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CORPORATE OFFICE
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No. 500-25/2018/e-APAR/Pers.-I

Dated 05.04.2018

To,
All CGMs
BSNL Circles/Units.

Subject: - Comprehensive Guidelines on e-APAR-reg.

Reference: - This office letter No. 500-25/2015/e-APAR/Pers.-I Dated 23.02.2017

Vide this office letter under reference, the facility for filling Annual Performance Appraisal Report (APAR) through ESS portal for executives having Normal APAR structure (i.e. one Reporting officer and Reviewing officer APAR structure) except unabsorbed ITS group "A" officers had been introduced in BSNL from 01.04.2017 for APAR year 2016-17 onward.

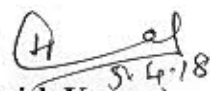
Now, the ERP Centre has developed the online APAR system for the remaining executives i.e. the executives having only Reporting APAR structure (PA/PS/PPS/Sr. PPS) and dual Reporting APAR Structure (as per BSNL CO Restructuring branch orders issued from time to time). Thus enabling all the serving executives except unabsorbed ITS group "A" officers in BSNL to fill their APARs through ESS portal.

As the facility for e- filling of APAR through ESS Portal for all serving executives in BSNL has been developed, the management has decided and make it compulsory for all executives except unabsorbed ITS group "A" officers to fill their Annual Performance Appraisal Report (APAR) online w.e.f. 01.04.2018 for financial year 2017-18 onwards.

The e-filling of the APAR not only enable us to conduct time bound/ fast DPC in BSNL but also bringing transparency, efficacy by saving time, money and valuable human resources.

The guidelines issued vide letter under reference above with some additional provisions are retreated and enclosed as **Annexure-I** for strict adherence for successful implementation of **e-APAR/e-DPC** in BSNL.

This issue with the approval of the competent authority


(Manish Kumar)
Jt. General Manager (Personnel)
BSNL CO, New Delhi

Enclosures: - Annexure-I:-e-APAR guidelines.

Annexure-II:-DOP&T OM dated 23th July 2009.

Annexure-III:-DOP&T OM dated 16.02.2009.

Comprehensive Guidelines on e-APAR

A. General Guidelines:-

1. The APAR shall be initiated, reported, reviewed and disclosed through ESS portal, via a separate Tap (**APAR**) provided in ESS login of each executive.
2. The APAR for year 2017-18 for all group A and B executives **except un absorbed ITS group A officers** and those who are **on deputation to other department** shall be filled only through ESS Portal **w.e.f 01.04.2018 onward**.
3. The e-APAR system for executives having only reporting structure (PA/PS/PPS) and dual reporting system (as per BSNL restructuring branch letters) has been introduced from first time from this year, therefore the APARs for 2017-18 (part periods) which have already been initiated before 01.04.2018 need not be refilled through ESS Portal, as one time measure. This provision will cease to exist for subsequent years.
4. The **un absorbed ITS group A** officers shall fill their APAR through SPRROW, the online APAR system of DOT.
5. The executives who are on deputation shall continue to fill their APARs in Hard copy, as practice in their organization and sent the same to the concerned custodian (from where they have gone to deputation) at the end of financial year. The concerned APAR custodian shall make them online by filling the relevant data in to the portal as soon as he/she received the signed copy of APAR.
6. Four Sub heads have been provided under APAR tab for doing the activities related to APARs. These are as follows
 - a. **Self:** - All the activity related to executive itself such as initiation/ filling of APAR form, disclosure of APAR, making appeal and viewing of past/ current APAR shall be done under this sub head.
 - b. **Reporting officer:** - All the activity related to reporting of sub ordinates APARs shall be done under sub head.
 - c. **Reviewing officer:** - All the activity related to reviewing of sub ordinates APARs shall be done under sub head.
 - d. **Appellate officer:** - The activity related to appeals of sub ordinates against APAR grading/remarks shall be done under sub head.
7. The provision has been made in the system for informing the concerned by SMS/ e-mail regarding flow of APAR in the system.
8. The leave sectioned through ESS portal for the APAR period shall automatically be counted and displayed in Para 5 Part -I of APAR. It is mandatory that all pending leaves (pertaining to the APAR period) of sub ordinates be sectioned before 1st of April of financial year or before initiating the APAR (for Min term initiation of APAR).
9. Based on the APAR period and absence from duty, the effective working days shall be automatically be calculated by the portal and option shall be given to reporting/Reporting-1 officer to bypass the Grading/ comments, if the effective working days are less than 90 days. (Short Period APARs)

10. The provision has been made to view the saved content/data in prescribed APAR form at all stages i.e. at Initiation/Reporting/Reviewing by clicking View/Print tab provided in the login.
11. The mid period APAR (Part period APAR) shall be initiated immediately by the concerned executive, without waiting for completion of financial year on following condition:-
 - a) If, the executive himself has been transferred/ Retired or
 - b) If, the controlling officer of the executive i.e. reporting officer/Reporting Officer-1 is transferred/ Retired.Other than these two conditions, APAR shall be initiated from 1st April of the year ending financial year.
12. The provision has been made in the system for the Reporting/Reviewing officers who have been either Retired or transferred to other department outside BSNL to Report/Review the APARs of their subordinated within one month time. Their ESS Login (Only APAR Tab) shall be extended for a period of one month only from the date of retirement/ date of transfer from BSNL.
13. The APAR's which shall be initiated in mid of financial year shall be reported/ reviewed simultaneously by reporting/reviewing officers and should not be kept pending for closure of the financial year.
14. The time limit prescribed by DOP&T vide OM dated 23th July 2009 for writing/reporting/reviewing/ Appeal, shall be maintained while processing the part/ full period APAR.
15. The aggrieved person shall make appeal through ESS portal by uploading his/her representation under Sub head attachment provided in login.

B. Initiation of APAR (Self-appraisal initiation)

- 1.1 The APAR form is generated by clicking Subhead- **Self** under APAR tab. One has to select the type of APAR structure applicable to him/her, from the following radio tab:-
 - a. **Normal** APAR Structure: - Meant for those executives who are having **one reporting officer** and **reviewing officer**.
 - b. **Only Reporting** APAR Structure:- Meant for those executives who are having **only reporting officer** no reviewing officer (i.e. for PA/PS/PPS)
 - c. **Dual reporting** APAR Structure: - Meant for those executives who are having **two/dual reporting officers** and **reviewing officer** (i.e. for officer officers for which dual reporting is applicable as per BSNL restructuring cell orders.)

1.2 The executive has to fill/choose the following information to Generate APAR form

- i. Reporting period for which the APAR to be initiated
- ii. Correct APAR / Appraisal Templates from the available forms

Normal:-

1. Form-I (White) :- for Group B executives
2. Form-II (Yellow) :- for STS & JAG executives
3. Form-III (Green) :- for SAG & HAG executives

Only Reporting:-

1. APAR_PS_CSSS Form:- for PA/PS
2. APAR_PPS_CSSS Form:- for PPS/Sr PPS

Dual Reporting:-

1. Form-I (White)- Dual Reporting:- for Group B executives
2. Form-II (Yellow)- Dual Reporting:- for STS & JAG executives
3. Form-III (Green)- Dual Reporting :- for SAG & HAG executives

- iii. For routing the APARs to concerned reporting officer (s). The Personal Number (HRMS No) of reporting officer as maintained in ESS Portal has to be entered. The executives for which dual reporting structure is applicable, shall enter the personal numbers of both reporting officers (i.e. Reporting officer-1 and Reporting officer-2).

1.3 After Generating the APAR form, appraisal is to be filled through **Self → Inbox**.

1.4 The signed copy of IPMS score card approved by the controlling officer at the beginning of the financial year is mandatory to be uploaded before submitting the APAR to reporting officer.

1.5 One can also upload the scanned copy of awards/certificates etc. (upto 2Mb of Size only) received during the period before submitting the APAR to the reporting officer.

1.6 The form can be saved before submitting to reporting officer, so as to see if any correction is required before its final submission.

1.7 After submitting the APAR form it will reach to inbox of reporting officer with SMS/ email alert to concerned initiator and reporting officer.

C. Reporting

1. All self-appraisal of sub ordinate staff shall appear in the APAR Tab of reporting officer under subhead: - **Reporting Officer**.
2. The reporting officer Sub tab is further divided as Reporting officer and Reporting officer 2.
3. The reporting of APARs (Normal/ Only reporting/ Reporting of APAR by Reporting officer-1, in case of dual reporting structure) of subordinates shall be done through Reporting officer tab.

4. The Reporting of APAR by Reporting officer-2 (In case of dual reporting structure) shall be done under sub Head Reporting officer-2.
5. For routing the APARs to respective Reviewing officer, his/her personal number needs to be first entered by the reporting officer under Subhead "Maintain Reviewing Officer" before grading the APARs.

Normal APAR structure: -

The Reporting officer shall enter the Personal number of reviewing officer under Subhead "Maintain Reviewing Officer

Only Reporting APAR structure:-

There is no need to maintain Reviewing officer for APARs initiated by PA/PS/PPS, as in their case the reviewing of APAR is not applicable.

Dual Reporting APAR structure:-

The Reporting officer-2 has to enter the Personal number of reviewing officer under Subhead "Maintain Reviewing Officer for dual reporting structured APARs.

6. The reporting officer shall assign the numerical graded as well as the comments in APAR as per the DOP&T Guidelines.
7. The content of APAR can be saved before submitting to reviewing officer, so as to see if any correction is required before final submission.
8. In case of doubtful integrity, Reporting Officer shall have to attach the document(s) establishing doubtful integrity of the employee.
9. As a pre requirement for e-DPC and also to avoid ambiguity, the reporting officer (s) has to clearly spell out the comments he/she is offering in Pen picture of reporting part of APAR, by selecting one from Normal comment/ Adverse comment. The Adverse comment needs to be justified properly.
10. The provision has been made for Reporting officer/ Reporting Officer-1/Reporting officer-2 to revert back the APAR to initiator, in case it is wrongly routed to him/her. In case reporting officer-2 revert back the APAR to initiator, the self-appraisal and reporting Officer-1 Portion of APAR will be masked/non visible to Initiator. In such cases the Initiator has to only update the correct reporting officer-2 and re-submit the APAR.
11. APAR having less than 3 months period, shall be maintained as per the existing guidelines.
12. The reporting officer shall initiate and report the APARs of those executives who failed to initiate their APAR in due time, as per the existing guidelines. The Path for initiating APARs of sub ordinates by Reporting Officer/ Reporting officer-1, as the case may be is:-

ESS login → Manager Self-Service → Initiate APAR for Subordinates

D. Reviewing

1. The reviewing of all reported APAR's except APARs of PA/PS/PPS, shall be done under subhead :- **Reviewing Officer**
2. Reviewing officer shall review the APAR's of sub ordinates as per the prevailing guidelines.
3. As a pre requirement for e-DPC and also to avoid ambiguity, the reviewing officer has to clearly spell out the comments he/she is offering in Pen picture of reviewing part of APAR, by selecting one from **Normal comment/ Adverse comment**. The Adverse comment needs to be justified properly
4. The provision has been made to save the content/data before its final submission.

E. Disclosure

1. As soon as APAR is reviewed by the reviewing officer, or reported by the reporting officer for the case of APARs of PA/PS/PPS, same will appear in the login of initiator for disclosure. Initiator will get SMS/e-mail alert for that.
2. In case the initiator satisfy with the remarks/ grading given in APAR, he/she may submit the APAR by selecting agreed option, and the process of APAR is completed.
3. In case, the Initiator disagree with the assessment made by the Reporting/Reviewing officer in the APAR, he/she may select disagreement option and submit a representation/appeal against APAR remarks/ grading within 15 days of disclosure of APAR, as per existing guidelines.

F. Appeal

1. Aggrieved person may make appeal through his login and also upload the supporting documents under Tab Attachment.
2. In case if appeal could not be initiated within 15 days from the date of disclosure of APAR, the APAR grading/remarks shall be treated as final and the right for making appeal shall be seized.
3. The Appeal shall be routed through the Reviewing officer/ Reporting officer (for PA/PS/PPS only). The Reviewing officer/ Reporting officer, as the case may be, shall route the appeal of an aggrieved person to the **APAR custodian/Admin** by putting his/her Personal Number, in following way
 - a. **To APAR custodian/Admin at SSA**, in case appellate authority is SSA level officer i.e. Appellate Authority is either SSA head or below SSA Head level officer.
 - b. **To APAR custodian/Admin at Circle**, if appellate authority is Circle level officer i.e. Appellate Authority is either CGM or PGM/ GM Posted at Circle office.
 - c. **To APAR custodian/Admin at Corporate office**, if appellate authority is corporate level officer i.e. Appellate Authority is either CMD BSNL or Board of Directors or PGM/GM Posted at Corporate office.

4. The decision making process of the appeal shall be offline i.e. process of calling comments from reporting/ reviewing officer and decision of appellate authority shall be done outside ESS Portal.
5. The decision (Grading & Remarks) of appellate authority shall be filled in the ESS portal by concerned **Administrator/ Custodian** made at each level viz SSA/Circle/ BSNL CO level.
6. The decision of appellate authority regarding (grading and remarks) shall be treated as final for all intents and purposes.
7. There is no provision of Second Appeal/ Review of Appeal against decision of Appellate Authority as per DOP&T guidelines endorsed by this office letter No 400-106/2011-Pers-I Dated 13.07.2011.

G. Special Cases

a. Mid Term APARs

- i. As soon as the executive himself transferred/retired or his/her Reporting officer/ or Reporting officer-1 transferred/ retired, the APAR shall be initiated.
- ii. Reporting/ Reviewing of APAR shall be done accordingly within one month time.
- iii. Such initiated APARs should not be kept pending for end of the financial year.

b. Short Period APARs

- i. If the effective working days for APAR (period) are less than 90 days, in such cases the Reporting officer/Reporting Officer-1(for dual reporting structure) may bypass the grading/ comments in the APAR, but same has to be completed in the system.
- ii. At latter stages, such APARs are simply be completed (Without assigning grades/ Comments) in the Portal. The Reporting officer-2 (for dual reporting Structure)/ Reviewing officer needs to simply complete such APARs in the Portal. The Grading/ Comments Part at latter stages of such APARs shall be grey out.
- iii. The ESS Portal shall automatically calculate the effective working days of APAR period, in following manner

[Effective Working Days = APAR Period – Number of days of absence from duty]
(Leave Sectioned in ESS Portal)

H. Role of Administrator/ Custodian

- a) Administrator/ Custodian shall be made at SSA, Circle and BSNL CO level.
- b) APAR Administrator/ Custodian shall **monitor the processing of APARs** under his/her jurisdiction and intimate its progress to the Unit head, so as to complete APARs within time line prescribed by DOP&T OM dated 23th July 2009.

- c) Administrator/ Custodian shall process the case (outside ESS) of uncompleted APARs (i.e. APAR initiated in the ESS but not reported/not reviewed, Reported but not reviewed) to the unit Head for issuing of **No Report /No Review certificate** as per DOP&T OM dated 16.02.2009. The scan copy of No Report /No Review certificate shall be attached with the relevant APAR and same may be completed in the system by the Administrator/ Custodian.
- d) Administrator/ Custodian shall coordinate with the L2 (Circle level)/L3 team (At ERP Centre) for extension of ESS loin (Only APAR Tab) of Retired/ transferred (Out Side BSNL) Reporting/ Reviewing officer for a period of one month, so that they may Report/Review the APARs of their sub ordinates.
- e) Administrator/ Custodian shall be **authorized to feed the details into the system**, i.e making online entry into the e- APAR system of legacy period (previous year APAR) data or offline APAR data.
- f) Administrator/ Custodian shall be **responsible for the settlement of all appeals cases** routed to his/ her account. The appeal case shall be processed by the custodian/Administrator outside ESS and same shall be submitted to the appellate authority for decision.
- g) Administrator/ Custodian shall be authorized **to upload the signed reported/ reviewed APAR**, of officers on deputation to other department and also authorized to upload the judgment of appellant authority etc. into the system.
- h) Administrator/ Custodian shall be **authorized for shorting out any discrepancies** related to APAR.
- i) Administrator/ Custodian shall be **authorized to issue a certified copy of system generated APAR**, on need basis.

I. APAR REPORT:

- **APAR STATUS REPORT:** There is provision to take report to track status of APAR for admin or for monitoring purpose of all employees. T-code for APAR status report are **"ZHR_APAR_STATUS. And ZHR_APAR_CUSTODIAN** :- This report can be taken at Circle wise, SSA wise, all India individual employee wise and financial year wise.
- **APPELLATE REPORT:** This report produces data of those APAR cases which goes to Appellate authority. T-code for this report is **"ZHR_APPELLATE_REPORT"**.

APAR process manual has been uploaded on ERP help desk Portal website – **<http://10.197.216.213/> → Module → HCM →PROCESS WISE MANUALS → "APAR and DPC process User Manual"**. For any query/feedback please contact-

- Mr. D S Jadaun , DM(APAR), BSNL CO (T. No- 011-23328815)
- Mr. Vijay Kumar, DM, HCM Core team (Office LL 0120-2755034)
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