



## **ALL INDIA BANK OFFICERS' CONFEDERATION**

(Registered under the Trade Unions Act 1926, Registration No: 3427/Delhi)

State Bank Buildings, St. Mark's Road, Bangalore – 560 001

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**CIRCULAR NO.16**

**DATE: 19.03.2013**

**TO ALL AFFILIATES /MEMBERS:**

### **ANNUAL PERFORMANCE REPORTING SYSTEM SHARING OF REPORT WITH OFFICIALS CONCERNED TRANSPARENCY IN THE SYSTEM OF ANNUAL APPRAISALS**

One of the contentious issues that were being pursued by the Confederation both at the IBA level as well as at the bank level by our affiliates has been the need for a transparent system of Annual Appraisal System in respect of the Officers in the banking industry. The reporting system plays an important role when it comes to the question of career prospects of our members in particular at the time of the promotion exercise by the banks at various levels. The Government of India issued a detail notification in the year 2009 for the purpose of streamlining the system of confidential reporting. The 2<sup>nd</sup> Administrative Reforms Commission which is known for its pragmatic and practical approach had an occasion to examine the existing Annual Performance Reporting System and come to the conclusion that the Appraisal System is meant for the guidance of the officials concerned in the various institutions and they should be conscious of their performance and its ranking by their superiors so that they are able to do well in their promotional process.

**2.** It is in this background that the Government has issued detailed guidelines to various departments for compliance, in regard to the entries in the ACRs in the case of civil services under the Government of India. The details are as follows:-

- i. The existing nomenclature of the Annual Confidential Report will be modified as Annual Performance Assessment Report (APAR).

- ii. The full APAR including the overall grade and assessment of integrity shall be communicated to the concerned officer after the Report is complete with the remarks of the Reviewing Officer and the Accepting Authority wherever such system is in vogue. Where Government servant has only one supervisory level above him as in the case of personal staff attached to officers, such communication shall be made after the reporting officer has completed the performance assessment.
- iii. The Section entrusted with the maintenance of APARs after its receipt shall disclose the same to the officer reported upon.
- iv. The concerned officer shall be given the opportunity to make any representation against the entries and the final grading given in the Report within a period of fifteen days from the date of receipt of the entries in the APAR. The representation shall be restricted to the specific factual observations contained in the report leading to assessment of the officer in terms of attributes, work output etc. While communicating the entries, it shall be made clear that in case no representation is received within the fifteen days, it shall be deemed that he/she has no representation to make. If the concerned APAR Section does not receive any information from the concerned officer on or before fifteen days from the date of disclosure, the APAR will be treated as final.
- v. The new system of communicating the entries in the APAR shall be made applicable prospectively only with effect from the reporting period 2008-09 which is to be initiated after 1<sup>st</sup> April 2009.
- vi. The competent authority for considering adverse remarks under the existing instructions may consider the representation, if necessary, in consultation with the reporting and/or reviewing officer and shall decide the matter objectively based on the material placed before him within a period of thirty days from the date of receipt of the representation.
- vii. The competent authority after due consideration may reject the representation or may accept and modify the APAR accordingly. The decision of the competent authority and the final grading shall be communicated to the officer reported upon within fifteen days of receipt of the decision of the competent authority by the concerned APAR Section.

**3.** The banking industry is yet to implement the spirit of these guidelines in the reporting system. The reporting system as per the views

of the 2<sup>nd</sup> Administrative Reforms should be more of consultative in nature and should be transparent to enable the officials concerned to improve their performance. It is in this background, we have to-day addressed a communication to the Chairman, Indian Banks' Association, Mumbai requesting them to issue necessary instructions to all the Banks for the implementation of the above guidelines. A copy of our communication along with the Notification issued by the Government is enclosed.

**4.** All our affiliates/members are requested to await for further developments in the matter.

With greetings,



**(D.S.RISHABADAS)**  
**GENERAL SECRETARY**



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**No.1452/20/13**

**19.03.2013**

To,  
**The Chairman,**  
Indian Banks' Association,  
Stadium House, 6<sup>th</sup> Floor,  
Block No.3, Veer Nariman Road,  
**MUMBAI – 400 020.**

Dear Sir,

**MAINTENANCE AND PREPARATION OF ANNUAL PERFORMANCE  
APPRAISAL REPORTS  
NOTIFICATION ISSUED BY GOVERNMENT OF INDIA,  
MINISTRY OF PERSONNEL, PUBLIC GRIEVANCES  
NEED TO IMPLEMENT THE SAME IN BANKING INDUSTRY**

We forward a copy of the Notification issued by the Government of India as early as in the year 2009 itself, giving out the broad guidelines in regard to the maintenance of confidential reporting system meant for the civil servants in the Government. Later on, the Ministry of Finance Department of Financial Services issued a Notification on 28<sup>th</sup> January, 2013 advising all Public Sector Banks to implement the scheme in their respective Banks. The spirits of the guidelines are equally applicable to us in view of the tremendous expansion and the large scale recruitment that is taking place in the Banking Industry. The new entrants in the industry are coming with a lot of expectation they would like to know their performance and wish to have it in a more transparent manner to enable them to draw appropriate conclusion and thus shape their performance in their functioning in order to prosper in their career in the banks.

**2.** The Confederation has been demanding for a long time a more robust and transparent system of promotion considering the tremendous opportunity that is now available to the new generation of employees who are joining in the bank from a highly competitive environment. Hence, there is a need to review the existing appraisal system prevailing in the banks and come out with a broader and practical system of appraisal to ensure a fair and equitable opportunity to all the employees in the banks.

**3.** Please therefore ensure that the guidelines issued by the Government are complied with by not only Public Sector Banks but also all the Banks and to incorporate these provisions in their respective performance appraisal system in order to make the system more competitive and transparent one.

Please treat the matter as urgent.

Thanking you,

Yours faithfully,

A handwritten signature in black ink, appearing to read 'D.S. Rishabadas', written in a cursive style.

**(D.S.RISHABADAS)**  
**GENERAL SECRETARY**

F.No.9/5/2009-1R  
Government of India  
Ministry of Finance  
Department of Financial Services

Jeevan Deep Building  
Parliament Street,  
New Delhi, the 28<sup>th</sup> January, 2013

To

The CEOs of all Public Sector Banks  
(including IDBI)

Subject - Communication of entries of Annual Performance Appraisal  
Reports

Sir,

I am directed to refer to the above cited subject and to request you to take note of contents of DoPT's OM No.211011/1/2003-Estt(A)(PT-4) dated 14<sup>th</sup> May, 2003 (copy enclosed) and ensure compliance of provisions of OM in view of the judgement of Hon'ble Supreme Court in the case of Shri Dev Dutt Vs. Union of India (Civil Appeal No.7631 of 2002).

2. This issues with approval of Secretary (FS)

Yours faithfully,

  
(Manish Kumar)

Under Secretary to the Government of India  
Ph. No.2374842

Encl. as above

