sabha, 2017).

The group constituted to review the system of performance appraisal, promotion, empanelment and placement for the All India Services (AIS) and other Group 'A' services, popularly known as Surinder Nath Committee (SNC) in its report of 2003, recommended that in view of the rapidly evolving challenges of public management, the following should be the objectives of performance appraisal (Para 4.17 of the Report) (Nath, 2003):

- I. **Training and Placement Function:** To make an assessment of the officer's professional capabilities, with a view to determining capacity building needs and suitability for particular areas of responsibility/assignments.

- II. **Feedback and Counseling function:** To counsel the officer on directions for improving performance, professional capabilities, and conduct with peers, juniors, elected representatives, and the general public.
- III. **Planning of work function:** To be a tool for developing a work plan for the year.
- IV. **Promotion Function:** To make an objective assessment of the officer's performance in the current assignment, including performance in training, study courses and deputation outside the government, based on monitorable inputs, relative to his/her peers, with a view to determining suitability for higher responsibilities and special assignments.
- V. **Recognition function:** To identify genuinely exceptional work accomplished, including innovations, with a view to giving due recognition.
- VI. **Strengthening Governance Function:** To enable officers to identify systemic shortcomings in the organization with a view to improving governance standards.

C. Attributes of a good Performance appraisal system:

Objectivity is the most important part of an effective performance appraisal system (Maier, 2019). A sound appraisal system should have the following key attributes (Cardy & Dobbins, 1994):

- I. **Reliability and Validity:** The validity of ratings is the degree to which they are truly indicative of the intrinsic merit of employees. The reliability of ratings is the consistency with which the ratings are made.

- II. **Job Relatedness:** The evaluators should focus attention on job-related behaviour and performance of employees.
- III. **Standardization:** Well-defined performance factors and criteria should be developed.
- IV. **Practical Viability:** The techniques should be practically viable to administer and possible to implement.
- V. **Training to Appraisers:** The appraisers should be provided adequate training in evaluating the performance of the employees without any bias.
- VI. **Open Communication:** The system should be open and participative. It should provide feedback to the employees on their performance and involve them in the goal setting process.
- VII. **Employee Access to Results:** Employees should receive adequate feedback on their performance to improve it.
- VIII. **Clear Objectives:** The appraisal system should be objective oriented and fair so that it is beneficial to both the individual employee and the organization.
- IX. **Post Appraisal Interview:** After appraisal, an interview with the employee should be arranged to supply feedback.
- X. **Periodic Review:** The system should be periodically evaluated to be sure that it is continuing to meet its goals.
- XI. **Not Vindictive in Nature:** It should aim to improve performance, organizational effectiveness, and objectives and not to harass the employees.

D. Issues in Performance Appraisals:

Performance appraisal methods are not valid or reliable in absolute sense. Each method has its own strengths and weaknesses. The major problems in performance appraisal are (Cardy & Dobbins, 1994):

I. **Rating Bias:** Most appraisal methods involve judgment of one kind or the other.

The performance appraisal process and techniques rely on the evaluator who has his own personal biases and prejudices. The evaluator biases include:

- a. **Leniency and Strictness Error:** Errors of leniency are caused by the tendency of the lenient rater to put most of the ratees on the higher side of the scale, while the tough rater places them on the lower side of the scale. This is so because every evaluator has his own value system, which acts as a standard against which appraisals are made. Relative to the true or actual performance an individual exhibits, some evaluators mark high and others low. The former is referred to as positive leniency error and the latter as negative leniency error (strictness error). When evaluators are positively lenient in their appraisal, an individual's performance becomes overstated. Similarly, a negative leniency error understates performance, giving the individual a lower appraisal. If the same person appraised all individuals in an organisation, there would be no problem. Although there would be an error factor, it would be applied equally to everyone. The difficulty arises when we have different raters with different leniency errors making judgements.
- b. **Halo Error:** The "halo effect" is a tendency to allow the assessment of one trait to influence assessment of others. This arises when traits are unfamiliar, ill-defined and involves personal reactions. One way of

minimizing the halo effect is appraising all the employees by one trait before going to rate based on another trait.

- c. **The Error of Central Tendency:** The central tendency error refers to the tendency of not using extreme scale scores on the judgment scale; most of the ratees are clustered in the middle. Raters who are prone to the central tendency error are those who continually rate all employees as average. They follow play safe policy because of the answerability to the management or lack of knowledge about the job and person one is rating. This type of rating will create problems especially if the information is used for salary increases.
- d. **Personal Prejudice:** The rater's personal prejudice can influence the objectivity of performance appraisals. If the rater dislikes an employee, he may rate him very poorly.
- e. **Consequence of Appraisal:** If the evaluator knows that a poor appraisal could significantly hurt the employee's future, particularly opportunities for promotion or a salary increase, the evaluator may be reluctant to give a realistic appraisal.
- f. **The Recency Effect:** The raters generally remember the recent actions of the employee at the time of rating. If a favourable action has taken place recently, the employee will be given a high rating then if an unfavourable action has taken place recently.
- g. **Knowledge of Predictor Bias:** A rater's knowledge of the performance of an employee on predictors can influence his appraisal ratings. An employee who topped in the selection list might leave the impression

that he is the best among the employees and hence, the rater may rate him as 'good' when his performance is moderate.

h. **Similarity Error:** When evaluators rate other people in the same way that the evaluators perceive themselves, they are making a similarity error.

II. **Opportunity Bias:** This results when the amount of output is influenced by factors beyond the control of employees. Some employees have better working conditions, supportive supervisors, more experienced co-workers and hence their output may be greater than others working on identical tasks.

III. **Group Cohesiveness:** Cohesive groups with high morale can produce more than less cohesive groups with low morale.

E. Performance appraisal system for IAS officers:

Performance Appraisal for IAS officers was earlier governed by the All India Services (Confidential Rolls) Rules, 1970, framed under sub-section (1) of section 3 of the All India Services Act, 1951, (61 of 1951). Under this dispensation, Annual Confidential Report (ACR) were used for performance appraisal.

In 2007, this system of ACRs was replaced by the Performance Appraisal Report (PAR) in pursuance of the Apex Court judgment in the case of Dev Dutt vs. Union of India (2008) (Civil Appeal No. 7631 of 2002). The APAR system is governed by the All India Services (AIS) (Performance Appraisal Report) Rules, 2007, which were framed in supersession of the previous rules, viz. the All India Services (Confidential Rolls) Rules, 1970.

Under the APAR system, IAS officers are required to initiate their APAR by filling up a self-appraisal report in a prescribed APAR format for each financial year. The self-appraisal report includes brief description of duties, annual work plan and achievements, any significant achievements/ shortfalls, specific areas for skill upgradation and domain assignment. The first level of appraisal is done by the immediate supervisor, called the Reporting Authority. The Reporting Authority assesses the work output, personal attributes and functional competency of the officer on a numerical scale of 1 to 10, with 1 being the lowest and 10 being the highest. The Reporting Authority is to write a brief pen picture of officer, commenting on the overall qualities of the officer including areas of strengths and lesser strengths and his attitude towards weaker sections. In addition, the Reporting Authority also comments on various other attributes including the integrity of the officer, the self-appraisal filled by officer and his self-identified training needs and domain assignment. The second level authority, i.e. Reviewing Authority, similarly gives numerical grades on the same set of attributes and comments on the pen picture of the officer written by the Reporting Authority. The APAR is finally put up to the third level authority, i.e. the Accepting Authority (Govt. of India, 2007). Thereafter, the final APAR is disclosed to the Officer Reported Upon (ORU) for his/her comments if any.

As per the AIS (PAR) Rules, 2007, the APAR is an important document, which provides the basic and vital inputs for further development of an officer. The *ibid* Rules further provide that the 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 (Govt. of India, 2007).

There are some key areas in which the APAR system differs from the earlier ACR system. Firstly, while ACRs were primarily a tool for assessing the performance of an officer and his/her further advancement in career (Govt of India, 1970), the APARs, on the other hand, are also being considered as important tool for further development of an officer (Govt. of India, 2007). Secondly, instead of rating the officers on a five point qualitative scale, viz. Outstanding, Very Good, Good, Average and Below Average in the earlier ACR system, now the officers are graded on a numerical scale of 1 to 10. Thirdly and most importantly, the entire APAR is required to be disclosed to the officer now. Earlier, only the adverse entries in the Confidential Report were required to be disclosed.

F. Working of Performance appraisal system for IAS officers:

Objectivity is the most important part of an effective performance appraisal system (Maier, 2019). The literature, however, points out that the extant Performance Appraisal system has not been able to address this issue. The shift from confidential system of ACRs to full disclosure system of APARs ended up aggravating the problem of Grade inflation (Unnikrishnan, Sharma, & Sharma, 2022). Grade inflation refers to a situation wherein a large proportion of officers end up graded more favourably. Referring to the issues, the Group Constituted to Review the system of Performance Appraisal, promotion, empanelment and placement for the All India Services (AIS) and other Group 'A' services, popularly known as Surinder Nath Committee (SNC) in its

report of 2003 has pointed out that there is an acute problem of Grade inflation, with a very large proportion of the officers being graded as “very good” or “outstanding”. Under a normal distribution curve, the most frequent grading should be in the “good” category whereas, in actual practice the distribution is skewed towards the “Very Good” and “Outstanding” categories. This is largely due to the tendency of maintaining a Group of subordinates in good humour (referred to as “the happy family syndrome”). This makes it very difficult to identify the really outstanding officers and reward them suitably or weed out the incompetent . As a result, almost all officers get promoted and a high proportion of officers also get empanelled for holding very responsible positions in the Government of India (Nath, 2003).

The Department-Related Parliamentary Standing Committee on Personnel, Public Grievances, Law and Justice (DRPSC) in its 92nd Report (presented to the Rajya Sabha on 08.08.2017 and laid on the Table of Lok Sabha on 10.08.2017) examined the Appraisal and Empanelment of Civil Servants under the Central Government. The Committee observed that under the present system the APARs need to be disclosed to the officer reported upon. There is a tendency to give very good remarks to the officers reported upon because the supervisory officers know that the officer concerned is going to see those remarks. There is a general reluctance to write unpleasant things. It has been observed that the Reporting Officers have become quite reluctant to record honestly the weakness of the officer reported upon, either in a spirit of camaraderie or not to upset the apple cart. As a result, more than ninety percent of officers are now getting outstanding gradings. The Committee feels that this trend of inflated gradings is defeating the very purpose of the appraisal system as it leads to difficulty in finding out outstanding officers with impeccable integrity and weeding out the incompetent

ones. The appraisal being a precondition for career progression appears to have lost its importance and this has compelled the Government to supplement the process of APAR with new tools like Multi Source Feedback (360 degree appraisal) for the limited purpose of empanelment. The 360 degree assessment also intends to capture the qualities of officers in terms of integrity, capability and general reputation based on the feedback received from various stakeholders, which the APAR system fails to gather (Rajya Sabha, 2017).

This issue of subjectivity in grading also finds mention in the tenth report of the Second Administrative Reforms Commission (2nd ARC). The Commission observed that many reporting officers pay little attention to distinguish good and average workers while grading them. Consequently, most Government officials end up getting very good/outstanding grading which is considered “good for promotion” and hence there is no motivation for real performers. Further, with respect to the newly introduced APAR format for IAS officers, the Commission observed that the new format also does not do away with the element of subjectivity when it comes to assigning numerical ratings/grades to different attributes of the Government servants (Govt. of India , 2008).

The culture of grading ACRs of IAS officers differed from Cadre to Cadre, with some Cadres being liberal or conservative in grading of the ACRs. In fact, specific provisions for moderation of grading variations across the Cadres are there is the Guidelines for Secretary/ Additional Secretary (AS)/Joint Secretary (JS) level empanelment contained at Page 61, Annexure -II of the DRPSC Report (Rajya Sabha, 2017).

The utility of ACRs as an effective tool for performance appraisal has been examined in a working paper for the fourth Civil services day by the Centre for Good Governance, in which, it has been mentioned that while analysing the management of performance of Civil Servants at individual level, it is important to understand that the current systems in government only ‘appraise’ and not really ‘manage’ performance. The measurement of performance is based on the ACR (Annual Confidential Report) system. While it is a well-entrenched system, it has several gaps that limit its utility as an effective performance appraisal tool (Centre for Good Governance, 2009).

This tension between grade disclosure or transparency and grade inflation had been discussed, without clear resolution in earlier reports as well. Reform reports tried to tackle the source of the problem, the requirement in the ACR system that adverse comments had to be communicated in different ways. For example, the Fifth CPC report of 1997 advocated for greater openness in conveying final grades to officers. The CPC recommended that even an average grade should be treated as adverse and be relayed to the employee. In fact, the Fifth CPC suggested that any grade not fit for promotion should be treated as adverse, so that the employee was made aware of their performance and could seek redressal against the evaluation (Government of India, 1997). The First ARC appeared to take the opposite approach by suggesting that adverse remarks need not be communicated at all. Instead, any adverse comments could be discussed with the person being appraised, the reporting authority and the reviewing authority before they were confirmed or modified (Administrative Reforms Commission, 1969). This way officers could report accurate assessments without being concerned with formally recording negative remarks about subordinates. In sum, the question of how much information to reveal to appraisees has dominated reform discourse since the 1960s.

The multiple revisions and reversals in policy on disclosure of feedback, as shown above, suggest that we are yet to find a lasting solution to this problem. Moreover, the government's recent reform thinking in this regard appears to be caught in a 'transparency-validity paradox' where reducing transparency is viewed as the only way to improve rating validity (Unnikrishnan, Sharma, & Sharma, 2022).

The Committee while endorsing the views of the Second Administrative Reforms Commission on the need for a paradigm shift from Performance Appraisal based approach to Performance Management based approach, recommends that the Government should put on wheels the recommendations of the Second ARC in this regard, without delay (Rajya Sabha, 2017).

The seventh Central Pay Commission (7th CPC) also examined the performance evaluation methodology embedded in the APAR system and not following limitations (Govt. of India, 2015):

- I. Lack of Linkage between Individual and Organizational Performance.
- II. Lack of prioritization: the activities in the APAR are not ranked on the basis of their importance.
- III. No ex-ante agreement on the targets.
- IV. APAR is highly subjective.
- V. Emphasis on personality rather than results.

Regarding promotion function of the performance appraisal system, the SNC observed: 'Since suitability for promotion is judged solely on the basis of the ACRs, which in turn are afflicted by a serious problem of grade inflation (most officers

typically obtaining “Very Good” or “Outstanding” grades), it is difficult to distinguish between officers on the basis of merit, and almost all officers are routinely promoted. Promotions are generally denied only if there are vigilance cases pending or contemplated against the officer. There is no formal evaluation of an officer’s ability to perform at the higher level, where the required skills, mindset, knowledge base, aptitudes, and other attributes may be significantly different. The current promotion system only evaluates how the officer performed at the lower level. This is clearly inadequate, especially for senior positions. The result is that many officers who reach senior positions involving program and policy formulation are ill-equipped by way of skills, knowledge, aptitude, and mindset for these roles (Nath, 2003).’

Regarding placement function of the performance appraisal system, the SNC observed: ‘The principal problem with the present system of selections for particular positions under the Central Staffing Scheme is that there is no systematic matching of the competency requirements for particular positions and the backgrounds of the candidate officers. Also, there is no formal system of eliciting the interests and preferences of officers for particular positions, consistent with their background and broader career interests. These lead to unseemly scrambles for particular prestigious positions, in which unstructured influences are pervasive. The result is, frequently, a glaring mismatch between the required competencies and the backgrounds of officers selected for the positions. Career profiles of officers end up displaying the features of a “random walk”, with no regard to building skills and capabilities. In the long-term, these result in poor policy-making and implementation, as well as insufficient capacity for policy-making and public management (Nath, 2003).’

G. 360 degree assessments:

SNC in para 5.12.2 of its report have recommended about 360 degree assessments (Nath, 2003). It has recommended that as yet there is no established modality for making 360 degree assessments. The Committee nevertheless considers that it would be useful to supplement the formal APAR regime with an institutionalized means of ascertaining the reputations of civil servants, consistent with our culture and ethos. Accordingly, we propose that each cadre controlling authority may, at its option, set up an “Eminent Persons Group ”, (EPG) i.e. persons of acknowledged character and wisdom who clearly do not (no longer) have any personal stakes in the civil service career of anyone in particular. Such persons (say, 5, who may serve of 3 years at a time on a pro-bono basis) may be drawn from retired civil servants, public figures, and academics. This EPG (names to be kept strictly confidential) may, through various means, e.g. discreet personal enquiries or more structured approaches such as personal interviews or administration of questionnaires, from a range of peers, juniors, and clients (e.g. public representatives, media persons, NGO functionaries, business persons, etc.), ascertain the reputation (in respect of financial and moral integrity, professional competence, attitudes, and personal qualities of each civil servant of the concerned cadre once every five years, starting from the loth year of service. It would set out their findings in a confidential report to the concerned cadre controlling authority. This information may be compiled separately from the APAR dossier, and may be useful in the following contexts, besides others:

- I. Placements to sensitive or special appointments.

- II. Counselling officers at 20 years of service or 50 years regarding the advisability of their accepting VRS.
- III. Confidential counselling of officers regarding their attitudes or conduct (e.g. with respect to juniors or public representatives), or activities that have a bearing on moral or financial integrity, so that they may remedy themselves.

H. Measures for improvements of APARs:

7th CPC made following recommendations for modifications in the existing APAR system so that it can be used as another anchor for determining Performance Related Pay (Govt. of India, 2015):

- I. **Alignment of Objectives:** At present, the linkage between individual and organizational performance is not clearly aligned in the APAR. The current APAR focuses more on the individual's performance compared to organizational performance. This results in a situation where individual officer can be rated excellent while the rating of the department could be lower. This is an anomaly which needs to be corrected. Conceptually, the Ministry's Vision/Mission needs to be translated into a set of strategic objectives for each department and these objectives need to be cascaded by the Department Head to his subordinates and subsequently down the chain.
- II. **Prioritizing Objectives, Assigning Success Indicators and their Weights:** Objectives reflected in the APAR should be prioritized and assigned weights along with success indicators or Key Performance Indicators (KPIs). This is required for evaluation of the KPIs in the end. The current APAR system assigns 60 percent weight on personal attributes and functional competencies and only

40 percent weight to work output. It would be useful to devise the performance framework in such a way that it captures all the KPIs in a holistic manner: on work output, effectiveness of process adherence, management of tasks, other competencies—behavioral/leadership/functional. The Commission recommends 60 percent weight on work output and 40 percent weight on personal attributes.

- III. **No Ex-ante Agreement:** The indicators in the APAR of an officer/staff will need to be discussed and set with the supervisor at the beginning of the year. This will set the agenda for performance assessment on scientific lines, obviate the possibility of gaming during target setting exercise and facilitate midcourse correction, in case of requirement, in a transparent manner.
- IV. **Timelines:** The Commission notes that timelines have been prescribed for drafting, reviewing and finalizing Results Framework Documents (RFDs). The Commission recommends that these timelines may be synchronized with the preparation of the APAR so that the targets set under RFD get reflected in individual APARs in a seamless manner.
- V. **Online APAR System:** The Commission notes that 'Smart Performance Appraisal Report Recording Online Window' has been introduced for IAS Officers. Such a system ensures adherence to the prescribed timelines in filling up the PARs. The Commission recommends introduction of such online APAR systems for all Central Government officers/employees.

The sixth CPC, in its report, while making recommendations for the performance related incentive scheme had suggested a change in performance management system incorporating open and transparent assessment and linking of performance measurement indicators to deliverables in performance appraisal systems (Govt. of India, 2008).

Sharing the training needs with Training Division of DoPT: A committee constituted under the Chairmanship of Dr N.C. Saxena had examined the erstwhile ACR system and recommended that there should be a separate section in which the appraisee could record his training needs. With the comments of the reporting officer, this section should be sent to the Training Division of the DoPT.

Essentially, the training needs are of two kinds: (1) that needed to meet the requirements of an officer's current or immediately forthcoming assignment, and (2) that needed to strengthen or impart the requisite skills and competence to discharge responsibilities at higher levels and in different thematic areas during one's service. While the responsibility for sponsoring the officer for the first type of training should rest with the immediate supervisor/department, responsibility for sponsorship for the second category should rest with the training unit of the cadre controlling authority. The performance in such career courses should be one of the criteria for various personnel actions (e.g. promotions, placements, etc.). Professional skills of officers may relate to the three functional categories (Implementation, Program/Project Preparation, and Policy Formulation) as well as to specific themes (e.g. Domain Areas, Specializations). Skill acquisition is through two distinct processes. In the first, formal knowledge relating to the skill may be acquired through courses of institutionalized training and/or academic study (including research). In the second, the formal knowledge acquired may be validated and strengthened through work experience. In general, formal knowledge and work experience are complements, rather than substitutes. Thus, a claim to Domain or Specialized knowledge, or policy formulation skills solely based on either formal training or work experience would be less plausible than a claim based on both. Indicators of the level of skill acquisition would, accordingly, relate to performance in each of the processes of skills acquisition. Thus,

the indicators would be performance levels in relevant training/academic study (including research), as well as in work performance revealed in the PARs. Currently, in respect of training/study courses participated in, a record is (supposedly) maintained in the ACR dossier, without, however, recording the performance levels. The existing practice is sought to be enhanced by also recording the levels of performance in these courses. In respect of research completed, the current practice is to list all publications of the officer (professional or otherwise, peer reviewed or not). This practice is sought to be restricted to peer reviewed published research in the relevant professional fields, in order that the information is actually of value in determining whether relevant skills have been acquired. The proposed changes in practice would also be consistent with the principle that officers are accountable for their accomplishments during all time spent on Government account (Nath, 2003).

Chapter 3 : Research Methodology and Design

Research Strategy and Research Design:

Quantitative research strategy with descriptive and exploratory research design.

Research methods and data sources:

The study will use a mix of quantitative and qualitative methods. Content analysis of All India Services (Performance Appraisal Report) Rules, 2007, as amended from time to time, will be done to identify the parameters in the APAR, which enable its use as a tool for human resource management of IAS officers. To assess the utilisation of APARs as a tool for Human resource management, primary data will be collected through key informant interview(s) and expert(s) views. Primary data will also be collected by imparting a questionnaire to key stakeholders. In addition, secondary data obtained from the Smart Performance Appraisal Report Recording Online Window (SPARROW) portal of Department of Personnel & Training (DoPT) will also be used. Content analysis of the reports of previous committees/commissions and performance appraisal systems/practices in select organisations will be carried out for the purpose of suggesting measures to further enhance the utilisation of APARs as a tool for human resource management of IAS officers.

Scope/Limitations/Delimitations:

There are various functions/objectives of performance appraisals, including, training and placement function; feedback and counseling function; planning of work function; promotion function; recognition function and strengthening of governance function (Nath, 2003). The scope of present study is limited to the human resource functions of APARs. Aspects like employee motivation, work planning and strengthening of governance systems etc. are outside the ambit of this study. Secondly, the study will use online data of APARs available on SPARROW portal of DoPT. Although the APAR system started from 2007-08 onwards, online capturing of APAR data was started only from 2013-14 onwards. As such, the data is available for eight years of APAR system's existence, instead of the entire fourteen years period. It is, however, felt that analysis of the available data would be able to provide useful conclusions/outcomes for this study. Further, the study relies on key informant(s) interviews and expert(s) views for want of any other empirical data to ascertain the utilisation of APARs for HR functions and an element of subjectivity cannot be ruled out in such methods. An attempt will, however, be made to obtain views from wider set of key informants/experts to eliminate the subjectivity, as far as possible.

Chapter 4 : Performance appraisal system for IAS officers and the parameters in the APAR enabling its use for HR functions

Performance appraisal system for IAS officers:

Performance Appraisal for IAS officers was earlier governed by the All India Services (Confidential Rolls) Rules, 1970, framed under sub-section (1) of section 3 of the All India Services Act, 1951, (61 of 1951). Under this dispensation, Annual Confidential Report (ACR) were used for performance appraisal. In 2007, this system of ACRs was replaced by the Performance Appraisal Report (PAR) in pursuance of the Apex Court judgment in the case of Dev Dutt vs. Union of India (2008) (Civil Appeal No. 7631 of 2002). The APAR system is governed by the All India Services (AIS) (Performance Appraisal Report) Rules, 2007, which were framed in supersession of the previous rules, viz. the All India Services (Confidential Rolls) Rules, 1970.

The AIS (PAR) Rules, 2007, as amended, provide for specified formats for recording the APAR for each financial year. There are five different types of APAR forms specified in the Appendix I of the 2nd Schedule to the Rules:

- I. **Form I** is for officers at all levels, except at Secretary or Additional Secretary or equivalent level.
- II. **Form II** is for officers at the level of Secretary or Additional Secretary
- III. **Form III** is meant for officers serving on deputation.
- IV. **Form III A** is prescribed for officers on Study leave.
- V. **Form III B** is specified for officers on training.

Form I (for officers at all levels except Secretary/AS level) is divided into 5 sections:

- I. **Section I** of the form contains basic information about the officer, including details of training programs attended, awards/honours, date of filing immovable property returns and conduct of prescribed medical examination.
- II. **Section II** of the APAR format is meant for self-appraisal. The self-appraisal report includes a brief description of duties; details of tasks to be performed against the annual work plan along with initial and mid-year deliverables and actual achievements; any significant achievements/shortfalls; specific areas for skill upgradation and domain assignment. Section II 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 contributions made by him/her during the year. 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 may also mention the specific steps that he/she has taken or proposes to take to upgrade his/her skills in the identified area. As a part of an increased emphasis on competency building in the performance appraisal and career progression system, the officers are required to keep the cadre controlling authority 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. As per the Rules, these would be taken into account in the future career progression.
- III. **Section III** of the APAR format is meant for appraisal. The first level of appraisal is done by the immediate supervisor, called the **Reporting Authority**. The Reporting Authority assesses the work output, personal attributes and

functional competency of the officer on a numerical scale of 1 to 10, with 1 being the lowest and 10 being the highest. The work output is assessed on **three** parameters with weightage of **40%** in the overall grading. Personal attributes are assessed on **eight** parameters and functional competencies are assessed on **six** parameters with a weightage of 30% each. The Reporting Authority is also required to write descriptive comments (in about 50 words) on **five** specific attributes. In addition, the Reporting Authority writes a comment about the integrity of the officer as well as writes a brief pen picture of officer, commenting on the overall qualities of the officer including areas of strengths and lesser strengths and his attitude towards weaker sections. The pen- picture is also meant to be a qualitative supplement to the quantitative assessments. In addition, the Reporting Authority also comments on the self- appraisal filled by officer and his self-identified training needs and domain assignment. An overall grade is also assigned to the ORU by the Reporting officer.

- IV. **Section IV** is meant for Review. The second level authority, i.e. **Reviewing Authority**, gives numerical grades, similarly, on the same set of attributes, gives his/her remarks on the comments by Reporting officer on various attributes of the ORU and also gives descriptive comments on the pen picture of the officer written by the Reporting Authority. In addition, reviewing officer is required to assign domains to the ORU as well as assign overall grades.
- V. **Section V** is meant for Acceptance. In this section, the third level authority, i.e. the **Accepting Authority** agrees/disagrees with Reporting/Reviewing authorities and awards overall grades to the Officer Reported Upon (ORU) (Govt. of India, 2007).

In case of Form II (for officers at Secretary/AS level), while Section I, III and IV are similar to those in Form I, there are significant variations in Section II and III. Important variations are as follows:

- I. There is no self-appraisal for officers at this level. Instead, they are required to enclose a note on important achievements during the period.
- II. In the Section III, work output is graded on same three parameters as in Form I, however, with a reduced weightage of 30%.
- III. A weightage of 70% is given to assessment on six attributes (instead of 8 personal attributes and six functional competencies in Form I). The attributes being assessed are more or less similar to the ones in Form I, with the exception of innovativeness and ability to inspire, which are there only in Form II.
- IV. A more detailed pen picture of about 100 words is required in Form II against 50 words pen picture in Form I.

As per the AIS (PAR) Rules, 2007, the APAR is an important document, which provides the basic and vital inputs for further development of an officer. The *ibid* Rules further provide that the 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. The rules further provide that 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 (Govt. of India, 2019).

Disclosure and Representation: The entire APAR including the overall grade and integrity, is communicated to the officer reported upon after it has been finalized by the accepting authority. The officer reported upon have the option to give his comments on the PAR. Such comments have to be restricted to the specific factual observations contained in the Performance Appraisal Report leading to the assessment of the officer in terms of attributes, competency and output. If comments are submitted, the Reporting/Reviewing/Accepting Authority 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 are to 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, in such cases, shall be confined to errors of facts and nothing else. The Referral Board is required to 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 is recorded in the PAR and the same communicated to the officer reported upon. The decision of the Referral Board is final.

There are some key areas in which the APAR system differs from the earlier ACR system. Firstly, while ACRs were primarily a tool for assessing the performance of an officer and his/her further advancement in career (Govt of India, 1970), the APARs, on the other hand, are also being considered as important tool for further

development of an officer (Govt. of India, 2007). Secondly, instead of rating the officers on a five point qualitative scale, viz. Outstanding, Very Good, Good, Average and Below Average in the earlier ACR system, now the officers are graded on a numerical scale of 1 to 10. Thirdly and most importantly, the entire APAR is required to be disclosed to the officer now. Earlier, only the adverse entries in the Confidential Report were required to be disclosed.

HR functions envisaged under the APARs:

In order to identify the parameters in the APAR, which enable its use as a tool for Human resource (HR) functions, it is important to enlist various HR functions, which are envisaged to be performed by using the APARs. Important guidance on this aspect comes from the report of DRPSC. As per the report of DRPSC, the Performance Appraisal is a systematic and periodic process to assess performance, productivity and potential of the personnel in relation to predetermined standards/parameters laid down for the purpose. The need of performance appraisal is to find the suitability of the personnel for the purpose of promotion, placement, foreign assignment/deputation, empanelment, training, etc. (Rajya Sabha, 2017). The SNC, in its report has mentioned Training and Placement Function to be an important function of performance appraisals. As per the Committee, it refers to making an assessment of the officer's professional capabilities, with a view to determining capacity building needs and suitability for particular areas of responsibility/assignments (Nath, 2003). To summarise, the important HR functions envisaged to be performed in the context of IAS officers, utilising the APARs are as follows:

- I. To assess the suitability of officers for a particular assignment.
- II. Identification of skill upgradation/ training needs of the officers.
- III. Empanelment and Promotion of officers.

Parameters in the APAR enabling HR functions:

On careful analysis of the APAR formats currently in vogue, the following parameters related to various HR functions as enumerated above are identified:

I. Parameters in the APAR for assessing the suitability of officers for a particular assignment:

The parameters in the APARs, which can be used to assess the suitability of an officer for a particular assignment can be classified into three broad categories, viz. Domain assignment, numerical assessment of personal attributes and functional competencies of officer and descriptive comments about the officer on various traits.

A. Domain Assignment:

The APAR format maps the Ministries/Departments in the Government of India into twelve domains. Each officer is required to indicate four domains out of these twelve in his self-appraisal report in Section II of the APAR format. Further, the Reporting officer and the Reviewing officer are independently required to give their recommendations on four domains, which can be assigned to the Officer Reported Upon (ORU) in Section III and Section IV of the APAR format respectively. Thus a considered and consultative process of assigning domains to ORU is envisaged in the

APAR. The domains and the Ministries/Departments mapped to each domain, as contained in the APAR format are as follows (Govt. of India, 2019):

Table 1: Ministries/Departments mapped to domains in APAR format

| Sr no. | Domain | Ministry/Department mapped to the domain* |
|--------|-----------------------------------|--|
| 1 | Agriculture and Rural Development | (1) Department of Agriculture and Cooperation |
| | | (2) Department of Agricultural Research and Education |
| | | (3) Department of Animal Husbandry, Dairying and Fisheries |
| | | (4) Ministry of Agro and Rural Industries |
| | | (5) Department of Rural Development |
| | | (6) Ministry of Panchayati Raj |
| | | (7) Department of Land Resources |
| | | (8) Department of Drinking Water Supply |
| | | (9) Department of Food and Public Distribution |
| | | (10) Department of Consumer Affairs |
| | | (11) Ministry of Food Processing Industries |
| 2 | Social Development | (1) Department of Health |
| | | (2) Department of Family Welfare |
| | | (3) Department of Ayurveda, Yoga and Naturopathy, Unani, Siddha and Homeopathy (AYUSH) |
| | | (4) Department of Secondary and Higher Education |
| | | (5) Department of Elementary education and Literacy |
| | | (6) Department of Women and Child Development |
| | | (7) Ministry of Social Justice and Empowerment |
| | | (8) Department of Urban Employment and Poverty Alleviation |
| | | (9) Ministry of Overseas Indian Affairs |
| 3 | Culture and Information | (1) Ministry of Information and Broadcasting |
| | | (2) Ministry of Culture |

| | | |
|---|---|---|
| | | (3) Ministry of Tourism |
| | | (4) Ministry of Tribal Affairs |
| | | (5) Ministry of Youth Affairs and Sports |
| 4 | Natural Resource Management | (1) Ministry of Environment and Forests |
| | | (2) Ministry of Water Resources |
| | | (3) Department of Ocean Development |
| | | (4) Ministry of Mines |
| 5 | Energy and Environment | (1) Department of Atomic energy |
| | | (2) Ministry of Non-Conventional Energy Sources |
| | | (3) Ministry of Coal |
| | | (4) Ministry of Petroleum and Natural Gas |
| | | (5) Ministry of Power |
| 6 | Communication systems and Connectivity Infrastructure | (1) Ministry of Civil Aviation |
| | | (2) Department of Information Technology |
| | | (3) Department of Telecommunication |
| | | (4) Department of Posts |
| | | (5) Department of Road Transport and Highways |
| | | (6) Department of Shipping |
| 7 | Public Finance and Financial Management | (1) Department of Disinvestment |
| | | (2) Department of Expenditure |
| | | (3) Department of Economic Affairs |
| | | (4) Department of Revenue |
| | | (5) Ministry of Company Affairs |
| | | (6) Planning Commission |
| | | (7) Ministry of Statistics and Programme Implementation |
| 8 | Industry and Trade | (1) Department of Industrial Policy and Promotion |
| | | (2) Department of Chemicals and Petrochemicals |
| | | (3) Department of Commerce |
| | | (4) Department of Heavy Industries |
| | | (5) Department of Fertilizers |
| | | (6) Ministry of Textiles |
| | | (7) Department of Public Enterprises |

| | | |
|----|---|---|
| | | (8) Ministry of Small Sale Industries |
| 9 | Internal Affairs and Defence | (1) Department of Defence |
| | | (2) Department of Defence Production |
| | | (3) Department of Defence Research and Development |
| | | (4) Department of Ex-Servicemen Welfare |
| | | (5) Department of Internal Security |
| | | (6) Department of States |
| | | (7) Department of Official Language |
| | | (8) Department of Home |
| | | (9) Department of Jammu and Kashmir Affair |
| | | (10) Department of Border Management |
| | | (11) Ministry of Development of North Eastern Region |
| 10 | Housing and Urban Affairs | (1) Ministry of Urban Development |
| 11 | Personnel and General Administration, Governance Reform, Regulatory Systems | (1) Department of Personnel and Training |
| | | (2) Department of Administrative Reforms and Grievances |
| | | (3) Department of Pensions and Pensioners Welfare |
| | | (4) Department of Legal Affairs |
| | | (5) Legislative Department |
| | | (6) Department of Justice |
| | | (7) Cabinet Secretariat |
| | | (8) Ministry of Labour and Employment |
| | | (9) President's Secretariat |
| | | (10) Ministry of Parliamentary Affairs |
| | | (11) Prime Minister's Office |
| | | (12) Union Public Service Commission |
| | | (13) Election Commission |
| 12 | Science and Technology | (1) Department of Science and Technology |
| | | (2) Department of Scientific and Industrial Research |
| | | (3) Department of Bio-Technology |
| | | (4) Department of Space |

** Many Ministries/ Departments have since been renamed/merged/created/abolished
(for updated list of Ministries/Departments, visit the website www.cabsec.gov.in)*

B. Assessment of the personal attributes and functional competencies of the officers:

Personal attributes of ORU are to be numerically assessed by the Reporting officer and Reviewing officer in Section II and Section III respectively. The officer is to be assessed on *eight* personal attributes:

- I. Attitude to work;
- II. Sense of responsibility;
- III. Overall bearing and personality;
- IV. Emotional stability;
- V. Communication skills;
- VI. Moral courage and willingness to take a professional stand;
- VII. Leadership qualities;
- VIII. Capacity to work in time limit

All these attributes are numerically graded on a scale of 1-10, with 1 being lowest and 10 being highest. A weightage of 30% in the overall grades is given to the personal attributes. The overall grading in the personal attributes is based on addition of the mean value of each group of indicators in proportion to weightage assigned.

The functional competencies of officer are to be numerically assessed by the Reporting officer and Reviewing officer in Section II and Section III respectively. The officer is to be assessed on **six** functional competencies:

- I. Knowledge of laws/rules/procedures/ Information Technology (IT) skills and awareness of the local norms in the relevant area;
- II. Strategic planning ability;
- III. Decision making ability;
- IV. Initiative;
- V. Coordination ability;
- VI. Ability to motivate and develop subordinates/ work in a team.

All these attributes are numerically graded on a scale of 1-10, with 1 being lowest and 10 being highest. A weightage of 30% in the overall grades is given to the functional competencies. The overall grading in the functional competencies is based on addition of the mean value of each group of indicators in proportion to weightage assigned.

In case of officers at the level of Secretary/AS, instead of having separate personal attributes and functional competencies, the officers are graded on following six attributes:

- I. Attitude to work
- II. Decision making ability
- III. Initiative
- IV. Ability to inspire and motivate
- V. Strategic Planning ability/innovativeness

VI. Coordination ability

A weightage of 70% is ascribed to assessment of these attributes.

C. Descriptive comments on various traits in respect of the ORU:

Section III of the APAR format requires the Reporting officer to give descriptive comments, in about 50 words, on the following traits in respect of the ORU:

- I. The ability to take timely and effective decision especially in complex, ambiguous and critical situations;
- II. Ownership of responsibilities with courage to stand up for what is right;
- III. Innovativeness;
- IV. Track record of delivery;
- V. Ability to lead a team with coordination and collaboration;
- VI. Pen picture of the officers commenting on the overall qualities of the officer including areas of strengths and lesser strengths and his attitude towards weaker sections.

Further, the Reporting officer gives his remarks on the comments given by Reporting officer in Section IV of the APAR and the Accepting officer agrees/ disagrees to this in Section V of the APAR format. In addition, the Reporting officer also gives his comments on the Integrity of the officer in Section III of the APAR format. The above descriptive comments provide very useful information about overall suitability of officer for a particular domain/assignment.

II. Identification of skill upgradation/ training needs of the officers:

The APAR format places a significant emphasis on the skill upgradation/training needs of the ORU. Section I of the APAR format provides the Administrative division/ Personnel Department to fill various training programs attended by the officer during the reporting period. In the self-appraisal in Section II of the APAR format, each officer indicates specific areas in which she/he feels the need to upgrade skills through training programs, both for the current assignment as well as for the future career. Further, in Section III of the APAR format, the reporting officer is required to comment on the skill upgradation needs identified by the ORU. Thus, the skill upgradation/training needs of an officer are identified in a consultative process through the APAR format. Provision for Skill upgradation/training needs identification is not there in Section II and III in the APAR format for the officers at the level of Secretary/AS.

III. Empanelment and promotion of the officers:

Empanelment is the process of drawing up a list of officers from the All-India Services and other Group 'A' Services, for possible selection to positions under the Central Staffing Scheme. This exercise is normally conducted annually, considering officers with the same year of allotment together. Empanelment relates strictly to suitability for holding posts under the Central Government. It is not (although sometimes misunderstood as such), a substantive promotion to a higher grade. For posts of Joint Secretary and equivalent, an independent evaluation of the annual confidential reports is initially made by four Secretaries to the Government of India. The evaluation is then considered by a "Civil Services Board" (CSB), headed by the Cabinet Secretary, which makes recommendations to the Appointments Committee of the Cabinet (ACC) for the empanelment of suitable officers.

The cases of such officers who are not included in the panel in a particular year are reviewed after a period of two years, i.e. after two more ACRs on their performance have been added to their dossiers. Another such review may be conducted after a further period of two years. A special review may be made in the case of any officer whose ACR undergoes a material change as a result of his representation against adverse comments in his ACR being accepted by the cadre- controlling authority.

Inclusion in the panel at the level of Joint Secretary is through selection based on the criteria of merit and competence. For the posts of Additional Secretary/Secretary to Gol, empanelment is based on the recommendations of a four Member Committee consisting of Cabinet Secretary, Principal Secretary to Prime Minister, Home Secretary, and Secretary, Department of Personnel & Training. Inclusion in the panel is also through strict selection and evaluation of such qualities as merit, competence, leadership and a flair for participating in the policy-making process. However, empanelment at any level does not confer a right to appointment under the Central Government.

The overall numerical grades assigned to the officers are used for the purpose of empanelments and promotions. As per the DoPT instructions dated 23.07.2009, APARs graded between 8 and 10 will be rated as 'outstanding' and will be given a score of 9 for the purpose of calculating average scores for empanelment/promotion. Similarly, the APARs graded between 6 and short of 8 will be rated as 'very good' and will be given a score of 7; the APARs graded between 4 and 6 short of 6 will be rated as 'good' and given a score of 5 and the APARs graded below 4 will be given a score of zero (Govt. of India, 2009).

In case of empanelments at the level of Additional Secretary and Secretary, ACRs/APARs of 14 years are taken into account which should have ACRs/APARs for at least 120 months (Govt. of India, Undated). In case of Joint Secretary level empanelments, for the purpose of evaluating the overall performance of an officer, the ACRs/APARs during the 10 year period, immediately preceding and inclusive of the cut off year, are taken into account (Govt. of India, Undated).

The promotions of members of IAS are governed by the guidelines issued by the Department of Personnel & Training on 28.03.2000. As per these guidelines, the Annual Confidential Reports/APARs are the basic inputs based on which assessment is to be made by the Screening Committees, constituted for the purpose of promotions. The evaluation of ACRs should be fair, just and non-discriminatory. While making the assessment, the Committee should not be guided merely by the overall grading that may be recorded in the ACRs but should make its own assessment on the basis of the overall entries made in the ACRs. In the case of each officer, an overall grading should be given which will be either “Fit” or “Unfit”. There will be no benchmark for assessing suitability of officers for promotions. The list of candidates considered by the Committee and the overall grading thus assigned to each candidate would form the basis for preparation of the panel for promotion (Govt. of India, 2000).

Thus, a careful analysis of these provisions indicate that the overall grades obtained by the ORU and the specific comments of the Reporting/Reviewing officer and the Accepting authority are primarily considered for the purpose of empanelments/promotion.

To summarise, the following parameters in the APAR enable their utilisation for HR functions:

- I. For placement function:
 - a. Domain assignment.
 - b. Numerical assessment of personal attributes and functional competencies.
 - c. Descriptive comments about various traits in the officer.
- II. Skill upgradation/training function: Trainings undergone as enumerated in Section I; Training needs self-identified in Section II and comments of Reporting officer on these identified training needs in Section III.
- III. Empanelment and Promotion function: Overall grades in APAR, along with specific comments of the Reporting/Reviewing officer and the Accepting authority, if any.

The above position answers the first research question of this study i.e “ What are the parameters in the APAR, which enable its use as a tool for human resource management of IAS officers?”

Chapter 5 : Findings from key informant interview(s) and expert(s) views

Expert views of former Secretaries, Department of Personnel & Training, Government of India were obtained in order to answer the second and third research questions of this study i.e. *‘Are the APARs being effectively utilised for the purpose of human resource management of IAS officers and if not, what are the limitations?’* and *‘What measures can be taken to further enhance the utilisation of APARs as a tool for human resource management of IAS officers?’*. Semi-structured interviews were used to obtain the views. Further, due to practical difficulty of reaching out to too many retired officers, the interviews was limited to the officers who have served in the Government of India in the DoPT in the last five years. In addition, views of the officers of Capacity Building Commission were also obtained using the same methodology. The views of the experts were obtained on all parameters in the APARs that enable their utilisation for HR functions, viz. placement function, skill upgradation/training function and Empanelment and promotion function, as detailed at **Appendix 1**.

A brief summary of the views expressed by the experts is as follows:

i. The APARs suffer from the problem of Grade Inflation, thus severely limiting their use as a tool for Human resource Management of IAS officer, particularly in the empanelment and promotions:

Experts were of the view that the problem of grade inflation in the APARs seriously limit their utilisation as a tool for the purpose of Empanelments and Promotions. The

experts pointed out that most officers end up getting outstanding grades, thus making it difficult to distinguish outstanding officers from average performers.

This issue of grade inflation has been highlighted by the reports of previous Committees as well. The Parliamentary Standing Committee had observed that under the present system, the APARs need to be disclosed to the officer reported upon. There is a tendency to give very good remarks to the officers reported upon because the supervisory officers know that the officer concerned is going to see those remarks. There is a general reluctance to write unpleasant things. It has been observed that the Reporting Officers have become quite reluctant to record honestly the weakness of the officer reported upon, either in a spirit of camaraderie or not to upset the apple cart. As a result, more than ninety percent of officers are now getting outstanding gradings. The Committee feels that this trend of inflated gradings is defeating the very purpose of the appraisal system as it leads to difficulty in finding out outstanding officers with impeccable integrity and weeding out the incompetent ones (Rajya Sabha, 2017).

The Surinder Nath Committee (SNC) in its report of 2003 had pointed out that there is an acute problem of Grade inflation, with a very large proportion of the officers being graded as “very good” or “outstanding”. Under a normal distribution curve, the most frequent grading should be in the “good” category whereas, in actual practice the distribution is skewed towards the “Very Good” and “Outstanding” categories. This is largely due to the tendency of maintaining a Group of subordinates in good humour (referred to as “the happy family syndrome”).

ii. There is variability in the gradings in APARs across the Cadres. Some Cadres are known to be liberal in their gradings, while others are conservative in Grading. Due to this subjectivity in the Gradings, the utility of APARs as a tool for HR management

gets limited. Therefore, additional methods like Multi Source Feedback (MSF) have been evolved along with APAR grades for the purpose of Empanelments.

This view of the Experts also finds mention in the report of the Department-Related Parliamentary Standing Committee on Personnel, Public Grievances, Law and Justice (DRPSC). As per the report, the culture of grading ACRs of IAS officers differed from Cadre to Cadre, with some Cadres being liberal or conservative in grading of the ACRs. In fact, specific provisions for moderation of grading variations across the Cadres are there in the Guidelines for Secretary/ Additional Secretary (AS)/Joint Secretary (JS) level empanelment contained at Page 61, Annexure -II of the DRPSC Report (Rajya Sabha, 2017).

iii. Utilisation of APARs in the Placement Functions:

During the course of expert interviews, answers to the following critical questions regarding the utilisation of APARs for the placement functions emerged:

- i. Is there any mechanism to utilize the data related to placement functions (domain assignment, personal attributes, and functional competencies) as an input for placement decisions?**
- ii. If yes, what are the limitations of such mechanism and what measures can be taken to improve it?**
- iii. If no, how the information captured in APAR on domain assignment, personal attributes and functional competencies could be utilized as an input for placement decisions?**

The experts were of the view that the APAR is meant to capture some of the domain assignment, personal attributes, and functional competencies. The Executive Record (ER) sheet is also supposed to give a snapshot of the persons overall exposure. However, in the absence of a database to utilise the domain assignment/personal attributes/functional competencies captured in the APARs, it serves a limited purpose. At present, the Establishment Officer utilizes the ER sheet to shortlist persons for placement in a particular domain and the Secretaries concerned go through the APAR of shortlisted candidates to ascertain functional and behavioural competencies. This has obvious limitations.

The *Mission Karmayogi*, a new initiative of the DoPT, has attempted to make the process of placement more intelligent. The system is designed to take the 'emit' from the learning management system Integrated Government Online Training (IGoT) and the attributes from the APAR and present it in a database format to the decision maker. When this is operational, it would serve as a valuable decision support system and would serve to place the right persons in the right slot at the right time.

On the issue of domain assignment under APARs, one of the expert was of the view that the reporting and reviewing officers, if they have not worked in a particular sector, tend to allocate domain, based on their own perception of what is good or bad for an officer, depending upon their likes and dislikes, without even knowing what that domain entails. It was suggested that the Reporting and Reviewing officer's domain should also be captured in the APAR. This is perfectly doable considering that now the APARs are online. When the Reporting/Reviewing Authorities decide to allocate domains to the ORUs outside their own domain expertise, they should justify that in APAR. This would result in more considered domain allocation in the APARs. It was also suggested that a separate exercise on domain assignment should be done, may be

2 years after JS empanelment. An expert panel of various domains can do that exercise. Officers can be asked to give choice. In domains, where more officers apply than the available vacancies, panel should even interview the officers. 3-4 domains can be allocated. All trainings to officers should then be on those domains. It is not possible to restrict postings to those domains, but the domains can be one of the inputs in decision making on placements.

Another important point which was brought out was the need to harmonise the domains in the APAR domains and domains identified by the Experts panel at the time of empanelment at the JS/AS/Secretary level. It was pointed out that under the APARs, the Ministries/Departments in the Government of India are mapped into twelve domains. Each officer is required to indicate four domains out of these twelve in his self-appraisal report in Section II of the APAR format. Further, the Reporting officer and the Reviewing officer are independently required to give their recommendations on four domains, which can be assigned to the Officer Reported Upon (ORU) in Section III and Section IV of the APAR format respectively. Thus a considered and consultative process of assigning domains to ORU is envisaged in the APAR on an annual basis. Separately, at the time of empanelment of officers at the level of Joint Secretary, Additional Secretary and Secretary level, the Experts panel of retired Secretaries to the Government of India, which does this task is required to assign domains to the officers. These domain are categorised as follows:

- I. Economy + Finance + Industry + Trade
- II. Urban Development + Infrastructure + Energy + Environment + Natural Resource Management
- III. Rural Development + Agriculture + Water
- IV. Education + Health + Social Justice

V. Tourism + Culture + Communication

VI. Internal/External Security + Defence + International Relations

The experts felt that there is a need to harmonise the domains in the APAR system with the domains allocation during the Empanelment process for consistency in the process of domain allocation.

iv. Utilisation of the APARs in Skill upgradation and Training Function:

During the course of expert interviews, answers to the following critical questions regarding the utilisation of APARs for the Skill upgradation and Training functions emerged:

- i. Is there any mechanism to utilise data on training needs identified by ORU and comments of Reporting Authority thereon for imparting training to IAS officers?**
- ii. If no, how could this information be utilized for scheduling future trainings of IAS officers?**
- iii. Is there any mechanism to utilize the data on skill upgradation/training captured in APARs for designing training programmes specific to IAS Officers?**
- iv. If no, how could this information be utilized for designing new training programmes/modifying existing training programmes for overall professional**

development of IAS officers in general and also for development of domain specific specialization?

The experts opined that the training needs identified through the mechanism of APARs is a valuable data, generated year on year, in mutual consultation between the ORU and his reporting officer. It captures details, both of the training needs of the present job as well as future job requirements. As such, if utilised properly, it would be of immense value to the overall development of officers. However, the experts were of the view that at present this information in the APARs is being filled in very perfunctorily by the Reporting Authorities and is hardly being used for either assessment of training needs or for improvement of training. It also emerged that a suitable mechanism needs to be evolved for sharing the training needs data captured in the APARs with the Training Division of DoPT as well as the Capacity Building Commission, which is presently missing. Resultantly, the training circulars being issued by DoPT do not correlate to the training needs identified through APARs, thus limiting the utilisation of APARs for this purpose.

Demographic shifts, rapid economic development, phenomenal increase in social and political awareness, a revolution in aspirational levels of people and an unprecedented digital penetration calls for a radical shift in the approach to skill upgradation and training. Citizen centricity and domain specific expertise are core elements that must occupy the centre-stage of governance and public service delivery. This necessitates competency driven training and human resource management of officials, marking a shift from a 'rule-based' to a 'role-based' system. A major weakness of the present system of training is that there is a gap between the domain, functional and behavioural competencies that are required by a civil servant to discharge a particular role and the training inputs that are given sporadically. The right inputs are not available to the right

officials, at the right time. Moreover, there is limited scope for continuous learning and assessment. The existing capacity building initiatives can best be described as sporadic, siloed and primarily offline. The outcome is that there is a lack of a clear and holistic picture of the competencies that the civil servants have attained and their requirements.

A basic step in this regard would be to develop a competency framework at the Behavioural, Functional and Domain level and link the roles and activities of every employee to the competency framework. The Attitude, Skills, and Knowledge (ASK) of the civil servant should be aligned with the role she/he is discharging at all three levels, namely, domain, functional and behavioural.

Domain competencies may be defined as competencies that are shared by a ‘family’ of related jobs that have common functions and form a logical career path. They are defined for a specific department or business unit or for jobs across departments that share common tasks and functions.

Functional competencies may be defined as the application of knowledge and skills needed to perform effectively in a specific role or group of jobs. They may also include job specific competencies, that define the skills and knowledge needed to perform a specific role effectively.

Behavioural competencies refer to higher order of behaviours that are applicable across a range of jobs, functions, and roles, within the organization. They describe the key values and strengths that help a department/organisation/official perform effectively in a range of jobs.

Competencies have multiple levels of proficiency, from beginner to expert. The progression from one level to the higher one, must be organized and gradual. While it is desirable that civil servants continuously gain new competencies, it is also vital that they improve their proficiency in their current competencies.

The next step would be the development of a comprehensive learning platform that would facilitate online, face-to-face, and blended learning to deliver the content to the civil servants across the length and breadth of the country. The platform should provide resources for continuous-anytime-anyplace learning. It should provide a path for life-long learning. The revolution in digital technologies, and Information, Communication and Technology (ICT) architecture has made the creation of such a learning platform possible.

The aim of the capacity building initiatives for civil servants should be to qualitatively improve the citizen experience for government services and transform interactions between the civil servants and the citizens. It should enable civil servants to pursue learning in multiple directions at their own convenience and drive their professional development. It should also enable them to create their own specialization and become subject matter experts.

Training institutions should be able to share the learning infrastructure by leveraging the best-in-class learning resources. This would vastly reduce duplication of effort and cost. Similarly, Departments should be able to leverage available competency frameworks to drive capacity building initiatives. They should also be able to access learning and competency information of all employees in the department on real time basis, enabling data driven decision making. Ultimately, the existing service-based silos in capacity development should be eliminated to ensure better public service delivery.

A brief note on the Mission Karmayogi is attached at **Appendix 2**.

V. Utilisation of APARs for the Empanelment and Promotion functions:

During the course of expert interviews, answers to the following critical questions regarding the utilisation of APARs for the Empanelment and Promotion functions emerged:

i. What measures can be taken to enhance the utility of APARs in empanelment and promotion decisions?

The experts were of the view that the APARs serve a limited function in Empanelment and promotion decisions since the grading given in it are uniformly in the superlative (Outstanding) and the integrity is always “beyond doubt”. One of the expert said that the APARs have lost their relevance since people are not writing them truthfully. Ever since the APAR started being shared with the ORU, Reporting Authorities have been wary of reporting objectively. As a result, most of the officers are getting outstanding grades. A suggestion to remedy this would be to add a “confidential part” to the APAR that is not accessible to the ORU. This poses a serious problem, since the ORU is denied an opportunity to rebut any unfair assessment done by the Reporting Authority by way of appeal. Court judgements also stand in the way of this. Another way is to use the APAR as supporting evidence and assess suitability by other means such as multi-source feedback and personal interviews.

There was a view that the system of empanelment can be done away with. Instead of the entire batch being assessed for empanelment, the suitability of persons willing to come to the Centre alone should be assessed with reference to domain, functional and behavioural competence through personal interview. APAR and MSF should be used as corroborative evidence.

The experts also opined that presently the 360 degree assessment is done only at the time of empanelment of officers at the level of JS/AS/Secretary to the Government of India. Perhaps, now the time has come to do it on a continual/periodic basis. It was informed that Railways Board has in August 2022 issued directions to create a database for Multi-source feedback of officers while generating the APARs. Under this system, from the APAR 2022-23 onwards, anonymous feedback will be collected from the reporting authority of the official as well as from his subordinates. This entire exercise will be confidential and anonymous. It was suggested that working of this could be examined and if found feasible, could be suitably adopted for IAS officers.

The above-mentioned analysis of the views of the Experts informs that presently the APARs are not being effectively utilised as a tool for HR Management. Further, the following limitations of APARs prevent their effective utilisation for the HR management:

- I. APARs are not being reported objectively/truthfully, ever since their disclosure has become mandatory. As a result, a majority of the officers are getting Outstanding grades in APARs. This problem of Grade inflation in the APARs prevents their use as a differentiator between Outstanding and Average performers.
- II. Variability in the Gradings across cadre, thus limiting its use as an Objective tool for assessing suitability of officers for various HR functions.
- III. Transparency aspects in APAR process prevents objectivity in gradings/remarks. Need for additional instruments-confidential section in APAR, continual/periodic 360 degree assessments to supplement APARs.

- IV. Lack of database to utilise the APAR data on domain assignment, personal attributes and functional competencies for placement and career advancement decisions in respect of individual officers.
- V. Inadequate diligence/rigour in domain assignments in APAR.
- VI. Lack of harmonisation between the domains specified in APAR and those captured in the Multi-Source Feedback (MSF) format.
- VII. Inadequate diligence/rigour in the training needs identification exercise in APAR.
- VIII. Lack of database/ data sharing on training needs identified in APARs for individual trainings/capacity building and improving training programs.

The above-position answers the Second research question of this study.

vi. Summary of various measures suggested by the Experts to enhance the utilisation of APARs as a tool for HR Management:

Rationalisation of Gradings:

In order to rationalise gradings in the APAR and ensure that not every one gets outstanding grades, following measures are suggested:

- In the APARs, presently the overall grades obtained in the broad categories, viz. work output, personal attributes and functional competencies are derived from the score obtained in individual attributes under each category by averaging these scores. Similarly, the average of scores obtained under the afore-

mentioned broad categories result in the overall grades in the APAR. It was suggested that the total grades in each of the broad category i.e work output, personal attributes and functional competencies as well as overall grades in the APAR should be delinked from the individual parameters. Let the reporting officer write the overall grade on his own.

- Introduce a percentile system on how many APARs a person can grade outstanding. A ceiling number could be fixed say 15 percentile. If a reporting officer exceeds that ceiling, may be for 3 years, an advisory should go to him from SPARROW portal. This can be a well-publicised system so that people are aware of how many APARs one can grade in top 15 percentile grades.

Domain assignment and placement decisions:

- Operationalization of decision support system envisaged under Mission Karmayogi to provide valuable inputs to decision makers for placement decisions. The system is designed to take the 'emit' from the learning management system Integrated Government Online Training (IGoT) and the attributes from the APAR and present it in a database format to the decision maker.
- To make allocation of domains more considered, the domains of Reporting and Reviewing officer could also be captured in the APAR. When the Reporting/Reviewing Authorities decide to allocate domains to the ORUs outside their own domain expertise, they should justify that in APAR.
- A separate exercise on domain assignment could be done, may be 2 years after JS empanelment. An expert panel of various domains can do that exercise.

Officers can be asked to give choice. In domains, where more officers apply than the available vacancies, panel should even interview the officers. 3-4 domains can be allocated. All trainings to officers should then be on those domains. It is not possible to restrict postings to those domains, but the domains can be one of the inputs in decision making on placements.

- Need to harmonise the domains in the APAR domains and domains identified by the Experts panel at the time of empanelment.
- The APAR data should have some linkage to the seven questions in the Multi Source Feedback format. The data should be mapped so that a long term picture of officer is available on those 7 questions being asked in 360 degree.

Harmonisation of domains in APAR format with the domains in the Empanelment guidelines:

As a part of empanelment process, the Experts Panel (EP) is required to identify domains in which officer has worked/performed, developing specialised knowledge/expertise. For this purpose, a indicative list of **six broad domains** has been provided in the Empanelment Guidelines, as follows:

- Economy + Finance + Industry + Trade
- Urban Development + Infrastructure + Energy + Environment + Natural Resource Management
- Rural Development + Agriculture + Water
- Education + Health + Social Justice
- Tourism + Culture + Communication
- Internal/External Security + Defence + International Relations

The above-domain areas are not entirely aligned with the domain areas specified in APAR format as brought out in the table below:

Table 2: Domains in APARs and in Empanelment Guidelines shown against the respective Ministries/Departments

| Sr no. | Domains in APAR format | Ministry/Department mapped to the domains in APAR format | Domains in the Empanelment guidelines |
|--------|-----------------------------------|---|---|
| 1 | Agriculture and Rural Development | (1) Department of Agriculture and Cooperation (2) Department of Agricultural Research and Education (3) Department of Animal Husbandry, Dairying and Fisheries (4) Ministry of Agro and Rural Industries (5) Department of Rural Development (6) Ministry of Panchayati Raj (7) Department of Land Resources (8) Department of Drinking Water Supply (9) Department of Food and Public Distribution (10) Department of Consumer Affairs (11) Ministry of Food Processing Industries | <ul style="list-style-type: none"> • Rural Development + Agriculture + Water |
| 2 | Social Development | (1) Department of Health (2) Department of Family Welfare (3) Department of Ayurveda, Yoga and Naturopathy, Unani, Siddha and Homeopathy (AYUSH) (4) Department of Secondary and Higher Education (5) Department of Elementary education and Literacy (6) Department of Women and Child Development | <ul style="list-style-type: none"> • Education + Health + Social Justice |

| | | | |
|---|-----------------------------|--|--|
| | | (7) Ministry of Social Justice and Empowerment | |
| | | (8) Department of Urban Employment and Poverty Alleviation | |
| | | (9) Ministry of Overseas Indian Affairs | |
| 3 | Culture and Information | (1) Ministry of Information and Broadcasting | <ul style="list-style-type: none"> • Tourism + Culture + Communication |
| | | (2) Ministry of Culture | |
| | | (3) Ministry of Tourism | |
| | | (4) Ministry of Tribal Affairs | |
| | | (5) Ministry of Youth Affairs and Sports | |
| 4 | Natural Resource Management | (1) Ministry of Environment and Forests | <ul style="list-style-type: none"> • Urban Development + Infrastructure + Energy + Environment + Natural Resource Management • Rural Development + Agriculture + Water |
| | | (2) Ministry of Water Resources | |
| | | (3) Department of Ocean Development | |
| | | (4) Ministry of Mines | |
| 5 | Energy and Environment | (1) Department of Atomic energy | <ul style="list-style-type: none"> • Urban Development + Infrastructure + Energy + Environment + |
| | | (2) Ministry of Non-Conventional Energy Sources | |
| | | (3) Ministry of Coal | |
| | | (4) Ministry of Petroleum and Natural Gas | |

| | | | |
|---|---|---|--|
| | | (5) Ministry of Power | Natural Resource Management |
| 6 | Communication systems and Connectivity Infrastructure | (1) Ministry of Civil Aviation | <ul style="list-style-type: none"> • Urban Development + Infrastructure + Energy + Environment + Natural Resource Management • Tourism + Culture + Communication |
| | | (2) Department of Information Technology | |
| | | (3) Department of Telecommunication | |
| | | (4) Department of Posts | |
| | | (5) Department of Road Transport and Highways | |
| | | (6) Department of Shipping | |
| 7 | Public Finance and Financial Management | (1) Department of Disinvestment | <ul style="list-style-type: none"> • Economy + Finance + Industry + Trade |
| | | (2) Department of Expenditure | |
| | | (3) Department of Economic Affairs | |
| | | (4) Department of Revenue | |
| | | (5) Ministry of Company Affairs | |
| | | (6) Planning Commission | |
| | | (7) Ministry of Statistics and Programme Implementation | |
| 8 | Industry and Trade | (1) Department of Industrial Policy and Promotion | <ul style="list-style-type: none"> • Economy + Finance + Industry + Trade |
| | | (2) Department of Chemicals and Petrochemicals | |
| | | (3) Department of Commerce | |
| | | (4) Department of Heavy Industries | |
| | | (5) Department of Fertilizers | |
| | | (6) Ministry of Textiles | |

| | | | |
|----|------------------------------|--|---|
| | | (7) Department of Public Enterprises | |
| | | (8) Ministry of Small Sale Industries | |
| 9 | Internal Affairs and Defence | (1) Department of Defence | <ul style="list-style-type: none"> • Internal/External Security + Defence + International Relations |
| | | (2) Department of Defence Production | |
| | | (3) Department of Defence Research and Development | |
| | | (4) Department of Ex-Servicemen Welfare | |
| | | (5) Department of Internal Security | |
| | | (6) Department of States | |
| | | (7) Department of Official Language | |
| | | (8) Department of Home | |
| | | (9) Department of Jammu and Kashmir Affair | |
| | | (10) Department of Border Management | |
| | | (11) Ministry of Development of North Eastern Region | |
| 10 | Housing and Urban Affairs | (1) Ministry of Urban Development | <ul style="list-style-type: none"> • Urban Development + Infrastructure + Energy + Environment + Natural Resource Management |
| 11 | Personnel and General | (1) Department of Personnel and Training | |

| | | | |
|--|---|---|--|
| | Administration, Governance Reform, Regulatory Systems | (2) Department of Administrative Reforms and Grievances | |
| | | (3) Department of Pensions and Pensioners Welfare | |
| | | (4) Department of Legal Affairs | |
| | | (5) Legislative Department | |
| | | (6) Department of Justice | |
| | | (7) Cabinet Secretariat | |
| | | (8) Ministry of Labour and Employment | |
| | | (9) President's Secretariat | |
| | | (10) Ministry of Parliamentary Affairs | |
| | | (11) Prime Minister's Office | |
| | | (12) Union Public Service Commission | |
| | | (13) Election Commission | |
| | | 12 | |
| | | (2) Department of Scientific and Industrial Research | |
| | | (3) Department of Bio-Technology | |
| | | (4) Department of Space | |

As can be seen from the table above, there are issues of overlap, mis-match and non-coverage between the domains prescribed in the APAR format and those in the Empanelment guidelines. Some domain areas like Science & Technology and Personnel and General Administration, Governance Reform, Regulatory Systems are not mapped to the domains provided in the Empanelment guidelines. Even if the intent

is to have lesser domains (six) for empanelment purpose, still, the necessity of having proper alignment with domains provided in the APAR format in there, since the APAR forms constitute an important input in the empanelment process.

Training and Capacity Building:

- Training and capacity building information in the APAR needs to be filled in a more considered manner. If need be, the Reporting Authorities should be sensitised on this aspect.
- A suitable mechanism needs to be evolved for sharing the training needs data captured in the APARs with the Training Division of DoPT as well as the Capacity Building Commission.

Empanelment and Promotion functions:

- A “confidential part” to the APAR that is not accessible to the ORU could be considered. However, legal and transparency aspects needs to be examined before implementing this step.
- Assessment of the suitability of the officers could be done by other means such as multi-source feedback and personal interviews with use of APARs as supporting evidence.
- It may also be considered if the system of empanelment could be done away with. Instead of the entire batch being assessed for empanelment, the suitability of persons willing to come to the Centre alone could be assessed with reference to domain, functional and behavioural competence through personal interviews.

APAR and MSF could be used as corroborative evidence. This needs to be examined in detail.

- The experts also opined that presently the 360 degree assessment is done only at the time of empanelment of officers at the level of JS/AS/Secretary to the Government of India. Perhaps, now the time has come to do it on a continual/periodic basis. It was informed that Railways Board has in August 2022 issued directions to create a database for Multi-source feedback of officers while generating the APARs. Under this system, from the APAR 2022-23 onwards, anonymous feedback will be collected from the reporting authority of the official as well as from his subordinates. This entire exercise will be confidential and anonymous. It was suggested that working of this could be examined and if found feasible, could be suitably adopted for IAS officers.

Chapter 6 : Analysis of reports of previous committees/commissions and performance appraisal systems/practices in select organizations

Performance appraisal system in Defence forces:

On analysis of the performance appraisal system in Indian Defence forces, the following key points having a bearing on the instant study are brought out:

- Indian Army follows a *partially closed system* of appraisal in case of confidential reports of the officers up to Colonel rank.
- A portion of Initiating officer's (IOs) assessment in the Confidential Report (CR) is communicated to the ratee (ORU), including figurative assessment in Personal Qualities (PQs), Demonstrated Performance Variables (DPVs), Technical performance variables (TPVs), box grading and pen picture. Such communication of assessment is done *in person*, which is a distinctive feature in Indian Army, compared to Civil services.
- The other part of the CR form including portion containing potential for promotion is not shown to the officer reported upon.
- Further, a ratee is not communicated any portion of assessment by second/higher level reporting officers, viz. Reviewing officer (RO) and Superior Reviewing Officer (SRO) except in cases of lower-than-average marks (i.e., 6 or less) in any of the PQs/DPV/TPV/ Qualities to Assess Potential (QsAP); adverse remarks in the pen picture and where ratee is not recommended for promotion.
- To *ensure objectivity* in the ratings, the RO is required to assess whether the report of IO is liberal/justified/strict. Likewise, the SRO is required to give his

assessment on the report of both the IO and RO on the same parameters, i.e., liberal/justified/strict.

- Indian Navy and Indian Air Force, on the other hand, follows a ***closed system*** of appraisal, wherein only the adverse remarks are communicated to the ratee, on the analogy of erstwhile ACR system prevalent for the Civil Services.
- There is system for detailed scrutiny of the CR in the Military Secretary (MS) Branch of Indian Army (akin. to Cadre controlling authorities in Civil Services) to obviate any technical or assessment related defects.
- In this system of assessment check, the CR is checked for objectivity in reporting by analysing for consistency of the performance of the ratee and corroboration of the report within the reporting officers and with ratee's past profile. Depending upon variation from past profile of the ratee against parameters like performance in past CRs, environment of current and past CRs, adverse remarks/ special achievements in the past, course profile, rating tendency of reporting officers, recommendations of higher reporting officers on the assessment of lower reporting officers etc, the CR may be accepted as it is or with enfacement for Inflated/ Deflated report, to be reflected on Master Data Sheet for Selection Boards/Panels. However, CR identified as grossly inconsistent or with inflationary/ deflationary/ subjective reporting, after due examination at appropriate level, may be expunged by the Chief of Army Staff (COAS). Setting aside of CR on technical grounds or expunction of entire assessment of first level reporting officer would not prejudice the validity of assessment of higher reporting officers provided provisions as applicable to their endorsement have been met.

Despite various inbuilt mechanisms in place to ensure objectivity in gradings, the rating system in Indian Army suffers from the problem of *Inflationary Reporting*. In a study titled ‘**Appraisal system in Indian Army: A Review**’, done in 2016-17 as a part of 42nd Advanced Professional Programme in Public Administration in Indian Institute of Public Administration, up to 50% of the respondents reported the existence of this problem. Brig. Bhanu Pratap Singh, the author of the study concluded that due to the steep pyramidal structure of hierarchy in Indian Army, vacancies at higher echelons get reduced in inverse geometric progression and thus supersession at various levels of promotion is an inevitable reality. Apprehensions and fears of an officer not making the grade and other fears, albeit at times misplaced, have led to inflationary trends in reporting which have reached unmanageable levels. The confidential reports have got directly linked to the promotions. This is a cause of serious concern which not only is undermining the very purpose of the assessment system but is severely straining the management.

Elements in the performance appraisal system in the Defence Forces, which could be considered for adoption in the APARs for IAS officers:

- I. A system of rating of reporting officers by having a database of all the assessments made by them. The Reviewing/Accepting Authority could be asked to comment on the gradings awarded by Reporting officers, whether they are liberal/justified/strict on the pattern of performance appraisal system of Defence Forces. This could in the long run ensure more rational grading in the APARs and could be used for the purpose of moderating the ratings given by different reporting officers.

II. Partial disclosure/ Confidential section in APAR: This could be considered in order to ensure more objectivity in gradings/truthfulness in remarks. Similar suggestions are there in the DRPSC report. The expert members have also made similar suggestions.

Self-Awareness system in UK Military:

UK Military follows a system of Self-Awareness, which could be adopted as a useful replacement for the **Feedback and Counseling functions** under APAR.

Self-Awareness: As acknowledged by the UK military HR experts, Self-Awareness is critical for maintaining humility and identifying areas for improvement. While some degree of Self Awareness can be gained by speaking to friends and colleagues, a formal appraisal feedback survey can be of great assistance. A 360 Degree Self Awareness Survey has been made available which consists of 12 categories each with a sub-set of 6 – 9 questions which are to be scored between 1 and 6. There are then 4 free text questions. The survey takes about 12 minutes to complete. The survey is available online on their network with detailed instructions. However, the brief outline is as follows: -

Process

- Step 1: The initiator logs onto the webpage and elects to conduct a 360-degree survey.
- Step 2: The initiator completes the survey on Self-Assessment.

- Step 3: The initiator enters the email addresses of those they wish to complete the survey. They can choose whoever they wish but must elect at least 8 respondents. The link to the initiators survey is then sent by email to each of the respondents.
- Step 4: Respondents complete the survey on the initiator. When each respondent has completed their response, they press 'complete'.
- Step 5: The responses are made anonymous i.e., the initiator can only see what scores they received and what comments were made, but not who made them.
- Step 6: Once at least 4 responses have been received the results are made available to the initiator. The initiator reviews their results utilising the 360 workbook to assist in the analysis. As required the initiator can seek advice and guidance; this is available both within and out with the chain of command.

Access to the Results: Only the initiator receives the feedback from the survey. It is not accessible to the chain of command. The process is intended for Self-Awareness and development and not to inform the chain of command.

Format of the Results: The initiator receives a spider diagram with one line showing how they rated themselves and a second how they were rated on average by the respondents. This serves to immediately highlight any discrepancies between the views of the initiator and respondents. The initiator will then be able to see the detail of each individual score and the average for each section, but not which respondent said what.

The process is intended for Self-Awareness and development and not to inform the chain of command.

On the above pattern a system of Self-Awareness could be considered for self-development of IAS officers. A web-based system on the pattern of UK Military's self-awareness tool could be designed for IAS officers to enhance individual development by providing personalized and confidential feedback from traditional and non-traditional sources ie. superiors, peers, and subordinates.

Recommendations of previous Commissions/Committees:

A few recommendations/suggestions of the previous Commissions/Committees could be considered for further enhancing the utilisation of performance appraisal system as a tool for HR management.

Objectivity Measures:

i. Partial disclosure of APAR:

On the issue of transparency/disclosure of APARs, the Department-Related Parliamentary Standing Committee on Personnel, Public Grievances, Law and Justice (DRPSC) has recommended as follows:

“The Committee notes that in the wake of Dev Dutt Judgment, the entire Appraisal Report is now required to be disclosed. It has been observed that the Reporting Officers have become quite reluctant to record honestly the weakness of the officer reported upon, either in a spirit of camaraderie or not to upset the apple cart. As a result, more than ninety per cent of officers are now getting outstanding gradings. The Committee feels that this trend of inflated gradings is defeating the very purpose of the appraisal

system as it leads to difficulty in finding out outstanding officers with impeccable integrity and weeding out the incompetent ones. The appraisal being a precondition for career progression appears to have lost its importance and this has compelled the Government to supplement the process of PAR with new tools like Multi Source Feedback (360 degree) for the limited purpose of empanelment. [Para 9.0]

The Committee favours that the appraisal process should be consultative and transparent but it also appreciates the difficulty for anyone to be truly objective if his/her assessment is to be disclosed to the person reported upon. The Committee recommends that some amount of sanctity should be brought back to the appraisal system by devising a system of appraisal wherein not the entire report is disclosed to the appraisee, but there is a partial disclosure only. The Committee, therefore, desires that the Government should look into the aspect of limited disclosure, somewhere between the ACR and APAR so as to retain best of both the procedures (Rajya Sabha, 2017).”

In view of concerns about objectivity in Gradings in the APARs, it would be worthwhile to consider introduction of partial disclosure of APAR or some confidential section in the APARs.

ii. Formulating Guidelines for assigning Numerical Rating:

On this issue, the Second Administrative Reforms Commission in its Tenth report - ‘Refurbishing of Personnel Administration-Scaling new heights’ has recommended as follows:

“The Commission is of the view that the Department of Personnel and Training should formulate detailed guidelines to guide the reporting and reviewing officer for assigning numerical ratings for their subordinates. It would also be necessary to incorporate training modules on this aspect in the training programmes for civil servants. This should be supplemented by preparing a computerized data base wherein the details of the officers reported upon as well as the reporting and reviewing officers are captured for further analysis. This would enable the department to take a view subsequently on how numerical ratings can be moderated taking into account individual disposition (Govt. of India , 2008).”

iii. A system of periodic 360 degree assessment:

Presently, a system of Multi Source Feedback (MSF)/360 degree assessment is in place for empanelment at JS/AS/Secretary level. Under this system, MSF/360 degree assessment is done only at the time of empanelment of officers at JS/AS/Secretary level. It is a one-off exercise, which is used to ascertain the suitability of officers to be empaneled to hold senior positions in the Government of India. The SNC had, on the other hand, recommended a system of periodic 360 degree assessments to ascertain the reputation, professional competence, attitudes, and personal qualities of civil servants (Nath, 2003). The Committee recommended that it would be useful to supplement the formal APAR regime with an institutionalized means of ascertaining the reputations of civil servants, consistent with our culture and ethos. Accordingly, it was recommended that each cadre controlling authority may, at its option, set up an “Eminent Persons Group”, (EPG) i.e. persons of acknowledged character and wisdom who clearly do not

(no longer) have any personal stakes in the civil service career of anyone in particular. Such persons (say, 5, who may serve of 3 years at a time on a pro-bono basis) may be drawn from retired civil servants, public figures, and academics. This EPG (names to be kept strictly confidential) may, through various means, e.g. discreet personal enquiries or more structured approaches such as personal interviews or administration of questionnaires, from a range of peers, juniors, and clients (e.g. public representatives, media persons, NGO functionaries, business persons, etc.), ascertain the reputation (in respect of financial and moral integrity, professional competence, attitudes, and personal qualities of each civil servant of the concerned cadre once every five years, starting from the loth year of service. It would set out their findings in a confidential report to the concerned cadre controlling authority. This information may be compiled separately from the APAR dossier, and may be useful in the following contexts, besides others:

- I. Placements to sensitive or special appointments.
- II. Counselling officers at 20 years of service or 50 years regarding the advisability of their accepting VRS.
- III. Confidential counselling of officers regarding their attitudes or conduct (e.9. with respect to juniors or public representatives), or activities that have a bearing on moral or financial integrity, so that they may remedy themselves.

These recommendations of SNC are worth considering in view of concerns about the objectivity of APARs.

Training and Capacity Building Measures:

The SNC mentions that a committee constituted under the Chairmanship of Dr N.C. Saxena had examined the erstwhile ACR system and recommended that there should be a separate section in which the appraisee could record his training needs (Nath, 2003). *With the comments of the reporting officer, this section should be sent to the Training Division of the DoPT.* Essentially, the training needs are of two kinds: (1) that needed to meet the requirements of an officer's current or immediately forthcoming assignment, and (2) that needed to strengthen or impart the requisite skills and competence to discharge responsibilities at higher levels and in different thematic areas during one's service. While the responsibility for sponsoring the officer for the first type of training should rest with the immediate supervisor/department, responsibility for sponsorship for the second category should rest with the training unit of the cadre controlling authority. *The performance in such career courses should be one of the criteria for various personnel actions (e.g. promotions, placements, etc.).* Professional skills of officers may relate to the three functional categories (Implementation, Program/Project Preparation, and Policy Formulation) as well as to specific themes (e.g. Domain Areas, Specializations). Skill acquisition is through two distinct processes. In the first, formal knowledge relating to the skill may be acquired through courses of institutionalized training and/or academic study (including research). In the second, the formal knowledge acquired may be validated and strengthened through work experience. In general, formal knowledge and work experience are complements, rather than substitutes. Thus, a claim to Domain or Specialized knowledge, or policy formulation skills solely based on either formal training or work experience would be less plausible than a claim based on both. Indicators of the level of skill acquisition would, accordingly, relate to performance in each of the processes of skills acquisition. Thus, the indicators would be performance levels in relevant training/academic study

(including research), as well as in work performance revealed in the PARs. *Currently, in respect of training/study courses participated in, a record is (supposedly) maintained in the ACR dossier, without, however, recording the performance levels. The existing practice is sought to be enhanced by also recording the levels of performance in these courses.* In respect of research completed, the current practice is to list all publications of the officer (professional or otherwise, peer reviewed or not). This practice is sought to be restricted to peer reviewed published research in the relevant professional fields, in order that the information is actually of value in determining whether relevant skills have been acquired. The proposed changes in practice would also be consistent with the principle that officers are accountable for their accomplishments during all time spent on Government account (Nath, 2003).

It would be worthwhile to consider performance levels in the Trainings/Capacity Building programs for various career advancements (Promotions/Empanelments) to bring necessary seriousness in the trainings. For this purpose, suitable parameters could be added in the existing APAR.

Domain assignment and placement measures:

Presently, the domain assignment is captured in the APARs. Further, the domain assignment exercise is also carried out by the Experts panels constituted for the purpose of assessment of suitability of the officers for empanelment at JS/AS/Secretary level. For the purpose of domain assignment, the SNC had proposed a more rigorous exercise. It had recommended that the officers due for consideration for empanelment may submit a write-up (not more than 1000 words), summarizing their experience, academic

background, training courses undergone, research accomplishments, recognitions relevant to the Domain areas, and significant achievements during their career relevant to these areas. These write-ups may be scrutinized by the Empanelment Committee which may be assisted by several eminent academics/experts in the respective fields for evaluation of work experience, academic and training courses undergone, research accomplished, etc. The Committee would evaluate the claims of the officers to specific Domains, which may be accepted or denied (Nath, 2003).

Assignment of domains for senior management positions could be made more rigorous as suggested by the SNC. Further, suitable IT mechanisms would need to be put in place so that this information is appropriately utilised for placement decisions.

Enhanced Functionality of SPARROW:

SNC had recommended the computerisation of the annual performance reports, which will, interalia, be useful in drawing panels/shortlist of officers for specific assignment/training programs and in maintaining an effective database of officers, that can be tapped for various purposes (Nath, 2003). Although various parameters are presently being captured in the APARs. However, there is a need to enhance the functionality of SPARROW to generate meaningful data for better decision support system. A similar work could also be done by the proposed portal under the Mission Karmayogi, as eluded to by one of the Experts.

Chapter 7 : Analysis of SPARROW data

SPARROW portal of DoPT has been capturing the APAR data of IAS officers online since 2013. It was felt that to empirically examine certain views of the experts using the available data from the SPARROW portal. Accordingly, a brief summary of the analysis is as follows:

View no 1: The APARs suffer from the problem of Grade Inflation, thus severely limiting their use as a tool for Human resource Management of IAS officer, particularly in the empanelment and promotions:

Although, the experts spoken to in the present study have talked about the issue of Grade inflation and likewise, the reports of previous committees have also delved on the issue of Grade Inflation, however, the issue has not been examined empirically so far in any study. Therefore, it was felt that examination of the issue empirically would further advance knowledge on the subject. For this purpose, data from the SPARROW portal of the DoPT was analysed.

Characteristics of the Data available:

The APAR data is being captured online on the SPARROW portal of DoPT since 2013, although the numerical gradings in APARs was started from 2007-08 onwards. The data contains the year wise information of the number of officers obtaining numerical grades in the following categories:

- 9 to 10
- 8 to 8.9

- 7 to 7.9
- 6 to 6.9
- 5 to 5.9
- Less than 5

The data is available for the following years:

- 2013-14
- 2014-15
- 2015-16
- 2016-17
- 2017-18
- 2018-19
- 2019-20
- 2020-21

Further, the data is available cadre wise for all the Cadres as mentioned below:

- A G M U T (UT)
- ANDHRA PRADESH (AP)
- ASSAM MEGHALAYA (AM)
- BIHAR (BH)
- CHHATISGARH (CG)
- GUJARAT (GJ)
- HARYANA (HY)
- HIMACHAL PRADESH (HP)
- JAMMU & KASHMIR (J&K)
- JHARKHAND (JH)

- KARNATAKA (KN)
- KERALA (KL)
- MADHYA PRADESH (MP)
- MAHARASHTRA (MH)
- MANIPUR TRIPURA (MT)
- NAGALAND (NL)
- ODISHA (OD)
- PUNJAB (PB)
- RAJASTHAN (RJ)
- SIKKIM (SK)
- TAMIL NADU (TN)
- TELANGANA (TG)
- UTTARAKHAND (UK)
- UTTAR PRADESH (UP)
- WEST BENGAL (WB)

The data obtained from DoPT is at **Appendix-3 to 10**.

Preliminary analysis of data:

A preliminary analysis of data is at **Table 3**. **97.4%** of the officers have been graded as Outstanding overall for all the years. As compared to it, only **2.29%** of the officers have been graded as Very Good and **0.31%** have got the grades of Good and below. Therefore, the data clearly supports the views of the Experts that most of the officers are being graded as Outstanding. Resultantly, use of APAR as a tool to distinguish officers based on performance gets diminished.

Table 3: Year wise percentage of officers graded as Outstanding (above 8), Very Good (between 6 to 8) and Good/Below (less than 6)

| Year | % of officers graded outstanding i.e above 8 grade | % of officers graded very good i.e between 6 to 7.9 | % of officers graded good and below i.e below 6 |
|----------------|--|---|---|
| 2013-14 | 97.44 | 2.41 | 0.14 |
| 2014-15 | 96.51 | 3.24 | 0.25 |
| 2015-16 | 96.11 | 3.40 | 0.49 |
| 2016-17 | 97.06 | 2.54 | 0.40 |
| 2017-18 | 97.64 | 1.74 | 0.62 |
| 2018-19 | 98.06 | 1.82 | 0.12 |
| 2019-20 | 98.61 | 1.21 | 0.19 |
| 2020-21 | 97.74 | 1.95 | 0.31 |
| Overall | 97.40 | 2.29 | 0.31 |

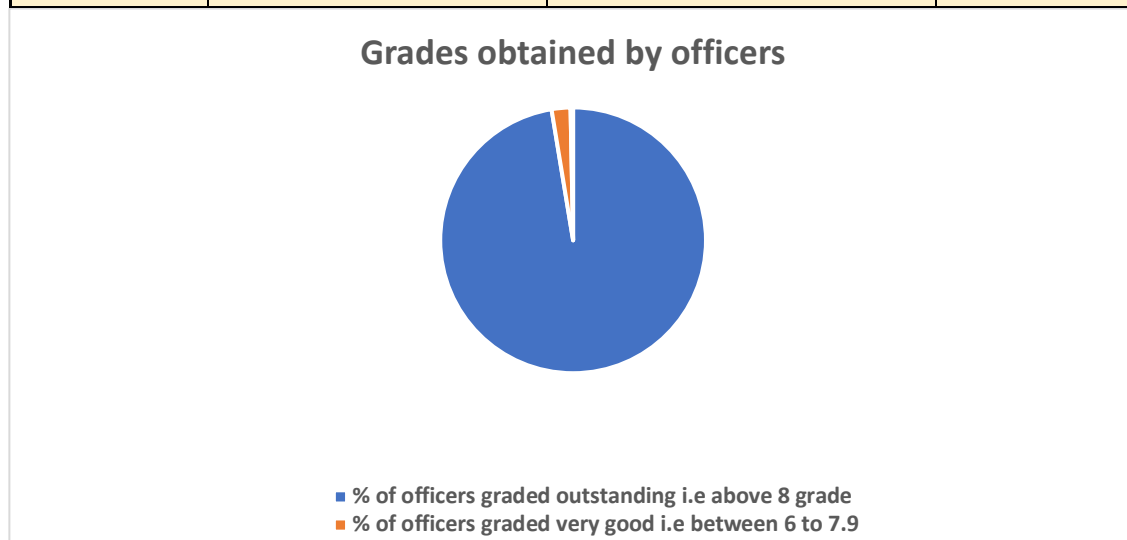


Figure 1: Grades obtained by officers over the years

View no 2: There is variability in the gradings in APARs across the Cadres. Some Cadres are known to be liberal in their gradings, while others are conservative in

Grading. Due to this subjectivity in the Gradings, the utility of APARs as a tool for HR management gets limited. Therefore, additional methods like Multi Source Feedback (MSF) have been evolved along with APAR grades for the purpose of Empanelments.

To empirically examine the variability in Gradings across the Cadres, the available Sparrow data was used. For this purpose, the data was processed as follows:

Data Processing

- Number of officers graded between different grades across years and across cadres have been converted to percentages and the percentages have been used for analysis instead of the absolute numbers.
- For effective comparison, grade categories and cadres are grouped as below
 - **Grade Categories:** The grade categories were reduced to three, i.e Outstanding, Very Good and Good/Below for more meaningful conclusions:
 - 8 to 10- which corresponds to outstanding in the erstwhile ACR system
 - 6 to 7.9- which corresponds to Very Good in the erstwhile ACR system
 - Less than 6- which corresponds to Good and below in the erstwhile ACR system.
 - **Cadre Groups:** The Cadres were grouped into 7 regional groups, based on their geographical contiguity, for the purpose of comparative

analysis of grading across comparable Cadres. The groups are as follows:

- Central
- Eastern
- North Eastern Region (NER)
- North
- South
- Union Territories (UT)
- Western

Table 4: Grouping of Cadres into seven regions

| Group | CADRES |
|--------------|-----------------|
| UT | A G M U T |
| | JAMMU & KASHMIR |
| South | ANDHRA PRADESH |
| | TELANGANA |
| | KERALA |
| | TAMIL NADU |
| | KARNATAKA |
| NER | ASSAM MEGHALAYA |
| | MANIPUR TRIPURA |
| | NAGALAND |
| | SIKKIM |
| Eastern | BIHAR |
| | JHARKHAND |

| | |
|---------|------------------|
| | ODISHA |
| | WEST BENGAL |
| Central | CHHATISGARH |
| | MADHYA PRADESH |
| | RAJASTHAN |
| Western | GUJARAT |
| | MAHARASHTRA |
| North | HARYANA |
| | HIMACHAL PRADESH |
| | PUNJAB |
| | UTTARAKHAND |
| | UTTAR PRADESH |

Data analysis

- To compare different categories of grade distribution across cadre groups and across years, descriptive statistics have been executed over the processed data.
- Descriptive Statistics have been executed for different grade groups separately. This is done to gauge the correct variability in different grade categories – 8 to 10, 6 to 7.9 and less than 6.
- Further, Coefficient of Variation (CV) is calculated to understand the variability. CV is commonly used to compare the data dispersion between distinct series of data. The coefficient of variation (relative standard deviation) is a statistical measure of the dispersion of data points around the mean. Unlike the standard deviation that must always be considered in the context of the mean

of the data, the coefficient of variation provides a relatively simple analysis to compare different data series.

$$\text{Coefficient of Variation} = \frac{\sigma}{\mu} \times 100\%$$

Where:

σ – the standard deviation

μ – the mean

- The results are as given below-

Analysis of Grade Category – 8 to 10:

Table 5: Descriptive Statistics

| <i>Groups</i> | Mean | Standard Error | Median | Standard Deviation | Sample Variance | Kurtosis | Skewness | Range | Minimum | Maximum |
|----------------|--------|----------------|--------|--------------------|-----------------|----------|----------|--------|---------|---------|
| <i>Central</i> | 0.9527 | 0.0130 | 0.9625 | 0.0317 | 0.0010 | 3.9903 | -1.9268 | 0.0868 | 0.8913 | 0.9780 |
| <i>Eastern</i> | 0.9781 | 0.0069 | 0.9750 | 0.0170 | 0.0003 | -1.5061 | 0.2256 | 0.0435 | 0.9565 | 1.0000 |
| <i>NER</i> | 0.9847 | 0.0039 | 0.9840 | 0.0095 | 0.0001 | -1.9596 | 0.2777 | 0.0235 | 0.9743 | 0.9978 |
| <i>North</i> | 0.9789 | 0.0058 | 0.9846 | 0.0143 | 0.0002 | 2.3356 | -1.5801 | 0.0389 | 0.9527 | 0.9916 |
| <i>South</i> | 0.9797 | 0.0039 | 0.9799 | 0.0096 | 0.0001 | -0.5291 | -0.3994 | 0.0267 | 0.9650 | 0.9917 |
| <i>UT</i> | 0.9799 | 0.0088 | 0.9909 | 0.0216 | 0.0005 | -0.3591 | -1.1811 | 0.0513 | 0.9446 | 0.9959 |
| <i>Western</i> | 0.9680 | 0.0043 | 0.9693 | 0.0104 | 0.0001 | -1.9703 | -0.3100 | 0.0251 | 0.9539 | 0.9790 |

Table 6: Descriptive Statistics

| | Value | Cadre Category |
|---------------|--------------|-----------------------|
| Maximum Mean | 0.98469 | NER |
| Minimum Mean | 0.95266 | Central |
| Minimum SD | 0.00952 | NER |
| Maximum SD | 0.03172 | Central |
| Minimum Range | 0.02350 | NER |
| Maximum Range | 0.08676 | Central |

Table 7: Coefficient of Variation (CV)

| <i>Groups</i> | <i>Sum</i> | <i>Average</i> | <i>Variance</i> | <i>Coefficient of Variation (CV)</i> |
|---------------|------------|----------------|-----------------|--------------------------------------|
| Central | 5.715965 | 0.952661 | 0.001006 | 0.0011 |
| Eastern | 5.868783 | 0.97813 | 0.000288 | 0.0003 |
| NER | 5.908129 | 0.984688 | 9.07E-05 | 0.0001 |
| North | 5.873428 | 0.978905 | 0.000204 | 0.0002 |
| South | 5.878134 | 0.979689 | 9.29E-05 | 0.0001 |
| UT | 5.879675 | 0.979946 | 0.000467 | 0.0005 |
| Western | 5.807927 | 0.967988 | 0.000109 | 0.0001 |

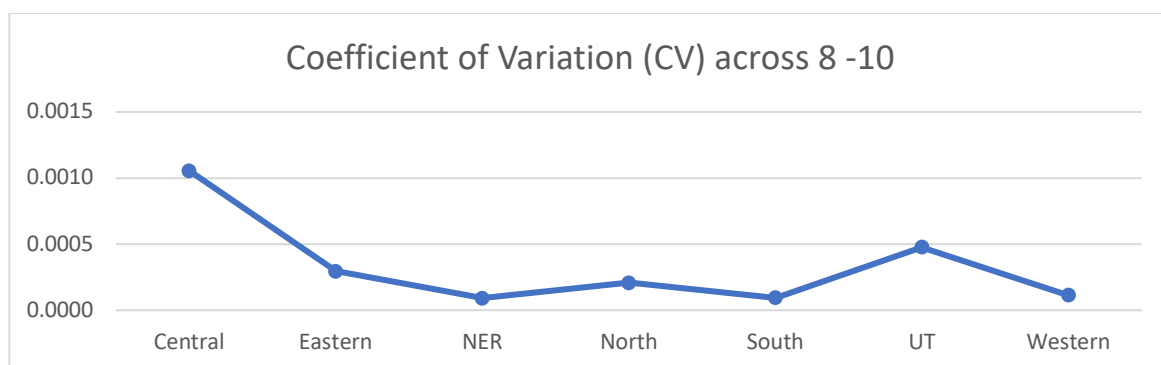


Figure 2: Coefficient of Variation of Gradings across seven Cadre Groups

Table 8: Comparison within Cadres

| Group | CA DR ES | 2013-14 | 2014-15 | 2015-16 | 2016-17 | 2017-18 | 2018-19 | 2019-20 | 2020-21 | Count of 100 % |
|---------|----------------|---------|---------|---------|---------|---------|---------|---------|---------|----------------|
| UT | UT | 98.28% | 99.17% | 97.32% | 98.15% | 99.17% | 98.09% | 98.56% | 98.80% | 0 |
| South | AP | 100.00% | 96.23% | 98.94% | 99.05% | 100.00% | 100.00% | 100.00% | 100.00% | 5 |
| NER | AM | 100.00% | 95.29% | 96.30% | 98.10% | 100.00% | 100.00% | 98.01% | 99.21% | 3 |
| Eastern | BH | 100.00% | 100.00% | 98.43% | 98.32% | 100.00% | 98.60% | 99.35% | 99.06% | 3 |
| Central | CG | 97.44% | 94.12% | 95.27% | 95.74% | 91.88% | 97.86% | 96.92% | 95.27% | 0 |
| Western | GJ | 94.74% | 99.25% | 96.94% | 99.29% | 98.13% | 97.03% | 98.62% | 100.00% | 1 |
| North | HY | 100.00% | 95.83% | 98.39% | 96.88% | 97.87% | 100.00% | 100.00% | 100.00% | 4 |
| North | HP | 93.33% | 97.78% | 100.00% | 100.00% | 100.00% | 98.00% | 100.00% | 100.00% | 5 |
| UT | JK | 100.00% | 100.00% | 95.00% | 90.77% | 100.00% | 100.00% | 98.25% | 97.87% | 4 |
| Eastern | JH | 100.00% | 100.00% | 91.57% | 90.20% | 92.11% | 98.92% | 100.00% | 100.00% | 4 |

| | | | | | | | | | | |
|---------|----|---------|---------|---------|---------|---------|---------|---------|---------|---|
| South | KN | 100.00% | 97.54% | 98.59% | 98.53% | 100.00% | 97.79% | 99.15% | 100.00% | 3 |
| South | KL | 100.00% | 98.15% | 97.14% | 96.74% | 93.04% | 98.47% | 99.18% | 98.70% | 1 |
| Central | MP | 97.22% | 90.52% | 91.34% | 96.14% | 100.00% | 96.85% | 94.26% | 89.83% | 1 |
| Western | MH | 98.31% | 95.42% | 93.85% | 96.51% | 97.47% | 94.66% | 96.95% | 96.36% | 0 |
| NER | MT | 96.67% | 95.19% | 93.44% | 98.02% | 95.65% | 99.14% | 99.18% | 97.48% | 0 |
| NER | NL | 100.00% | 100.00% | 100.00% | 95.45% | 100.00% | 100.00% | 98.31% | 91.94% | 5 |
| Eastern | OD | 100.00% | 98.21% | 99.31% | 96.24% | 96.09% | 95.14% | 98.44% | 99.25% | 1 |
| North | PB | 100.00% | 97.73% | 97.56% | 100.00% | 93.94% | 98.76% | 98.75% | 100.00% | 3 |
| Central | RJ | 94.17% | 100.00% | 80.77% | 96.77% | 100.00% | 98.70% | 99.52% | 100.00% | 3 |
| NER | SK | 100.00% | 100.00% | 100.00% | 100.00% | 100.00% | 100.00% | 100.00% | 96.43% | 7 |
| South | TN | 95.83% | 93.85% | 96.77% | 97.06% | 100.00% | 97.07% | 98.65% | 100.00% | 2 |
| South | TG | 100.00% | 96.74% | 96.00% | 96.55% | 98.98% | 100.00% | 99.26% | 100.00% | 3 |
| North | UK | 85.00% | 96.43% | 96.83% | 97.92% | 100.00% | 100.00% | 100.00% | 100.00% | 4 |
| North | UP | 98.00% | 98.71% | 100.00% | 98.73% | 100.00% | 99.04% | 99.01% | 98.94% | 2 |
| Eastern | WB | 100.00% | 100.00% | 97.44% | 97.83% | 100.00% | 99.12% | 97.73% | 98.82% | 3 |

Table 9: Comparison within Cadres

| <i>Cadres</i> | Mean | Standard Error | Median | Standard Deviation | Sample Variance | Kurtosis | Skewness | Range | Minimum | Maximum |
|---------------|--------|----------------|--------|--------------------|-----------------|----------|----------|--------|---------|---------|
| <i>UT</i> | 0.9844 | 0.0022 | 0.9842 | 0.0062 | 0.0000 | 0.1414 | -0.5327 | 0.0186 | 0.9732 | 0.9917 |
| <i>AP</i> | 0.9928 | 0.0046 | 1.0000 | 0.0131 | 0.0002 | 5.2064 | -2.2263 | 0.0377 | 0.9623 | 1.0000 |
| <i>AM</i> | 0.9836 | 0.0064 | 0.9865 | 0.0180 | 0.0003 | -0.6687 | -0.7876 | 0.0471 | 0.9529 | 1.0000 |
| <i>BH</i> | 0.9922 | 0.0026 | 0.9920 | 0.0073 | 0.0001 | -2.0493 | -0.0163 | 0.0168 | 0.9832 | 1.0000 |
| <i>CG</i> | 0.9556 | 0.0069 | 0.9551 | 0.0195 | 0.0004 | 0.6591 | -0.8259 | 0.0598 | 0.9188 | 0.9786 |

| | | | | | | | | | | |
|-----------|--------|--------|--------|--------|--------|---------|---------|--------|--------|--------|
| <i>GJ</i> | 0.9800 | 0.0060 | 0.9837 | 0.0170 | 0.0003 | 0.6647 | -0.9427 | 0.0526 | 0.9474 | 1.0000 |
| <i>HY</i> | 0.9862 | 0.0058 | 0.9919 | 0.0165 | 0.0003 | -0.9864 | -0.7187 | 0.0417 | 0.9583 | 1.0000 |
| <i>HP</i> | 0.9864 | 0.0083 | 1.0000 | 0.0235 | 0.0006 | 4.2540 | -2.0276 | 0.0667 | 0.9333 | 1.0000 |
| <i>JK</i> | 0.9774 | 0.0117 | 0.9912 | 0.0331 | 0.0011 | 2.2681 | -1.6354 | 0.0923 | 0.9077 | 1.0000 |
| <i>JH</i> | 0.9660 | 0.0157 | 0.9946 | 0.0444 | 0.0020 | -2.0019 | -0.6749 | 0.0980 | 0.9020 | 1.0000 |
| <i>KN</i> | 0.9895 | 0.0035 | 0.9887 | 0.0100 | 0.0001 | -1.6450 | -0.1922 | 0.0246 | 0.9754 | 1.0000 |
| <i>KL</i> | 0.9768 | 0.0076 | 0.9831 | 0.0214 | 0.0005 | 3.1727 | -1.6026 | 0.0696 | 0.9304 | 1.0000 |
| <i>MP</i> | 0.9452 | 0.0129 | 0.9520 | 0.0366 | 0.0013 | -1.3804 | 0.0070 | 0.1017 | 0.8983 | 1.0000 |
| <i>MH</i> | 0.9619 | 0.0052 | 0.9644 | 0.0148 | 0.0002 | -0.6302 | -0.2905 | 0.0446 | 0.9385 | 0.9831 |
| <i>MT</i> | 0.9685 | 0.0071 | 0.9707 | 0.0201 | 0.0004 | -0.6273 | -0.4474 | 0.0574 | 0.9344 | 0.9918 |
| <i>NL</i> | 0.9821 | 0.0106 | 1.0000 | 0.0300 | 0.0009 | 2.1315 | -1.6908 | 0.0806 | 0.9194 | 1.0000 |
| <i>OD</i> | 0.9784 | 0.0063 | 0.9833 | 0.0178 | 0.0003 | -1.5162 | -0.4214 | 0.0486 | 0.9514 | 1.0000 |
| <i>PB</i> | 0.9834 | 0.0072 | 0.9875 | 0.0203 | 0.0004 | 3.0926 | -1.6351 | 0.0606 | 0.9394 | 1.0000 |
| <i>RJ</i> | 0.9624 | 0.0233 | 0.9911 | 0.0658 | 0.0043 | 5.7210 | -2.3422 | 0.1923 | 0.8077 | 1.0000 |
| <i>SK</i> | 0.9955 | 0.0045 | 1.0000 | 0.0126 | 0.0002 | 8.0000 | -2.8284 | 0.0357 | 0.9643 | 1.0000 |
| <i>TN</i> | 0.9740 | 0.0074 | 0.9706 | 0.0210 | 0.0004 | -0.2963 | -0.2551 | 0.0615 | 0.9385 | 1.0000 |
| <i>TG</i> | 0.9844 | 0.0061 | 0.9912 | 0.0172 | 0.0003 | -1.9564 | -0.5313 | 0.0400 | 0.9600 | 1.0000 |
| <i>UK</i> | 0.9702 | 0.0180 | 0.9896 | 0.0509 | 0.0026 | 5.9480 | -2.3590 | 0.1500 | 0.8500 | 1.0000 |
| <i>UP</i> | 0.9905 | 0.0024 | 0.9898 | 0.0067 | 0.0000 | -0.0271 | 0.2839 | 0.0200 | 0.9800 | 1.0000 |
| <i>WB</i> | 0.9887 | 0.0039 | 0.9897 | 0.0109 | 0.0001 | -2.0054 | -0.1661 | 0.0256 | 0.9744 | 1.0000 |

Observations:

- Cadres in the NER have maximum mean and minimum standard deviation and range of gradings. This implies a more liberal culture of grading in the NER cadres.
- Within NER Cadres, Sikkim has maximum mean over the years for the percentage of officers with ratings in the range from 8-10. Also, looking at the percentage distribution over years, for 7 out of 8 years, Sikkim has 100% officers with gradings in the range from 8-10.
- Cadres in the Central Group, on the other hand, have minimum mean and maximum Standard Deviation and Range of gradings. It implies more conservative gradings in Central Grouping vis a vis other Cadre groups. Central

Group also has maximum Coefficient of Variation. It implies that this group has more variability in grades awarded to officers compared to other Cadres, hence, an indicator of less bias in gradings vis a vis other Cadre groups.

- Madhya Pradesh and Rajasthan Cadre have grades spread out across the categories. Madhya Pradesh has least mean over the years for the percentage of officers with gradings in the range from 8-10. Also, the range for percentage distribution in the same category is one of the highest. Rajasthan has the maximum range for percentage of officers with gradings in the range from 8-10. This means that gradings in MP and Rajasthan are more spread out and hence, less biased compared to the other cadres.
- South Group of Cadres has lowest Coefficient of Variation. It implies less distributed and more biased gradings.
- From 2013-14 to 2016-17, Uttarakhand had gradings spread out across the categories. But from 2017-18 to 2020-21, the gradings were concentrated with 100% officers with gradings in the range from 8-10 in these years.
- The data above clearly points out to variability in gradings across the groups/cadres.

Analysis of Grade Category – 6 to 7.9

Table 10: Descriptive Statistics

| Groups | Mean | Standard Error | Median | Standard Deviation | Sample Variance | Kurtosis | Skewness | Range | Minimum | Maximum |
|----------------|-------------|-----------------------|---------------|---------------------------|------------------------|-----------------|-----------------|--------------|----------------|----------------|
| <i>Central</i> | 0.037922 | 0.008713 | 0.032734 | 0.024644 | 0.000607 | 3.678184 | 1.781275 | 0.075688 | 0.016667 | 0.092355 |

| | | | | | | | | | | |
|----------------|--------------|----------|--------------|----------|----------|----------|----------|--------------|--------------|--------------|
| <i>Eastern</i> | 0.017 387 | 0.005239 | 0.0158 86 | 0.014817 | 0.00022 | -0.42051 | 0.609628 | 0.0435 45 | 0 | 0.043 545 |
| <i>NER</i> | 0.013 203 | 0.004332 | 0.0137 37 | 0.012252 | 0.00015 | 1.190207 | 0.992966 | 0.0373 77 | 0 | 0.037 377 |
| <i>North</i> | 0.015 331 | 0.005368 | 0.0093 6 | 0.015184 | 0.000231 | 2.351669 | 1.603135 | 0.0452 21 | 0.0021 13 | 0.047 333 |
| <i>South</i> | 0.015 221 | 0.003411 | 0.0146 38 | 0.009648 | 9.31E-05 | -0.27604 | 0.524785 | 0.0293 24 | 0.0025 97 | 0.031 921 |
| <i>UT</i> | 0.018 129 | 0.006249 | 0.0103 73 | 0.017674 | 0.000312 | 0.826691 | 1.416849 | 0.0481 94 | 0.0041 32 | 0.052 327 |
| <i>Western</i> | 0.026 306 | 0.004435 | 0.0225 11 | 0.012543 | 0.000157 | -1.31858 | 0.48252 | 0.0347 12 | 0.0113 64 | 0.046 075 |

Table 11: Descriptive Statistics

| | Value | Cadre |
|---------------|--------------|--------------|
| Maximum Mean | 0.03792 | Central |
| Minimum Mean | 0.01320 | NER |
| Minimum SD | 0.00965 | South |
| Maximum SD | 0.02464 | Central |
| Minimum Range | 0.02932 | South |
| Maximum Range | 0.07569 | Central |

Table 12: Coefficient of Variation (CV)

| Groups | Sum | Average | Variance | Coefficient of Variation (CV) |
|---------------|------------|----------------|-----------------|--------------------------------------|
| Central | 0.30338 | 0.03792 | 0.00061 | 0.0160 |
| Eastern | 0.1391 | 0.01739 | 0.00022 | 0.0126 |
| NER | 0.10562 | 0.0132 | 0.00015 | 0.0114 |

| | | | | |
|---------|---------|---------|---------|--------|
| North | 0.12265 | 0.01533 | 0.00023 | 0.0150 |
| South | 0.12177 | 0.01522 | 9.3E-05 | 0.0061 |
| UT | 0.14503 | 0.01813 | 0.00031 | 0.0172 |
| Western | 0.21044 | 0.02631 | 0.00016 | 0.0060 |

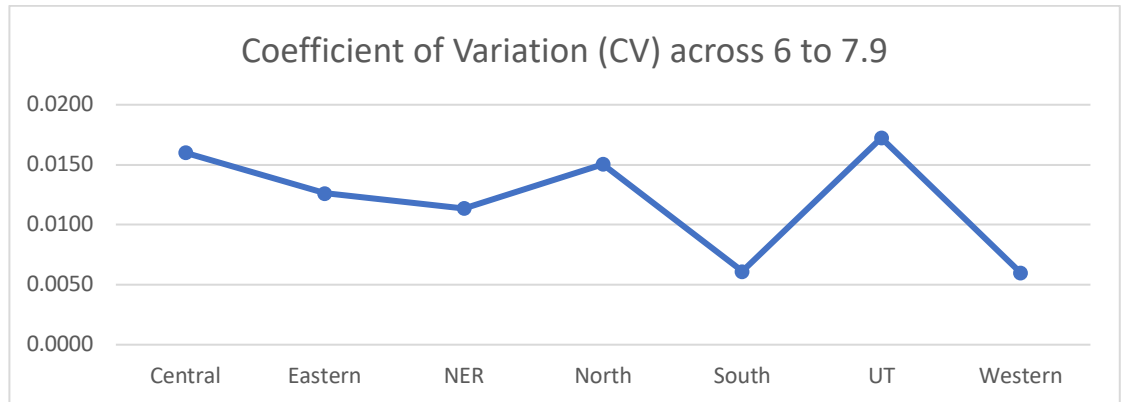


Figure 3: Coefficient of Variation in Grading across seven Cadre groups

Observations:

- UT Group has maximum Coefficient of Variation (CV) means it has more variability in gradings given to officers compared to other Cadres.
- Central Group also has maximum mean, Standard Deviation and Range compared to other Cadres. It also has second largest CV in this category.
- South has minimum SD, minimum range and has low Coefficient of Variation indicating less distributed grading.

Analysis of Grade Category – Less than 6

Table 13: Descriptive Statistics

| <i>Groups</i> | Mean | Standard Error | Median | Standard Deviation | Sample Variance | Kurtosis | Skewness | Range | Minimum | Maximum |
|----------------|----------|----------------|----------|--------------------|-----------------|----------|----------|----------|---------|----------|
| <i>Central</i> | 0.007662 | 0.002081 | 0.007172 | 0.005887 | 3.47E-05 | -1.39599 | 0.274134 | 0.016385 | 0 | 0.016385 |
| <i>Eastern</i> | 0.001315 | 0.000699 | 0 | 0.001978 | 3.91E-06 | -0.48465 | 1.13808 | 0.004736 | 0 | 0.004736 |
| <i>NER</i> | 0.00436 | 0.00138 | 0.004832 | 0.003905 | 1.52E-05 | -2.09129 | -0.15271 | 0.008728 | 0 | 0.008728 |
| <i>North</i> | 0.001315 | 0.000737 | 0.000331 | 0.002084 | 4.34E-06 | 2.431066 | 1.745348 | 0.005729 | 0 | 0.005729 |
| <i>South</i> | 0.001275 | 0.00083 | 0 | 0.002346 | 5.5E-06 | 3.493297 | 1.975582 | 0.006452 | 0 | 0.006452 |
| <i>UT</i> | 0.000987 | 0.000666 | 0 | 0.001884 | 3.55E-06 | 1.582089 | 1.687967 | 0.004808 | 0 | 0.004808 |
| <i>Western</i> | 0.002749 | 0.000978 | 0.002513 | 0.002767 | 7.66E-06 | -1.32654 | 0.466983 | 0.006818 | 0 | 0.006818 |

Table 14: Descriptive Statistics

| | Value | Cadre |
|---------------|---------|---------|
| Maximum Mean | 0.00766 | Central |
| Minimum Mean | 0.00099 | UT |
| Minimum SD | 0.00188 | UT |
| Maximum SD | 0.00589 | Central |
| Minimum Range | 0.00474 | Eastern |
| Maximum Range | 0.01639 | Central |

Table 15: Coefficient of Variation (CV)

| <i>Groups</i> | <i>Sum</i> | <i>Average</i> | <i>Variance</i> | <i>Coefficient of Variation (CV)</i> |
|---------------|------------|----------------|-----------------|--------------------------------------|
| Central | 0.0613 | 0.00766 | 3.5E-05 | 0.0045 |
| Eastern | 0.01052 | 0.00132 | 3.9E-06 | 0.0030 |
| NER | 0.03488 | 0.00436 | 1.5E-05 | 0.0035 |
| North | 0.01052 | 0.00132 | 4.3E-06 | 0.0033 |
| South | 0.0102 | 0.00128 | 5.5E-06 | 0.0043 |
| UT | 0.00789 | 0.00099 | 3.6E-06 | 0.0036 |
| Western | 0.02199 | 0.00275 | 7.7E-06 | 0.0028 |

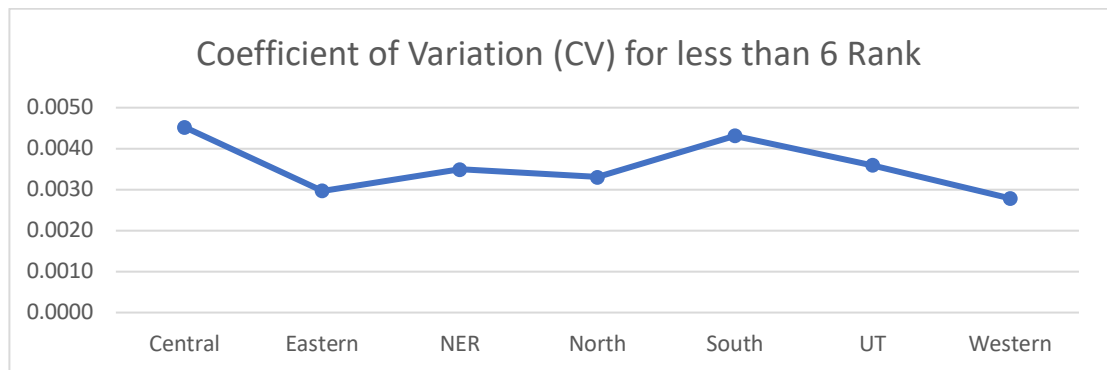


Figure 4: Coefficient of Variation in Grading across seven Cadre groups

Observations:

- Central Group has maximum Coefficient of Variation (CV) means it has more variability in grades awarded to officers compared to other Cadres.

- Central Group also has maximum mean, Standard Deviation and Range compared to other Cadres.
- UT has minimum SD and minimum range indicating less dispersion of grades.

Summary of the analysis:

The objective of this analysis was to understand variability of grading awarded to IAS officers by various cadres. Statistical methods have been used to understand the spread and variability of gradings across the cadres. From the analysis, it emerges that grading varies across the Cadres/Groups of Cadres. This empirically establishes that there are certain cadres which tend to be liberal in gradings, while there are certain other Cadres, which grade the officers conservatively.

Chapter 8 : Feedback from key stakeholders

Based on the analysis of views expressed by the expert members, study of best practices in select organisations, recommendations of previous commissions/committees and an analysis of SPARROW data, a questionnaire was designed and circulated in various social media groups to elicit views of officers of different services on various aspects of the performance appraisal system in their organisation as well as to validate the key findings of the study. A copy of the questionnaire is placed at **Appendix 11**.

In response, **104** officers furnished their views.

Profile of the respondents:

1. Service wise break-up of the responses received is as follows:

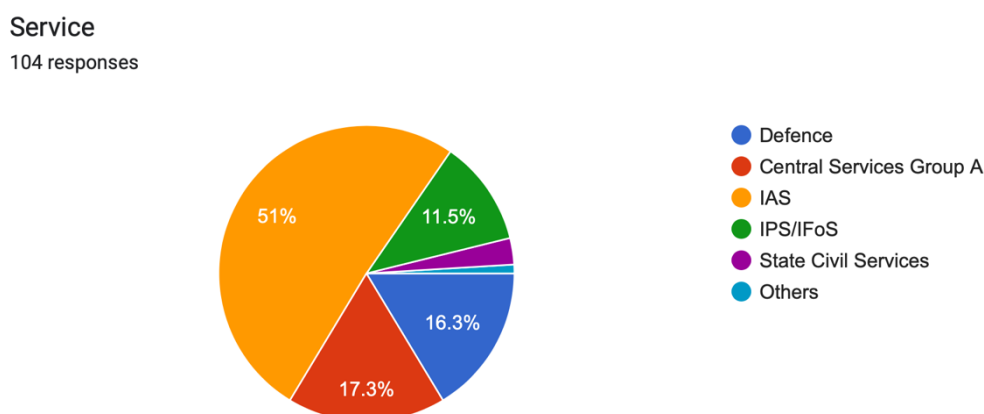


Figure 5: Service wise break-up of the respondents

The respondents represent a fairly good mix of IAS officers (51%) and officers from various other services including Defence forces, Central Group A services, State services, other All India Services (IPS/IFoS) etc.

2. Most of the responses were submitted by serving officers- 91.3% (95), although a few superannuated officers 8.7% (9) also submitted their responses.

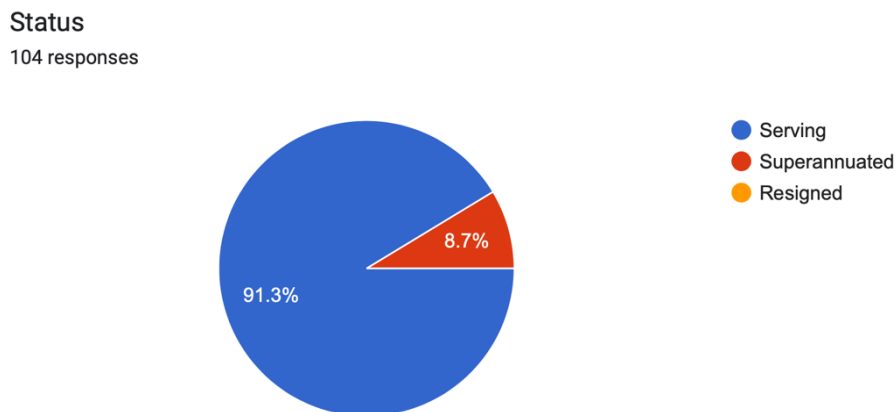


Figure 6: Serving Status of respondents

3. The breakup of length of service in Government of these respondents is as follows:

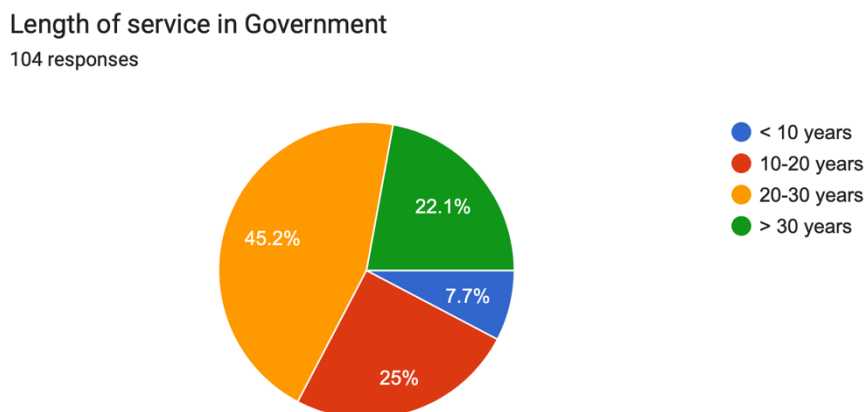


Figure 7: Length of Government service of the respondents

In terms of length of service also, the respondents represent a fairly balanced mix.

Views of the respondents on the performance appraisal systems in their organisations:

4. As far as the process of performance appraisal reports in the respective organisations of the respondents is concerned, majority of their organisations follow a fully disclosed performance appraisal system. The break up is as follows:

In your organisation, what best describes the process of performance appraisal reports
104 responses

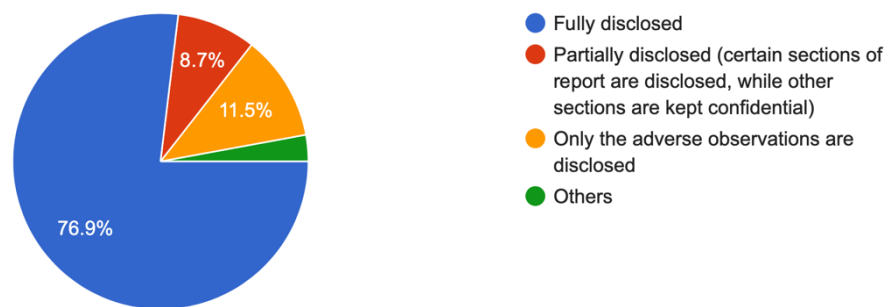


Figure 8: Responses on the process of appraisal reports

In case of majority of the respondents (76.9%), the performance appraisal reports in their organisations are fully disclosed.

5. 76% of the respondents, i.e 79 out of 104 have indicated that the performance appraisal reports in their organisations capture data on the Training needs of the officer for present and future job roles

Do the performance appraisal reports in your organisation capture data on the Training needs of the officer for present and future job roles?

104 responses

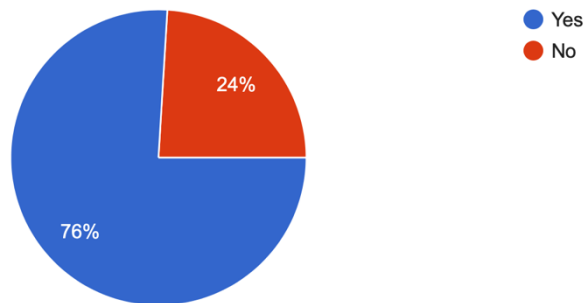


Figure 9: Responses on the training needs

6. **82.3%** of the respondents (25.3% Strongly Agree; 57% Agree) agree that in practice, the training needs identification in the performance appraisal reports is not being done diligently in their organisations.

Do you agree that in practice the training needs identification in the performance appraisal reports is not being done diligently?

79 responses

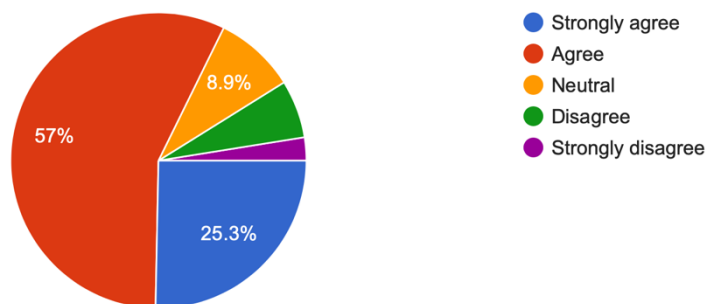


Figure 10: Responses on the rigour in the training needs assessment

7. Further, **62%** of these respondents felt that the training programs being conducted by their Department/ Organisation are not meeting the training needs of the officers as identified in the performance appraisal reports. This underscores the importance of aligning the training programs with the identified training needs.

In your experience, are the training programs being conducted by your Department/ Organisation meeting the training needs of the officers as identified in the performance appraisal reports?

79 responses

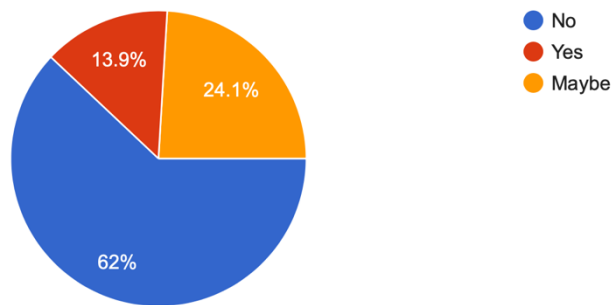


Figure 11: Responses on the adequacy of training programs

8. **60.6%** respondents informed that the performance appraisal reports in their organisation capture data on the domains/areas of responsibility in which the officer would be most suitable in his future job roles.

Do the performance appraisal reports in your organisation capture data on the domains/areas of responsibility in which the officer would be most suitable in his future job roles?

104 responses

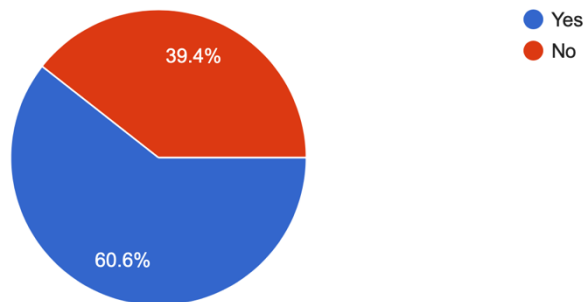


Figure 12: Responses on domain assignment

9. Majority of the respondents i.e **65.4%** (12.7% Strongly Agree and 52.7% Agree) agree to the statement that the exercise of identification of domains/ areas of responsibility for the officers in the performance appraisal reports is not being done diligently.

What are your views on the statement that the exercise of identification of domains/ areas of responsibility for the officers in the performance appraisal reports is not being done diligently?

63 responses

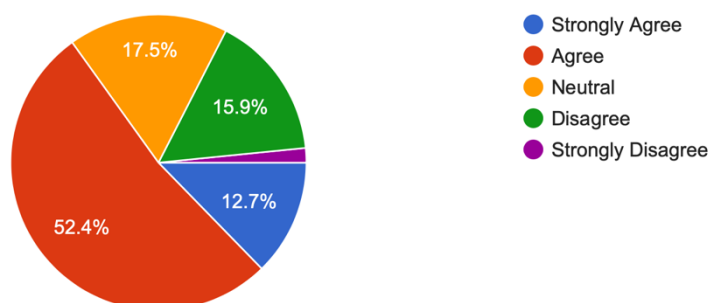


Figure 13: Responses on the rigour in the exercise of domain assignment

If we only consider the response to the above question only in respect of the IAS officers, an even higher proportion i.e **75%** (21.9% Strongly Agree and 53.1% Agree) of them agree that the identification of domains is not being done diligently.

10. Further, **54%** of the respondents also felt that the identified domains captured in the performance appraisal reports are not taken into consideration while posting/placing the officers on various assignments.

In your experience, are the identified domains captured in the performance appraisal reports taken into consideration while posting/placing the officers on various assignments?

63 responses

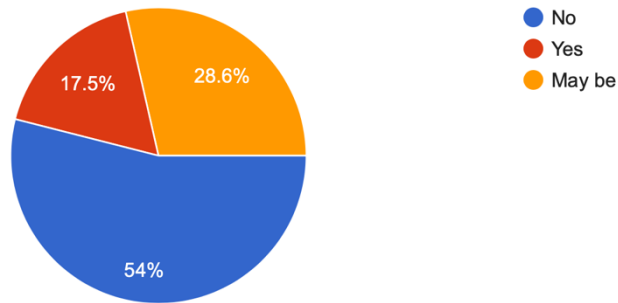


Figure 14: Responses on utilisation of domain assignment

If we only consider the response to the above question only in respect of the IAS officers, an even higher proportion i.e **65.6%** are of the view that the identified domains captured in the APARs are not taken into consideration while placing/posting officers on various assignments.

11. Majority of the respondents (**63.5%**) felt that the data generated by the performance appraisal reports is not being effectively utilised for various HR purposes like postings/placements and trainings/skill upgradation.

In your view, is the data generated by the performance appraisal reports being effectively utilised for various HR purposes like postings/placements and trainings/skill upgradation?

104 responses

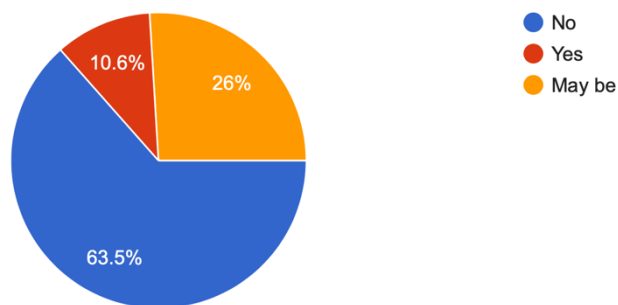


Figure 15: Responses on utilisation of PARs for HRM

If we only consider the response to the above question only in respect of the IAS officers, an even higher proportion i.e **71.7%** are of the view that the data generated by the performance appraisal reports is not being effectively utilised for various HR purposes like postings/placements and trainings/skill upgradation.

12. A majority of the respondents i.e **51.9%** (16.3% strongly agree, 35.6% agree) are in support of the statement that the performance appraisal reports are not being reported objectively/truthfully, ever since their disclosure has become mandatory.

The performance appraisal reports are not being reported objectively/truthfully, ever since their disclosure has become mandatory. What are your views on this?

104 responses

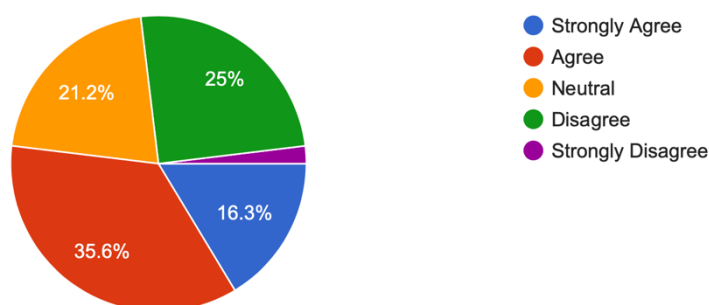


Figure 16: Responses on objectivity in reporting of the PARs

If we only consider the response to the above question only in respect of the IAS officers, an even higher proportion i.e **56.6%** (18.9% Strongly Agree and 37.7% Agree) are in support of the statement that the performance appraisal reports are not being reported objectively/truthfully, ever since their disclosure has become mandatory.

This view is broadly in consonance with the views expressed by the Experts.

Of the different services, State Civil Services 100% agree that performance appraisal reports are not being reported objectively/truthfully, ever since their disclosure has

become mandatory. These percentages are 33.3%, 52.94%, 56.60%, 41.67% and 100% for Central Services Group A, Defence, IAS, IPS/IFoS and Others respectively.

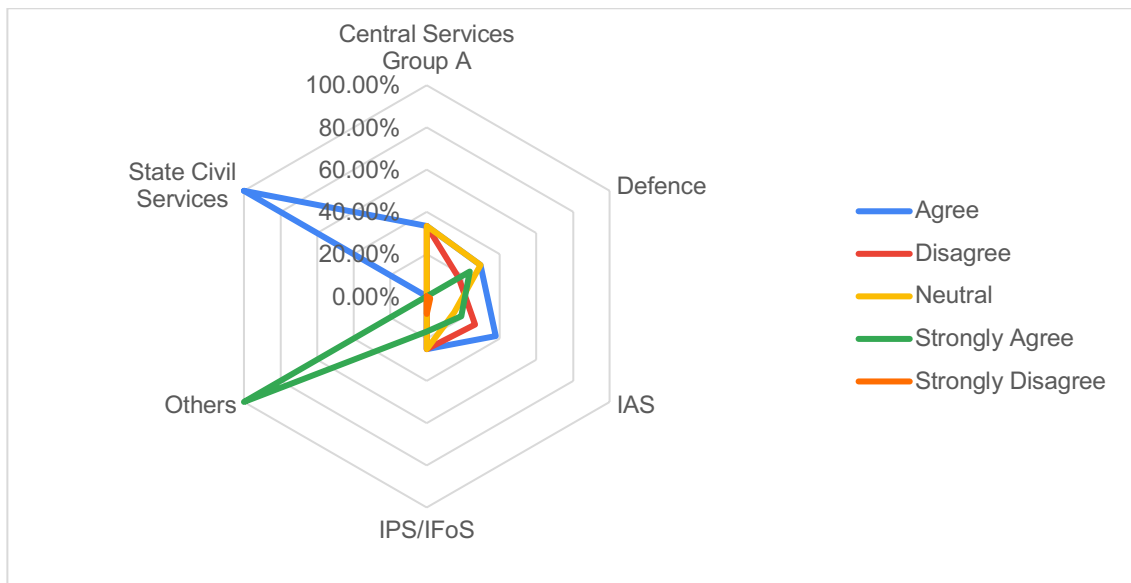


Figure 17: Responses on objectivity in reporting of the PARs-Service-wise

13. **73.1%** (25% strongly agree, 48.1% agree) respondents feel that majority of the officers are getting Outstanding grades in the performance appraisal reports. The proportion of IAS respondents holding similar view is even higher- **83%** (26.4% Strongly Agree; 56.6% Agree). This aspect is duly supported by the views of the experts as well as detailed analysis of the SPARROW data.

Majority of the officers are getting Outstanding grades in the performance appraisal reports. What are your views about this statement?

104 responses

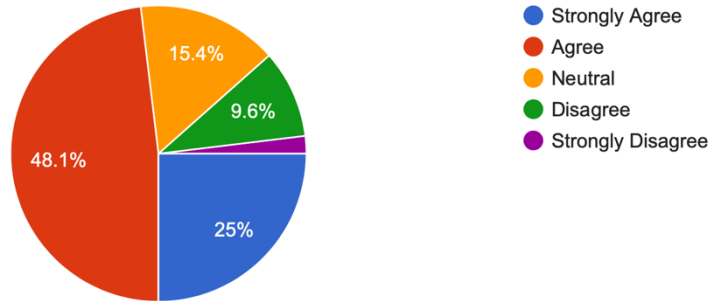


Figure 18: Responses on the grade inflation aspect of PARs

Amongst the different services, 38.9% of the respondents from Central Services Group-A agree that majority of the officers are getting Outstanding grades in the performance appraisal reports. The percentages for this category are 70.6%, 83%, 83.3%, 100% and 66.7% for Defence, IAS, IPS/IFoS, Others and State Civil Services respectively.

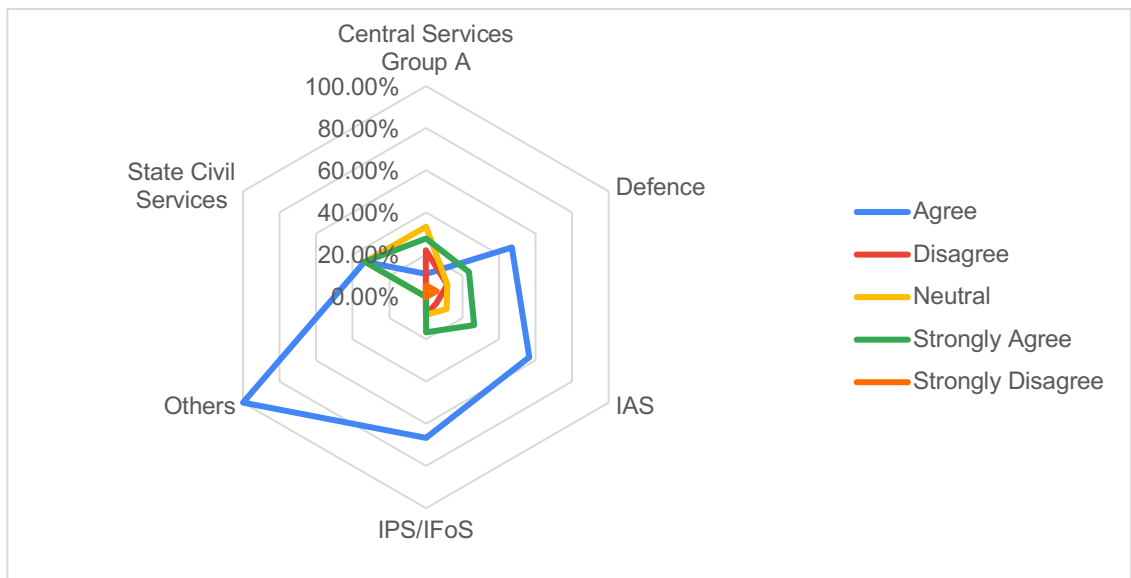


Figure 19: Responses on the grade inflation aspect of PARs-Service-wise

14. Majority of the respondents i.e **77.9%** (46.2% strongly agree, 31.7% agree) to the statement that it is difficult to distinguish outstanding performers from average ones based only on the assessments in the performance appraisal reports. IAS respondents hold this view at a slightly higher proportion i.e **79.3%** (32.1% Strongly Agree; 47.2% Agree). This supports the views of the experts that some additional measures are needed along with APARs to evaluate the performance of officers objectively.

Do you agree that it is difficult to distinguish outstanding performers from average ones based only on the assessments in the performance appraisal reports?

104 responses

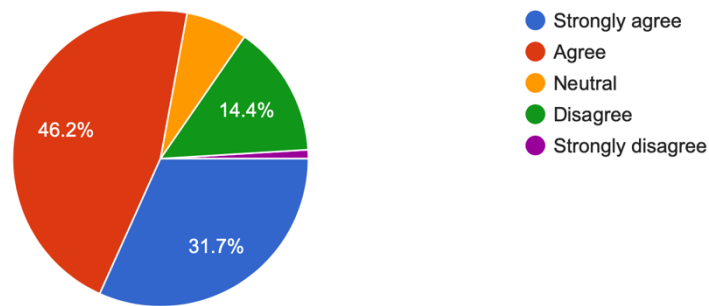


Figure 20: Responses of utilisation of PAR as a differentiator for performance

Views of the respondents on measures to improve utilisation of the performance appraisal system for HR management:

The views of the respondents were also sought on certain measures, as suggested by experts/previous committees/commissions to improve the performance appraisal system.

15. **54.8%** agree (23.1% strongly agree, 31.7% agree), that instead of a full disclosure, a system of partial disclosure may be introduced in the performance appraisal reports by adding a confidential section in them, which need not be disclosed to the officer reported upon. However, a lesser proportion of IAS respondents i.e **43.4%** (11.3% Strongly Agree; 32.1% Agree) support this view. Rather, **47.1%** (11.3% Strongly Disagree and 35.8% Disagree) IAS officers disagree with this measure.

Instead of a full disclosure, a system of partial disclosure may be introduced in the performance appraisal reports by adding a confidential section i...eed not be disclosed to the officer reported upon
104 responses

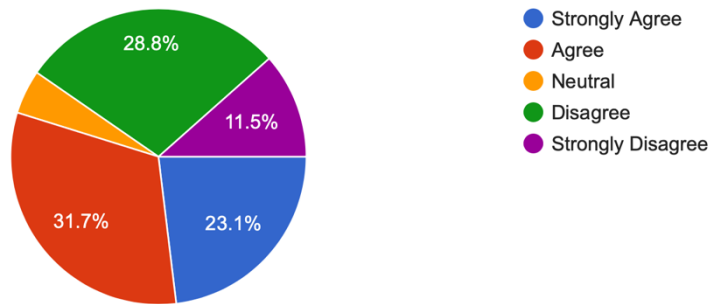


Figure 21: Responses on desired transparency level in PARs

Interestingly, the response to this question varies on the length of service of officers. While the younger officers i.e one's with lesser years of experience (<10 years and 10-20 years) tend to disagree with the partial disclosure of PARs, the officers with more years of experience support partial disclosure of the performance appraisal reports. 59.6% of officers with 20-30 years of experience and 73.9% with > 30 years of experience agree with partial disclosure of PARs whereas only 37.5% of officers with <10 years of experience and 34.6% of officers with 10-20 years of experience agree with partial disclosure of PARs.

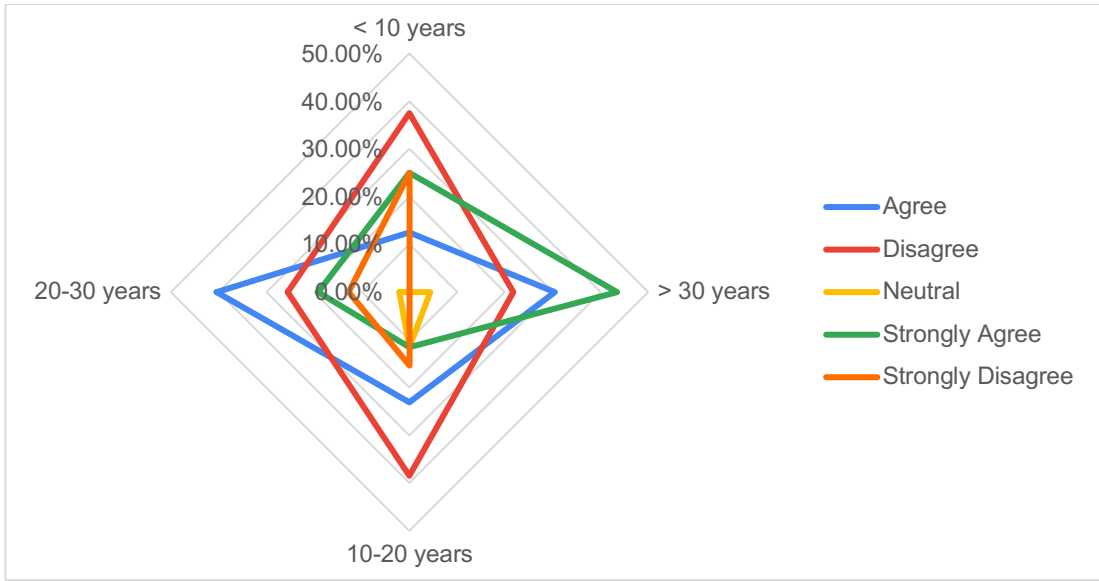


Figure 22: Responses on desired level of transparency in PARs segregated in terms of length of service

16. Majority of the respondents i.e **54.8%** (11.5% Strongly Disagree; 43.3% Disagree) do not support the measure of fixing a ceiling on the number of officers who can be rated as outstanding by a reporting officer. The proportion of IAS respondents disagreeing with this measure is even higher- **60.4%** (11.3% Strongly Disagree; 49.1% Disagree).

Fixing a ceiling on the number of officers who can be rated as outstanding by a reporting officer
104 responses

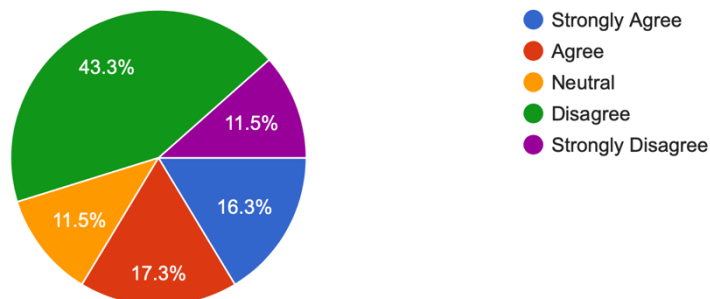


Figure 23: Responses on measures to curb grade inflation

Interestingly, 58.8% officers in Defence, 66.7% officers in State Civil Services and 100% officers in Others category agree with this measure. However, the percentage of respondents agreeing with this measure are 33.3%, 26.4% and 16.7% for Central Services Group A, IAS and IPS/IFoS respectively.

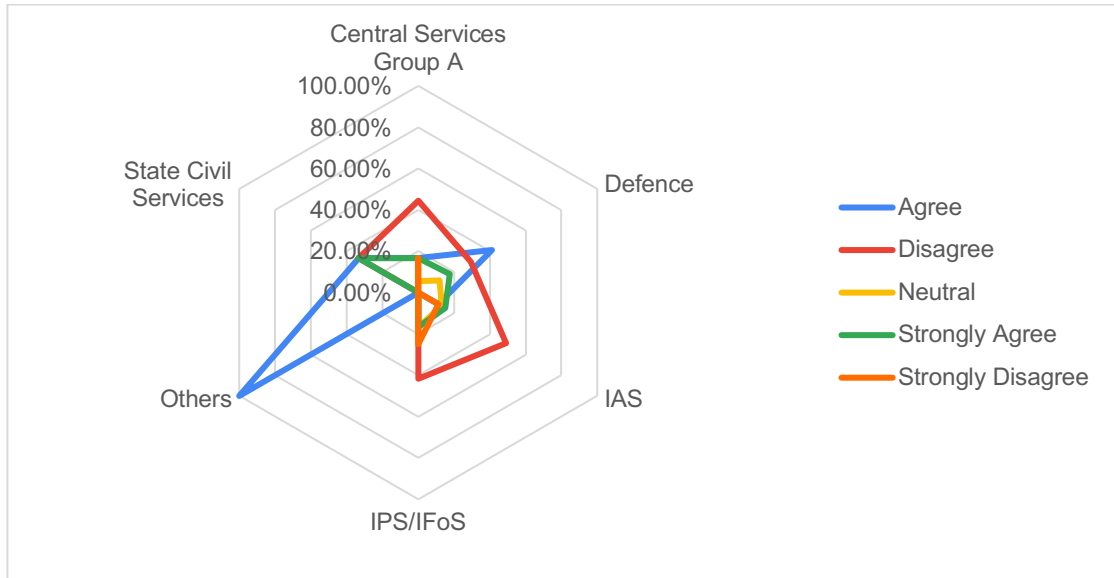


Figure 24: Responses on measures to curb grade inflation-Service-wise

17. Majority of the respondents i.e **72.2%** (26% strongly agree, 46.2% agree) support that a mechanism may be put in place to flag reporting officers who consistently rate officers too liberally or conservatively through an online database. Majority of the IAS respondents i.e **62.3%** (15.1% Strongly Agree; 47.2% Agree) also support this measure. This appears to be a feasible option considering that the APARs of IAS officers are already being obtained online on the SPARROW portal.

Putting in place a mechanism whereby reporting officers who consistently rate officers too liberally or conservatively are flagged by an online database

104 responses

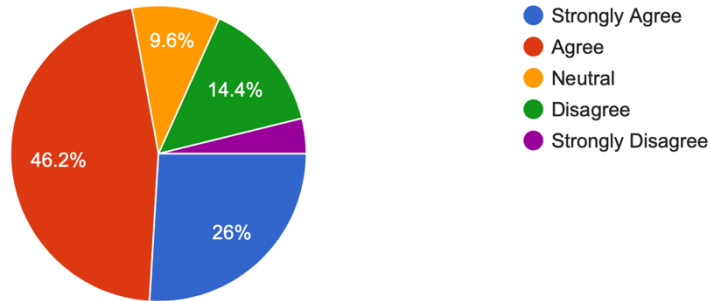


Figure 25: Responses on using online data base for flagging liberal/conservative reporting

If we see the response to this question service wise, 100% officers of the Defence Services (with 64.7% Strongly Agree) and Other Services agree with this measure. The percentage of respondents agreeing to this measure is 72.2%, 62.3%, 75.0% and 66.7% for Central Services Group A, IAS, IPS/IFoS and State Civil Services respectively.

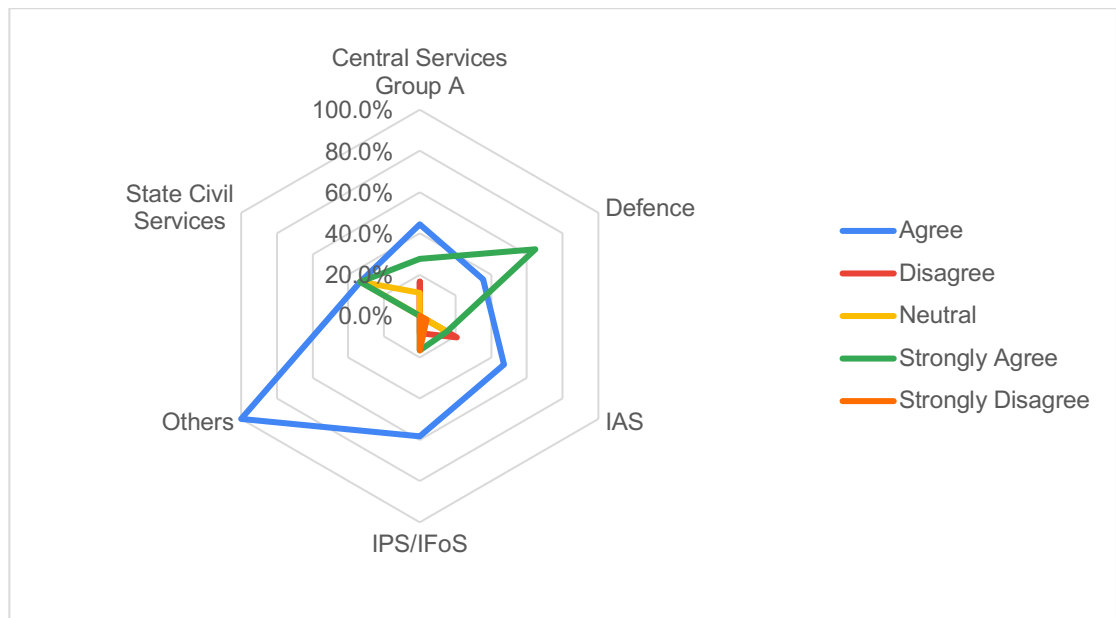


Figure 26: Responses on using online data base for flagging liberal/conservative reporting-Service-wise

18. On the issue of 360 degree/Multi source feedback, two specific questions were asked. Majority of the respondents i.e **64.4%** (20.2% strongly agree, 44.2% agree) have supported that 360 degree/Multi source feedback may be incorporated as a part of annual performance appraisals. Majority of the IAS respondents i.e **60.4%** (15.1% Strongly Agree; 45.3% Agree) also support this measure.

Putting in place a mechanism of attaching an independent 360 degree/Multi source feedback report about officer reported upon as a part of the ... subordinates, peers and other stakeholders etc.
104 responses

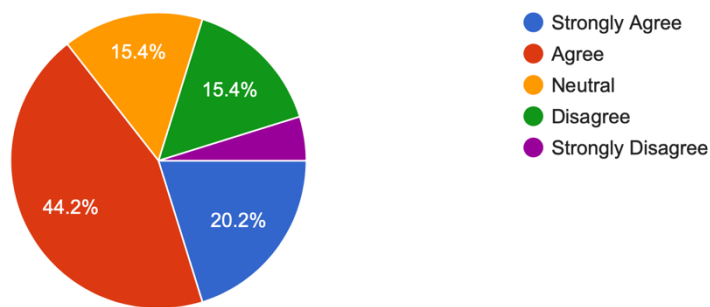


Figure 27: Responses on continuous 360 degree assessments

19. Further a majority of the respondents i.e **76%** (23.1% strongly agree, 52.9% agree) have supported putting in place a system of taking 360 degree/Multi source feedback report from superiors, subordinates, peers and other stakeholders etc. periodically, say every five years to assess the suitability of officers for various assignments. Majority of the IAS respondents i.e **68%** (18.9% Strongly Agree; 49.1% Agree) also support this measure.

Putting in place a system of taking 360 degree/Multi source feedback report from superiors, subordinates, peers and other stakeholders etc. peri... suitability of officers for various assignments
104 responses

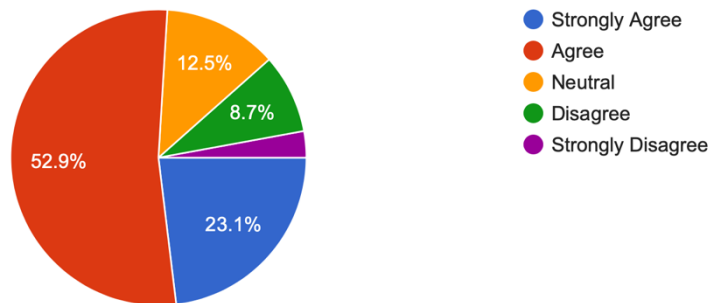


Figure 28: Responses on periodic 360 degree assessments

20. A statistical analysis of variance in the responses given by IAS respondents and non-IAS respondents was done. For this purpose, following methodology was adopted:

- Respondents of different Services were categorized into two groups ie. IAS and Non-IAS (Central Services Group A, Defence, IPS/IFoS, Others and State Civil Services).
- Multivariate analysis of variance (MANOVA) was executed to understand variances between the above-mentioned two groups. MANOVA is used to test if the independent variables can simultaneously explain a statistically significant amount of variance in the dependent variable (IAS and Non-IAS).
- Wilks' test (Rao's approximation) technique is used to understand significance of the statistical results

As can be interpreted from **Table 16** below, there is no statistically significant variance between the responses of two groups i.e IAS and Non-IAS. It implies that the response

to various questions in the questionnaire does not vary between the IAS vis a vis non-IAS group.

Table 16: Wilks' test (Rao's approximation)

| | Lambda | F observed values | DF1 | DF2 | F critical value | p-value |
|--|---------------|--------------------------|------------|------------|-------------------------|----------------|
| Do you agree that in practice the training needs identification in the performance appraisal reports is not being done diligently? | 0.925 | 1.110 | 4 | 55 | 2.540 | 0.361 |
| In your experience, are the training programs being conducted by your Department/ Organisation meeting the training needs of the officers as identified in the performance appraisal reports? | 0.903 | 2.965 | 2 | 55 | 3.165 | 0.060 |
| What are your views on the statement that the exercise of identification of domains/ areas of responsibility for the officers in the performance appraisal reports is not being done diligently? | 0.896 | 1.591 | 4 | 55 | 2.540 | 0.190 |
| In your experience, are the identified domains captured in the performance appraisal reports taken into consideration while posting/placing the officers on various assignments? | 0.990 | 0.290 | 2 | 55 | 3.165 | 0.749 |
| In your view, is the data generated by the performance appraisal reports being effectively utilised for various HR purposes like postings/placements and trainings/skill upgradation? | 0.988 | 0.344 | 2 | 55 | 3.165 | 0.710 |
| The performance appraisal reports are not being reported objectively/truthfully, ever since their disclosure has become mandatory. What are your views on this? | 0.965 | 0.498 | 4 | 55 | 2.540 | 0.737 |

| | | | | | | |
|---|-------|-------|---|----|-------|-------|
| Majority of the officers are getting Outstanding grades in the performance appraisal reports. What are your views about this statement? | 0.944 | 0.810 | 4 | 55 | 2.540 | 0.524 |
| Do you agree that it is difficult to distinguish outstanding performers from average ones based only on the assessments in the performance appraisal reports? | 0.952 | 0.695 | 4 | 55 | 2.540 | 0.598 |
| Instead of a full disclosure, a system of partial disclosure may be introduced in the performance appraisal reports by adding a confidential section in them, which need not be disclosed to the officer reported upon | 0.939 | 0.896 | 4 | 55 | 2.540 | 0.473 |
| Fixing a ceiling on the number of officers who can be rated as outstanding by a reporting officer | 0.927 | 1.075 | 4 | 55 | 2.540 | 0.378 |
| Putting in place a mechanism whereby reporting officers who consistently rate officers too liberally or conservatively are flagged by an online database | 0.882 | 1.842 | 4 | 55 | 2.540 | 0.134 |
| Putting in place a mechanism of attaching an independent 360 degree/Multi source feedback report about officer reported upon as a part of the annual performance appraisal reports to be gathered from superiors, subordinates, peers and other stakeholders etc. | 0.986 | 0.197 | 4 | 55 | 2.540 | 0.939 |
| Putting in place a system of taking 360 degree/Multi source feedback report from superiors, subordinates, peers and other stakeholders etc. periodically, say every five years to assess the suitability of officers for various assignments | 0.927 | 1.078 | 4 | 55 | 2.540 | 0.377 |
| <i>H0: The variable or the interaction of the corresponding column has no significant effect on the dependent variables.</i> | | | | | | |

Ha: The variable or the interaction of the corresponding column has a significant effect on the dependent variables.

21. The respondents have also suggested certain additional measures for improvement of the performance appraisal system in their organisations as at **Appendix-12**. A brief summary of the suggestions is as follows:

A. Modifications in the Performance Appraisal Reports:

- I. Competency based appraisal instead of appraising the individual attributes in the ratio of 70:30.
- II. Multi-source feedback including a report from juniors may be a part of the Performance appraisal reports.

B. Modifications/improvements in the Performance Appraisal Process:

- I. A system of analysis of APARs by Independent team, which can take normative action to grade officers of a batch in ranks, in a year according to their performance. This could be utilised for selecting individuals for trainings/postings.
- II. Making APAR more objective and real time. Generally an Memo/Warning/Appreciation issued during the year loses significance by the end of year. The higher authority (who may not even be reporting/reviewing/accepting authority) can be given an option that the said memo/letter/appreciation will be attached to APAR at the time of issue (real-

time). This may result in greater accountability and more real time entry to APAR. There can of course be a process of removing or elaborating such entry while recording comments at the end of year.

- III. Fixing the performance indicators at the beginning of year must be a serious exercise by the Reporting officer.
- IV. A system of continuous feedback to the officer reported upon needs to be put in place- mid-year/quarterly needs to be put in place along with clear guidelines on how feedback is to be given. It could be formal/semi-formal in nature.
- V. Many officers require honest feedback (single blind) from multiple sources for further improvements which need not be in the form of appraisal. Where public dealing is involved, a mechanism to capture public assessment may help though apparently difficult to remove manipulations.
- VI. Use of Artificial intelligence to gather and analyse the data from APARs, with the aim to reform the grading process as well as improve the objectivity in the grading.
- VII. Annual performance appraisal reports are a tool for development of officers. The APARs should facilitate a holistic development of the officers. It may be appropriate to consider periodic psychometric tests as a part of this exercise.

Chapter 9 : Conclusions

This study was undertaken to answer the following Research Questions:

- I. What are the parameters in the APAR, which enable its use as a tool for human resource management of IAS officers?
- II. Are the APARs being effectively utilised for the purpose of human resource management of IAS officers and if not, what are the limitations?
- III. What measures can be taken to further enhance the utilisation of APARs as a tool for human resource management of IAS officers?

Based on the views of the experts and key informants, analysis of SPARROW data and responses of the key stakeholders, the answers to these questions are as follows:

Q I. What are the parameters in the APAR, which enable its use as a tool for human resource management of IAS officers?

Answer: Chapter 4 of the study was devoted to answering this question in detail, which is summarised as follows:

The following parameters in the APAR enable their utilisation for HR functions:

- I. For placement function:
 - a. Domain assignment.
 - b. Numerical assessment of personal attributes and functional competencies.
 - c. Descriptive comments about various traits in the officer.

- II. Skill upgradation/training function: Trainings undergone as enumerated in Section I; Training needs self-identified in Section II and comments of Reporting officer on these identified training needs in Section III.
- III. Empanelment and Promotion function: Overall grades in APAR, along with specific comments of the Reporting/Reviewing officer and the Accepting authority, if any.

Q.II. Are the APARs being effectively utilised for the purpose of human resource management of IAS officers and if not, what are the limitations?

Answer: Chapter 5 to 8 of the study are devoted to answer the above research question. The conclusion, based on analysis of Experts views, stakeholders feedback and the data of SPARROW portal is that the *APARs are presently not being utilised effectively for the purpose of Human Resource Management of IAS officers. The following limitations of APARs prevent their effective utilisation for the HR management:*

- I. APARs are not being reported objectively/truthfully, ever since their disclosure has become mandatory. A majority of the officers are getting Outstanding grades in APARs. This problem of Grade inflation in the APARs prevents their use as a differentiator between outstanding and average performers.
- II. Variability in the Gradings across cadres, thus limiting its use as an objective tool for assessing suitability of officers for various HR functions.
- III. Transparency aspects in APAR process prevents objectivity in gradings/remarks. Need for additional instruments-confidential section in APAR, continual/periodic 360 degree assessments to supplement APARs.

- IV. Lack of database to utilise the APAR data on domain assignment, personal attributes and functional competencies for placement and career advancement decisions in respect of individual officers.
- V. Inadequate diligence/rigour in domain assignment in APAR.
- VI. Lack of harmonisation between the domains specified in APAR and those captured in the Multi-Source Feedback (MSF) format.
- VII. Inadequate diligence/rigour in the training needs identification exercise in APAR.
- VIII. Training programs not adequately meeting the training requirement of the officers as identified by the training needs assessment.
- IX. Lack of database/data sharing on training needs identified in APARs for individual trainings/capacity building and improving training programs.

Q. III. What measures can be taken to further enhance the utilisation of APARs as a tool for human resource management of IAS officers?

Answer: Chapter 5, 6 and 8 of this study try to answer this question. Based on analysis of the views of the Experts, stakeholders feedback, recommendations of previous Committees/Commissions and study of practices in select organisations, following measures are suggested:

Rationalisation of Gradings:

In order to rationalise gradings in the APAR and ensure that not everyone gets outstanding grades, following measures are suggested:

- **Delinking overall grades from Individual parameters:** In the APARs, presently the overall grades obtained in the broad categories, viz. work output, personal attributes and functional competencies are derived from the score obtained in individual attributes under each category by averaging these scores. Similarly, the average of scores obtained under the afore-mentioned broad categories result in the overall grades in the APAR. It was suggested that the total grades in each of the broad category i.e work output, personal attributes and functional competencies as well as overall grades in the APAR should be delinked from the individual parameters. Let the reporting officer write the overall grade on his own.
- **Ceiling on number of officers graded as Outstanding:** One of the expert members has suggested the introduction of a percentile system on how many APARs a person can grade outstanding. A ceiling number could be fixed say 15 percentile. If a reporting officer exceeds that ceiling, may be for 3 years, an advisory should go to him from SPARROW portal. This can be a well-publicised system so that people are aware of how many APARs one can grade in top 15 percentile grades. Further, a sizeable percentage of key stakeholders have also supported this measure.
- **Rating the Graders:** A system of rating of reporting officers by having a database of all the assessments made by them could be considered on the pattern of performance appraisal system in the Defence forces. The Reviewing/Accepting Authority could be asked to comment on the gradings awarded by Reporting officers, whether they are liberal/justified/strict. This could in the long run ensure more rational gradings in the APARs and could be

used for the purpose of moderating the ratings given by different reporting officers. Further analysis of ratings awarded by the reporting/reviewing authorities has also been recommended by the 2nd ARC so as to moderate numerical ratings taking into account individual disposition.

- **Partial disclosure- Adding a Confidential section in APAR:** This could be considered in order to ensure more objectivity in gradings/truthfulness in remarks as is being followed in the performance appraisal system of the Defence Forces. Similar suggestions are there in the DRPSC report and the expert members in this study have also suggested likewise. Further, most of the stakeholders support such measure. However, while considering this measure, legal aspects around the matter need to be kept in view.

Domain assignment and placement decisions:

- Operationalization of decision support system envisaged under Mission Karmayogi to provide valuable inputs to decision makers for placement decisions. The system is designed to take the 'emit' from the learning management system 'Integrated Government Online Training (IGoT)' and the attributes from the APAR and present it in a database format to the decision maker.
- To make allocation of domains more considered, the domains of Reporting and Reviewing officer could also be captured in the APAR. When the Reporting/Reviewing Authorities decide to allocate domains to the ORUs outside their own domain expertise, they should justify that in APAR.

- Assignment of domains for senior management positions could be made more rigorous as suggested by the Surinder Nath Committee. Further, suitable IT mechanisms would need to be put in place so that this information is appropriately utilised for placement decisions.
- A separate exercise on domain assignment could be done, may be 2 years after Joint Secretary level empanelment. An expert panel drawn from various domains can do that exercise. Officers can be asked to give choice. In domains, where more officers apply than the available vacancies, panel should even interview the officers. 3-4 domains can be allocated. All trainings to officers should then be on those domains. It is not possible to restrict postings to those domains, but the domains can be one of the inputs in decision making on placements. Similar suggestions were made by the SNC, in which it was recommended that domain assignment to the officers should be a distinct exercise from empanelment, considering its importance. Further it has suggested to advertise the vacancies for the purpose of placement.
- The APAR data should have some linkage to the seven questions in the Multi Source Feedback format. The data should be mapped so that a long term picture of officer is available on those 7 questions being asked in 360 degree.

Harmonisation of domains in APAR format with the domains in the Empanelment guidelines:

The domains in the APAR format need to be harmonised with the domains in the MSF Format.

Training and Capacity Building:

- Training and capacity building information in the APAR needs to be filled in a more considered manner. If need be, the Reporting Authorities should be sensitised on this aspect.
- It would be worthwhile to consider performance levels in the Trainings/Capacity Building programs for various career advancements (Promotions/Empanelments) to bring necessary seriousness in the trainings. For this purpose, suitable parameters could be added in the existing APAR.
- A suitable mechanism needs to be evolved for sharing the training needs data captured in the APARs with the Training Division of DoPT as well as the Capacity Building Commission.
- **Mission Karmayogi**, once fully operationalised, would be a significant milestone in overall improvement of the capacity building landscape.

Empanelment and Promotion functions:

- A “confidential part” to the APAR that is not accessible to the ORU could be considered. However, legal and transparency aspects needs to be examined before implementing this step.
- Assessment of the suitability of the officers could be done by other means such as multi-source feedback and personal interviews with use of APARs as supporting evidence.

- It has also been suggested that the system of empanelment could be done away with. Instead of the entire batch being assessed for empanelment, the suitability of persons willing to come to the Centre alone could be assessed with reference to domain, functional and behavioural competence through personal interviews. APAR and MSF could be used as corroborative evidence. This suggestion needs to be examined in detail considering its wider implications.
- The experts also opined that presently the 360 degree assessment is done only at the time of empanelment of officers at the level of JS/AS/Secretary to the Government of India. Perhaps, now the time has come to do it on a continual/periodic basis. It was informed that Railways Board has in August 2022 issued directions to create a database for Multi-source feedback of officers while generating the APARs. Under this system, from the APAR 2022-23 onwards, anonymous feedback will be collected from the reporting authority of the official as well as from his subordinates. This entire exercise will be confidential and anonymous. It was suggested that working of this could be examined and if found feasible, could be suitably adopted for IAS officers.
- A system of periodic 360 degree assessment, say once every five years, as suggested by the SNC and also by majority of the stakeholders could also be considered.

Modifications/improvements in the appraisal process:

- A system of analysis of APARs by Independent team, which can take normative action to grade officers of a batch in ranks, every year according to their

performance. This could be utilised for selecting individuals for trainings/postings.

- Making APAR more objective and real time. Any Memo/Warning/Appreciation issued to the officer by any higher authority may be attached online with the APAR of the officer at the time of issue on a real-time basis. This may result in greater accountability and more real time entry to APAR. A process of removing or elaborating such entry while recording comments at the end of year would also need to be put in place.
- Fixing the performance indicators at the beginning of year must be a serious exercise by the Reporting officer.
- A system of continuous feedback to the officer reported upon needs to be put in place- mid-year/quarterly needs to be put in place along with clear guidelines on how feedback is to be given. It could be semi-formal in nature.
- Use of Artificial intelligence to gather and analyse the data from APARs, with the aim to reform the grading process as well as improve the objectivity in the grading.

Self-development of officers:

- A web-based system on the pattern of UK Military's self-awareness tool could be designed for IAS officers to enhance individual development by providing personalized and confidential feedback from traditional and non-traditional sources i.e. superiors, peers, and subordinates.
- The APARs should facilitate a holistic development of the officers. Periodic psychometric tests of the officer could be considered as a part of this exercise.

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Appendix 1: Questions used for semi-structured interview with Experts/Key informants

Placement

- i. Is there any mechanism to utilize the data related to placement functions (domain assignment, personal attributes, and functional competencies) as an input for placement decisions?
- ii. If yes, what are the limitations of such mechanism and what measures can be taken to improve it?
- iii. If no, how the information captured in APAR on domain assignment, personal attributes and functional competencies could be utilized as an input for placement decisions?

Skill Upgradation and Training Function

- i. Is there any mechanism to utilize data on training needs identified by ORU and comments of Reporting Authority thereon for imparting training to IAS officers?
- ii. If no, how could this information be utilized for scheduling future trainings of IAS officers?
- iii. Is there any mechanism to utilize the data on skill upgradation/training captured in APARs for designing training programmes specific to IAS officers?
- iv. If no, how could this information be utilized for designing new training programmes/modifying existing training programmes for overall

professional development of IAS officers in general and also for development of domain specific specialization?

Empanelment and Promotion Function

- i. What measures can be taken to enhance the utility of APARs in empanelment and promotion decisions?

Appendix 2: National Programme for Civil Services Capacity Building (NPCSCB)-Mission Karmayogi

Objective

Civil services are at the centre of all government activities — they are the agents of policymaking and the executive hand that delivers on the ground. The skill sets and capacity of the civil servants play a vital role in service delivery, program implementation and performing core governance functions. Recognising this crucial responsibility, the National Programme for Civil Services Capacity Building (NPCSCB) aims to create a professional, well-trained and future-looking civil service, that is imbued with a shared understanding of India's developmental aspirations, national programs and priorities.

The focus of NPCSCB is on promoting ease of living and ease of doing business, by considerably enhancing the citizen-government interface. This involves creation of both functional and behavioural competencies among the civil servants.

NPCSCB - Pillars & Philosophy

The NPCSCB is carefully crafted to lay the foundation for capacity building for future generations of the civil servants so that they learn from the best practices across the world, while remaining connected to their root. The key philosophy of NPCSCB is to create an ecosystem of competency driven training and Human Resource (HR) management by transitioning from a 'rules-based' system to the 'roles-based' system.

The National Programme for Civil Services Capacity Building has six key pillars i.e.

I. Policy Framework

- II. Institutional Framework
- III. Competency Framework
- IV. Digital Learning Framework iGOT-Karmayogi (Integrated Government Online Training Karmayogi Platform)
- V. The electronic Human Resource Management (eHRMS) and
- VI. The Monitoring and Evaluation Framework.

The NPCSCB envisages to cover all civil servants (including contractual employees) across different ministries, department organisations and agencies of the Union Government. The willing state governments will also be enabled to align their capacity building plans on similar lines.

Policy Framework

A competency-based HR policy requires assignment of right person to the right role at the right time. NPCSCB aims to create a robust policy framework towards implementation of such an HR policy in the Government. The policy framework will also enable adoption of modern technological tools such as a digital platform, artificial Intelligence, machine learning and data analytics for monitoring and evaluation of the entire programme especially quality of the learning content, assessment of user feedback and competency assessment. The approach will break silos in capacity development and democratize knowledge on an equitable basis across civil services. Besides delivery of training & capacity building, service matters like confirmation i.e. completion of probation, deployment, work allocation, work assignment, notification of vacancies etc will be integrated with the proposed competency framework.

Key principles of the proposed policy framework are:

- To complement Physical Capacity Building with an Online Training framework.
- Focus on '*On-Site learning*' to complement '*Off-Site learning*' whereby the civil servant learns in her job environment and only higher order learning is delivered through training institutions.
- To create an ecosystem of shared training infrastructure including teaching material and personnel.
- To harmonise the functioning of all civil services training institutions (such as Central Training Institutions etc.) and enable them to partner with domestic and global institutions.
- To calibrate all civil service tasks to a Framework of Roles, Activities and Competencies including skills (hereinafter referred to as **FRACs**)
- To partner with all content creators including in-house sources, as well as the private sector to build a content marketplace on iGOT-Karmayogi.
- To make available to all civil servants, agnostic to their geographical location and their position in the hierarchy, an opportunity to access training content in Hindi, English and other Indian languages.
- To enable the individual learners to follow self-decided as well as mandated learning paths.
- To make Mid-Career Training Programme (MCTP) mandatory for all services including horizontal and combined programs amongst services.

Competency Framework

The exercise for defining the Framework for Roles, Activities, and Competencies including skills (FRACs) will be carried out by each Ministry/ Department/ Organisation of Union Government and integrated with the iGOT-Karmayogi Platform. FRACs exercise will define the roles, activities and competencies required at each position in the government. Thereafter, it is envisaged that work-allocation, notifications of vacancies etc. will be done through the iGOT Karmayogi platform following the FRACs model. Further, content appropriate to the FRACs model will be provided by participating organisations on the 70:20:10 rule (an indicative 70% training online, 20% on-the-job and 10% physical).

Digital Learning Framework (iGOT-Karmayogi Platform)

The online learning platform, iGOT-Karmayogi, has been developed as an integral part of the Digital India stack for capacity building of all government employees. It aims to provide anytime-anywhere-any device learning to train about 2.0 crores users which was hitherto not achievable through traditional measures.

Content Curation: The platform is envisioned to evolve into a vibrant and world class marketplace for content modelled on FRACs, supported by a robust e-learning content industry. The content can be curated by individual government ministries or organizations in-house or through knowledge partners. Carefully crafted and vetted content from best-in class institutions, universities, private content providers and individual resources will be made available as training modules.

A Special Purpose Vehicle (SPV) – Karmayogi Bharat in the form of a not-for-profit company has been incorporated in January 2022 as a 100% government owned entity

for owning, managing, maintaining and improving the digital / e-learning platform, including the IPR of all software, content, process etc on behalf of Government.

e-Human Resource Management System (e-HRMS)

To facilitate digital working environment in Central Government, an electronic Human Resources Management System (e-HRMS) has been introduced in all the Departments. This will help Government to digitally manage the service matters of officials leading to reduction in transaction time and cost, availability of digital records, dashboards for MIS, real time monitoring of manpower deployment as well as serving as a productivity enhancement tool amongst others. The e-HRMS will be integrated with the iGOT-Karmayogi platform.

Institutional Framework

The NPSCB will have the following Institutional Framework:

- Prime Minister's Public Human Resource Council (hereinafter referred to as 'PMHRC'): A Council comprising of eminent public HR practitioners, thinkers, global thought leaders and representatives of the Indian political leadership under the Chair of the Prime Minister of India, is conceived to be the apex body for driving and providing strategic direction to civil services reforms and capacity building. It will identify areas for policy intervention and approve the National Capacity Building Plan.
- Cabinet Secretariat Coordination Unit: A coordination unit under the Chairmanship of the Cabinet Secretary will monitor the implementation

of the NPCSCB. It will align all stakeholders and provide mechanism for overseeing capacity building plans.

- Capacity Building Commission: The Civil Service Capacity Building Commission is at the heart of the NPCSCB. It will coordinate the preparation of annual capacity building plans, monitor and evaluate their implementation and functionally supervise the training institutions (CM's etc.) for the creation of an ecosystem of shared resources. The Secretariat of the Commission is headed by an officer in the grade of Joint (Designated as Secretary to the Commission) to Government of India.
- Special Purpose Vehicle (SPV) – Karmayogi Bharat: A not-for-profit company, under the administrative control of DoPT incorporated as a 100% government owned entity for owning, managing, maintaining and improving the digital assets i.e., iGoT Karmayogi the digital e-learning platform, including the IPR of all software, content, process etc on behalf of Government. The SPV will have the responsibility to create and operationalize the content marketplace and continuously evaluate utilization.
- A Programme Management Unit (PMU) under DoPT to interface with support agencies. It will provide program management and support services to the department for rolling out and managing different aspects of NPCSCB.

Some important functions of the Capacity Building Commission are :

- Coordinate with Departments, Organisations and Agencies of the Government for evolving a harmonious de-siloed approach to improve capacity.
- Facilitate preparation of Annual Capacity Building Plans and monitor and report the periodical progress of its implementation.
- Prepare the Annual HR Report on the health of Civil Services.
- Make recommendations on standardisation of training and capacity building to Government Training Institutions.
- Undertake analysis of data emit from iGOT-Karmayogi pertaining to different aspects of capacity building, content creation, competency mapping, feedback etc.
- Organize the Global Public HR Summit under the guidance of the PMHRC utilising the resources and budget to be provided by DoPT.
- Approve Knowledge Partners for the NPCSCB.

The primary functions of the Special Purpose Vehicle- Karmayogi Bharat are:

- Design, implement, enhance and manage the digital platform and infrastructure
- Create, buy, source internally, curate content and ensure validation of the content
- Manage and deliver proctored assessment services
- Manage governance of telemetry data and make such data/ analysis available to identified authorities

Monitoring and Evaluation framework

The performance of all users of the iGOT-Karmayogi platform will be monitored and evaluated on Key Performance Indicators (KPIs). This will include the individual learner, the supervisor, the organisation, the peer group, the content provider, the content creator, and the technology service providers etc. A Dashboard and an Annual State of the Civil Services Report will capture the KPIs for all departments, organisations and agencies of the government and document the outcomes of current initiatives against goals (including key KPIs from the iGOT-Karmayogi dashboard) along with the roadmap for future Public HR Management and Capacity Building.

Major Activities under NPCSCB (as on 23-01-2023)

The major achievements are as follows –

- Capacity Building Commission (CBC) established on 01/04/2021 with the mandate to make policy recommendations on Personnel/HR, formulate annual capacity building plans for all Ministries and transform and elevate the supply side of the Capacity Building ecosystem, by reviewing, benchmarking and systematic development of CSTIs.
- Special Purpose Vehicle (SPV) – Karmayogi Bharat incorporated on 31/01/2022 to own, operate and manage all digital content/platforms and processes under Mission Karmayogi and encourage and partner with content creators to build a content Market Place through the iGOT-Karmayogi Platform.
- Karmayogi Digital Learning Lab (KDLL) Established in August 2021 in Institute of Secretariat Training & Management to facilitate development of e-

content for Training of Civil Servants. KDLL has facilitated in production and publishing of 15 e-Learning courses totalling 678 minutes and 10 e-Learning courses totalling 910 minutes are under process for publishing.

- iGOT-Karmayogi platform has been set up as an integral part of the Digital India stack as a social good for capacity building of all government employees. It has been moved to the NIC Cloud in Dec 2021.
- As on date, 129 Ministries /Departments /Organizations (MDOs) have been onboarded on the iGOT Karmayogi platform, 308207 learners have been onboarded, 320+ courses have been published on the portal totaling 700+ hours of content.
- In October 2020, the Institute of Secretariat Training & Management (ISTM) has been designated as Centre of Excellence for the development of Framework of Roles Activities & Competencies (FRAC) for various posts in the Government of India.
- CBC and ISTM are leading the exercise to create the Framework of Roles Activities and Competencies (FRAC) which will define the roles, activities and competencies required at each position in the government. Capacity Building Units are being established in each Ministry to carry out the FRAC exercise.
- Once the position wise competency framework is defined, it will not only facilitate competency driven training of Civil servants but also aid in in competency-based work-allocation, notifications of vacancies etc. through the iGOT Karmayogi platform.
- The first draft of FRAC dictionary has been prepared under the guidance of CBC and SPV- Karmayogi Bharat has begun the preliminary exercise of tagging the courses on iGoT Karmayogi Platform to identified competencies.

- CBC is coordinating the preparation of Ministry-Wise Annual Capacity Building Plans (ACBPs) to help identify the areas requiring capacity Building interventions and generate Capacity Building Products tailored to fill competency Gaps.
- CBC has launched the NSCSTI portal to accredit all the Civil Service Training Institutes (CSTIs) and facilitate their systematic assessment and development. The portal captures detailed data on CSTIs including State Government Training Institutes in a systematic manner on over 80 + parameters and facilitates self-evaluation of CSTIs on standardized metrics to reveal their current capacity and highlights areas requiring improvement.
- iGOT Mobile Application launched on Android platform on 25th December, 2022 as a further step in fulfilling the vision of mission Karmayogi of anytime anywhere learning.

Appendix 3: APAR data for 2013-14

| CADRE S | No of officers graded between 9-10 | No of officers graded between 8-8.9 | No of officers graded between 7-7.9 | No of officers graded between 6-6.9 | No of officers graded between 5-5.9 | No of officers graded < 5 | Sum-total | No of officers graded outstanding (between 8-10) = sum Column B+C | No of officers graded very good (between 6-7.9) = sum Column D+E | No of officers graded good and below (< 6) = sum Column F + G |
|---------------------------------|------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|---------------------------|-----------|---|--|---|
| UT | 45 | 12 | 1 | | | | 58 | 57 | 1 | 0 |
| AP | 5 | | | | | | 5 | 5 | 0 | 0 |
| AM | 39 | 1 | | | | | 40 | 40 | 0 | 0 |
| BH | 13 | | | | | | 13 | 13 | 0 | 0 |
| CG | 34 | 4 | 1 | | | | 39 | 38 | 1 | 0 |
| GJ | 16 | 2 | 1 | | | | 19 | 18 | 1 | 0 |
| HY | 43 | 8 | | | | | 51 | 51 | 0 | 0 |
| HP | 14 | | | 1 | | | 15 | 14 | 1 | 0 |
| J&K | 6 | 3 | | | | | 9 | 9 | 0 | 0 |
| JH | 8 | | | | | | 8 | 8 | 0 | 0 |
| KN | 22 | 7 | | | | | 29 | 29 | 0 | 0 |
| KL | 8 | 10 | | | | | 18 | 18 | 0 | 0 |
| MP | 34 | 1 | 1 | | | | 36 | 35 | 1 | 0 |
| MH | 47 | 11 | 1 | | | | 59 | 58 | 1 | 0 |
| MT | 27 | 2 | | | | 1 | 30 | 29 | 0 | 1 |
| NL | 4 | | | | | | 4 | 4 | 0 | 0 |
| OD | 22 | 3 | | | | | 25 | 25 | 0 | 0 |
| PB | 26 | 1 | | | | | 27 | 27 | 0 | 0 |
| RJ | 84 | 13 | 6 | | | | 103 | 97 | 6 | 0 |
| SK | 5 | | | | | | 5 | 5 | 0 | 0 |
| TN | 20 | 3 | | 1 | | | 24 | 23 | 1 | 0 |
| TG | 4 | | | | | | 4 | 4 | 0 | 0 |
| UK | 14 | 3 | 2 | 1 | | | 20 | 17 | 3 | 0 |
| UP | 47 | 2 | 1 | | | | 50 | 49 | 1 | 0 |
| WB | 13 | | | | | | 13 | 13 | 0 | 0 |
| Total | 600 | 86 | 14 | 3 | 0 | 1 | 704 | 686 | 17 | 1 |
| % of ACRs in various categories | 85.23 | 12.22 | 1.99 | 0.43 | 0.00 | 0.14 | 100 | 97.44 | 2.41 | 0.14 |

Appendix 4: APAR Data for 2014-15

| CADR ES | No of officers graded between 9-10 | No of officers graded between 8-8.9 | No of officers graded between 7-7.9 | No of officers graded between 6-6.9 | No of officers graded between 5-5.9 | No of officers graded < 5 | Sum-total | No of officers graded outstanding (between 8-10) = sum Column B+C | No of officers graded very good (between 6-7.9)= sum Column D+E | No of officers graded good and below (< 6)= sum Column F + G |
|---------------------------------|------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|---------------------------|-----------|---|---|--|
| UT | 103 | 16 | 1 | | | | 120 | 119 | 1 | 0 |
| AP | 85 | 17 | 4 | | | | 106 | 102 | 4 | 0 |
| AM | 76 | 5 | 3 | 1 | | | 85 | 81 | 4 | 0 |
| BH | 19 | 2 | | | | | 21 | 21 | 0 | 0 |
| CG | 90 | 22 | 7 | | | | 119 | 112 | 7 | 0 |
| GJ | 112 | 20 | 1 | | | | 133 | 132 | 1 | 0 |
| HY | 59 | 10 | 2 | 1 | | | 72 | 69 | 3 | 0 |
| HP | 38 | 6 | | 1 | | | 45 | 44 | 1 | 0 |
| J&K | 8 | 2 | | | | | 10 | 10 | 0 | 0 |
| JH | 26 | 1 | | | | | 27 | 27 | 0 | 0 |
| KN | 103 | 16 | 3 | | | | 122 | 119 | 3 | 0 |
| KL | 47 | 6 | 1 | | | | 54 | 53 | 1 | 0 |
| MP | 153 | 38 | 15 | 3 | 2 | | 211 | 191 | 18 | 2 |
| MH | 100 | 25 | 6 | | | | 131 | 125 | 6 | 0 |
| MT | 90 | 9 | 3 | | 2 | | 104 | 99 | 3 | 2 |
| NL | 7 | 3 | | | | | 10 | 10 | 0 | 0 |
| OD | 103 | 7 | 2 | | | | 112 | 110 | 2 | 0 |
| PB | 39 | 4 | 1 | | | | 44 | 43 | 1 | 0 |
| RJ | 51 | 16 | | | | | 67 | 67 | 0 | 0 |
| SK | 9 | | | | | | 9 | 9 | 0 | 0 |
| TN | 54 | 7 | 3 | | | 1 | 65 | 61 | 3 | 1 |
| TG | 66 | 23 | 3 | | | | 92 | 89 | 3 | 0 |
| UK | 44 | 10 | 2 | | | | 56 | 54 | 2 | 0 |
| UP | 146 | 7 | 2 | | | | 155 | 153 | 2 | 0 |
| WB | 31 | 3 | | | | | 34 | 34 | 0 | 0 |
| Total | 1659 | 275 | 59 | 6 | 4 | 1 | 2004 | 1934 | 65 | 5 |
| % of ACRs in various categories | 82.78 | 13.72 | 2.94 | 0.30 | 0.20 | 0.05 | 100 | 96.51 | 3.24 | 0.25 |

Appendix 5: APAR data for 2015-16

| CADRES | No of officers graded between 9-10 | No of officers graded between 8-8.9 | No of officers graded between 7-7.9 | No of officers graded between 6-6.9 | No of officers graded between 5-5.9 | No of officers graded < 5 | Sum-total | No of officers graded outstanding (between 8-10) = sum Column B+C | No of officers graded very good (between 6-7.9) = sum Column D+E | No of officers graded good and below (< 6) = sum Column F + G |
|---------------------------------|------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|---------------------------|-----------|---|--|---|
| UT | 126 | 19 | 4 | | | | 149 | 145 | 4 | 0 |
| AP | 91 | 2 | 1 | | | | 94 | 93 | 1 | 0 |
| AM | 49 | 3 | 1 | | 1 | | 54 | 52 | 1 | 1 |
| BH | 113 | 12 | 1 | 1 | | | 127 | 125 | 2 | 0 |
| CG | 120 | 21 | 4 | 2 | 1 | | 148 | 141 | 6 | 1 |
| GJ | 87 | 8 | 1 | 2 | | | 98 | 95 | 3 | 0 |
| HY | 53 | 8 | 1 | | | | 62 | 61 | 1 | 0 |
| HP | 67 | 4 | | | | | 71 | 71 | 0 | 0 |
| J&K | 18 | 1 | 1 | | | | 20 | 19 | 1 | 0 |
| JH | 69 | 7 | 5 | 1 | 1 | | 83 | 76 | 6 | 1 |
| KN | 62 | 8 | | 1 | | | 71 | 70 | 1 | 0 |
| KL | 33 | 1 | 1 | | | | 35 | 34 | 1 | 0 |
| MP | 194 | 38 | 17 | 4 | 1 | | 254 | 232 | 21 | 1 |
| MH | 151 | 32 | 10 | 2 | | | 195 | 183 | 12 | 0 |
| MT | 102 | 12 | 5 | 1 | 1 | 1 | 122 | 114 | 6 | 2 |
| NL | 27 | 5 | | | | | 32 | 32 | 0 | 0 |
| OD | 130 | 14 | | | | 1 | 145 | 144 | 0 | 1 |
| PB | 36 | 4 | | 1 | | | 41 | 40 | 1 | 0 |
| RJ | 19 | 2 | 3 | 1 | 1 | | 26 | 21 | 4 | 1 |
| SK | 9 | | | | | | 9 | 9 | 0 | 0 |
| TN | 48 | 12 | | | | 2 | 62 | 60 | 0 | 2 |
| TG | 83 | 13 | 4 | | | | 100 | 96 | 4 | 0 |
| UK | 55 | 6 | 1 | | 1 | | 63 | 61 | 1 | 1 |
| UP | 156 | 7 | | | | | 163 | 163 | 0 | 0 |
| WB | 36 | 2 | 1 | | | | 39 | 38 | 1 | 0 |
| Total | 1934 | 241 | 61 | 16 | 7 | 4 | 2263 | 2175 | 77 | 11 |
| % of ACRs in various categories | 85.46 | 10.65 | 2.70 | 0.71 | 0.31 | 0.18 | 100 | 96.11 | 3.40 | 0.49 |

Appendix 6: APAR data for 2016-17

| CADRE S | No of officers graded between 9-10 | No of officers graded between 8-8.9 | No of officers graded between 7-7.9 | No of officers graded between 6-6.9 | No of officers graded between 5-5.9 | No of officers graded < 5 | Sum-total | No of officers graded outstanding (between 8-10) = sum Column B+C | No of officers graded very good (between 6-7.9) = sum Column D+E | No of officers graded good and below (< 6) = sum Column F + G |
|---------------------------------|------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|---------------------------|-----------|---|--|---|
| UT | 141 | 18 | 1 | 1 | 1 | | 162 | 159 | 2 | 1 |
| AP | 102 | 2 | 1 | | | | 105 | 104 | 1 | 0 |
| AM | 95 | 8 | 1 | | | 1 | 105 | 103 | 1 | 1 |
| BH | 108 | 9 | 1 | 1 | | | 119 | 117 | 2 | 0 |
| CG | 117 | 18 | 4 | 2 | | | 141 | 135 | 6 | 0 |
| GJ | 126 | 13 | 1 | | | | 140 | 139 | 1 | 0 |
| HY | 113 | 11 | 2 | 1 | | 1 | 128 | 124 | 3 | 1 |
| HP | 89 | 6 | | | | | 95 | 95 | 0 | 0 |
| J&K | 52 | 7 | 5 | 1 | | | 65 | 59 | 6 | 0 |
| JH | 82 | 10 | 7 | 3 | | | 102 | 92 | 10 | 0 |
| KN | 65 | 2 | 1 | | | | 68 | 67 | 1 | 0 |
| KL | 77 | 12 | 2 | 1 | | | 92 | 89 | 3 | 0 |
| MP | 224 | 50 | 8 | | 2 | 1 | 285 | 274 | 8 | 3 |
| MH | 140 | 26 | 3 | 2 | | 1 | 172 | 166 | 5 | 1 |
| MT | 91 | 8 | 1 | | 1 | | 101 | 99 | 1 | 1 |
| NL | 18 | 3 | 1 | | | | 22 | 21 | 1 | 0 |
| OD | 118 | 10 | 5 | | | | 133 | 128 | 5 | 0 |
| PB | 33 | 1 | | | | | 34 | 34 | 0 | 0 |
| RJ | 25 | 5 | | | 1 | | 31 | 30 | 0 | 1 |
| SK | 17 | | | | | | 17 | 17 | 0 | 0 |
| TN | 30 | 3 | 1 | | | | 34 | 33 | 1 | 0 |
| TG | 88 | 24 | 3 | 1 | | | 116 | 112 | 4 | 0 |
| UK | 47 | | | | 1 | | 48 | 47 | 0 | 1 |
| UP | 149 | 6 | 2 | | | | 157 | 155 | 2 | 0 |
| WB | 43 | 2 | 1 | | | | 46 | 45 | 1 | 0 |
| Total | 2190 | 254 | 51 | 13 | 6 | 4 | 2518 | 2444 | 64 | 10 |
| % of ACRs in various categories | 86.97 | 10.09 | 2.03 | 0.52 | 0.24 | 0.16 | 100 | 97.06 | 2.54 | 0.40 |

Appendix 7: APAR data for 2017-18

| CADRES | No of officers graded between 9-10 | No of officers graded between 8-8.9 | No of officers graded between 7-7.9 | No of officers graded between 6-6.9 | No of officers graded between 5-5.9 | No of officers graded < 5 | Sum-total | No of officers graded outstanding (between 8-10) = sum Column B+C | No of officers graded very good (between 6-7.9) = sum Column D+E | No of officers graded good and below (< 6) = sum Column F + G |
|---------------------------------|------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|---------------------------|-----------|---|--|---|
| UT | 100 | 20 | 1 | | | | 121 | 120 | 1 | 0 |
| AP | 125 | 2 | | | | | 127 | 127 | 0 | 0 |
| AM | 31 | 3 | | | | | 34 | 34 | 0 | 0 |
| BH | 33 | 3 | | | | | 36 | 36 | 0 | 0 |
| CG | 123 | 24 | 5 | 3 | | 5 | 160 | 147 | 8 | 5 |
| GJ | 97 | 8 | 1 | 1 | | | 107 | 105 | 2 | 0 |
| HY | 40 | 6 | 1 | | | | 47 | 46 | 1 | 0 |
| HP | 57 | 3 | | | | | 60 | 60 | 0 | 0 |
| J&K | 39 | 2 | | | | | 41 | 41 | 0 | 0 |
| JH | 34 | 1 | 1 | 2 | | | 38 | 35 | 3 | 0 |
| KN | 24 | 1 | | | | | 25 | 25 | 0 | 0 |
| KL | 84 | 23 | 5 | 3 | | | 115 | 107 | 8 | 0 |
| MP | 86 | 12 | | | | | 98 | 98 | 0 | 0 |
| MH | 63 | 14 | 1 | | | 1 | 79 | 77 | 1 | 1 |
| MT | 80 | 8 | 1 | | | 3 | 92 | 88 | 1 | 3 |
| NL | 13 | 3 | | | | | 16 | 16 | 0 | 0 |
| OD | 120 | 3 | 3 | | 2 | | 128 | 123 | 3 | 2 |
| PB | 26 | 5 | 2 | | | | 33 | 31 | 2 | 0 |
| RJ | 46 | 9 | | | | | 55 | 55 | 0 | 0 |
| SK | 8 | 1 | | | | | 9 | 9 | 0 | 0 |
| TN | 44 | 6 | | | | | 50 | 50 | 0 | 0 |
| TG | 95 | 2 | 1 | | | | 98 | 97 | 1 | 0 |
| UK | 59 | 9 | | | | | 68 | 68 | 0 | 0 |
| UP | 113 | 9 | | | | | 122 | 122 | 0 | 0 |
| WB | 23 | | | | | | 23 | 23 | 0 | 0 |
| Total | 1563 | 177 | 22 | 9 | 2 | 9 | 1782 | 1740 | 31 | 11 |
| % of ACRs in various categories | 87.71 | 9.93 | 1.23 | 0.51 | 0.11 | 0.51 | 100 | 97.64 | 1.74 | 0.62 |

Appendix 8: APAR data for 2018-19

| CADRE S | No of officers graded between 9-10 | No of officers graded between 8-8.9 | No of officers graded between 7-7.9 | No of officers graded between 6-6.9 | No of officers graded between 5-5.9 | No of officers graded < 5 | Sum-total | No of officers graded outstanding (between 8-10) = sum Column B+C | No of officers graded very good (between 6-7.9) = sum Column D+E | No of officers graded good and below (< 6) = sum Column F + G |
|---------------------------------|------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|---------------------------|-----------|---|--|---|
| UT | 189 | 16 | 3 | 1 | | | 209 | 205 | 4 | 0 |
| AP | 65 | | | | | | 65 | 65 | 0 | 0 |
| AM | 128 | 13 | | | | | 141 | 141 | 0 | 0 |
| BH | 131 | 10 | 2 | | | | 143 | 141 | 2 | 0 |
| CG | 121 | 16 | 1 | | | 2 | 140 | 137 | 1 | 2 |
| GJ | 186 | 43 | 6 | | 1 | | 236 | 229 | 6 | 1 |
| HY | 34 | 4 | | | | | 38 | 38 | 0 | 0 |
| HP | 86 | 12 | 2 | | | | 100 | 98 | 2 | 0 |
| J&K | 55 | 2 | | | | | 57 | 57 | 0 | 0 |
| JH | 84 | 8 | 1 | | | | 93 | 92 | 1 | 0 |
| KN | 118 | 15 | 3 | | | | 136 | 133 | 3 | 0 |
| KL | 110 | 19 | 2 | | | | 131 | 129 | 2 | 0 |
| MP | 183 | 32 | 7 | | | | 222 | 215 | 7 | 0 |
| MH | 166 | 29 | 7 | 4 | | | 206 | 195 | 11 | 0 |
| MT | 107 | 8 | 1 | | | | 116 | 115 | 1 | 0 |
| NL | 38 | 12 | | | | | 50 | 50 | 0 | 0 |
| OD | 121 | 16 | 7 | | | | 144 | 137 | 7 | 0 |
| PB | 144 | 15 | 1 | 1 | | | 161 | 159 | 2 | 0 |
| RJ | 133 | 19 | 2 | | | | 154 | 152 | 2 | 0 |
| SK | 11 | | | | | | 11 | 11 | 0 | 0 |
| TN | 215 | 17 | 6 | 1 | | | 239 | 232 | 7 | 0 |
| TG | 112 | 7 | | | | | 119 | 119 | 0 | 0 |
| UK | 65 | 3 | | | | | 68 | 68 | 0 | 0 |
| UP | 197 | 10 | 1 | | | 1 | 209 | 207 | 1 | 1 |
| WB | 98 | 14 | | 1 | | | 113 | 112 | 1 | 0 |
| Total | 2897 | 340 | 52 | 8 | 1 | 3 | 3301 | 3237 | 60 | 4 |
| % of ACRs in various categories | 87.76 | 10.30 | 1.58 | 0.24 | 0.03 | 0.09 | 100 | 98.06 | 1.82 | 0.12 |

Appendix 9: APAR data for 2019-20

| CADRES | No of officers graded between 9-10 | No of officers graded between 8-8.9 | No of officers graded between 7-7.9 | No of officers graded between 6-6.9 | No of officers graded between 5-5.9 | No of officers graded < 5 | Sum-total | No of officers graded outstanding (between 8-10) = sum Column B+C | No of officers graded very good (between 6-7.9) = sum Column D+E | No of officers graded good and below (< 6) = sum Column F + G |
|---------------------------------|------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|---------------------------|-----------|---|--|---|
| UT | 189 | 16 | 1 | | 1 | 1 | 208 | 205 | 1 | 2 |
| AP | 88 | 1 | | | | | 89 | 89 | 0 | 0 |
| AM | 132 | 16 | 1 | 2 | | | 151 | 148 | 3 | 0 |
| BH | 139 | 13 | 1 | | | | 153 | 152 | 1 | 0 |
| CG | 116 | 10 | 3 | 1 | | | 130 | 126 | 4 | 0 |
| GJ | 176 | 38 | 3 | | | | 217 | 214 | 3 | 0 |
| HY | 25 | 3 | | | | | 28 | 28 | 0 | 0 |
| HP | 82 | 8 | | | | | 90 | 90 | 0 | 0 |
| J&K | 51 | 5 | | 1 | | | 57 | 56 | 1 | 0 |
| JH | 70 | | | | | | 70 | 70 | 0 | 0 |
| KN | 113 | 4 | 1 | | | | 118 | 117 | 1 | 0 |
| KL | 109 | 12 | 1 | | | | 122 | 121 | 1 | 0 |
| MP | 106 | 9 | 6 | | 1 | | 122 | 115 | 6 | 1 |
| MH | 112 | 15 | 3 | | | 1 | 131 | 127 | 3 | 1 |
| MT | 111 | 10 | 1 | | | | 122 | 121 | 1 | 0 |
| NL | 47 | 11 | 1 | | | | 59 | 58 | 1 | 0 |
| OD | 112 | 14 | 2 | | | | 128 | 126 | 2 | 0 |
| PB | 151 | 7 | 2 | | | | 160 | 158 | 2 | 0 |
| RJ | 186 | 22 | 1 | | | | 209 | 208 | 1 | 0 |
| SK | 18 | 1 | | | | | 19 | 19 | 0 | 0 |
| TN | 270 | 23 | 3 | | 1 | | 297 | 293 | 3 | 1 |
| TG | 111 | 23 | 1 | | | | 135 | 134 | 1 | 0 |
| UK | 30 | 1 | | | | | 31 | 31 | 0 | 0 |
| UP | 282 | 17 | 2 | | | 1 | 302 | 299 | 2 | 1 |
| WB | 83 | 3 | 1 | 1 | | | 88 | 86 | 2 | 0 |
| Total | 2909 | 282 | 34 | 5 | 3 | 3 | 3236 | 3191 | 39 | 6 |
| % of ACRs in various categories | 89.89 | 8.71 | 1.05 | 0.15 | 0.09 | 0.09 | 100 | 98.61 | 1.21 | 0.19 |

Appendix 10: APAR data for 2020-21

| CADRES | No of officers graded between 9-10 | No of officers graded between 8-8.9 | No of officers graded between 7-7.9 | No of officers graded between 6-6.9 | No of officers graded between 5-5.9 | No of officers graded < 5 | Sum-total | No of officers graded outstanding (between 8-10) = sum Column B+C | No of officers graded very good (between 6-7.9) = sum Column D+E | No of officers graded good and below (< 6) = sum Column F + G |
|---------------------------------|------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|---------------------------|-----------|---|--|---|
| UT | 236 | 12 | 3 | | | | 251 | 248 | 3 | 0 |
| AP | 154 | 1 | | | | | 155 | 155 | 0 | 0 |
| AM | 121 | 4 | 1 | | | | 126 | 125 | 1 | 0 |
| BH | 102 | 3 | 1 | | | | 106 | 105 | 1 | 0 |
| CG | 128 | 13 | 3 | 1 | 1 | 2 | 148 | 141 | 4 | 3 |
| GJ | 184 | 18 | | | | | 202 | 202 | 0 | 0 |
| HY | 28 | | | | | | 28 | 28 | 0 | 0 |
| HP | 32 | 1 | | | | | 33 | 33 | 0 | 0 |
| J&K | 43 | 3 | 1 | | | | 47 | 46 | 1 | 0 |
| JH | 92 | 4 | | | | | 96 | 96 | 0 | 0 |
| KN | 48 | 3 | | | | | 51 | 51 | 0 | 0 |
| KL | 74 | 2 | | 1 | | | 77 | 76 | 1 | 0 |
| MP | 239 | 79 | 25 | 8 | 3 | | 354 | 318 | 33 | 3 |
| MH | 187 | 25 | 3 | 2 | 2 | 1 | 220 | 212 | 5 | 3 |
| MT | 106 | 10 | 3 | | | | 119 | 116 | 3 | 0 |
| NL | 47 | 10 | 4 | 1 | | | 62 | 57 | 5 | 0 |
| OD | 127 | 5 | | | 1 | | 133 | 132 | 0 | 1 |
| PB | 135 | 6 | | | | | 141 | 141 | 0 | 0 |
| RJ | 180 | 8 | | | | | 188 | 188 | 0 | 0 |
| SK | 26 | 1 | 1 | | | | 28 | 27 | 1 | 0 |
| TN | 65 | | | | | | 65 | 65 | 0 | 0 |
| TG | 112 | 13 | | | | | 125 | 125 | 0 | 0 |
| UK | 58 | 2 | | | | | 60 | 60 | 0 | 0 |
| UP | 259 | 22 | 2 | 1 | | | 284 | 281 | 3 | 0 |
| WB | 75 | 9 | | 1 | | | 85 | 84 | 1 | 0 |
| Total | 2858 | 254 | 47 | 15 | 7 | 3 | 3184 | 3112 | 62 | 10 |
| % of ACRs in various categories | 89.76 | 7.98 | 1.48 | 0.47 | 0.22 | 0.09 | 100 | 97.74 | 1.95 | 0.31 |

Appendix 11: Questionnaire for feedback from key stakeholders

An assessment of utilization of annual performance appraisal reports as a tool for human resource management

Background: ACRs/Performance appraisal reports constitute an important document for annual assessment of the officers. The performance appraisal reports in various organisations capture important data on certain attributes of officers including domains/areas of future responsibility, assessment on personal attributes and functional competencies, pen picture, training needs assessment etc., which has a potential for use in various Human Resource Management (HRM) activities, viz. placement of officers in specific domains/assignments, skill upgradation/trainings etc.

As a part of dissertation in the Advanced Professional Programme in Public Administration (APPPA conducted by IIPA, a study is being undertaken to assess the utilization of the above-mentioned data generated through performance appraisal reports for various HRM activities, understand the limitations if any and suggest measures to further enhance the utilization of this data.

Your views are solicited on certain aspects of the performance appraisal process in your organisation. The information provided by you will be kept strictly confidential and will be used only for academic purpose at IIPA, New Delhi. The questionnaire will take less than 10 minutes to respond to.

This questionnaire is confidential and may not be circulated or shared with anyone else.

1. Name

2. Email

3. Service

- Defence
- Central Services Group A IAS
- IPS/IFoS
- State Civil Services
- Others

4. Status

- Serving
- Superannuated
- Resigned

5. If serving, length of service in Government

- < 10 years
- 10-20 years
- 20-30 years
- 30 years

6. In your organisation, what best describes the process of performance appraisal reports

- Fully disclosed
- Partially disclosed (certain sections of report are disclosed, while other sections are kept confidential)

- Only the adverse observations are disclosed
- Others

7. Do the performance appraisal reports in your organisation capture data on the Training needs of the officer for present and future job roles?

- Yes
- No

If answer to Question 7 is yes

7.A. Do you agree that the training needs identification in the performance appraisal report is not being done diligently?

- Strongly agree
- Agree
- Neutral
- Disagree
- Strongly disagree

7.B. In your experience, are the training programs being conducted by your Department/ Organisation meeting the training needs of the officers as identified in the performance appraisal reports?

- Yes
- No
- Maybe

8. Do the performance appraisal reports in your organisation capture data on the domains/areas of responsibility in which the officer would be most suitable in his future job roles?

- Yes
- No

If the answer to Question 8 is yes

8.A. What are your views on the statement that the exercise of identification of domains/ areas of responsibility for the officers in the performance appraisal reports is not being done diligently?

- Strongly Agree
- Agree
- Neutral
- Disagree
- Strongly Disagree

8.B. In your experience, are the identified domains captured in the performance appraisal reports taken into consideration while posting/placing the officers on various assignments

- Yes
- No
- May be

9. In your view, is the data generated by the performance appraisal reports being effectively utilised for the purpose of postings/placements and trainings/skill upgradation?

- Yes
- No
- May be

10. The performance appraisal reports are not being reported objectively/truthfully, ever since their disclosure has become mandatory. What are your views on this?

- Strongly Agree
- Agree
- Neutral
- Disagree
- Strongly Disagree

11. Majority of the officers are getting Outstanding grades in the performance appraisal reports. What are your views about this statement?

- Strongly Agree
- Agree
- Neutral
- Disagree
- Strongly Disagree

12. Do you agree that it is difficult to distinguish outstanding performers from average one based only on the assessments in the performance appraisal reports?

- Strongly agree

- Agree
- Neutral
- Disagree
- Strongly disagree

Measures for improvement of the performance appraisal system

What are your views on the following measures for improvement of the performance appraisal system?

1. Instead of a full disclosure, a system of partial disclosure may be introduced in the performance appraisal reports by adding a confidential section in them, which need not be disclosed to the officer reported upon

- Strongly Agree
- Agree
- Neutral
- Disagree
- Strongly Disagree

2. Fixing a ceiling on the number of officers who can be rated as outstanding by a reporting officer

- Strongly Agree
- Agree
- Neutral
- Disagree

- Strongly Disagree

3. Putting in place a mechanism whereby reporting officers who consistently rate officers too liberally or conservatively are flagged by an online database

- Strongly Agree
- Agree
- Neutral
- Disagree
- Strongly Disagree

4. Putting in place a mechanism of attaching an independent 360 degree/Multi source feedback report about officer reported upon as a part of the annual performance appraisal reports to be gathered from superiors, subordinates, peers, and other stakeholders etc.

- Strongly Agree
- Agree
- Neutral
- Disagree
- Strongly Disagree

5. Putting in place a system of taking 360 degree/Multi source feedback report from superiors, subordinates, peers, and other stakeholders etc. periodically, say every five years to assess the suitability of officers for various assignments.

- Strongly Agree
- Agree

- Neutral
- Disagree
- Strongly Disagree

6. Any other measures for improving the performance appraisal process?

Appendix 12: Suggestions from the stakeholders

1. The performance appraisal system is highly subjective. While some officers are giving outstanding grading to the undeserving, some other conservative officers are depriving truly deserving officers. At the same time, getting 360 degree reports may not serve the purpose apart from being time taking. Hence, a system to analyse the APARs by an independent team and take normative action to grade officers of a batch in ranks in a year according to their performance may be evolved, so that while selecting individuals for training or posts, this will come handy and the whole process of APAR writing will be fruitful.
2. Making APAR more objective and real time. Generally an OM/memo/warning/appreciation issued during the year loses significance by the end of year. The higher authority (who may not even be reporting/Reviewing/accepting) can be given an option that the said memo/letter/appreciation will be attached to APAR at the time of issue (real-time). This may result in greater accountability and more real time entry to APAR. There can of course be a process of removing or elaborating such entry while recording comments at the end of year.
3. 360 degree is not a good method if the appraisal is taken from somebody who is not on good terms or harbours jealousy then it will be a biased feedback. Need is for assessing the performance through a task done rating. Achievements of the officer need to be seen because that is what matters. The amount of work done by the individual in his official capacity and the

integrity should be impeccable. If performance and integrity are good the person deserves outstanding ratings.

4. We could think about mid-year or quarterly feedback which can be given to an officer. It could do wonders in clearing communication problems between officials. There should be clear guidelines on how feedback is to be given. It should be semi formal in nature. However, there has to be maturity on both sides to make this work. Most problems at work are a result of poor communication and the resulting misunderstanding. This could also be an opportunity for the reported official to share his/her concerns.
5. Many officers require honest feedback (single blind) from multiple sources for further improvements which need not be in the form of appraisal. Where public dealing is involved, a mechanism to capture public assessment may help though apparently difficult to remove manipulations. How about making pen-picture public or entire assessment public?
6. The ACR needs to be fully closed with no portion shown to the ratee. In lieu, a formal advisory may be given by the Initiating Officer to the Ratee indicating his views on the performance, expectations and areas of improvement.
7. I strongly support a system of continuous 360 degree assessment. However, to prevent misuse and ensure that there is no bias in such assessments, the pool from which this feedback is obtained could be made wider.
8. Fixing the performance indicators at the beginning of year must be a serious exercise by the reporting officer. It must be ensured it is entered in Sparrow beforehand.

9. The Reporting Officer should have discussion on performance with the reported officer at least thrice during the year for which he would write the report.
10. APARs should be oriented towards identifying best person for a job. This will also require the individual Service to define job specific requirements.
11. Total no of marks available to any officer should be fixed and he should not be allowed to exceed them.
12. Needs to be made objective....based on actual performance of the officer reported upon.
13. Competency based appraisal in place of individual attributes e.g. 70:30 ratio.
14. Fully confidential reports as in the Indian Air Force and Indian Navy may be introduced.
15. Make it more objective by giving goals to be achieved by year end.
16. Multi source feedback/ and independent integrity assessment.
17. Report from juniors also may be taken to asses officers.
18. APARs shall be linked to postings and training needs.
19. Pyramidical structure of promotion will be good.
20. Continuous feedback to officers. Make it more objective.
21. The Reporting Officer should have discussion on performance with the reported officer at least thrice during the year for which he would write the report.
22. There should be a system of monthly evaluation of officers on the performance indicators.
23. Posting & need for training must be done with due diligence by rigorous objective assessment of the officer best suited for the domain without any extraneous considerations; besides the security of tenure needs to be ensured.

24. Appraisal by a group of officers together rather than individually.
25. An important part of performance appraisal could be how effective the officer has been in delivering the actual desired/required services to the common people. But here also while taking feedback care should be taken in ignoring responses from certain chronic complainers/activists who try to malign the image of an officer who does not succumb to their pressure tactics. Same goes for those applicants who themselves do not comply with statutory requirements and tend to blame the officer for delays on that account. Thus the officer concerned should get a chance to explain his position on this criteria (a column can be incorporated in the APR form towards this end).
26. Introduce a system of formal guided discussion of areas of improvement and strong points between the two officers in question.
27. Use AI going forward! To gather and analyse relevant data, which can significantly reform the grading process and increase objectivity.
28. Total no of marks available to any officer should be fixed and he should not be allowed to exceed them.
29. First work standards should be fixed against which performance of officer can be measured. Attributes do not change from year to year. Hence major focus of assessment should be on performance against the standards fixed in the beginning of the year. In most cases targets or standards are not fixed.
30. The governance/ administrative system must give an exponentially increased importance to APAR, and slowly the seriousness will trickle down into the system.

31. A body/ committee may be entrusted the task of analysing filled APARs after views of accepting authority have been recorded, and point out any discrepancies/ shortcomings etc.
32. Superior officers should set target achievements at beginning of each year, in consultation with juniors, and fill APAR in view of that.
33. Subordinates should also be able to give inputs about their superior officers(in hierarchy) regarding atleast, say, leadership qualities etc.
34. 360 degree mechanism must be transparent and should be evidence-based.
35. No bar on writing ACR even if period is less than 90 days leaving it to the discretion of the Reporting Officer. ACR to be initiated as soon as the officer is transferred and not wait till end of the reporting year because Reporting officer may not remember well after considerable time. In case reporting officer gets transferred and had seen the performance for more than 90 days, ACR should be initiated within a week of his relinquishing the charge. Fact that reporting officer is assessing objectively or not may be included in the attributes of ACR of reporting officer. There should not more than one reporting, reviewing officer. In case officer holds more than one charge under different reporting officers, reporting officer in the chain of rendition may obtain feedback from others before reporting.
36. ACR of the supervisors to be made available to subordinates to enhance transparency. A section allowing individual to request trainings that will be most apt for him/ her to be included and reviewed every 2-3 years if an opportunity is given to support felt need of training by the officer. Investment in Human resources yields maximum dividend as they say human resource is the biggest asset with any organization.

37. Reducing the 10 point scale to a 4 point scale can be tried.
38. The 360 degree is a fraud on the constitution done by the government. It is a tool to settle scores by senior officer with juniors. Also those active will always ruffle feathers and hence their 360 will be bad. Those dumb will excel as it is happening now in GOI. There is no improvement for a common man life for the past 9 years.
39. In points given in the various parameters (out of 10), fixing approx. percentage of officers in general who would get 10, 9, 8 and so on would be effective. This is similar to practice in several schools/colleges particularly in foreign countries where there is a ceiling on percentage of students getting A, B and similar grades. However, this should not be done for an officer or an office. Imagine, having this ceiling in the Cab Sec office or PMO! Some other way, say by using online tool to compile, analyse and moderate, may be designed.
40. Please mandatorily take views of current Chief Secretary (CS). If required, take views of past CS and Personnel Department.
41. Should be oriented towards identifying best person for a job. This will also require the individual Service to define job specific requirements.
42. All officers should be required to submit an annual workplan to his reporting officer, clearly indicating targets, goal and previous achievement. Ratings should capture data from these self-declared goals.
43. Service suitability (of a particular posting) vis a vis delivery of results may be measured objectively. But being generalized nature of service designing a perfect model seems difficult. In addition to the existing system, five year evaluation through all the stakeholders may yield nearly some good results.

44. To be made more objective leaving less scope for biases of reporting authorities.
360 degree assessment is a must.
45. A system of accountability of the report writing officers.
46. Complete disclosure of property needs to be the part of APAR.
47. Instead of one appraisal at the end of year which can get biased, the marks can be awarded monthly by the reporting officer on few parameters which can then be aggregated at the end of the year. The monthly grading needs to be followed by employee counselling by the reporting officer/immediate supervisor.
48. Annual performance appraisal reports are a tool for development of officers. The APARs should facilitate a holistic development of the officers. It may be appropriate to consider periodic psychometric tests as a part of this exercise.