

Instructions for filling out the Annual Performance Appraisal Report (APAR) (E-O to E-6) of Rail Vikas Nigam Limited (RVNL).

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1. Introduction

The Performance Appraisal Report is an important document. It provides the basic and vital inputs for further development of an officer. The officer reported upon, the Reporting Authority, Reviewing Authority and the Accepting Authority should, therefore, undertake the duty of filling out the form with a high sense of responsibility.

Performance Appraisal should be used as a tool for career planning and training, rather than a mere judgmental exercise. Reporting Authorities should realize that the objective is to develop an officer so that he/she realizes his true potential. It is not meant to be a fault-finding process but a developmental tool. The Reporting Authority, the Reviewing Authority, and the Accepting Authority should not shy away from reporting shortcomings in performance, attitudes or overall personality of the officer reported upon. The columns should be filled with due care and attention and after devoting adequate time. Any attempt to fill the report in a casual or superficial manner will be easily discernible to the higher authorities.

Performance appraisal is expected to be used as a tool for human resource development, career planning and training rather than a mere judgemental exercise. Thus the Reporting Authority and the officer reported upon should meet at the beginning of the year to set targets and goals of performance.

2. Section I –Basic information

This section should be filled out in by the Nodal Officer or the Human Resource/Personnel/Administration Department of the CPSE. Period of report could be either the entire reporting year, namely, from 1st of April to 31st March or a part of the year (minimum 90 days). In case the period of report is a full year, it should be indicated accordingly; for example 2015-2016. In case the period of report is less than the entire year, specific start and end dates should be indicated, for example, 10th September 2015 to 31st March 2016.

Item No.1: Name of the officer reported upon should be written in capital letters.

Item No.3: The period of absence from duty, on leave other than casual leave, training, or for other reasons including unauthorized absence should be mentioned in this section.

Item No.6(E0 to E2)/7(E3 to E6): The date of filing the annual property return in the prescribed format is to be mentioned.

3. Section II-Self-appraisal of the official reported upon

Item No.1: The officer reported upon is first required to give a brief description of his responsibilities, which would normally not exceed about 100 words. Ideally, this should be in bullet form.

Item No.2: In this section, the officer reported upon is required to furnish the details of the mutually agreed work plan and achievements unless revised by the new Reporting Officer. All officers are required to develop a work plan for the year and agree upon the same with the Reporting officer. The work plan should incorporate the work related to the area of functioning of the concerned officer and it should be as per the actual workload and requirement of the organization. The work plan would normally consist of quantifiable targets. The exercise is to be carried out at the beginning of the year and finalized by 30th April positively. The work plans, duly signed by the officer reported upon and the Reporting Authority has to be submitted by 15th May to the Nodal Officer for record.

After the work plan is prepared, it is possible that the officer reported upon is transferred out. There need not be more than one work plan for one post each year. In case of change of the Reporting officer during the year, the work plan agreed with the previous Reporting officer would continue to apply unless revised by the new Reporting officer. The contribution of the officer reported upon during the period spent by the officer on the post could be considered for evaluating his performance against the work plan.

Item No.3: This section provides an opportunity for the officer to reflect upon his performance during the year and indicate one item in which he/she had made significant contribution during the year. It is always possible for any officer to make significant contribution even in activities otherwise regarded as routine in nature.

Item No.5: The officer reported upon is required to indicate specific areas in which he/she feels the need to upgrade competencies and attend training programmes. He/she should also mention the specific steps that he/she has taken or proposes to take to upgrade his/her competencies in the identified area.

4. Section III -Appraisal of the Reporting Authority

Item No.1: The Reporting Authority is required to comment on the self-appraisal made by the officer reported upon in Section II, and specifically state whether he/she agrees with the responses relating to accomplishments. In case of disagreement, the Reporting Authority should highlight the specific portions with which he/she is unable to agree to and the reasons for such disagreement.

Item 5(E0 to E2)/6(E3 to E6): In this section, the Reporting Authority is required to comment on the integrity of the officer reported upon. In recording remarks on integrity, he/she need not limit himself/herself only to matters relating to financial

integrity but would also take into account any violation, by the concerned officer, of the code of conduct laid down by the Board of the CPSE. The following procedure should be followed in filling up column relating to integrity: i) if the Officer's integrity is beyond doubt, it may be stated; (ii) if there is any doubt or suspicion, a separate secret note should be recorded and sent to the Reviewing Authority after recording this fact in the column relating to integrity. (iii) Where it is not possible either to certify the integrity or to record secret note, the Reporting Authority should state that he/she has not received anything against the officer reported upon.

The Reviewing Authority will ensure that the follow up action on the secret note submitted by the Reporting Authority is taken expeditiously. If, as a result of the follow up action, the doubts or suspicions are cleared, the integrity of the officer reported upon should be certified and an entry made accordingly by the Reviewing Authority in the Performance Appraisal Report. If the doubts or suspicions are confirmed, this fact should also be recorded by the Reviewing Authority in the PAR. If as a result of the follow up action, the doubts or suspicions are neither cleared nor confirmed, the officer's conduct should be watched for a further period of one year and the outcome should be recorded in the Performance Appraisal Report by the Reviewing Authority. The Nodal Officer shall communicate the final decision on the integrity of the officer reported upon to the officer concerned as well as the Reporting Authority.

Item No. 6(E0 to E2)/8(E3 to E6): In this Section, the Reporting Authority is required to record a numerical grade in respect of the work output of the officer reported upon against his /her performance, functional competency and personal attributes. It is expected that the lower marks by the Reporting Authority would be adequately justified in the pen picture by way of specific failure and higher marks would be justified with respect to specific accomplishments. Very lower marks and very higher marks are expected to be rare occurrences and, hence, the need to justify them. In awarding marks, the Reporting and Reviewing authorities should rate the officer against a larger population of his/her peers that may be currently working under them.

Under Sections Assessment of Performance, Assessment of Functional Competency and Assessment of Personal Attributes, the Reporting and Reviewing authorities are required to award marks to the officer reported upon. While filling up these sections it may be ensured that performance, functional competency and personal attributes are clearly understood by all stakeholders of the APAR process.

Item No.6.1(E0 to E6)/Item No.8.1(E3 to E6) MOU SCORE:

- (i) APAR will be initiated by the officer reported upon within prescribed time-limits without the MOU score/ratings, in case same are not available, by filling up the remaining APAR and will be submitted to Reporting Authority within prescribed time-limits.

- (ii) Reporting/Reviewing and Accepting Authority will record their remarks in the APAR within prescribed time-limits. In case, MOU score/ratings are available during this period, the same would be recorded in APAR by the nodal officer.
- (iii) In case MOU score/ratings are available after recording of APAR by Reporting/Reviewing and Accepting Authority, the nodal officer will enter the same in the APAR as soon as MOU score/ratings are made available and fill in corresponding MOU grade.

Item No:7(E3 to E6): The Reporting Authority is also required to record a descriptive pen picture on the overall qualities of the officer reported upon and his performance and this should be consistent with the numerical grade given to the officer. This should try to cover overall qualities of the officer, including areas of strengths. The pen picture is also meant to be a qualitative supplement to the quantitative assessment made in earlier part of this section.

Item No. 7(E0 to E2)/9(E3 to E6): Finally, the Reporting Authority is required to record an overall grade. This should be computed by adding the total marks obtained by the officer reported upon and dividing it by two. This should also be done on a scale of 1-5, with 1 referring to the best grade and 5 to the lowest. Following table is prescribed for entering the score in APARs for the year 2015-16:-

Total Marks obtained	Corresponding score to be used for APAR 2015-16*
100 - 90	1.00 - 1.50
89.99 - 70	1.51 - 2.50
69.99 - 50	2.51 - 3.50
49.99 - 30	3.51 - 4.50
29.99 - 20	4.51 - 5.00

- For Marks of intervening values, the corresponding APAR score may be calculated on pro-rata basis. For example, 95 Marks will correspond to APAR score of 1.25.

5. Section IV - Review by the Reviewing Authority

Item No.1: This section is to be filled up by the Reviewing Authority. He/she is required to indicate whether he/she agrees with the assessments made by the Reporting officer. In case of disagreement, he/she may record his own assessment about the work output and/or any of the attributes in the column specifically provided for the purpose in Item No.6 and/or Item No.7 of Section III.

Item No. 2(E0 to E2)/3(E3 to E6): In case of disagreement with the assessment made by the Reporting Authority, the Reviewing Authority should record the details of disagreement and the reasons for the same in this section.

Item No.4(E3 to E6): In this section, the Reviewing Authority should comment on the pen picture written by the Reporting Authority.

6. Section V: Acceptance by the Accepting Authority

Item No.1: This section is to be filled by the Accepting Authority. He/she is required to indicate whether he/she agrees with the assessments made by the Reporting Authority/Reviewing Authority as also the comments of the CPM, if any, on the reporting and or reviewing done.

Item No. 2(E0 to E2)/4(E3 to E6): In case of difference of opinion, the Accepting Authority is required to give details and reasons for the same in this section.

Item No. 3(E0 to E2)/5(E3 to E6): Item No.3: Finally, the Accepting Authority is required to record in this section an overall grade in the scale of 1-5 with 5 referring to the best grade and 1 to the lowest. In case the overall grade given to the officer reported upon by the Reporting/Reviewing Authority is not consistent with the pen picture given by them, the Accepting Authority should make suitable changes to the overall grade to make them consistent.

7. Section VI: Review of the overall grade by the Accepting Authority

In this section, the Nodal Officer will fill in the form, the final decision of the Accepting Authority on the representation, if any, made by the officer reported upon.

8. Numerical Grades

At several places, numerical grades are to be awarded by Reporting/Reviewing Authorities. It is expected that any grading of 20 to 30 marks (against work output or personal attributes and functional competencies or overall grade) would be adequately justified in the pen-picture by way of specific failures and similarly, any grade from 90 to 100 marks would be justified with respect to specific accomplishments. In awarding a numerical grade, the Reporting, Reviewing and Accepting Authorities should rate the officer against a larger population of his peers that may be currently working under them or would have worked under them in the past.

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