

Annual Performance Assessment Report of NIOS

GUIDELINES



National Institute of Open Schooling
A-24-25, Institutional Area, Sector-62, NOIDA-201309

Annual Performance Assessment Report

1.1. Importance of the Annual Performance Assessment Report:-

- 1.1.1 The performance of an Institution is ultimately the sum total of the performances of the individuals through which it functions. The Institution has, therefore, to know from time to time how its constituents function. This information is essential for proper Personnel Administration and Management.
- 1.1.2 It is in the interest of every official of NIOS servant that he/she should know how well or otherwise, he/she is performing his/her job. Without this feedback information, it will be difficult for him/her to plan his/her career development in a systematic manner. In fact, he would be more interested in knowing his/her defects. His/her defects would affect his/her career advancements in the long run, unless he/she comes to know of them in time and overcomes them by taking special efforts.
- 1.1.3 The immediate superior officers of an official, who is the Reporting Officer, in the matter of writing his/her assessment Report, should be vitally concerned, in writing the Annual Performance Assessment Report (APAR) of every one of his/her subordinate in an objective and impartial manner. As the superior officer functions through his/her subordinates, he/she also gets credit for the good work done by them. It would, therefore, be in the interest of the Reporting officer himself to assess the performance of the subordinates objectively and thereby give them counseling and proper guidance for improvement of their performance.
- 1.1.4 The system of APAR on the performance of an official is a means to an end and not an end in itself. The ultimate goal is to optimise the achievement of the policies and programmes of the Institution. This is possible only if the APAR leads to the optimization of the performance of the concerned Government servants. The main focus of the Reporting Officer should, therefore, be developmental rather than judgmental. The APAR should be a true indicator of the achievement of an official; it should not be a mere tool to control or discipline him.
- 1.1.5 The system of APAR has two principal objectives and the Reporting Officer should have a very clear perception of these objectives. The first and foremost is to improve the performance of the subordinate in his present job. The second objective is to assess the potentialities of the subordinate and prepare him through appropriate feed back and guidance for future possible opportunities in service. To a great extent, the second objective is dependent on the achievement of the first.
- 1.1.6 It is the duty of the superior officer to give the subordinate a clear understanding of the tasks to be performed and to provide requisite resources for his performance. The subordinate is required to contribute to the best of his capacity to the qualitative and quantitative achievement of the given tasks making optimum use of the resources provided. Also, both the superior and his subordinate have to be necessarily aware of the ultimate goal of their organization, which can be achieved only through the joint efforts of both of them. This is the basic philosophy underlying any system of APAR.

Approved in the 59th Meeting of the Executive Board of NOS Society held on 23rd June, 2011.

1.2 Format of the APAR and its contents:-

The format of an objective APAR is of paramount importance both for the individual employee as well as for employing organisation. The APAR should broadly contain the following:

- i) Full particulars of the employee reported upon such as his designation and branch in which he is working/ worked during the period reported upon.
- ii) Brief description of his duties quantitative/physical targets/objectives set out for him and his corresponding achievements/short falls etc. vis-a-vis such targets in respect of the Officers of NIOS.
- iii) Provision for recording/remarks on the integrity of the employee reported upon.
- iv) Self-appraisal of concerned employee in respect of Officers whose Grade Pay is minimum of Rs. 4200 and above
- v) APAR should give general appreciation/assessment of basic essential qualities/attributes/characteristics which every employee is expected to possess for efficient performance of his job and for acquitting him-self as a decent and dignified public servant.

1.3 Model of APAR for Group 'A' and 'B' Officers and group 'C' Officials are enclosed at Annexure-II and Annexure-III.

1.4 Periodicity of APAR:-

The assessment of performance of the employees should cover a definite period over which it is possible to form a reasonably correct and objective appraisal of his performance. With this end in view, APAR in respect of the staff of the NIOS will be written for each financial year.

1.5 In order to introduce/performance oriented appraisal system, the performance of employees will normally be assessed at the two levels i.e. by Reporting Officer and Reviewing Officer.

1.6 Definitions :-

- (i) **Reporting Officer:-** The Officer supervising the performance of an official reported upon.
- (ii) **Reviewing Officer :-** Reviewing officer, scrutinizes the CRs more thoroughly in respect of the category of officials for whom they are the Reviewing Officers with a view to ensure that no incorrect assessment has been made by the Reporting Officer. Reviewing Officer is supervising the performance of the reporting officer.

1.7 The Reporting, Reviewing for various categories of employees of NIOS are detailed as under:-

	Designation/Departments	Reporting Officer	Reviewing Officer	Accepting Authority
A.	Heads of the Department	Chairman	Chairman	In case of Officer of All India Service on deputation rules will be applicable as per DOPT's instructions from time to time.
B.	Academic & Vocational Departments DDs/ and JDs working in Academic and Vocational Department	Director (Academic)/ Director (VE)	Chairman	–
	Librarian	J.D./D.D.	Director	–
	Academic Officers/ Asstt. Director	J.D./D.D.	Director	–
	R&EO	J.D./D.D.	Director	
	Graphic Artist	J.D./D.D.	Director (Acad.)	

	Designation/Departments	Reporting Officer	Reviewing Officer/Accepting Authority
C.	Administration, Evaluation and Student Support Services Departments		
	(i) D.Ds/Joint Directors/ working in different departments	Director/Secretary	Chairman
	(ii) Assistant Directors	D.D./J.D.	Secretary/Director
	(iii) Accounts Officer	DD (A/Cs)	Secretary
	(iv) Publication Officer	J.D./Secretary	Secretary/Chairman
	(v) SA/P	Director (Evaluation)	Chairman
	(vi) EDP Supervisor	SA/P	Director (Evaluation)
	(vii) Section Officers	A.D./D.D.	D.D./J.D./Secretary
	(viii) P.R.O.	D.D./J.D.	Secretary/Director
	(ix) Hindi Officer	D.D./J.D.	Secretary
	(x) Jr. Asstt./Elect./Asstt./ Internal Auditor/Suptd.	S.O./A.A.O./A.D.	A.D./A.O./D.D.
	(xi) Translator	Hindi Officer	D.D./J.D.
(xii) Staff Car Driver	S.O. (Maintenance)	A.D./D.D./J.D.	
D.	Technical and other Staff		
	i) Editor (Media)/ Cameraman/ Production Assistant/	J.D. (Media)	Director/Secretary
	ii) Technical Assistants (Pub.)	Section Officer (Ptg.)	Publication Officer/J.D. (Admn.)
E.	Regional Centres		
Regional Directors	Director (SSS)	Chairman	

- Notes:**
- In case of any level of official/officer is directly reporting to a higher officer other than the Reporting Officer as mentioned above, in such cases reporting officer will be the officer whom he/she is reporting and reviewing officer will be the next higher officer.
 - In case of Personal Staff of HODs/Chairman, there will be no reviewing officer.
 - In case Officer reporting directly to Chairman, there will be no reviewing officer.
 - The Reporting/Reviewing Officers may be changed by the Chairman, if necessary depending upon the deployment of officers.

1.8 Where the reporting authority has not seen, but the reviewing authority has seen the performance of an official for at least three months during the period for which the performance appraisal report is to be written the reviewing authority shall write the performance appraisal report of the official.

- 1.9** Where the reporting authority, the reviewing authority have not seen the performance of an official for at least three months during the period for which the report is to be written, the entries in such cases shall be made based on performance appraisal report submitted by the individual officer for any such period.
- 1.10** The performance appraisal report has to be reviewed within one month of his retirement or demitting the office by the reporting and reviewing authorities. In cases where its has not been done the entries in such cases be made based on self appraisal.
- 1.11** If there is a change of the reporting officer during the course of a year confidential report shall be written by each of such officers for those who worked under him for a period of three months or more.
- 1.11 Self-appraisal not necessary for a period less than three months :-**
The Reporting/Reviewing authority can write/review the confidential report of an officer if it has at least an experience of three months of work and conduct of the officer reported upon. The officer reported upon need not submit his self-appraisal if the period of observation of his work and conduct by the reporting/reviewing authority is less than three months.
- 1.12 In the case of officers on deputation :-** In the case of Central Government Officers who are deputed to other Departments/State Governments or are on foreign service, the confidential rolls should be maintained by their parent departments and the periodicity of such confidential reports should be the same as in the parent department. It will be the responsibility of the parent department to obtain the reports of their officers on deputation and maintain them.
- 1.13** The matter regarding communication of entries in the ACRs in the case of civil services under the Government of India has been further reviewed and as per extent provisions of Department of Personnel and Training following latest instructions have been issued which shall be applicable in NIOS also :-
- (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 Acceptation Authority wherever such system is in vogue. Where Government servant has only one supervisory level above him as in the cases 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 with in 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 observation 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 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 communication the entries in the APAR shall be made applicable with immediate effect.
- (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 the period of thirty days from the date of receipt of the representation.
- (vii) Only one representation against adverse remarks should be allowed within fifteen days of date of communication of such remarks to the concerned employee. The stipulated time limit should be intimated while communicating adverse remarks to the employee.
- (viii) All representations against adverse remarks should be decided expeditiously but not later than three months from the date of submission of such representation. When Head of the Departments are not Reporting/Reviewing Officers the representation in such cases be decided at the level of Heads of the Departments. When Heads of the Departments are Reporting/Reviewing Officers these cases be decided at the level of the Chairman. When the Chairman himself is the Reporting/Reviewing Officer the representation in such cases will be disposed off by the Executive Board whose decision will be final. If it is found that the remarks were justified and the representation is found untenable, the decision will be communicated to the person concerned, and a copy of such communication, will be kept in the Dossier of the official concerned. If the Competent Authority feels that the remarks should be toned down, necessary corrective entries at the appropriate places of the report with proper attestation will be made. No correction shall be made in the original entries. In the event of the competent authority coming to conclusion that the adverse remarks were not justified or correct and, therefore, deserved expunction, it will take necessary action to score through the remarks, paste it over or obliterate it otherwise and will make an entry properly dated and attested by the Competent Authority.
- (ix) 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.
- (x) For future, the filling up of the APAR will be governed by the following guidelines:-
 - a) There shall be a box in the APAR for reflecting by the reporting officer the pen picture of the officer reported upon where the reporting officer will be required to indicate his comments on the overall qualities of the officer including areas of strengths and lesser strength and his attitude towards the

weaker sections. A column will also be added in the section relating to the reviewing authority for giving the reviewing authority's remarks on the pen picture reflected by the reporting officer. There will be no other separate column in the APAR for overall assessment apart from the pen picture.

- b) The APAR will have a provision in the relevant section for remarks by the reviewing officer to indicate specifically the differences, if any, with the assessment made by the reporting officer and the reasons therefor.
 - c) Numerical grading are to be awarded by reporting and reviewing authorities for the quality of work output, personal attributes and functional competence of the officer reported upon. These should be on a scale of 1-10, where 1 refers to the lowest grade and 10 to the highest. The guidelines in **Annexure I** shall be kept in mind while awarding numerical gradings.
 - d) The format for the purpose of numerical grading for Group 'A' and 'B' officers in the three areas of work output, assessment of personal attributes and assessment of functional competency is in **Annexure-II**. For Group 'C' officials it is appearing at **Annexure-III**.
 - e) Wherever 'accepting authority' has been prescribed in the existing system in the cadre, columns may also be provided for such authority to give his comments on the remarks of the reporting/reviewing authority and details of difference of opinion, if any, with reasons for the same. In such cases, the accepting authority will also give overall grade on a score of 1-10.
- (xi) The time schedule for preparation/completion of APAR (Reporting year - financial year) is as under:-

S.No.	Activity	Date by which to be completed
1.	Distribution of blank APAR forms to all concerned (i.e., to officer to be reported upon where self-appraisal has to be given and to reporting officers where self-appraisal is not to be given)	31st March (This may be completed even a week earlier).
2.	Submission of self-appraisal to reporting officer by officer to be reported upon (where applicable).	15th April
S.No.	Activity	Date by which to be completed
3.	Submission of report by reporting officer to reviewing officer	30th June
4.	Report to be completed by Reviewing Officer and to be sent to Administration or CR Section Cell or accepting authority, wherever provided.	31st July
5.	Appraisal by accepting authority, wherever provided	01st August

6.	(a) Disclosure to the officer reported upon where there is no accepting authority	01st September
	(b) Disclosure to the officer reported upon where there is accepting authority	15th September
7.	Receipt of representation, if any, on APAR	15 days from the date of receipt of communication
8.	Forwarding of representations to the competent authority	
	(a) Where there is no accepting authority for APAR (b) Where there is accepting authority for APAR	21st September 06th October
9.	Disposal of representation by the competent authority	Within one month from the date of receipt of representation.
10.	Communication of the decision of the competent authority on the representation by the APAR Cell	15th November
11.	End of entire APAR process, after which the APAR will be finally taken on record.	30th November

1.14 The rules in NIOS shall be governed as per DOPT's and Government of India's instructions from time to time in this regard.

1.15 Timely completion of APAR may be ensured.

1.16 The appraiser may, therefore, complete the relevant column of the APAR relating to self-appraisal by giving a brief description of not more than 300 words of his targets. The performance of the employee will then be assessed by the Reporting Officer who after completing his part of the report will submit the same to his superior officer, known as the Reviewing Officer for review. In the case of personal staff of officers, the assessment will be at the level of Reporting Officer only. The APAR so completed shall be sent to the concerned authority for custody.

1.17 If there is a change of the reporting officer during the course of a year APAR shall be written by each of such officers for those who worked under him for a period of three months or more.

1.18 Maintenance and custody of APAR:-

It shall be the personal and special responsibility of the JD (Admn.) or DD (Admn.) looking after Personnel Section, to ensure that Annual Performance Assessment Reports are properly maintained in separate docket in respect of all employees of NIOS.

**GUIDELINES REGARDING FILLING UP OF APAR SCORE WITH
NUMERICAL GRADING & PEN PICTURE**

- i) The columns in the APAR should be filled with due care and attention after devoting adequate time.
- ii) It is expected that any grading of 1 or 2 (against work output or behavioral competence/attributes or overall grade) would be adequately justified in the pen picture by way of specific failures and similarly any grade of 9 or 10 would be justified with respect to specific accomplishments. Grade 1-2 or 9-10 are expected to be rare occurrences and hence the need to justify them. In awarding a numerical grade the reporting and reviewing authorities should rate the officer against a larger population of his/her peers that may be currently working under them.
- iii) APAR graded between 8 and 10 will be rated as "*outstanding*" and will be given a score of 9 for the purpose of calculating average scores for the empanelment and promotion.
- iv) APAR graded between 6 and short of 8 will be rated as "*very good*" and will be given a score of 7.
- v) APAR Graded between 4 and short of 6 will be rated as "*good*" and given a score of 5.
- vi) APAR graded below 4 will be given a score of zero.
- vii) The grade point has to be reflected and justified in the pen picture submitted by the reporting officer and validated by the reviewing officer.
- viii) In case the Reported upon officer refuses to note the assessment and sign the certificate, it will be recorded so with certificate by the officer showing the APAR, in presence of two witnesses.