

Ref. No. 11037/NYKS/PERS/ APAR:2021-22/283

Date: 30 March, 2022

By e-mail and Speed Post

- CIRCULAR -

To: All employees of NYKS.

Subject: Issuance of APAR forms, time schedule and guidelines for filling up the columns of APAR for the period 2021-22 – reg.

1. Issuance of APAR forms and important points to write the APARs -

Sir / Madam,

As you are aware, the financial year 2021-22 is coming to an end on 31st March, 2022. In compliance with the guidelines of APARs, the format of **Annual Performance Appraisal Report** to be filled by officers, are being forwarded to you. The photocopies of attached APAR formats can be used by DYOs and below category staff.

Some important points for completing the APARs are given as below:

- i. The APARs should be written in numeric. Over-writing and cutting in APARs should strictly be avoided.
- ii. SD (i/c) and Dy. Director will use the APAR form prescribed for the post of Dy. Directors. The APARs of Dy. Directors will be reported to the State Director of the concerned state and reviewed by the Regional Director.
- iii. The column of Integrity in the APAR form should be filled properly as per the guidelines provided herewith.
- iv. The APAR guidelines should be followed by the officers, in light of above mentioned points.

2. Time Schedule to complete the APARs -

- i. As you are aware, an Annual Performance Appraisal Report (APAR) provides the basic and vital inputs for assessing the performance of an employee (Ratee) and his/ her advancement in his/ her career and also for judging his / her fitness for promotion, confirmation, and grant of MACP etc. However, it is found that the time schedule for completion and submission of APAR is not adhered by the employees of NYKS. Important points to be kept in view while writing APARs and the schedule for completion of APARs is given below for strict adherence and compliance.
- ii. The channel system of reporting and reviewing the APARs is provided at **Annexure-1** for strict compliance.

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iii. Accordingly, the Time Schedule for completion of the APARs for 2021-22 is given below.

Sl. No	Activity	Date by which APAR is to be completed
1	Distribution of blank APAR forms to all employees	31 st March, 2022
2	Submission of self-appraisal to reporting officer by Ratee employee (i.e. employee to be reported upon). (i.e. the Ratee employee to his/her controlling officer)	15 th April, 2022
3	Submission of report by reporting officer to reviewing officer (i.e. to the controlling officer/next higher authority of the reporting officer). Please note that the completed APAR should be sent to the reviewing officer by the reporting officer.	30 th June, 2022
4	Report to be completed by the Reviewing Officer and to be sent to the Administration, CR Section NYKS – Hqrs, Delhi.	31 st July, 2022
5	Disclosure of APARs to the employee reported upon by the reviewing officer. (A copy of the completed APAR should be sent to the employee by his / her reviewing officer).	01 st September, 2022
6	Receipt of representation from the employee, if any, on the APAR.	15 days from the date of communication.
7	Forwarding of representations to the competent authority i.e. NYKS Hqrs. Delhi.	21 st September, 2022
8	Disposal of representation by the competent authority	Within one month from the date of receipt of representation.
9	Communication of the decision of the competent authority on the representation by the APAR Cell.	15 th November, 2022
10	End of entire APAR process, after which the APAR will be finally taken on record.	30 th November, 2022

3. Important points to be kept in view while writing APARs-

- i. No APAR should be initiated / reported and reviewed by the same officer / officers of the same rank and designation.
- ii. The name of the Ratee Officer should be clearly written on the top right hand corner of each page of the APAR form.
- iii. Delay in submission of self- appraisal by any employee should not delay the process of writing APAR of the employee. In case the Ratee Officer/ employee does not submit the self – appraisal by due date (i.e by 15th April, 2022), the Reporting Officer should take it upon himself / herself to remind the Ratee in writing, asking him / her to submit the self- appraisal within a stipulated time period. It should also be made clear in the reminder that if the Ratee Officer / employee fails to submit the self-appraisal by the stipulated date, the report shall be written without self – appraisal. **If no self – appraisal is received by the stipulated date, the Reporting Officer should obtain a**

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fresh APAR form from the concerned Office/ Section and write the report on the basis of experience of the work and conduct of the Ratee. While doing so, the reporting Officer may also point out the shortcomings of the officer reported upon to submit his / her self – appraisal within the stipulated time.

- iv. As you are aware, the earlier practice of entering descriptive remarks in the areas of Work Output, Personal Attributes and Functional Competency of a Ratee has been discontinued. Numerical grading on a scale of 1 to 10 will be awarded against these attributes as per guidelines. Similarly, the practice of giving an overall grading i.e. Outstanding / Very Good/ Good/ Average/ Below Average has also been discontinued and instead, a numerical grading based on the **weighted mean (not the total of A, B and C of Part 3)** of the points awarded to the Ratee shall be entered in the boxes provided with the Pen Picture by the Reporting and the Reviewing Officer.
- v. Reporting Officer must ensure that all employees fill the column related to submission of annual property return.
- vi. Normally, only one APAR is required to be raised covering the complete reporting year. However, in case of transfer of the Ratee/ Reporting / Reviewing Officer during the course of any APAR year, more than one APAR may have to be written. It is, however, mandatory that Reporting as well as the Reviewing Officer should have at least **three months (90 days)** of experience about the work and conduct of the Ratee during the course of the relevant reporting year. The period of three months, however, includes closed days, short spells of leave of less than 15 days duration availed by the Ratee/ Reporting Officer. In case the period of service is more than 90 days and the Ratee has not served under any Officer for a minimum period of 03 months (90) days, a **Non-Initiation Certificate may be raised in lieu of the APAR for that period as per Annexure-2.**
- vii. In case no Reporting Officer has the requisite experience of at least 03 months (90 days), the Reviewing Officer himself may initiate the report, provided, he has seen the work & conduct of the Ratee for at least three months. The report, thus initiated, shall be reviewed by the Immediate Superior Officer to the Reviewing Officer.
- viii. The APARs are required to be raised even for employees who have retired / resigned from service or have expired after 30th June, 2022, thus completing the mandatory 90 days' service for raising the APAR. In such cases, the APARs may be initiated by the Reporting Officer without the self-appraisal stating the reasons for the same.
- ix. The Reporting Officer should complete the APARs as per the schedule given above. The Reporting Officer shall have **no right** to enter any remarks in the APAR after 30th June, 2022 and submit all APARs held by him for review to the Reviewing Officer on the next working day.
- x. Reviewing Officer is also requested to complete the review part of the APARs as per the time schedule. The Reviewing Officer shall forfeit his right to enter any remarks in the APAR of the Ratee Officer after 31st July, 2022.
- xi. In case, both Reporting Officer and Reviewing Officer forfeit their rights to enter any remarks because of not adhering to the schedule of completion, the CR format with the

self - appraisal given by the Ratee Officer will be placed in his / her APAR dossier along with a certificate that the concerned Reporting / Reviewing Officer (s) have forfeited the right to enter the APAR. **A written warning shall be placed in the CR dossier of concerned Reporting/Reviewing Officers for not having performed the public duty of writing the APAR of subordinates within the due date.**

4. Guidelines for filling up of the column of APARs related to Integrity -

- i. It has been noticed in many cases that the officers, while writing the APARs, make mistakes in filling up the Integrity column. It has been observed that remarks such as 'Poor', 'Okay', 'Good', 'Excellent' etc. are made in the Integrity Column by some Reporting Officers, which is totally incorrect. Therefore, the following guidelines should be adhered to in the matter of making entries in the Integrity Column.
- ii. Supervising Officer should maintain a confidential diary in which instances that create suspicion about the integrity of a subordinate should be noted from time to time and necessary action to verify the truth of such suspicion should be taken expeditiously. At the time of writing the APAR, this diary should be consulted accordingly. In case, the Supervising Officer writes the APAR on account of unconfirmed nature of suspicion further action should be taken in accordance with the following sub-paragraphs:
 - a) The Reporting Officer should tick (✓) the option ***"Since the integrity of the Officer is doubtful, a secret note is attached"*** and accordingly a separate secret note about the doubts and suspicions regarding the employee's integrity should be attached therewith the APAR form (Though such a note is attached with the APAR, the same should not be disclosed to the employee reported upon. Only after the doubts or suspicions are cleared or substantiated, the Integrity column should be filled up accordingly and contents thereof communicated to the employee- please see the following sub-paragraphs for its procedure):
 - b) A copy of the secret note should be sent together with the APAR to the next superior officer i.e Reviewing Officer, who should ensure taking the follow-up action expeditiously.
 - c) If, as a result of the follow-up action, an employee is exonerated, his/her integrity should be certified and the option ***"Beyond Doubt"*** should be selected by the Reviewing Officer along with his/her signature. For the purpose of monitoring, the Officer in-charge may keep a separate list of APARs where the integrity of an officer has not been certified.
 - d) If suspicions regarding his integrity are confirmed, this fact can also be recorded and duly communicated to the concerned employee.
 - e) There may be cases where after a secret report/ note has been recorded expressing suspicion about an employee's integrity, the inquiries that follow do not disclose sufficient evidence to remove the suspicion or to confirm it. In such a case, the employee's conduct should be watched for a further period and in the meantime, he / she should, as far as practicable, be kept away from responsibilities that may provide opportunities for indulging in corruption practices and thereafter action should be taken as indicated at (c) and (d) above.



- iii. There are instances when a Reporting Officer cannot in fairness to himself/ herself and to the employee reported upon, either certify integrity or make an adverse entry or even be in possession of any information which would enable him/ her to make a secret report to the State/ Head office. Such instances can occur when an employee is serving in a distant Kendra/ Office and the Reporting Officer has not had occasion to watch his/ her work closely or when an employee has worked under the Reporting Officer only for a brief period or has been on long leave etc. In all such cases, the Reporting Officer should select the option ***"Not watched the officer's work for sufficient time to form a definite judgement but nothing adverse has been reported to me about the officer"***. This would be a factual statement to which there can be no objection. But it is necessary that a superior officer should make every effort to form a definite judgment about the integrity of those working under him/her, as early as possible, so that he/she may be able to make a positive statement.

In view of the above, the Reporting Officer should select only one among the following options mentioned in the Integrity Column of the APAR form:

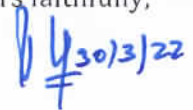
- **Beyond doubt**
- **Since the integrity of the officer is doubtful, a secret note is attached.**
- **Not watched the officer's work for sufficient time to form a definite judgement but nothing adverse has been reported to me about the officer.**

Officers of NYKS, Hqrs. and State Directors are requested to bring the contents of this circular to the notice of all concerned officers for strict adherence and compliance of time schedule.

Enclosures:

- Copy of APAR forms as point no. 1 above.
- Channel of Reporting/Reviewing (Annexure-1) with reference to point 2(ii).
- Non-initiation Certificate (Annexure-2) with reference to point 3(vi).

Yours faithfully,

 30/3/22

(Prakash Vaidya)
Jt. Director (Personnel)

Copy to:

- PS to DG, NYKS, Hqrs., New Delhi.
- Executive Director (Pers.)/Directors of NYKS, Hqrs., New Delhi.
- All Regional Directors of NYKS.
- All State Directors of NYKS for n.a. pls.
- Concerned files.

- A.D (EDP) for uploading on NYKS website.

Annexure-1

Channel of submission of APARs for the period 2021-22, of the Officers of NYKS, of the rank of Joint Director (Pay Level- 12) and below, is specified as below:

Sl. No	Designation	Reporting & reviewing officers for APARs for the Year 2021-22	
		Reporting Officer	Reviewing Officer
1.	Joint Director	Director of the section	Director General
2.	State Director and State Director (i/c)	Regional Director	Director General
		Executive Director/ Director (Personnel) <i>*In case the charge of RD is held by SD of PAO state.</i>	Director General
3.	Dy. Director (Hqrs.)	Joint Director of the section	Director of Section
		Director of the section	Director General
4.	Dy. Director (Field)	State Director	Regional Director
		State Director	Executive Director/ Director (Personnel) <i>*In case the charge of RD is held by SD of PAO state.</i>
		Regional Director/ State Director of PAO holding the charge of RD <i>*Deputy Director posted as State Director (i/c) cannot report the APAR of any other Deputy Director posted in the state.</i>	Director General
5.	Assistant Director (Hqrs.)	Dy. Director of the section	Joint Director of the section
		Joint Director of the section	Director of Section
		<i>(In case Dy. Director is not available)</i> Director of the Section	Director General
		<i>(In case neither Dy. Director nor Jt. Director is available)</i>	
6.	District Youth Officer	Dy. Director posted in State Office	State Director
		State Director/ State Director (i/c)	Regional Director
		In case RD of the region is holding the charge of SD of concerned PAO state, the APAR shall be reported by RD and reviewed by Executive Director/ Director (Personnel)	
7.	Section Officer	Immediate Reporting Officer; not below the rank of Assistant Director	Next immediate Officer to the Reporting Officer.

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8.	Sr. Hindi Translator	Assistant Director (Official Language)	Next immediate Officer to the Reporting Officer.
9.	Assistant Section Officer	Immediate Reporting Officer; not below the rank of DY0/AD of the Kendra/section	Next immediate Officer to the Reporting Officer.
10.	Accounts and Program Supervisor	Immediate Reporting Officer; not below the rank of DY0/AD of the Kendra/section	Next immediate Officer to the Reporting Officer.
11.	Accounts and Program Assistant	Immediate Reporting Officer; not below the rank of DY0/AD of the Kendra/section	Next immediate Officer to the Reporting Officer.
12.	Administrative Assistant	Immediate Reporting Officer; not below the rank of DY0/AD of the Kendra/section	Next immediate Officer to the Reporting Officer.
13.	Driver	Immediate Reporting Officer; not below the rank of Assistant Director/ District Youth Officer <i>*There is no provision of Reviewing the APAR of Driver as per revised format.</i>	
14.	Multi-Tasking Staff (MTS)	Immediate Reporting Officer; not below the rank of Assistant Director/ District Youth Officer. <i>*There is no provision of Reviewing the APAR of MTS as per revised format.</i>	

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NON INITIATION CERTIFICATE

Certificate of Non-Initiation of APAR for the period with effect from _____ to _____
 (to be rendered in case the period of service is more than 90 days and the Ratee has not served under any
 Officer for a minimum period of 03 months (90 days)).

1	Employee Code	
2	Name in Block Letters	
3	Designation	
4	Present Place of Posting	
5	Date of Birth	
6	Date of entry in the present post	
7	Period for which NIC being rendered	
8	Period of absence of Officer Reported upon during period covered (on leave, training etc.)	
9	Period of absence of Reporting Officer (on leave, training etc to be specified) Reviewing Officer (on leave, training etc to be specified)	
10	Reasons for Non-Initiation with period	

Authenticated by:-

Officer reported upon:

Signature:.....

Name:

Designation:.....

Date:.....

Present Reporting /Reviewing Officer:

Signature:.....

Name:.....

Designation:.....

Date:.....