CHAPTER – 6

PERFORMANCE APPRAISAL IN EME

The purpose of performance appraisal is to improve the organisational performance through the enhanced performance of the individual.

6.1 Importance of Performance Appraisal.

Mihir K Basu, Professor and Head of Department of Business Administration of Indian Institute of Social Welfare and Business Management, Calcutta defines managerial performance appraisal as “a formal exercise in which an organization makes an evaluation in a documented form of its managers, in terms of contributions made towards achieving organizational objectives in terms of attributes and behaviour demonstrated for making whatever objectives the organization may consider relevant”.

As brought out earlier, the Indian Armed Forces are the second largest employer of people in India and has cadre strength of 53,000 officers. These officers are deployed across the length and breadth of the country and carrying out tasks in extremely hostile environment. It is essential that they are adequately assessed and rewarded for their work. Performance appraisals are widely used in the society. In government organisations and Indian Defence Forces (including the Corps of EME), this is more popularly known as Confidential Reports (CRs) or Annual Confidential Reports (ACRs). The history of performance appraisal can be dated back to the 20th century and then to the second world war when the merit rating was used for the first time. An employer evaluating their employees is a very old concept. Performance appraisals are an indispensable part of performance measurement. Performance appraisal is necessary to measure the performance of the employees and the organization to check the progress towards the desired goals and aims. In fact a form of appraisal starts from early childhood, where the parents, teachers, peers etc are continuously appraising.

Performance appraisal is the process of obtaining, analyzing and recording information about the relative worth of any employee. The focus of the performance appraisal is measuring and improving the actual performance of the employee and also the future potential of the employee. Its aim is to measure what an employee does. According to Flippo\textsuperscript{95}, a prominent personality in Human resources, "\textit{performance appraisal is the systematic, periodic and an impartial rating of an employee's excellence in the matters pertaining to his present job and his potential for a better job.}"

Performance appraisal is a systematic way of reviewing and assessing the performance of an employee during a given period of time and planning for his future. It is a powerful tool to calibrate, refine and reward the performance of the employee. It helps to analyze his achievements and evaluate his contribution towards the achievements of the overall organizational goals. By focusing the attention on performance, performance appraisal reflects the management’s interest in the progress of the employees.

The main \textbf{objectives} of Performance Appraisal are the following:-

(a) To review the performance of the employees over a time period.
(b) To judge the gap between the actual and the desired performance.
(c) To help the management in exercising organizational control.
(d) Helps to strengthen the relationship and communication between superior – subordinates and management – employees.
(e) To diagnose the strengths and weaknesses of the individuals so as to identify the training and development needs of the future.
(f) To give feedback to the employees regarding their past performance.
(g) Provide information to assist in other decisions in the organisation.
(h) Provide clarity of the expectations and responsibilities of the functions to be performed by the employees.
(i) To judge the effectiveness of the other human resource functions of the organization such as recruitment, selection, training and development.
(j) To reduce the grievances of the employees.

All soldiers differ in their abilities and their aptitudes. There is always some
difference between the quality and quantity of the same work, on the same job,
being done by two different people. Therefore, performance management and
performance appraisal is necessary to understand each soldier’s abilities,
competencies and relative merit and worth for the army. Performance appraisal
rates the individual soldier in terms of their performance. The focus of the army is
now turning to performance management and specifically to individual
performance. Performance appraisal helps to rate the performance of the soldier
and evaluate his contribution towards the goals as defined by his supervisors. If
the process of performance appraisals is formal and properly structured, it helps
the individual to clearly understand their roles and responsibilities and give
direction to the individual’s performance. It helps to align the individual
performances with the organizational goals and also review their performance.
Performance appraisal system followed in the Indian army takes into account the
past performance of the individual and focuses on further improvement.

The study would be incomplete without understanding the current global
trends. Further performance review process is incomplete without the feedback to
the employees. The feedback could be given in the review discussion. Review
discussions could be semi formal, scheduled, periodic interactions – usually
bimonthly or quarterly – between a manager and his employee. The basic purpose
of the review discussion is to analyze the performance of the employee in the past
to improve the performance of the employee in future. The manager uses this
opportunity to:-

(a) Review the performance of the each employee individually.
(b) Discuss the problems faced by the employees, the solutions tried
and the degree of success achieved in solving the problems faced.
(c) Revisit with the employee, his/ her annual plan for the remaining time
period and develop revised action plans, if necessary.
(d) Review discussions; reassure the employees that each one of them
has structured opportunities for one to one interaction with the manager
once every three months during the year.
These opportunities are important as they provide an important chance for performance monitoring or development mentoring. The aim of the performance review discussions is to share perceptions, solve the problems faced during the course of the action, decide on the new goals jointly and provide a feedback to the employee for the past performance as per his strengths and weaknesses and also help to chart out a career plan for the employee. The focus of these performance review discussions should not be to judge the employees’ past performance; rather it should motivate the employee to improve his future performance/behaviour.

6.2 Methods of Performance Appraisal

The performance appraisal process has become the heart of the human resource management system in the organisations. Performance appraisal defines and measures the performance of the employees and the organisation as a whole. It is a tool for accessing the performance of the organisation. The important issues concerning performance appraisal in the present world are:-

(a) The focus of the performance appraisals is turning towards career development relying on the dialogues and discussions with the superiors.
(b) Performance measuring, rating and review systems have become more detailed, structured and person specific than ever before.
(c) Performance related pay is used as a strategy by the organisations.
(d) Trend towards a 360-degree feedback system
(e) The problems in implementation of performance appraisal processes are being anticipated and efforts are being made to overcome them.
(f) In India, the performance appraisal processes are faced with a lot of obstacles like lack of quantifiable indicators of the performance.

The emergence of following concepts and the following trends related to Performance appraisal can be seen in the global scenario:-

(a) Grading Method. Under this system, the appraiser or rater appraises the employees or ratees on the basis of selected qualities and

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awards some grades or points. These qualities include analytical ability, cooperativeness, dependability, self expression, job knowledge, judgment, leadership, organising skills etc. These employees are then rated as outstanding, very good, average, fair, poor etc. Depending on their respective overall rating, they are considered fit or not fit for higher post/ responsibility/ promotion etc.

(b) **360 Degrees Appraisal.** 360 degrees feedback, also known as 'multi-rater feedback', is the most comprehensive appraisal where the feedback about the employees’ performance comes from all the sources that come in contact with the employee on his job as shown at Figure – 6.1. Organisations are increasingly using feedback from various sources such as peer input, customer feedback, and input from superiors. Different forms with different formats are being used to obtain the information regarding the employee performance.

![Figure - 6.1 : 360° Performance Appraisal](image)
(c) **Appraisal by Results or MBO.** The concept of Management by Objectives (MBO) was developed by Peter Drucker\(^\text{97}\) in 1954. MBO is defined as a process whereby the superior and subordinate managers of an organization jointly identify its common goals, define each individual’s major areas of responsibility in terms of results expected of him and use these measures as guides for operating the units and assessing the contributions of each of its members. In other words, MBO involves appraisal of appraisal of performance against clear, time bound and mutually agreed job goals. It is also known as Work Planning and Review of Goal Setting approach to appraisal. It thus removes subjectivity from the appraisal system and in its place brings objectivity and transparency. The MBO process consists of four distinct processes: Setting of organisational goals, defining performance targets, performance reviews and feedback. The main objectives of MBO are the following:-

(i) To foster the increasing competence and growth of the subordinates.
(ii) To measure and judge performance.
(iii) To make judgments about salary and promotion.
(iv) To act as a device for organisational control and integration.
(v) To stimulate the motivation of the subordinates.
(vi) To enhance communication between superior and subordinates.

(d) **Team Performance Appraisal\(^\text{98}\).** According to a Wall Street journal headline, “Teams have become commonplace in U.S. Companies”. Most of the performance appraisal techniques are formulated with individuals in mind i.e. to measure and rate the performance of the individual employee. Therefore, with the number of teams increasing in the organisations, it becomes difficult to measure and appraise the performance of the team. The question is how to separate the performance of the team from the performance of the employees. A solution to this problem that is being adopted by the companies is to measure both the individual and the


team performance. Sometimes, team based objectives are also included in the individual performance plans.

(e) **Rank and Yank Strategy**\(^9^9\). Also known as the “Up or out policy”, the rank and yank strategy refers to the performance appraisal model in which best-to-worst ranking methods are used to identify and separate the poor performers from the good performers. Then the action plans and the improvement opportunities of the poor performers are discussed and they are given to improve their performance in a given time period, after which the appropriate HR decisions are taken. Some of the organisations following this strategy are Ford, Microsoft and Sun Microsystems.

(f) **Behaviorally Anchored Rating Scales**\(^1^0^0\) (BARS). This method combines graphic rating scales with critical incidents method. BARS are descriptions of various degrees of behaviour relating to specific performance dimensions. In this method, critical areas of job performance and the most effective behaviour for getting results are determined in advance. The rater records the observable job behaviour of an employee and compares these observations with BARS. In this way an employee’s actual job behaviour is judged against the desired behaviour. The major steps involved in BARS are:

1. Identify critical incidents.
2. Select performance dimensions.
3. Retranslate the incidents.
4. Assign Scales to incidents.
5. Develop final instrument.

BARS method has several advantages:

1. The ratings are more accurate as these are done by experts.
2. The method is more reliable and valid as it is job specific and identifies observable and measurable behaviour. The rater’s bias is reduced. Systematic clustering of critical incidents helps in making the dimensions independent of each other.
3. Ratings are likely to be more acceptable due to employee participation.

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\(^1^0^0\) Dessler, Gary., *Management of Human Resources*, New Delhi, Prentice Hall, 1999.
(iv) The method provides a basis for setting developmental goals for ratees as it differentiates between performance and results.

(v) The use of critical incidents is useful in providing feedback to the employee being rated.

Several appraisal forms are required to accommodate different types of jobs in an organisation. Despite its institutive appeal, this method in not necessarily superior to the traditional methods of appraisal. BARS method suffers from the following drawbacks:-

(i) It is time consuming/expensive to develop BARS for every job.

(ii) Behaviours are more activity-oriented than results-oriented.

6.3 Performance Appraisal System in Army

Army has laid down an Army order which lays down the appraisal policy. Army Order\textsuperscript{101} states “The aim of a Confidential Report is to have an objective assessment of officers’ competence, employability and potential as observed during the period covered by the report, primarily for organizational requirements. All reporting officers must therefore, be fair, impartial and objective in their assessment”. Army follows a partially–open system where the assessment of the IO/FTO under the Personal Qualities, and Demonstrated Performance Variables is shown to the Ratee along with any adverse remarks by the RO/SRO in any portion of the report. In contrast the Navy and the Air Force follow a closed system in which no part of the report is ever shown to the Ratee except adverse comments.

The promotion to higher rank in EME is based on following service period:-

(a) Sub Maj (Technical & Artizen) - 30 Years
(b) Subedar (Technical) - 22 Years
(c) Subedar (Artizian) - 24 Years
(d) Naib Subedar (Technical) - 17 Years
(e) Naib Subedar (Artizen) - 21 Years
(f) Havildar Major Technical - 11 Years
(g) Havildar - 14 Years
(h) Naik - 10 Years.

\textsuperscript{101} Army Headquarters, Army Order 45/2001.
In the Corps of EME recruitment to all trades (except few having insignificant numbers) are done at Sepoy / Craftsman level. The promotions are vacancy based. Promotions to higher ranks are based on seniority / selection subject to meeting the laid down qualitative requirement. The existing manpower planning is done based on anticipated wastages of manpower in various trades.

Army uses the ‘Numerical Rating Scale’ method of assessment with Range as 1-9. For Army officers and JCOs/OR, the prevalent appraisal system is a nine point grading system. The grade attached to the numerals is as under: -

<table>
<thead>
<tr>
<th>GRADING</th>
<th>EXPLANATION</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Below Average</td>
</tr>
<tr>
<td>2&amp;3</td>
<td>Low Average</td>
</tr>
<tr>
<td>4</td>
<td>Average</td>
</tr>
<tr>
<td>5&amp;6</td>
<td>High Average</td>
</tr>
<tr>
<td>7&amp;8</td>
<td>Above Average</td>
</tr>
<tr>
<td>9</td>
<td>Outstanding</td>
</tr>
</tbody>
</table>

There are three main Selection Boards (SBs), which sit at least once in a year and approve the name of officers, who meet the eligibility criteria. Every officer is considered for three chances. The officers who do not get his/ her name approved for the next promotion are termed as ‘Not empanelled’. However those officers are considered for time bound promotion, called ‘Time Scale’. The details of the three SBs are as follows:-

(a) **Selection Board III** – For promotion from Lieutenant Colonel to Colonel rank

(b) **Selection Board II** – For promotion from Colonel to Brigadier rank

(c) **Selection Board I** – For promotion from Brigadier to Major General.

The various qualities assessed for officers and JCOs/OR of the Armed Forces (including EME) are the following:

(a) Appearance & Military Bearing
(b) Discipline
(c) Physical Fitness (proficiency in PPT, BPET and sports)
(d) Loyalty
(e) Integrity
(f) Dependability
(g) Command and Control
(h) Initiative and Drive
(i) Security Consciousness
(j) Professional Competence/Technical Skill
(k) Maturity
(l) Human Relations
(m) Ability to train the subordinates.

There are multiple assessors to avoid any exploitation or bias. There are three levels of reporting in the Army i.e. Initiating Officer (IO), Reviewing Officer (RO) and Senior Reviewing Officer (SRO). In addition there is parallel component of two levels of technical reporting in respect of officers of technical arms and service. In the Army the Ratee must have served under the IO Physically for a period of 90 days during the period covered by the report. The physical service of 90 days need not be continuous. However any absence due to leave or temporary duty, either of the Ratee or IO will not count towards physical service. In case of RO, the requirement is 75 days, which is not a physical service.

There is provision of ‘Pen Picture’ in the Assessment Report. Under this, qualities which are not mentioned above are briefing mentioned and special achievements are highlighted. The weak/ adverse points and award of Average and below grading need to be communicated to the assessee with an intention of remedial correction. The Army being very large, the assessment period for various ranks have been scattered as under to avoid cluster at one time:-

<table>
<thead>
<tr>
<th>Rank</th>
<th>Assessment Period</th>
</tr>
</thead>
<tbody>
<tr>
<td>(a) Brigadier</td>
<td>01 Jul – 30 Jun</td>
</tr>
<tr>
<td>(b) Colonels</td>
<td>01 Sep – 31 Aug</td>
</tr>
<tr>
<td>(c) Officers below Colonels</td>
<td>01 Jan – 31 Dec</td>
</tr>
<tr>
<td>(d) JCOs (all ranks)</td>
<td>01 Jun – 31 May</td>
</tr>
</tbody>
</table>
6.4 Promotion Criteria: JCOs/OR

Promotion of EME Personnel is regulated with reference to Corps percentage laid down by Govt of India from time to time and is centrally controlled by EME Records. The following criteria with regard to discipline, medical standards and Annual confidential reports (ACRs) have been adopted for the purpose of promotion of EME Personnel up to the rank of Subedar Major. Based on the monthly wastage, vacancies are calculated. As per the available vacancies, persons as per eligibility criteria are screened by Promotion Board on monthly basis. After screening, persons found eligible in all respects are ordered for promotion 2 months in advance. The following promotion criteria have been laid down by Integrated HQ of MoD (Army):

6.4.1. Eligibility Criteria For Promotion to Rank of Naik

(a) Educational Qualification.

(i) Passing of Technical (Tech) Trade Test Class – II.
(ii) Should have passed Map Reading (MR) MR-III except Tradesmen and Musician.
(iii) Should have passed Driver Motor Transport (Dvr MT) Class-III for Automotive Tech B Vehicle only.
(iv) Must be a Matric with English and Mathematics.
(v) Those who are below Matric, should have passed the following Army certificates of Education (ACE) or Army Education certificates (AEC):-
<table>
<thead>
<tr>
<th>Trade</th>
<th>ACE</th>
<th>AEC</th>
</tr>
</thead>
<tbody>
<tr>
<td>Armament Tech AFV(AD) &amp; Fd, Machinist, Turner, Welder, Tool Maker, Pattern Maker and Moulder</td>
<td>II (Two)</td>
<td>III (Three)</td>
</tr>
<tr>
<td>Operator &amp; Driver (Recovery), Refrigeration Tech and Tech Small Arms</td>
<td>II (Two)</td>
<td>II (Two)</td>
</tr>
<tr>
<td>Painter &amp; Decorator(Ptr &amp; Dectr)</td>
<td>III (Three)</td>
<td>III (Three)</td>
</tr>
<tr>
<td>Artizen Metallurgy &amp; Wood Work, Support Staff (ER) and Musician</td>
<td>III (Three)</td>
<td>-</td>
</tr>
<tr>
<td>Tradesman</td>
<td>Recruit Test</td>
<td></td>
</tr>
</tbody>
</table>

(b) **Discipline.**

(i) No red ink entry within last one year.

(ii) Not more than one red ink entry within five years.

(iii) Not have more than three red ink entries in entire service.

(iv) A JCO/NCO who has been convicted for an offence mentioned in Appx ‘A’ to Integrated HQ of MoD (Army) letter\(^{102}\) will be permanently debarred for further promotion. These offences are indicated subsequently.

<table>
<thead>
<tr>
<th>Section of Army Act</th>
<th>Offences</th>
</tr>
</thead>
<tbody>
<tr>
<td>AA Sec 34</td>
<td>Offences in relation to the enemy and punishable with death.</td>
</tr>
<tr>
<td>AA Sec 35</td>
<td>Offences in relation to the enemy not punishable with death.</td>
</tr>
<tr>
<td>Section 36 (on active service only)</td>
<td>Offences punishable more severely on active service.</td>
</tr>
<tr>
<td>AA Sec 37</td>
<td>Mutiny</td>
</tr>
<tr>
<td>AA Sec 41(2)</td>
<td>Disobedience to superior officers (during active service only)</td>
</tr>
</tbody>
</table>

\(^{102}\) Integrated HQ of MoD (Army), letter No B/33513/AG/PS 2 (c), 10 Oct 1997.
(v) A JCO/NCO who has been awarded recordable censure/Red ink entry for any offence at Appx ‘B’ to Integrated HQ of MoD (Army) letter No B/33513/AG/PS 2 (c) dated 10 Oct 1997 will not be eligible for further promotion for a period of next three years from the date of the award of the recordable censure/red ink entry. These offences are as under:-

<table>
<thead>
<tr>
<th>Section of Army Act</th>
<th>Offences</th>
</tr>
</thead>
<tbody>
<tr>
<td>Section 36</td>
<td>Offences punishable more severely (Not on active service)</td>
</tr>
<tr>
<td>Section 38</td>
<td>Desertion</td>
</tr>
<tr>
<td>Section 39 (a)</td>
<td>Absence without leave Overstay of Leave For JCOs only</td>
</tr>
<tr>
<td>Section 39 (b)</td>
<td></td>
</tr>
<tr>
<td>Section (40) (a)</td>
<td>Using criminal force to or assaulting his superior officer</td>
</tr>
<tr>
<td>Section 41(1)</td>
<td>Disobedience to superior officers</td>
</tr>
<tr>
<td>Section 41(2)</td>
<td>Disobedience to superior officer (not on active service)</td>
</tr>
<tr>
<td>Section 42 (a) &amp; (b)</td>
<td>Insubordination and obstruction.</td>
</tr>
<tr>
<td>Section 43</td>
<td>Fraudulent enrolment</td>
</tr>
<tr>
<td>Section 45</td>
<td>Unbecoming Conduct (For JCO’s only)</td>
</tr>
<tr>
<td>Section 46 (a)</td>
<td>Certain forms of disgraceful conduct.</td>
</tr>
<tr>
<td>Sec 52 (a) to (d), (f)</td>
<td>Offences in respect of property</td>
</tr>
<tr>
<td>Section 53</td>
<td>Extortion and Corruption.</td>
</tr>
<tr>
<td>Section 54 (a)</td>
<td>Making away with equipment</td>
</tr>
<tr>
<td>Section 57 (c), (d) &amp; (e)</td>
<td>Falsifying official documents and false declaration.</td>
</tr>
</tbody>
</table>
(c) **Medical.** Must be in Medical category SHAPE-1. However, persons in Low Medical Category (both temporary (temp) and permanent (permt)) indicated below would also be eligible:-

(i) Eligible upto medical category SHAPE-3 (both temp and permanent) except psychological causes, misconduct or self inflicted injuries and obesity.

(ii) If an OR is placed in Medical (Med) category (cat) SHAPE-2 (both temp and permt) as a case of OBESITY and Psychological cases, he will be debarred from promotion.

(iii) No Red ink entry and downgraded to Low Med Cat during extended period of service.

6.4.2. **Eligibility Criteria for Promotion From Naik to Havildar.**

Promotion to the rank of Havildar (Hav) will be made on the basis of seniority subject to availability of vacancy and meeting of following criteria :-

(a) **Educational Qualification.**

(i) Should have passed Tech Trade Test Class – II.

(ii) Should have passed MR-II except Tradesmen and Painter & Decorator.

(iii) Should have passed Naik to Havildar (NH) cadre.

(iv) Must be a Matric with English and Maths.

(v) For below Matric, should have passed the following:-

<table>
<thead>
<tr>
<th>Trade</th>
<th>ACE</th>
<th>AEC</th>
</tr>
</thead>
<tbody>
<tr>
<td>Armt Tech AFD/AD &amp; Fd, Machinist, Turner, Welder, Tool Maker, Pattern Maker, Moulder and Ptr &amp; Dectr</td>
<td>II (Two)</td>
<td>III (Three)</td>
</tr>
<tr>
<td>Opr &amp; Dvr (Rec), Refg Tech and OTRP</td>
<td>II</td>
<td>II</td>
</tr>
<tr>
<td>Artzn Metallurgy, Artzn Wood Work, Support Staff (ER) and Musician</td>
<td>II (Two)</td>
<td>-</td>
</tr>
<tr>
<td>Tradesman</td>
<td>III</td>
<td>-</td>
</tr>
</tbody>
</table>

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(b) **ACR.** Two ACRs in the rank of Naik with acceptable grading i.e. not below ‘High Average’ and recommended for promotion.

(c) **Discipline.**

(i) No red ink entry within last one year.

(ii) Not more than one red ink entry within five years.

(iii) A JCO/NCO who has been convicted for an offence mentioned in Appx ‘A’ to Integrated HQ of MoD (Army letter No B/33513/AG/PS 2 (c) dated 10 Oct 1997 will be permanently debarred for further promotion.

(iv) A JCO/NCO who has been awarded recordable censure/Red ink entry for any offence at Appx ‘B’ to Integrated HQ of MoD (Army) letter No B/33513/AG/PS 2 (c) dated 10 Oct 1997 will not be eligible for further promotion for a period of next three years from the date of the award of the recordable censure/red ink entry.

(v) Not have more than three red ink entries in entire service.

(d) **Medical Criteria**

(i) Must be in medical category ‘SHAPE-1. However, personnel in low medical category ‘SHAPE-2’ will be eligible for promotion to the next higher rank. This will include both temporary and permanent low medical classification. However, cases of medical category SHAPE-2 (both temporary and permanent) due to obesity, psychological causes, misconduct or self inflicted injuries will not be eligible for promotion.

(ii) Eligible upto ‘SHAPE-3’ only for battle casualty.

(iii) No Red ink entry and downgraded to Low Med Cat during extension of service period.
6.4.3 **Eligibility Criteria For Promotion From Havildar to Naib Subedar.**

Promotion to the rank of Naib Subedar (Nb Sub) is on the basis of seniority subject to availability of vacancy subject to individual fulfilling the criteria of IHQ MoD (Army) letter No B/33513/AG/PS-2 (c) dt 10 Oct 97 as amended time to time and EME Record Office Instruction\(^{103}\) as under:

(a) **Educational/Technical Qualification.**


(ii) All Master Tech Cat, Auto Tech Engr Eqpt, Tool Maker, Tech (SA), Auto Elect (B Veh), Tech Armt (FD), Refrig Mech, Tech Armt AFV/AD & Auto Tech (B Veh)

(iii) Machinist, Pattern Maker, Welder, OTRP, Ptr and Dectr, UPHOL

(iv) Dvr (MT), Artzn (Metallurgy), Artzn (Wood Work), Moulder, Dvr (Spl Veh), ER/Tlr(U) & Bandsmen.

(v) Havildar to Naib Subedar(HNS)Cadre - Course qualified.

(vi) Should have passed Trade Test Cl-I

(b) **Map Reading.**

(i) Dvr (MT) only - Map Reading Std-I (One).

(ii) All other cat except Dvr(MT) - MR Std-II (Two).

(c) **ACR Criteria**

(i) Only last five reports will be considered out of which minimum three reports must be in the rank of Havildar (Hav) and in case of shortfall rest may be in the rank of Naik (Nk).

(ii) At least three out of last five reports should be “Above Average” with a minimum of two in the rank of Hav & remaining should not be less than “High Average”.

(iii) Out of five reports, two should be on Regimental Duty (RD) or as an Instructor in the Army School of instructions including IMA, OTA, NDA and ACC, out of which at least one should be “Above Average”. One of the RD reports should have been earned in the rank of Hav.

(iv) Individual should have been recommended for next promotion in last five ACRs.

(d) **Age & Service Factor.** Age is the most important and also dominant factor for the promotion to the rank of Nb Sub. If individual become overage then all other requisite qualifications have no value. Maximum service and age limit for promotion to the rank of Nb Sub (except Clk (SD) & SKT) are 26 & 44 years respectively. For Clk(SD) & SKT maximum service and age limit are 26 & 46 yrs respectively.

(e) **Discipline.**

(i) No red ink entry within last one year.

(ii) Not more than one red ink entry within five years.

(iii) A JCO/NCO who has been convicted for an offence mentioned in Appx ‘A’ to Integrated HQ of MoD (Army letter No B/33513/AG/PS 2 (c) dated 10 Oct 1997 will be permanently debarred for further promotion.
(iv) A JCO/NCO who has been awarded recordable censure/Red ink entry for any offence at Appx ‘B’ to Integrated HQ of MoD (Army) letter No B/33513/AG/PS 2 (c) dated 10 Oct 1997 will not be eligible for further promotion for a period of next three years from the date of the award of the recordable censure/red ink entry.

(v) Not have more than three red ink entries in entire service.

(f) **Medical Criteria.**

(i) Must be in medical category `SHAPE-1`. However, personnel in low medical category `SHAPE-2` will be eligible for promotion to the next higher rank. However, cases of medical category SHAPE-2 (both temporary and permanent) due to obesity, psychological causes, misconduct or self inflicted injuries will not be eligible for promotion.

(ii) Eligible upto medical category ‘SHAPE-3’ only battle casualty.

(iii) No Red ink entry and downgraded to Low Med Cat during extension of service period.

(g) **General Requirements.**

(i) Should not have less than 10 years of service.

(ii) For Clerk (Clk (SD)) - Passing of NCO Clerk Course.

(iii) Must be below 44 years of age except Clk(SD)/SKT & 46 years of age in respect of Clk(SD)/SKT.

6.4.4 **Eligibility Criteria for Promotion to Nb Sub.**

(For Havildar Major Technical (HMT) Only)
(a) **Educational Qualification.**

(i) Passed Tech Trade Test Class-I (One)
(ii) Must be a Matric with Eng and Maths
(iii) For below Matric, NCO should have passed AEC-II (Two) and ACE-I(One).
(iv) Should have passed MR-II (Two).
(v) Should have passed HNS course.

(b) **ACR.**

(i) Last three reports should be in the rank of HMT out of which one should be ‘Above Average’ and no reports should be lower than ‘High Average’ and “Recommended” for promotion.

(ii) Out of three, one report should be on ‘Regimental Duty’ or an Instructor in an Army School of Instructions including IMA, OTA, NDA and ACC.

(c) **Discipline.**

(i) No red ink entry within last one year.
(ii) Not more than one red ink entry within five years.
(iii) A JCO/NCO who has been convicted for an offence mentioned in Appx ‘A’ to Integrated HQ of MoD (Army) letter No B/33513/AG/PS 2 (c) dated 10 Oct 1997 will be permanently debarred for further promotion.

(iv) A JCO/NCO who has been awarded recordable censure/Red ink entry for any offence at Appx ‘B’ to Integrated HQ of MoD (Army) letter No B/33513/AG/PS 2 (c) dated 10 Oct 1997 will not be eligible for further promotion for a period of next three years from the date of the award of the recordable censure/red ink entry.
(v) Should not have more than three red ink entries in entire service.

(d) **Medical Criteria.**

(i) Must be in medical category ‘SHAPE-1. However, personnel in low medical category ‘SHAPE-2’ will be eligible for promotion to the next higher rank. This will include both temporary and permanent low medical classification irrespective of whether or not the disease, sickness or injury is attributable/non attributable to or aggravated by service conditions. However, cases of medical category SHAPE-2 (both temporary and permanent) due to obesity, psychological causes, misconduct or self inflicted injuries will not be eligible for promotion.

(ii) Eligible upto medical category ‘SHAPE-3’ (only battle casualty).

(iii) No Red ink entry and downgraded to Low Med Cat during extension of service period.

(e). **Age.** Below 44 years.

6.4.5 **Eligibility Criteria For Promotion to Sub**

(a) **Educational Qualification.** Passed Junior Leader Proficiency Test.

(b) **ACR.** Out of last three ACRs at least one should be in the rank of Nb Sub with acceptable grading i.e. minimum “high average” and “Recommended” for promotion.
(c) **Discipline.**

(i) No red ink entry within last one year.

(ii) Not more than one red ink entry within five years.

(iii) A JCO/NCO who has been convicted for an offence mentioned in Appx ‘A’ to Integrated HQ of MoD (Army) letter No B/33513/AG/PS 2 (c) dated 10 Oct 1997 will be permanently debarred for further promotion.

(iv) A JCO/NCO who has been awarded recordable censure/Red ink entry for any offence at Appx ‘B’ to Integrated HQ of MoD (Army) letter No B/33513/AG/PS 2 (c) dated 10 Oct 1997 will not be eligible for further promotion for a period of next three years from the date of the award of the recordable censure/red ink entry.

(v) Should not have more than three red ink entries in entire service.

(d) **Medical Criteria.**

(i) Must be in medical category ‘SHAPE-1. However, personnel in low medical category ‘SHAPE-2’ will be eligible for promotion to the next higher rank. This will include both temporary and permanent low medical classification irrespective of whether or not the disease, sickness or injury is attributable/non attributable to or aggravated by service conditions. However, medical category SHAPE-2 (both temporary and permanent) due to obesity, psychological causes, misconduct or self inflicted injuries will not be eligible for promotion.

(ii) Eligible upto medical category ‘SHAPE-3’ for battle casualty only.
(iii) No Red ink entry and downgraded to Low Med Cat during extension of service period.

6.4.6. **Criteria for Promotion to Subedar Major.** Promotion to this rank is based on overall performance selection system, by a Departmental Promotion Committee (DPC) which is generally conducted every year for the vacancies occurring during next year. Selection of Subedar Major (Sub Maj) by DPC is done as under:-

(a) DPC to select Sub for promotion to Sub Maj is held generally annually during Nov-Dec each year.

(b) Subedars are selected for promotion to the rank of Sub Maj on overall performance basis for the vacancies occurring from 01 Jan to 31 Dec during next year.

(c) Maximum three looks / chances can be given to a Sub for screening by DPC.

(d) Subedars equivalent to minimum double the No of vacancies or a complete batch whichever is more, are considered.

(e) Respective Corps can decide size of a batch. In EME for calendar year batch from DPC 2007 onwards, minimum double the No of vacancies or a complete calendar year batch, whichever is more.

(f) Sub with less than 25 yrs of service can opt for deferment till completion of 25 yrs of service or attaining 50 yrs of age whichever is earlier.

(g) Select Panel of Sub equivalent to No of anticipated vacancies will be drawn based on merit. Promotions will be based on their seniority within the select panel.

(h) Reserves should not exceed average of unforeseen vacancies for the past five years.
(j) Provision exists to hold supplementary DPC to cater for sudden creation of unforeseen vacancies.

(k) New panel comes into effect only after the old panel is exhausted.

**Eligibility Criteria.**

(a) **Discipline.**
   (i) No red ink entry including recordable censure in the JCO rank.
   (ii) Not more than three red ink entry during entire service and not more than one red ink entry in the last five years.
   (iii) A JCO/NCO who has been convicted for an offence mentioned in Appx ‘A’ to Integrated HQ of MoD (Army) letter No B/33513/AG/PS 2 (c) dated 10 Oct 1997 will be permanently debarred for further promotion.
   (iv) A JCO/NCO who has been awarded recordable censure/Red ink entry for any offence at Appx ‘B’ to Integrated HQ of MoD (Army) letter No B/33513/AG/PS 2 (c) dated 10 Oct 1997 will not be eligible for further promotion for a period of next three years from the date of the award of the recordable censure/red ink entry.
   (iv) Black ink entry does not have any impact in the promotion.

(b) **Medical Standard.**
   (i) Must be in the medical category SHAPE-I. However JCOs up to medical Category SHAPE-2 (both Temporary & Permanent) except Psychological, misconduct or self inflicted injury and obesity cases are eligible.
   (ii) Battle Casualty cases up to med cat SHAPE-3 (both temp & perm) are eligible.
   (iii) No promotion should be issued during extension period, if there is drop in med cat and ordered for discharge.

(c) **ACR.**
(i) Last five reports in the rank of JCO will be counted, out of which at least three reports should be “above average” and remaining two not less than “High Average”.

(ii) Two out of the last five reports should be on Regimental duty or as an Instructor in any Army Schools of Instruction, one of these two reports must be above average.

(iii) Should have been recommended for further promotion in all the last five reports.

(iv) **Relaxation in ACR Criteria.** No relaxation in ACR criteria is permissible. However, in exceptional circumstances request for relaxation of only one ACR out of the mandatory number of ACRs may be projected to Army HQ (AG/PS2 (c)) duly vetted by OIC Records. Where shortfall in ACR occurs due to organizational constraint, request for inclusion of one additional CR in the lower rank to make up the required mandatory No of ACRs may be projected to OIC Records. This CR will pertain to the year immediately preceding the CR being considered. The total No of waivers given to an individual, i.e., of one CR in the lower rank and waiver of CR itself will be not more than one.

**Assessment Procedure.**

(a) **Weightage.** Weightage will be given as under :-

| (i) | Last five ACRs in the rank of JCOs. |
| (i) | Personal Qualities & Demonstrated performance | 72 pts |
| (ii) | Box grading awarded by IO/RO/SRO | 18 pts |
| (ii) | Courses | 05 pts |
| (iii) | Honours and Awards | 05 pts |
| (iv) | Tenure at High altitude/ Counter insurgency area/ Field/Modified Field Area | 05 pts |

**Total** | 105 pts
(b) **System of Awarding points.**

(i) The grading awarded by IO and RO in each Quality in each ACR will be totaled and divided by total No of Performance Qualities(PQs)/Demonstrated Qualities(DQs).

(ii) Average arrived at for each CR will then be added and further divided by the number of CRs considered.

(iii) The average thus arrived at will be awarded out of 9 points for Quality of CR. **For example:**

(aa) **PQs/DPs** (ACR for one year. The same system will apply for other four ACRs also)

<table>
<thead>
<tr>
<th></th>
<th>IO</th>
<th>RO</th>
</tr>
</thead>
<tbody>
<tr>
<td>Professional competence</td>
<td>7</td>
<td>7</td>
</tr>
<tr>
<td>Appearance and bearing</td>
<td>7</td>
<td>7</td>
</tr>
<tr>
<td>Physical Fitness</td>
<td>9</td>
<td>9</td>
</tr>
<tr>
<td>Integrity</td>
<td>9</td>
<td>9</td>
</tr>
<tr>
<td>Loyalty</td>
<td>7</td>
<td>7</td>
</tr>
<tr>
<td>Self discipline &amp; Personal example</td>
<td>9</td>
<td>9</td>
</tr>
<tr>
<td>Maturity</td>
<td>7</td>
<td>7</td>
</tr>
<tr>
<td>Courage of conviction</td>
<td>7</td>
<td>7</td>
</tr>
<tr>
<td>Initiative</td>
<td>7</td>
<td>7</td>
</tr>
<tr>
<td>Dependability</td>
<td>7</td>
<td>7</td>
</tr>
<tr>
<td>Command &amp; Control and supervision</td>
<td>7</td>
<td>7</td>
</tr>
<tr>
<td>Ability to train subordinates</td>
<td>7</td>
<td>7</td>
</tr>
<tr>
<td>Adm ability and interior economy</td>
<td>9</td>
<td>9</td>
</tr>
<tr>
<td>Man-Management</td>
<td>8</td>
<td>8</td>
</tr>
<tr>
<td>Sports &amp; Games</td>
<td>7</td>
<td>7</td>
</tr>
</tbody>
</table>

\[
\text{Total} = 114 + 114 = 228 \\
\text{Average} = \frac{228}{30} = 7.60
\]
(ac) **Average of PQs/DP for Five CRs Considered.**

<table>
<thead>
<tr>
<th>Year</th>
<th>Average of PQs/DP</th>
</tr>
</thead>
<tbody>
<tr>
<td>1992</td>
<td>7.60</td>
</tr>
<tr>
<td>1993</td>
<td>7.61</td>
</tr>
<tr>
<td>1994</td>
<td>7.46</td>
</tr>
<tr>
<td>1995</td>
<td>7.00</td>
</tr>
<tr>
<td>1996</td>
<td>7.07</td>
</tr>
<tr>
<td></td>
<td><strong>---------</strong></td>
</tr>
<tr>
<td></td>
<td><strong>36.74</strong></td>
</tr>
</tbody>
</table>

i.e. \[
\frac{36.74}{5} = 7.35
\]

(ad) \[7.35 \times 8 = 58.80\]

(Max points = \[\frac{72(\text{Earmarked for PQs/DP})}{9}\] (Highest grading in ACRs).

(c) **Box grading.**

(i) The box grading awarded by the IO, RO and SRO as the case may be will be totaled and divided by the number of boxes.

(ii) Average arrived at is multiplied by 2 to award points out of 18.

(iii) The box grading awarded by the IO, RO & SRO as the case may be will be totaled and divided by the number of boxes.

(ii) Average arrived at will be multiplied by 2 to award points out of 18. For example

<table>
<thead>
<tr>
<th>Year</th>
<th>IO</th>
<th>RO</th>
<th>SRO</th>
<th>Total points</th>
<th>Boxes</th>
</tr>
</thead>
<tbody>
<tr>
<td>1992</td>
<td>7</td>
<td>5</td>
<td>-</td>
<td>12</td>
<td>2</td>
</tr>
<tr>
<td>1993</td>
<td>9</td>
<td>9</td>
<td>9</td>
<td>27</td>
<td>3</td>
</tr>
<tr>
<td>1994</td>
<td>7</td>
<td>7</td>
<td>-</td>
<td>14</td>
<td>2</td>
</tr>
<tr>
<td>1995</td>
<td>7</td>
<td>7</td>
<td>-</td>
<td>14</td>
<td>2</td>
</tr>
<tr>
<td>1996</td>
<td>7</td>
<td>7</td>
<td>-</td>
<td>14</td>
<td>2</td>
</tr>
</tbody>
</table>

---------------------------------------------------------------------------------------------------------------

<table>
<thead>
<tr>
<th></th>
<th>37</th>
<th>35</th>
<th>09</th>
<th>81</th>
<th>11</th>
</tr>
</thead>
</table>

-------------------------------------------------------------------------------------------------------------------

(iii) \[
\frac{81}{11(\text{Total No of boxes : IO - 5, RO - 5, SRO -1})} = 7.36
\]
(iv) \[ 7.36 \times 2 = 14.72 \text{ Points} \]
(Max pts = 18 (for Box Grading of IO/RO/SRO)

\[ \frac{14.72 - 18}{2} = 2 \text{ Points} \]
09 (Highest grading in ACRs)

(d) **Courses.** Performance on courses attended by an individual in any rank during his career carry maximum of 5 points. Points for course gradings are as under :-

(i) Distinction/AXI/QI - 1.00
(ii) AX/A/BXI/BI - 0.75
(iii) BX/B/AY/BY - 0.50

(e) **Courses Approved for Award of Points for EME.**

(i) Havildar Major Technical Course (Merit based)
(ii) Havildar to Naib Subedar Promotion Course (for all JCOs)
(iii) NCO Clerks Course (Head Clerk Course) (for Clk (GD) only)
(iv) Equipment Capsule Course (Record Detailment).
(v) Automated Data Processing Course (Record Derailment)
(vi) NBC Course (Record Detailment)
(vii) PT Course (Volunteer only)
(viii) Any Foreign Course (1 Mark) (Merit Based)

(f) **Honours and Awards.** Honours and awards earned in any rank will carry 5 Points which may be as under :-

(i) PVC & AC - 5
(ii) MCV & KC - 5
(iii) VrC & SC - 4
(iv) SM/VSM/YSM - 3
(v) Mention-in-despatches/ Uttam Jeevan Raksha Padak/ COAS’s Commendation Card or equivalent of Other two Services.

Twice awardees of Ser (iii) and (iv) will given one point extra and twice awardees of Ser (v), (vi), (vii), (viii) & (ix) Half point extra.
(vi) VCOAS Commendation Card 1
(vii) C-in-C strategic Forces Command Commendation Card
(viii) CISC Commendation Card 1
(ix) Army Commander’s Command Commendation Card or equivalent
(x) Rajiv Gandhi Khel Ratna Award 3

(l) Padma Shree Award 3
(m) Arjuna Award 2
(n) Dronacharya Award 2

(g) **Field/Modified Field/High altitude Area (HAA) Service.** The existing system provides for a maximum of five points in DPC for service in Counter Insurgency operations (CI Ops), HAA and field area during the last 15 years. The system to be adopted is as follows:-

(i) Service in HAA including Siachen and CI Ops - \( \frac{1}{12} \times \) number of months subject to a min of 90 days in each tenure.

(ii) Field area including modified field area - \( \frac{1}{24} \times \) number of completed months subject to min of 90 days in each tenure.

(h) **Negative Marks for Red ink entries.** For `Red ink entries` any time in entire service, a candidate will be penalized as under :-

(i) Red ink entry as Hav - 3 points

(ii) Red ink entry as Nk - 2 points

(iii) Red ink entry as Cfn/Sep/Rect - 1 point

**Drawing of Select Panel After Awarding Points.** A select Panel equivalent to the number of anticipated vacancies will be drawn based on
the points scored by the candidates. Subedars who form part of such select panel will only be entitled for promotion. The promotions of candidates out of this panel will be made strictly on the basis of original seniority of the candidates. Number of reserves will be kept to bare minimum and under no circumstances it will exceed average of unforeseen vacancies in the last five years. Reserves will be ‘in built’ in the panel and no separate list of reserves will be drawn.

**Number of Looks and Periodicity.** A Subedar (Sub) may be given a maximum of three chances/looks for his consideration by the DPC for promotion to the rank of Sub Maj. Sub rejected by the First DPC but selected by the second or subsequent DPC would lose his seniority. DPC will be held annually, treating 12 months from 01 Jan to 31 as annual year for counting number of vacancies. In case of sudden creation of unforeseen vacancies, a supplementary DPC may be held with the permission of Head of the Department. However new panel will come into effect only after old panel has been exhausted. Merely qualifying for consideration by DPC does not entitle a Sub for promotion to the rank of Sub Maj. Selection will be based on Seniority-cum-merit depending upon the vacancies available.

**Recommendation**

The condition of earning Regimental ACR for promotions should be abolished as an individual has no control over his posting.

### 6.5 Promotion of Civilians

For civilian employees in defence, the grading system followed is five point grading system instead of nine point grading system for combatants. They are Outstanding, Very Good, Good, Average and Below Average. For promotion in any rank in civilian cadre, minimum benchmark of ‘Good’ in ACR is required, while for
higher ranks (viz. Executive Engineer and above), minimum benchmark of ‘VERY GOOD’ is desired.

The civilian employee should not have any discipline or vigilance case pending against him to get next promotion. Moreover, the provision of ‘out of turn promotion’ does not exist now.

In the ACR form for civilian employees, there is a portion for Self Assessment too. The ACRs of Civilians are shown to them by their reviewing officers. Promotion procedure for civilian technical officers, Part I cadre employees, Clerks and Store Keepers are illustrated subsequently at Figure – 6.2 to 6.5 respectively.

Figure – 6.2 : Promotion Procedure for Civilian Technical Officers
Figure - 6.3: Promotion Procedure for Part I Cadre Civ Personnel

Figure - 6.4: Promotion Procedure for Clerks
6.6 **Effect of Performance Appraisal on Motivation**

The commitment to the performance appraisal system in public organisations in India is very low. Low commitment and lack of accountability are the major reasons for the low institutionalisation of the performance appraisal processes in government organisations. Performance appraisal in most of the government enterprises is not directly linked to rewards, training or promotions due to which the approach towards the whole process remains unprofessional. There is a lack of the appropriate atmosphere and professional approach towards the performance appraisal system and the objective of the whole exercise is defeated.

The most common method of Performance appraisal that is used in most of the government organisations is confidential report (popularly known as CR) written by the superior of the employees. The following are the major discrepancies found in the performance appraisal processes being followed at the government organizations:
(a) Most of the indicators used for measuring the performance the employees are not quantifiable in nature, making it difficult to measure the performance.

(b) Due to the lack of accountability and job security, most government employees have a laissez faire attitude towards their work.

(c) Unavailability of the job descriptions for employees. Most of the objectives in government organisations are not challenging.

(d) It is difficult to measure performance of the government employees.

(e) Unprofessional and unstructured approach towards the process. There is often a lot of bias and subjectivity in the ratings by the superiors.

(f) Lack of complete information on appraisal forms, relevant training and the appraisals not conducted on a regular basis.

(g) In government organisations, team appraisal is often not possible.

Keeping in mind the growing attrition rates and the employee dissatisfaction, the HR professionals are approaching and using the performance appraisal to motivate employees. The latest trend being followed by the HR professionals is to use the performance appraisal and review process as a motivating mechanism. Various surveys and studies have testified the relationship between performance review, pay hike and motivation as depicted in Figure 6.6.

![Figure 6.6 : Effect of Performance Appraisal & Pay on Motivation](image)

<table>
<thead>
<tr>
<th>Inaccurate Performance Review</th>
<th>Increase in Salary</th>
<th>Decreased Motivation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Performance Review</td>
<td>No increase in Salary</td>
<td>Decreased Motivation</td>
</tr>
<tr>
<td>Accurate Performance Review</td>
<td>Increase in Salary</td>
<td>Motivation</td>
</tr>
</tbody>
</table>
Money is still considered the best, if not the only motivator, across the globe. This is because with money everything related from necessity to comfort and luxury can be bought. Other than the traditional goal of accessing the performance of the employees, Performance appraisals and reviews can be used as a tool to reinforce the desired behaviour and performance of the employees. One of the most motivating factors for the employees, in the Performance appraisal processes is to receive an accurate assessment of their performance. Inaccurate evaluation is one reason because of which most employees dread going through performance appraisals. An employee always expects his appraiser to recognize and appreciate his achievements, support him to overcome the problems and failures. The discrepancies and the inaccuracies in the performance review can de-motivate the employees, even if there has been an increase in the salary. Similarly, inaccurate reviews with no hike in compensation can increase the attrition rate in the organisation, forcing the employees to look out for other options.

An employee prefers an accurate performance review with no increase in the salary over inaccurate performance review with an increase in salary. Employees, who receive both accurate performance review and a pay increase during their performance review, are likely to be the most motivated. Therefore, performance appraisal has the potential of motivating employees and increasing their job satisfaction.

6.7 Weaknesses of the Appraisal System in the Army

The methodology of appraisal being practiced in the Army leaves much to be desired. As per Mihir K Basu, even in the Army where systematic appraisal have been practiced over considerable period of time, serious doubts continue to persist about various aspects of the proposal. There are a number of lacunae which need to be rectified if the officers of the Army are to grow individually as well as the organisation as a whole. The most glaring weaknesses are highlighted below.
(a) **Purpose of the Appraisal System.** The appraisal system in the Army focuses on an assessment of the officer to gauge his competence primarily for organisational requirements. Thus it is seen that the purpose of appraisal system is to bring out the ratees professional and personal qualities and his knowledge. The purpose itself does not bring out the vital aspects of an officer’s development. The purpose focuses on the requirement of administrative decisions for the organisation and is devoid of the developmental needs of the appraisee. Thus it can be seen that the policy of writing CRs in the Army itself is not orientated towards development of the subordinate.

(b) **Training in Appraisal.** No formal training in writing CR/AR is presently being imparted in the Army. An officer in today’s scenario who till a day earlier himself was the Ratee, the day he takes over command, becomes the Rater (appraiser). A man is a sum of his experience - the newly appointed appraiser then approaches his subordinates in the same way that he has been treated by the system- therefore assessment of potential is being done by an individual who is neither trained nor detached enough to be objective.

(c) **Closed/Semi Closed System of Reporting.** The Army follows a semi closed system of reporting in which the remarks of the IO/FTO are shown to the ratee. No part of the RO/SRO/HTOs comments is ever shown to the ratee except adverse comments. Since the IO needs to carry a happy team with him and lacks the moral courage to grade an officer low, he often asks the RO to bring the ratee down. While there is an argument in favour of the closed or semi closed system - that it is possible to be more objective and uninhibited in appraisal totally, it is felt that by just pointing out the weakness or shortcoming of the individual, the system does not help the appraisee to improve. It is essential to bring to his notice his strengths and potential so that he can make further efforts to consolidate them. Thus, the closed system is ‘Judgemental’ in nature and lacks the requisite ‘Developmental’ orientation. On the other hand, an open system helps in the development of the Ratee and acts as a motivational force for his
continued improvement. The existing trends in appraisal, all over the world, favour an open system.

(d) **Weightage to Reports of the IO, RO and SRO.** In the system prevalent in the Army today, the IO is the Initiator, the RO is the Moderator and the SRO is the Balancer. Due to a partially open system being followed in case of the IO, he usually grades an officer higher than he deserves because of the necessity of carrying a happy team. He usually requests the RO to get an officer down. Consequently UNCONSCIOUSLY a RO and SRO’s report carry more weightage than a IO’s report at a number of places. However if we look at it analytically, it is the IO who is assessing an officer 24x7. The RO sees him once a while and an entire year may pass without the SRO ever putting his eyes on the Ratee at all.

(e) **Goal Setting.** The Army does not carry out the classical Goal Setting or lay down objectives required to be achieved by Ratee. Whereas one may argue that officers of the Army cover a vast canvas as far as their work description is concerned, it would not take much time to enumerate the goals for different type of work/Responsibilities entrusted to different officers. It is essential that the Ratee and Rater discuss the expectations of the organisation from the Ratee and vice-versa. This method of goal setting forms an inseparable part of any modern day military appraisal system.

(f) **Counseling.** This is a corrective event to allow the Rater to communicate to the Ratee officially his strong and weak points and corrective measures required to be undertaken to overcome the weak points. The Army does not believe in following the practice of counseling at all. This may be ascribed to the fact that the word ‘COUNSELING’ is attributed to a warning for a lacklustre or below par performance and less to do with a healthy advice towards his growth.

(g) **Self Appraisal.** In the Navy and Air Force a system of Self Appraisal or Performance Appraisal Discussion is being followed for officer up to the rank of Commanders, Wing Commanders and below. In this
system, the Ratee is required to indicate their achievements in the CR forms and IOs comments on them. However the Army does not follow this method and no service has self Appraisal for the rank of Colonel equivalent and above.

(h) **Appraisal Feedback.** It is essential that an individual within an organisation knows where he stands and what steps he should take to better himself so that he remains an effective member of the organisation or if it is not within him to reach to the level the organisation requires - he moves out, benefiting both himself and the organisation. This is possible through an Appraisal Feedback system which is essential for the semi-open/closed system of appraisal being followed in the Army. However the Army which was following this system (indicating Overall Profile) for some time has now discontinued it. It then surprises persons who think they are doing well in their career, get superseded for the next rank.

(j) **Choice of Employment / Posting.** All the Services have inputs for the Rater to indicate whether the Ratee is fit for instructional appointment, staff appointment or command. In the Navy and Air Force, officer can indicate choice of future posting/appointment. When the requirements of the Ratee are not taken into account for planning his future it results in frustration and disconnect with the organisation. This retards individual’s as well as organisational growth.

(k) **Developmental Aspects.** The Air force and Navy have provisions for Wing Commanders / Commanders and below specifying training courses that an officer would like to attend and areas where they would like to develop themselves. The reporting officer comments on these developmental requirements in the pen picture. The Army has no such provision.

(l) **Environmental Variation.** Officers in the Army work under environment of varying degree of operational difficulty as well as complete peace. For example a Major from the Infantry can be serving as a
Company Commander in Srinagar and another can be serving in NCC in Delhi. A Company Commander earning a 8 point ACR cannot be equated to a similar ACR earned in NCC in Delhi. However in the present system no differentiation is being made between the two. This makes service under difficult environment least attractive - a situation which is best avoided. It leads to frustration, does not take care of an individual which in turn means the organisation ultimately suffers.

(m) **Dependence of RO and SRO on Record of Service.** As per orders in vogue the Record of Service of the Ratee is supposed to accompany his ACR till the level of the SRO. Whereas the IO is intimately aware of what the Ratee has done in a particular period of time for which he is being assessed, the RO and the SRO who are not as involved in working with the Ratee, tend to form their opinion from his Record of Service. This works to the detriment of an officer who might have produced results on ground.

(n) **Service Under Same Officers.** Another major lacuna which exists in the appraisal system is the practice of certain officers serving repeatedly under the same officers. This is particularly so when an officer serves on the personal staff of a senior officer and then goes on to command a formation under the same officer to whom he was the staff officer. This lends to subjectivity in reporting.

(o) **Single Man Reports.** There is also the phenomenon of a certain number of officers continuing to serve on the personal staff of senior officers for long periods of time. This leads to soft postings and high grades in ACRs which are not open for review by any other officer.

### 6.8 **Quantified System of Appraisal**

The Indian Army is seized of the problem of in its system of Appraisals and is continuously trying to improve the system. In the earlier system an officer’s Member Data Sheet (MDS) was prepared, which had complete data of the officer to include his ACRs, honours and awards, disciplinary awards, performance on
selected courses, etc – it had complete information on his reckonable profile. When a Promotion Board was held, this MDS was first circulated within the MS Branch who recorded their remarks on whether the officer was promotable or not, where the three MS Branch officers formed the board.

The MDS was then put up to the Promotion Board, which comprised of five senior officers. These officers by studying the MDS, decided whether the officer was promotable or not – it was a value judgment made on the basis of studying the MDS. In this system a slight dip at a particular time was enough to seal an officer’s fate. For example if in a Lt Colonel to Colonel Promotion Board, an officer otherwise having an outstanding profile had one ACR during his Company Commanders report which had a dip which the Promotion Board felt was serious, it was enough to declare him unfit for promotion. Therefore the Human Element / Value Judgment played a major part in the previous selection procedure. This caused a lot of heartburn among officers. The Army has tried to rectify this by adopting the Quantified System of Appraisal with effect from 01 Jan 2009.

In the Quantified System all parameters have been quantified – all ACRs, honours and awards, disciplinary awards, selected courses, etc have been given values. These form 95 % of the input of a Promotion Board – only 5 % marks are left to the discretion of the Promotion Board. This system tends to even out aberrations and human element / value judgment has limited role to play. However if an officer has been graded average in his LOYALTY and INTEGRITY even once for certain justifiable reasons – this officer will also make it to his next rank in this system.

6.9 **Suggestions for Army’s Appraisal System**

The various lacunae in the present appraisal system of Army focus on promoting or rejecting an officer for the next rank. It ignores his aspirations, leaves him out of the system and is carried out mainly by untrained persons. To put it in simple words, it ignores the growth of an individual - and since an individual within an organisation does not grow, it is natural that the organisation itself will stagnate.
The suggestions to make the individual part of the appraisal system so as to stimulate his growth are as under:

(a) **Training of Appraisers.** As brought out earlier there is no formal training carried out for appraisers. It should be made mandatory for all Commanding Officers to undergo a capsule at the MS Branch on appraisal system prior to writing any CR. In case an officer does not undergo this capsule course, any CR initiated by him should be considered invalid.

(b) **Open/Closed System of Reporting.** If the Ratee does not know his strong or weak points, he has no way to overcome his weak points. In line with all modern appraisal systems, it is suggested that appraisal system be open to the Ratee. This would also meet the growing demands of transparency and higher aspirations of subordinates. Army presently has partially open system with the IO’s assessment (except ‘Qualities to Assess Potential’) open to the Ratee. This gives an input to the Ratee about his strong points as well an indication of his weak points. This system can be opened up further by letting the ratee know the remarks of the RO/SRO.

(c) **Weightage to Reports of IO, RO and SRO.** As brought out earlier unconsciously a RO/SRO’s report assumes more importance because of the partially open report written by the IO. However a Ratee’s best Judge is the IO himself since he is seeing him 24x7, whereas the RO seldom sees a Ratee and the SRO may never see him. This fact should be recognized by the system and a factor of 60:30:10 for IO, RO and SRO should be allotted to make the system fair and representative.

(d) **Goal Setting.** With this system, the Ratee and Rater would be forced to jointly identify goals and define areas of responsibility in terms of results expected. However for a non productive organisation like the Army, individuals may find a little bit of difficulty in identifying goals related to operations, training and administration – however it can still be done and will go a long way in reducing the ambiguity of what is expected out of a Ratee. Such targets would be mutually evolved after discussion between
Appraiser and Rater. Accordingly such targets would take into account the prevailing circumstances and ground realities.

(e) **Counseling.** For the counseling to become meaningful, the stress has to be on encouraging the Ratee to develop / exploit his strong points and less on harping on how to overcome his weak points. The Rater must carry out formal counseling in the first quarter of the assessment year clearly stating the objectives and expectation from the Ratee. This record must form part of that year’s CR. In subsequent quarterly counseling, his performance up to that point can be compared against the stated objectives and additional objectives may also be allotted at these junctures. These formal counseling sessions should be recorded. Final appraisal of the Ratee at the end of the year should flow out these counseling sessions. The complete record should form part of CR and be forwarded up the assessment chain.

(f) **Self Appraisal.** Self appraisal helps the appraisee to review and control his own performance and initiate steps for self development. It acts as a safety valve for the Ratee as the Rater cannot overlook his achievement. It also gives the Ratee a sense of participation in the process of appraisal and ensures that reporting officers give a balanced assessment. It is essential that the Army adopts this system at the earliest and this be extended up to the rank of Major General.

(g) **Appraisal Feedback.** There is a need to give a meaningful structured feedback to all officers at regular intervals. It can be on the following lines at the end of every five years of service:-

(i) General performance feedback in comparison with their peers.
(ii) Posting people for desired exposure and development.
(iii) Planning related to key career courses.
(h) **Aspirations of Officers.** The Army should have space in the CRs where the Rater should be able to indicate the following:-

(i) Choice of training courses, officer would like to attend.
(ii) Choice of staff posting an officer would like to have.
(iii) The choice of command that an officer would like to assume.
(iv) Place of posting with reasons for asking for a specific place.

(j) **Service under Same Officers.** Though there is a system in the Member Data Sheet which indicates as to whether an officer is serving under the same Rater or not. It does not take into account the possibility of those reports being inflated. There is therefore a need for MS Branch to enunciate a policy in this matter which forbids an officer from serving under the same Raters more than three years consecutively and five years throughout his service.

(k) **Single Man Reports.** There is a requirement by the MS Branch to lay down a policy that an officer will serve on the personal staff only once in his entire career – with exceptions only in the case of Army Commanders and the COAS. This will not only cut down on the practice of officers continuously tagging along with senior officers but will give opportunity to a larger number of officers to serve on personal staff which is considered a soft posting. This will resolve the problem of single man reports to a large extent.

(l) **360° Appraisal.** One of the most frustrating part in today’s Army appraisal system is that officers are favoured by their seniors, get good ACRs not on the basis of their job performance but on extraneous factors. The best way of weeding out the above variety of officers is to adopt 360° appraisal system. Even if the system cannot be adopted as a whole, it can be adopted partially – instead of a complete review by peers and subordinates – subordinates can be asked to rate their senior (JCOs in a unit can be asked to rate all officers) on a ascending or descending scale.
Despite all the potential advantages of performance appraisals, there are also few drawbacks. One of the problems with Performance appraisal is there can be detrimental effects to the organization(s) involved if the appraisals are not used appropriately. The second problem is they can be ineffective if the PA system does not correspond with the organisational culture. Traditional performance appraisals are often based upon a manager's perceptions of an employee's performance and employees are evaluated subjectively rather than objectively. Therefore the review may be influenced by many non-performance factors such as employee 'likeability', personal prejudices, ease of management, and/or previous mistakes or successes. Reviews should instead be based on data-supported, measurable behaviours and results within the performer's control. Inflated ratings are a common malady associated with formal appraisal system.

There are a large number of threats which are facing the country today. The Indian Army seen as the panacea for all ills - trusted by their countrymen, upright, honest, loyal and willing to sacrifice their life for the country. It is therefore essential that the organisation in which they serve, assesses them correctly, cares for them and ensures that their needs are looked after.