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Technical Assistance for Implementation of Institutional Reforms in the Road Sector of Uttar Pradesh

REPORT FOR REVISED CSR (CIVIL SERVICES REFORMS) LINKED STAFF PERFORMANCE APPRAISAL POLICY (FINAL)

Report No. 37

September 2007

LEA International Ltd., Canada
in joint venture with

LEA Associates South Asia Pvt. Ltd., India
in association with

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# Technical Assistance for Implementation of Institutional Reforms in Road Sector of Uttar Pradesh

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Glossary

ACR  Annual Confidential Report
ADB  Asian Development Bank
ADT  Average Daily Traffic
AE   Assistant Engineer
BOOT Build Own Operate Transfer
BOT  Build Operate Transfer
BSC  Balanced Score Card
CE   Chief Engineer
CEO  Chief Executive Officer
CRF  Central Road Fund
CRRI Central Road Research Institute
CSR  Civil Service Reforms
DASP Diversified Agriculture Support Program
DBC  Dense Bitumen Concrete
DPC  Departmental Promotion Committee
DRDA District Rural Development Authority
EE   Executive Engineer
E-in-C Engineer in Chief
GNP  Gross National Product
GO   Government Order
GOI  Government of India
GoUP Government of Uttar Pradesh
GSDP Gross State Domestic Product
HDM  Highway Design Model
HGV  Heavy Goods Vehicle
HQ   Head Quarter
HR   Human Resource
HRD  Human Resource Development
HRM  Human Resource Management
IBRD International Bank for Reconstruction and Development
IDS  Institutional Development Strategy
IDSP Institutional Development And Strengthening Plan
IGNOU Indira Gandhi National Open University
IRC  Indian Roads Congress
IT   Information Technology
ISAP Institutional Strengthening Action Plan
JE   Junior Engineer
KRA  Key Result Area
KPI  Key Performance Indicator
MDR  Major District Roads
MLA  Member of Legislative Assembly
MIS  Management Information System
MOST Ministry of Surface Transport
MoSRTH Ministry of Shipping, Road Transport & Highways
NABARD National Bank of Agricultural and Rural Development
NITHE National Institute for Training of Highway Engineers
NH   National Highway
NHAI National Highways Authority of India
ODR  Other District Road
PAC  Public Accounts Committee
PAR  Performance Appraisal Report
PCC  Project Coordinating Consultant
PCI  Pavement Condition Index
PCU  Passenger Car Unit
PMS  Pavement Management System (in road management)
PMH  Pavement Management System (in HRM)
PWD  Public Works Department
RES  Rural Engineering Services
RIDD Rural Infrastructure Development Fund
RMMS Road Maintenance Management System
RSPEU Road Safety Planning and Engineering Unit
RSC  Road Safety Cell
SDBC  Semi Dense Bitumen Carpet
SE   Superintending Engineer
SH   State Highway
SRF  State Road Fund
SRP-II State Road Project-II
SRB  State Road Safety Board
SRSC  State Road Safety Council
SRSF State Road Safety Fund
TA   Technical Assistance
ToR  Terms of Reference
TNA  Training Needs Assessment
UP   Uttar Pradesh
UPRNN Uttar Pradesh Rajkiya Nirman Nigam
UPSBCCT  Uttar Pradesh State Bridge Construction Corporation
UPSRTC Uttar Pradesh State Road Transport Corporation
UPSRP Uttar Pradesh State Road Project
UPSHA Uttar Pradesh State Highway Authority
UNDP United Nations Development Programme
VOC  Vehicle Operating Cost
VR   Village Roads
WB   World Bank
WBM  Water Bound Macadam
1. INTRODUCTION

Main Institutional Development Study (IDS) recommendations were endorsed by GoUP in September 2001. The resultant Institutional Development and Strengthening Plan (IDSP) is now taken up for implementation with the assistance from the TA Consultants.

The IDSP involves a wide range of reforms in the organisational structure, systems and processes of the PWD. The implementation strategy for the reforms encompasses diverse catalytic interventions aimed variously at PWD road management, capacity building, legislation, policy and process modernisation, organisational, systems and technological enhancements.

Within the overall organisational capacity building initiative, the ‘Human Resource Management and Development’ is one of the critical areas for reforms and capacity enhancement. The HR and Training enhancements to be implemented in the PWD has a range of initiatives including Staff requirement study through robust work force planning exercise, Training Needs Assessment (TNA) of PWD officers and training for skills development under a Core Skills Development Programme (CSDP), Career Planning & development strategies, staff mobility etc.

Actions are underway to establish a dedicated HRD & Training Cell in PWD as per the Report no. 4, which was discussed and accepted by the Project Steering Committee (PSC) meeting on 26 July 2007. The HRD & Training Cell functioning under a Chief Engineer (Human Resources) will be expected to undertake the wide ranging HRD and Training activities.

An important component of the Human Resource Management is the ‘Performance Management System (PMS) popularly known as the ‘Staff Appraisal’, currently carried out through the Annual Confidential Reports (ACR). The short-term IDS agenda (item 6) requires that:

“The confidential report format should be redesigned so that the process is objective and transparent. There is scope for enhancing scope of performance. Appraisal form to include capability enhancement related information. The present format has very little guidelines and hence is open to discretion of the Reviewer.”

1.1 THE IDS ACTION PLAN

The IDS Action Plan (serial 6B) objective states: “Strengthen staff appraisal, career development and performance incentives /factors”

Action milestone to be achieved in this direction: “Implement revised CSR-linked staff performance appraisal policy and processes”

This report addresses to the TA Consultants’ deliverable Report No. 37: ‘Report for Revised CSR (Civil Services Reforms) linked Staff Performance Appraisal Policy"
1.2 DISCUSSIONS BY THE FOCUS GROUP ‘E’

The report was discussed in detail by the Focus Group ‘E’ in a meeting held on 21 Sept 2007. Suggestions and comments during the discussion have been incorporated in this Final Report.

1.3 THE STRUCTURE OF THIS REPORT

This report is in seven sections as described below:

Section 2: Deals with the overall Civil Service Reforms process in the GoUP and the Government of India, in respect of revision of Staff appraisal system.

Section 3: Reviews the existing staff appraisal system in UP PWD and analyses its strengths and shortcomings; and establishes the need for revision.

Section 4: Introduces the conceptual framework of a modern Performance Management System and its components and processes

Section 5: Discusses the rationale of revision of the appraisal system in Govt. of India by the Surindernath Committee, leading to the revised PMS, termed as the Performance Appraisal Report.

Section 6: Describes the key aspects of the Revised PMS (PAR) introduced in Govt. of India

Section 7: Enumerates the methodology & the steps for development of a revised PMS and its implementation in PWD
2. CIVIL SERVICE REFORMS (CSR) AND REVISION OF STAFF APPRAISAL SYSTEM

2.1 CIVIL SERVICE REFORMS

Specific reference has been made to the Civil Services Reforms (CSR) process in the IDS Report 2002 and the Government endorsed IDS Action Plan. The CSR process has been underway since late 90’s.

The IDS recommendations endorsed by GoUP in respect of Human Resource Management states the task as:

“Need to carry out comprehensive Human Resource Planning and Development programme as a part of the Institutional Strengthening Programme. Its components should include Manpower need assessment, human resource planning, human resource development policy/guidelines, Training policy and objectives, and finally performance appraisal and career planning. This study has to be in line with the attempts under CSR process, underway, for the complete State Administration.”

The GoUP endorsed IDSP mentions of the (then) ongoing CSR deliberations as: ‘PWD inclusion in GoUP Civil Service Reform (CSR) process and staffing freeze’ and ‘PWD Policy Cell established for CSR support in 1999’. The deliverables of the TA Consultants linked to the outcomes of the CSR process in the following manner:

- Confirm long term CSR–compatible core staff resources plans with GoUP
- Implement CSR-linked PWD HR Planning & Development program
- Implement revised CSR-linked staff performance appraisal policy and processes.
- Implementation of CSR linked HR Planning and Development program

2.2 CSR IN GOVERNMENT OF UTTAR PRADESH

CSR is a countrywide reform initiative aimed at toning up the administration and enhancing efficiencies of the Government staff and processes for better service delivery to the citizens. Civil Services Reforms are generally initiated at the Government of India level and are run in parallel in various State Governments as well. As per the ‘UP Civil Service Reforms Policy 2000’ issued by the Department of Personnel, GoUP, the CSR initiative in the State was triggered by the conference of Chief Ministers organized by the Government of India during May 1997, which discussed the subjects of regularly making available accountable services to people and successful implementation of the (development) schemes. Subsequently discussions were held between the representatives of the World Bank and the State Government, in which the World Bank emphasized the need for making the civil services more effective and proactive and limit the administrative expenditure. Discussions on the issue of reforms in public service were also held with officers from Govt. of India during that time. The preliminary proposal for UP Civil Service Reforms Policy 2000 was drafted by the (then) UP Academy of Administration, Nainital. The draft policy was deliberated upon by a high level Group of Officers constituted for the purpose. The UP Civil Services Reform Policy was issued by the Department of Personnel after approval by the Economic Development Committee of Hon’ble Cabinet Committee.
The UP Civil Services Reform Policy- 2000 provides broad policy for implementation in various departments of the State Government. The full text of UP CSR Policy is given at Annexure 1.

CSR is a statewide initiative and PWD is expected to implement the Government orders and directives pertaining to the revised systems and processes when they are firmed up and orders are issued. The issue of the State CSR Policy in 2000 is a major landmark. However, subsequent to the issuance of the CSR Policy document, it appears that no major directives/orders/guidelines/study reports on the subject have been issued by the GoUP. It is ascertained that the State level CSR Cell, which was functioning in the Department of Personnel is at present not active. The PWD Policy Cell for CSR support is also either dormant or has been discontinued.

2.3 CSR AND REVISION OF THE STAFF PERFORMANCE APPRAISAL SYSTEM

During the intervening period between the formulation of IDS Action Plan (2001) and now (the time for implementation), no specific CSR based orders/reports/recommendations in respect of revision of the Staff Performance Appraisal System have been issued at the GoUP level. The system of Staff appraisal through the ACR system has remained unchanged.

At the Government of India level however, the CSR process in respect of revision of the Staff Performance Appraisal has made significant progress during 2000 and 2007. After a number of study reports and committee deliberations, a revised system of Performance Appraisal known as the ‘Performance Appraisal Report (PAR)’ has been implemented with effect from 01 April 2007. The rationale and the process of the revision leading to development of the PAR are given in Section 4 of this report.

It is to be noted that most Government Reform agenda originates from the Centre and are implemented first in the Government of India and subsequently cascades down to the States. During the pre-implementation phase of any reform, various study committees/commissions are constituted and these committees generally hold wide-ranging discussions with the representatives of Central as well as State Governments before firming up the recommendations. This is a necessity as there is a common thread of administrative machinery existing between the Central Government and the State Governments in the form of the All India Services (IAS, IPS IFS etc) who are at the helm of the administrative structure of the Central as well as the State Governments. Consultations at the pre-implementation stage also facilitates implementation.

Usually, the implementation of any new system at the State Government level following introduction of the same at the Centre; often entails another round of deliberations at the State level for adaptation to local conditions. In this regard, some States are quicker than others in implementing the changes. Examples of such pattern is to be found in implementation of pay revisions for Government staff through Pay Commission recommendations, the sixth such Pay Commission for Central Government employees is currently in progress. Once the Pay Commission’s awards are implemented at the Centre, the States thereafter follow suit; constitute State level Pay Commissions and take appropriate decisions.
2.4 REVISION OF STAFF APPRAISAL SYSTEM IN PWD

The need for revision of the Staff appraisal system in the PWD was established in the IDS study and included as an Action agenda in the Government endorsed IDSP in 2001. The IDSP stipulated that the revision be linked to the CSR initiative of the State Government. It was appreciated that revision of the PWD staff appraisal process would need to conform to the procedure followed in the entire State Government.

‘Most of the procedures, rules and regulations, are standard ones and uniformly applicable to all the Government Departments in the State. While the review of these can indicate the functionality or otherwise of the current practices and its impact on PWD, the scope for major alterations is constrained by the ability of the Department to deviate from State Government policies, rules and regulations. However, it is important to note that the State has recognized the need to undertake review of the State’s Human Resource Management Policies and Practices and develop suitable interventions under the Civil Service Reforms exercise’.

The UP CSR Policy (paragraphs 6.1 and 6.2 quoted below) contains the following policy guidelines concerning the work systems and methods consisting of Personnel Management and the Performance evaluation system.

**Uttar Pradesh CSR Policy 2000**

6. Improving Work Systems and Methods

The aim of improving systems and work methods would be to create a new work culture based on openness, accountability, responsiveness, efficiency and effectiveness

The following systems to be examined and redesigned for bringing about professional efficiency in the functioning of the civil service

6.1 Personnel Management

The existing methods of disciplinary proceedings against civil servants have proved to be ineffective for a variety of reasons. Operational bottlenecks are to be removed and the system strengthened further.

6.2 Performance Evaluation System

- Suitable performance evaluation systems based on outcome-based, objective performance standards to be devised and put in place in all the government departments.

- Since Annual Confidential Reports form the basis for promotion, there is a strong need to make them as objective as possible. For this objective, self-evaluation forms be set out for all posts so that correct comparative evaluation of the officers/personnel of the same level could be ensured. Recording of the certificate of having made entries in time by the reporting officer be made compulsory. Since the grading except 'excellent' are a barrier to promotion on merit, these should be communicated to the concerned.
The revision of the Staff appraisal in PWD is considered a priority reform project at this time, on account of the following:

a. The State CSR Policy 2000 clearly mandates a revision to the staff appraisal system and provides a direction that it need be objective and transparent and should cater for the capacity development of the staff.

b. The IDS Action Plan (IDSP) includes the revision of the Staff Appraisal as a priority agenda for improving the efficiency of the department.

c. The Central Government, after considerable deliberations during the years 2002 to 2007, by a number of Committees including the ‘Group constituted to review the system of performance appraisal, promotion, empanelment & placement for the All India services and other Group A services 2003’ (Surindernath Committee) and the GOI Committee on Civil Services Reforms –2004 (Hota Committee) have notified the All India Services (Performance Appraisal Report) Rules 2007 on 14th March 2007. The PAR is already operationalised with effect from the financial year April 2007- March 2008.

d. Following introduction of a revised Performance Management System in the Centre, it is logical that the State Government would introduce the PAR system in near future after adapting it to meet local conditions.

e. PWD is currently at the focus of the reform initiative through the World bank supported Institutional Development & Strengthening Project. The IDS Implementation project includes a wide ranging HRD and Training enhancements of which, introduction of an objective and transparent Staff Appraisal System is a major tool for enhancement of goal focus and accountability in the department. The PMS is the backbone of organisational management to enhance performance of the human resources and implement a development oriented career planning and capacity enhancement.

A dedicated HRD and Training Cell is being established in the PWD to implement the various HRD and Training enhancements in an integrated manner. The objective is to develop the PWD as a pioneer department within GoUP. The HRD and Training Cell will function as a professional HR Management Unit (like the Corporate HR in a Corporation) with capacity and expertise to implement various HR enhancements including the revised Performance Management System.
3. REVIEW OF EXISTING STAFF APPRAISAL SYSTEM IN UP PWD

At present, the performance appraisal of PWD officers is carried out through the Annual Confidential Report (ACR) System, which has been the prevalent practice in all Government organisations in India. The ACR system in PWD is as per the Government of UP regulations and ACR’s are written at the end of the ‘Appraisal year’ coinciding with the financial year, which is 01 April to 31 March of the next year.

3.1 THE EXISTING ACR FORMAT

There are different sets of ACR forms; one set applicable for the gazetted officers which includes the E-in-C’s, CE’s SE’s EE’s and AE’s. Another set is applicable for the JE’s. The format of the ACR forms are almost identical. The only exception is that the form for gazetted officers has an additional certificate asserting that the officer has satisfactorily implemented various Government orders in respect of employees of Scheduled castes/ Scheduled tribes and ensured that they are adequately represented in the office.

The ACR formats are structured as follows:

a. The first page of ACR form contains space for recording the personal details, educational record and career record of an officer.

b. The next section (section 1) is for recording a self-assessment of the work done by the officer during the year. This is to be mentioned within 300 words.

c. Section II is meant for recording the comments by the immediate superior officer, known as the Reporting Officer.

d. Section III is for recording of comments by the Accepting Officer, who is the superior of the Reporting Officer.

No specific guidelines are mentioned for completing the ACR form. No structure or parameters are provided for evaluation of performance. In the absence of any standardised evaluation criteria, the appraisals and comments are generally recorded in a narrative form.

The ACR forms, which are issued in Hindi, are reproduced below.
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<td>कार्यालय का नाम</td>
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### योग्यताएँ

1. **शैक्षिकः**

   (क) हाई स्कूल परीक्षा प्रशासक के पद पर
   (ख) इंटरमीडियेट परीक्षा प्रशासक के पद पर
   (ग) बी.एस.सी. द्वारा परीक्षा प्रशासक के पद पर
   (घ) प्राधिकृत परीक्षा प्रशासक के पद पर

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<tr>
<td>(ख) अधिशासी अभियंता के पद पर</td>
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<tr>
<td>(ग) अधीक्षक अभियंता के पद पर</td>
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<tr>
<td>(घ) मुख्य अभियंता के पद पर</td>
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</tbody>
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### सत्यनिष्ठा प्रमाण-पत्र

“मेरे ज्ञान में ऐसा कुछ नहीं है जो श्री __________ की सत्यनिष्ठा (Integrity) पर संदेह उत्पन्न करता हो। इसकी इस्तीफेजारी के लिए सामान्य स्थायित्व अच्छा है और में इसकी सत्यनिष्ठा (Integrity) प्रमाणित करता हूँ।

श्री __________ का सत्यनिष्ठा प्रमाण-पत्र नियुक्तिविधित परियोजनाओं में रोक लिया गया है।

यह प्रमाणित किया जाता है कि अधिकारी ने सेवा में अनुयुक्त जटिलताओं के प्रतिनिधित्व को पूरा करने एवं त्रुटिविश्लेषण विभाग शासcción की कार्यवार्ता करने के लिए प्रभावपूर्ण डिग्री से दाखिल की निम्नांका।

---

*LEA*

**September 2007**

8
भाग-1
स्वयं द्वारा किये गये कार्यों के सम्बन्ध में विचारण व स्वयं का विश्लेषण (300 शब्दों में)

(इसके आगे स्वयं द्वारा किये गये कार्यों का विचारण इस्तेमाद न लिखा जाये)

भाग-2
विभागाध्यक्ष, कार्यालयाध्यक्ष आदि की अभियुक्ति

भाग-3
स्वीकृत अधिकारी की अभियुक्ति
वार्षिक गोपनीय प्रतिवेदन

<table>
<thead>
<tr>
<th>रिपोर्ट की अवधि</th>
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<td>अधिकारी का नाम</td>
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<td>पिता का नाम</td>
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<td>कायालय का नाम</td>
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योग्यतायें

1- शैक्षिक

(क) छाई स्कूल परीक्षा उत्तीर्ण करने का वर्ष/श्रेणी  
(ख) इस्टर्नविडिट परीक्षा उत्तीर्ण करने का वर्ष/श्रेणी  
(ग) बीएससीर परीक्षा उत्तीर्ण करने का वर्ष/श्रेणी  
(घ) प्रारंभिक परीक्षा उत्तीर्ण करने का वर्ष/श्रेणी  

2- सेवा विवरण

<table>
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<th>नियुक्ति की तिथि</th>
<th>स्वाईकरण की तिथि</th>
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सत्यनिष्ठा प्रमाण-पत्र

"भेरे हार में ऐसा कुछ नहीं है जो श्री की सत्यनिष्ठा (Integrity) पर संशय उत्पन्न करती हो। इसकी ईमानदारी के लिए सामान्य भावना अत्यधिक है और मे इनकी सत्यनिष्ठा (Integrity) प्रमाणित करता है।  
श्री की सत्यनिष्ठा प्रमाण-पत्र निम्नानुसार निम्नानुसार परस्परतियों में रोक लिया गया है।"
भाग-1
स्वयं द्वारा किये गये कार्यों के सम्बन्ध में विचारण व स्वयं का विश्लेषण (300 शब्दों में)

भाग-2
प्रतिबंधित, समीक्षक अधिकारी की अभियुक्ति

भाग-3
स्वीकृत अधिकारी की अभियुक्ति
वारिक शोधनीय आख्या

1—अवधिक का मार्ग

2—वारिक का मार्ग

3—पिता का मार्ग

4—सम्बन्धित

5—निबुधते विनाश

6—सच विनाशिकरण

7—सामान्य कारणियों का नाम

8—साथी कलाकार

9—

सत्यनिष्ठ अभाव-पत्र

(1) उपयोगी वेतनवारी के लिए वारिक शोधनीय आख्या है और ही उपयोगी विश्लेषण अभाव-पत्र है।

(2) यह वारिक शोधनीय आख्या है और ही उपयोगी विश्लेषण अभाव-पत्र है।

10—सत्यनिष्ठ अभाव-पत्रों के व्यक्तित्व तथा तरीक़े के पूर्वार्थ के अनुसार वारिक शोधनीय आख्या (Narrative Form) में वर्णन किया जायेगा।

(1) अवधिक का विषय

(2) अवधिक का मार्ग

(3) अवधिक का विषय

(4) अवधिक का विषय

11—समर्पित्रक अधिकारी की अभिवृत्ति
3.2 REVIEW OF THE PRESENT APPRAISAL SYSTEM

Present system of Annual Confidential Reports requires that a confidential report, assessing the performance, character, conduct and qualities of every member of the staff be written for each financial year by his next superior (the Reporting Officer) in the prescribed form. As the nomenclature suggests, the appraisal is entirely confidential, with the exception that “adverse remarks”, if any, are required to be conveyed to the appraisee, giving him an opportunity to represent against such remarks to the cadre controlling authority. The adverse remarks by itself are very rare. Practically the system is a closed system, wherein the contents of the appraisal are not discussed or shared with staff.

The ACRs are referred to when considering employees for promotion. Generally, the ACR’s of last 10 years are considered for the promotion. In principle, promotions in the Government are based on twin criteria of seniority and merit. However, there is no clear and transparent method of assessing relative merit of a group of contestants for promotion. In most of the cases, the ACR remarks are very good or excellent and there is a tendency of ‘Grade Inflation’. Adverse remarks are very rare, unless an officer has really been an absolute non-performer. Adverse remarks are generally avoided as they are unpleasant to deliver, and in the absence of precise, predefined performance standards, is difficult to justify when contested. While any adverse remark in the ACR may hinder progress, outstanding rating does not necessarily speed up career progression. PWD does not provide for ‘fast track’ promotions of any sort to even the most qualified or best performing staff. No visible rewards are earned through demonstration of high performance. In effect, promotions are primarily based on seniority subject to not having an adverse ACR, i.e. having steered clear of an inquiry or disciplinary proceeding. In effect, promotions are primarily based on seniority. In such a scenario the ‘smart strategy’ for career growth is to put in the minimum required effort to turn in an acceptable level of performance, avoid risks and manage to steer clear of adverse remarks, inquiries and legal cases.

Departmental Promotion Committee (DPC) acts as recommending body for promotion. DPC selects the candidates for promotion. The Government issues promotion order. ACRs of maximum of last 10 years of eligible candidates are examined by DPC. For such promotions, the seniority list is first prepared of the lower level staff. Then the eligibility list is prepared from this by taking into account the character role. The top candidates on the list are picked up for promotions based on the number of vacancies.

There is no seriousness attached to completion of the ACR’s. The general feeling is that the remarks by the appraisers are routinely accepted by the reviewing authority. In many cases, when an officer is to be considered for promotion, the ACR’s are looked for; and at times, it is discovered that one or more ACR’s are missing. Efforts are made to get the ACR’s completed, which becomes a problem at times, if the concerned superior officer has demitted office.
3.3 STRENGTHS AND WEAKNESSES OF THE CURRENT SYSTEM OF PERFORMANCE APPRAISAL

3.3.1. Strengths

- Everyone is familiar with the system as it is continued over several years.
- Being co-terminus with the financial year, it corresponds with work done against annual budget for a financial year.
- The present system demands a certain degree of sense of respect for authority and the chain of command more borne out of fear that any disrespect may earn an adverse remark in the ACR.

3.3.2. Weaknesses

- The system is non-transparent. Except for an “adverse” entry, which itself is very rare, to avoid an unpleasantness, in which case a formal communication is made; it does not give any feedback to officers about their areas of strength and potential. It also does not motivate officers through recognition of good work accomplished. It also does not offer any advice to improve performance.
- The ACR does not include discussions about the professional development needs and aspirations of the employees.
- The monitoring system for the timely writing of the reports is weak. As a result, there is considerable delay in the writing of annual reports, even though there are instructions specifying cut off dates for different stages in the reporting process. The delays often go undetected until promotions become due. In many cases, reports of several years are written together, thus eroding the objectivity of the assessment. Besides, the evaluations of Reviewing Officers and Accepting Authorities are often not available on account of their having demitted office, in which case the reports are deprived of valuable inputs.
- There is hardly any differentiation amongst officers performing at different levels. Recording of qualitative and descriptive remarks becomes a test of language ability of a superior rather than the ability to judge performance and discriminate among different levels of performance. In addition, there is an acute problem of grade inflation, with a large proportion of the officers being graded as “very good” or “outstanding”. Under a normal distribution curve, the most frequent grading should be in the “good” category, whereas, in actual practice the distribution is skewed towards the “Very Good” and “Outstanding” categories. This is largely due to the tendency of maintaining a Group of subordinates in good humour (“the happy family syndrome”). This makes it very difficult to identify the really outstanding officers and reward them suitably or weed out the incompetent.
- Adverse remarks are rarely given due to the hassles of having to defend such remarks subsequently. Even advisory remarks are not recorded for fear that they would be construed as adverse remarks and will need to be subsequently defended.
• The present system does not require an annual set of quantifiable targets to be agreed upon in advance between the appraisee and his supervisor. It is left to the appraisee to record the account of work done at the end of the year and the Reporting officer has to base his judgment on the reported self-account of the appraisee. As a result, evaluation of performance is not based on pre-defined monitorable inputs.

• There is little moderation for differing standards of assessment of different assessors and personal likes and dislikes tend to intervene.

• The assessments are highly subjective and variable.

• There is no specific instructions for recording of exceptional work accomplished or manifestly revealed incompetence. There is also no provision for recognition of innovation and creativity.

• There is no provision for feedback from juniors and peers on leadership, teamwork skills, behavioural and reputational aspects.

• There is virtually no evaluation of the core professional competency.

• The current system of records management does not facilitate a trend (individual level) or macro (cadre level) analysis.

3.4 CONSEQUENCES OF THE POORLY STRUCTURED PERFORMANCE MANAGEMENT PROCESS

• As individual goals are not aligned with organisational strategy, time and resources are wasted.

• Low staff engagement levels may mean that individuals are not performing at their best.

• Inconsistent evaluation criteria and rewards lead to mistrust, poor motivation and lower productivity.

• Top performers see no differentiation in performance ratings, opportunities and rewards from underperformers. Therefore, morale suffers and the motivation to perform is curbed.

• Training and development decisions and project assignment decisions, which are made in the absence of precise performance information are unlikely to be in organisation’s or the individuals’ best interests.

• The once a year process does not alert managers to problems in a timely manner for taking up corrective action. It is at best a post mortem.

• Lack of an objective and transparent system with documentation of performance gives rise to many legal issues.

• The performance management process is not given its due importance. It leads to late or incomplete appraisals, mistrust and a lack of honest performance-related discussions.
3.5 NEED FOR REVISION OF THE PERFORMANCE MANAGEMENT SYSTEM

The IDSP agenda aims at significant enhancements in the HR Management and Development processes and systems in the PWD. Performance Management System (PMS) is a pivot around which other HR Management and Development processes are built. There is a direct linkage of the PMS with career planning, career progression and training & development of a staff member. In addition, an effective PMS is a very valuable tool for Management Control. It is therefore necessary to take up revision of the staff appraisal system on priority along with the other HR development agenda.

The role of an effective PMS in overall performance of an organisation and capacity development of staff is described in the following Section (Section 4).
4. CONCEPTUAL FRAMEWORK OF AN EFFECTIVE PERFORMANCE MANAGEMENT SYSTEM

4.1 THE PERFORMANCE APPRAISAL - MUCH MORE THAN THE ACR

Frequently, when Performance Appraisal is mentioned, people think only of filling up of the ACRs. Performance appraisal, however, involves so much more. Focusing only on once-a-year performance evaluation (or appraisal) leads to a gross under-appreciation of the benefits of the Performance Management System (PMS). Properly constructed Performance appraisal system is in fact a very powerful tool for managing (and enhancing) the performance of individual staff members, teams, units and the organisation.

This section is a brief description of a contemporary Performance Management System (PMS) and the PMS process.

4.2 PMS AS PERFORMANCE ENHANCEMENT TOOL

“Performance management is the systematic process by which an organisation involves its staff, as individuals and members of a group, in improving organizational effectiveness in the accomplishment of its mission and goals.”

Performance Management is a very useful process/tool for management as well as the staff. The system has evolved over centuries of use in the organizations and has been developed as an invaluable Performance Enhancement Tool. An effective PMS ensures the best performance from the most important resource of an organisation - the human resource. The application of PMS for performance enhancement is more pronounced in the private sector corporations for the reason that they are compelled to be focused on performance enhancement for their survival and growth in a fiercely competitive environment. Private sector also enjoys a relatively higher degree of freedom in respect of people management decisions including sharply differentiated rewards to best performers and firing poor performers. Lately, even Government organizations are experiencing compulsions to enhance efficiencies and responsiveness. Many Government organisations have initiated revamping of their PMS.

An effective performance management process enables managers to optimize productivity by:

- Aligning individual staff's day-to-day actions with strategic business objectives
- Providing visibility and clarifying accountability related to performance expectations
- Documenting individual performance to support compensation and career planning decisions
- Establishing focus for skill development and learning activity choices
- Creating documentation for legal purposes, to support decisions and reduce disputes

Many of the practices that support performance also positively impact job satisfaction and staff motivation.
In today’s workplace, the role of PMS as a tool for performance improvement is in intense focus. As the expectations from a public service organization like PWD are on the rise, the pressure to perform is increased. The PWD is required to become more effective and efficient, execute better on the development strategy and achieve more with less resources.

### 4.3 BENEFITS OF AN EFFECTIVE PERFORMANCE MANAGEMENT SYSTEM

The primary reason to make sure performance management processes are functioning properly is to **tighten the link between strategic business objectives and day-to-day actions**. Effective goal setting (including timelines), combined with a method to track progress and identify obstacles, contributes to success and bottom line results. Staff want to feel successful, to do well at their job and feel they are making a valuable contribution. In order to ensure this happens, the staff need a clear understanding of individual goals and how they fit into the larger organizational goals.

Regularly tracking of progress against performance goals and objectives also provides the opportunity to recognize and reward staff for exceptional performance, contributing to job satisfaction and productivity.

When effectively implemented, the performance management system delivers a wide range of benefits for staff, managers and the organisation.

#### Benefits to Staff, the Managers and the Organization

<table>
<thead>
<tr>
<th>Staff</th>
<th>Supervisors / Managers</th>
<th>Organization</th>
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<tr>
<td>Clarification of Expectations</td>
<td>Time Savings</td>
<td>Savings</td>
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<tr>
<td>Improved self-assessment</td>
<td>Reduced Conflicts</td>
<td>Accuracy</td>
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<tr>
<td>Improved Performance</td>
<td>Visible Accountability</td>
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<td>Career Paths</td>
<td>Efficiency</td>
<td>Productivity</td>
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<tr>
<td>Job Satisfaction</td>
<td>Consistency</td>
<td>Retention</td>
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### 4.4 THE PERFORMANCE MANAGEMENT PROCESS

Staff Performance Management Process essentially includes five steps.

**Performance Planning** : setting and communicating clear performance expectations

**Performance Monitoring** : delivering regular relevant job feedback

**Training & Development** : providing regular coaching, support and learning and development opportunities to develop the capacity to perform.

**Performance Evaluation** : evaluating/rating of performance over a defined period of time, generally annual.
Consequence Management: managing the consequences of performance: linking rewards to performance, promotions and career advancement opportunities, monetary and non-monetary incentives in a fair and consistent manner.

![Figure 1: The Performance Management Process](image)

### 4.4.1. Performance Planning

In an effective organization, work is planned out in advance. Planning means setting performance expectations and goals for groups and individuals to channel their efforts toward achieving organizational objectives. Getting employees involved in the planning process will help them understand the goals of the organization, what needs to be done, why it needs to be done, and how well it should be done. Planning employees' performance include establishing the elements and standards of their performance appraisal plans. Performance elements and standards should be measurable, understandable, verifiable, equitable, and achievable. Through critical elements, employees are held accountable as individuals for work assignments or responsibilities.

### 4.4.2. Performance Monitoring

Assignments and projects are monitored continually. Monitoring well means consistently measuring performance and providing ongoing feedback to staff and work groups on their progress toward reaching their goals. By monitoring continually, unacceptable performance can be identified at any time during the appraisal period and assistance provided to address such performance rather than wait until the end of the period when summary rating levels are assigned.
4.4.3. Training and Development

In an effective organization, staff developmental needs are evaluated and addressed. Developing in this instance means increasing the capacity to perform through training and developmental opportunities to strengthen job-related skills and competencies.

4.4.4. Performance Evaluation

Evaluating staff performance against the pre-determined targets set out in the performance plan for looking at and comparing performance over time or among various staff. Organizations need to know who their best performers are. In the context of formal performance appraisal requirements, performance ratings are assigned in accordance with the organization's appraisal program and they are used for various personnel actions such as promotions and grant of incentives.

4.4.5. Consequence management – Rewards

In an effective organization, rewards are used well. Rewarding means recognizing staff, individually and as members of groups, for their performance and acknowledging their contributions to the organisation's mission.

4.5 DESIGN OF THE PERFORMANCE MANAGEMENT PROCESS

The Performance Management process must be designed carefully taking into account the ethos of the organisation. What can be implemented in a private sector organisation may not be practicable in a Government set up like the PWD. For example, many private sector organisations have managed to provide a component of variable pay, which is dependent on the rated performance; and have used the process to weed out poor performers. These will not be readily applicable in the Government. But definitely, an element of performance culture and accountability can be built in the Government organisation. The performance management process must add value to the work of the individual staff members as well as to their managers and the organisation as a whole, otherwise problems with resistance and non-participation will surface. In addition, the process itself must be efficient and as simple as possible, while still providing the necessary value.

An important element that contributes to success of a performance management system is the top management commitment and support. This support needs to take not only the form of verbal support, but also through participation in the same performance management process for evaluations. In addition, consider the current culture of your organization when it comes to performance appraisals and performance management. Is the "atmosphere" supportive of an effective process? Is there a culture of open honest communication or are the staff fearful when they make a mistake? Staff must be able to honestly discuss performance and consider how to make improvements in order to move forward.

Another thing to consider is the provision of a mechanism to evaluate the process itself, whether it consists of an annual survey, focus groups, manager feedback, reporting, or a combination of these and other methods.
4.6 AUTOMATING THE PERFORMANCE MANAGEMENT PROCESS

More and more organizations are relying on innovative technology solutions to implement performance management best practices and automate painful manual processes using web-based, on-demand technology.

An automated system ensures that the performance management process is built around world-class best practices, easy to complete, efficient and consistent across an organization. Necessary visibility into organizational and departmental goals is simplified, as is access to necessary data to support accountability, consistent standards, and identification of top performers. It is especially important that technology provides us access to performance data and the ability to evaluate progress against goals, compare average manager ratings, easily access performance levels of individuals and use this data to support decision making. Aggregating and analyzing data in traditional paper-based forms is often too time-consuming and costly. Typically, an automated system can offer:

- instant form routing and paperless processes
- goal tracking and cascading functionality for complete visibility and alignment
- automated goal management and performance review reminders
- legal scan wizards to ensure appropriate/legal use of language
- writing assistants to help managers prepare appraisal forms
- support tools providing coaching support to managers when they need it most
- dashboards to deliver company-wide, aggregated or individual reporting

The road to effective performance management is not always an easy one, but progressing towards a long-term vision by making manageable changes, step-by-step, will bring about significant results. The points mentioned above are the key elements of a successful Performance Management process.

A detailed description of an effective Performance Management System including the implementation process is given at Annexure 2.
5. RATIONALE OF REVISION OF STAFF APPRAISAL SYSTEM UNDER CIVIL SERVICE REFORMS

The staff appraisal system in an organisation cannot be static; it needs to be revised from time to time to meet the changing requirements. At the Government of India level, the revision of the staff appraisal system has been one of priority agenda of the CSR initiatives during early 2000’s. The latest revision of the Appraisal system is a major overhaul of the previous system and the new Performance Management System implemented in the Government of India with effect from 01 April 2007 is much advanced from the earlier system. The new system is named as the “Performance Appraisal Report (PAR)”.

The significant events leading to the introduction of the Revised PMS i.e. PAR are as follows:

- **Surindernath Committee Report** on “the system of performance appraisal, promotion, empanelment and placement for the All India services and other Group A services - 2003”.
- **CSR Report 2004**, popularly known as the **Hota Committee Report**.

This section discusses the rationale and the process of development of the revised PMS, rechristened in the new name: “Performance Appraisal Report (PAR)” to reflect the revolutionary changes that have been effected in the system. The revised system, derives a great deal from the best practices of performance management followed in a number of very successful public and private sector organizations, briefly described in Section 4. The rationale of revision of the ACR system in Govt. of India leading to introduction of PAR are described below.

5.1 THE TASKS BEFORE THE SURINDERNATH COMMITTEE

The major work of revision of the Appraisal system was done by the Committee headed by Lt. General Surindernath, former Chairman of the Union Public Service commission during 2002-2003. The tasks before the committee were the following:

- Comprehensive review of the existing system of recording Annual Confidential Reports so as to bring greater transparency and efficiency in order to motivate good officers.
- Development of a revised system of recording of ACRs so that better performance or lack of performance gets properly and fairly reflected. Bring about a culture where a superior officer does not hesitate in recording the weakness in an officer merely due to the possible ‘risk’ of having to convey adverse remarks and subsequently respond to the representation received against adverse entries.
- Evolve a new system for performance appraisal after looking at practices being followed elsewhere, particularly in the Defence Services, some of the leading corporate houses, some multi-lateral organisations as well as the civil services of some other countries.
• Review the present system of promotion of All India Services and other Group ‘A’ officers, at the level of Joint Secretary, Additional Secretary and Secretary to Govt. of India (and their equivalents), to ensure greater transparency, objectivity, and a more clearly defined linkage with the performance appraisal system.

• Recommendations for establishing a more clearly defined linkage between the performance appraisal system and the background and experience of officers at these levels, and their lateral movement, in respect of All India Service, and other Group ‘A’ Services.

The Surindernath Committee Report submitted to Govt. of India in July 2003 developed the revised Performance management System as it is introduced now.

5.2 ENDORSEMENT OF THE REVISED PMS BY THE CSR (HOTA) COMMITTEE

The Civil Service Reform (Hota Committee), which followed the Surindernath Committee with a wider mandate to reform the Civil services, in their July 2004 report (The CSR Report 2004) strongly endorsed the recommendations of the Surindernath Committee Report and recommended early implementation of the revised system in the following words:

“We have noted the recommendations of the Surindernath committee (July 2003) regarding performance appraisal, promotions & lateral movement in respect of the all-India services and other group ‘A’ services. We would specifically highlight the following recommendations of the committee for early implementation by the government of India:

i. At the beginning of a year, each officer, in consultation with his reporting officer/reviewing officer to prepare a Work Plan for the year setting the key tasks and the specific deliverables in quantitative/qualitative terms. The officer’s performance would be subjected to a mid-year review with reference to the Work Plan and his performance report for the year would be written by the Reporting/Reviewing officer in terms of his achievement as per the Work Plan.

ii. Introduction of numerical grading (1-10 scale) for assessment of attributes and achievements of an officer.

iii. Association of Union Public Service Commission in empanelment of officers of the All India Service and the Central Services under the Central Staffing Scheme/promotions to high-level posts in different services.

iv. Increasing domain knowledge of officers of the All-India Service & the Central Services and linkage of upgradation of domain knowledge of an officer with his promotional opportunities.

v. The introduction of a system of Referral Board to consider representation against malafide remarks in Annual Performance Report by the Reporting and Reviewing Officer/Accepting Authority. (The SurinderNath Committee has suggested deletion of the Accepting Authority who used to record his remarks as the final Authority after the Reporting and Reviewing Officers had recorded their remarks. We feel that the remarks of the Accepting Authority in the Annual Performance Report need not be dispensed with.)
"We endorse the above recommendations as they are designed to bring in greater professionalism among officers of different services and ensure greater transparency in recording annual confidential reports of officers. The recommendations would also make the process of empanelment of officers for promotional assignments in government of India free of any allegation of bias and prejudice as the union public service commission - an independent constitutional authority with track record of fairness and impartiality - would have its chairman or members preside over the empanelment board comprising senior officers of the government of India."

The rest of the Section aims to highlight the rationale behind the new processes and concepts introduced in the revised Appraisal by the Surindernath Committee.

5.3 WEAKNESSES OF THE CURRENT SYSTEM OF PERFORMANCE APPRAISAL

The Surindernath Committee observed that several weaknesses existed in the original design of the system and others crept in over the years. These are:

- Since the system is non-transparent, except in respect of communicating “adverse” entries, it does not give feedback to officers about their areas of strength and potential. It also does not motivate officers through recognition of good work accomplished.

- The monitoring system for the timely writing of the reports is extremely weak. As a result, there is considerable delay in the writing of annual reports, even though there are instructions specifying cut off dates for different stages in the reporting process. The delays often go undetected till promotions become due. In many cases, reports of several years are written together, thus eroding the objectivity of the assessment. Besides, the evaluations of Reviewing Officers and Accepting Authorities are often not available on account of their having demitted office, in which case the reports are deprived of valuable inputs.

- There is generally no report on officers who are on deputation outside the governmental system, even though existing instructions require reports to be written for such periods also. Besides, performance in training/study courses is not taken into account, even though officers often attend such courses at a substantial cost to the government and, in any case, on government time.

- There is an acute problem of grade inflation, with a very large proportion of the officers being graded as “very good” or “outstanding”. Under a normal distribution curve, the most frequent grading should be in the “good” category whereas, in actual practice, the distribution is skewed towards the “Very Good” and “Outstanding” categories. This is largely due to the tendency of maintaining a Group of subordinates in good humour (referred to as “the happy family syndrome”). This makes it very difficult to identify the really outstanding officers and reward them suitably or weed out the incompetent. As a result, almost all officers get promoted and a high proportion of officers also get empanelled for holding very responsible positions in the Government of India.

- Adverse remarks are rarely given due to the hassles of having to defend such remarks subsequently. Even advisory remarks are not recorded for fear that they would be construed as adverse remarks and will need to be subsequently defended.
Although the present system requires an annual set of quantifiable targets to be agreed upon in advance between the appraisee and his supervisor, this is rarely done. In most cases, the annual targets are decided at the end of the year, after the achievements are already known. As a result, evaluation of performance is not based on monitorable inputs.

- There is little moderation for differing standards of assessment of different assessors and personal likes and dislikes tend to intervene.
- There is no clear linkage between evaluation against individual parameters and the overall grading. Implicit weights for different attributes are subjective and variable.
- There is no focus on exceptional work accomplished or manifestly revealed incompetence (e.g. in crisis situations). There is also no provision for recognition of innovation and creativity.
- There is no provision for feedback from juniors and peers on leadership, teamwork skills, behavioural and reputational aspects.
- There is insufficient variance in the structure of the format across differing types of jobs, for example, field versus secretariat assignments, program implementation versus policy formulation assignments, etc.
- There is virtually no evaluation of the core professional competency.
- The current system of records management does not facilitate a trend (individual level) or macro (cadre level) analysis.

5.4 **ISSUES ADDRESSED BY THE SURINDERNATH COMMITTEE**

In light of these perceived strengths and weaknesses, the Group decided to address the following issues:

a. Objectives of Performance Appraisal
b. Need for greater openness
c. Better monitoring and scrutiny
d. The imperative of computerization
e. Staggering cut-off dates to enable higher levels to certify that they have reported on their subordinates before they submit their own report forms
f. Number of forms for different levels
g. Methods of correcting upward bias and insufficient variance in grading
h. Numerical vis-à-vis descriptive system of appraisal
i. The possibility of the review being done by a Board to enable better moderation of possible grade inflation
j. 360 degree reporting
k. As an instrument to identify training needs
l. Appraisal against monitorable inputs
5.5 DEFINING THE OBJECTIVES OF THE REVISED PERFORMANCE MANAGEMENT SYSTEM

The first step in development of a PMS is to specify the objectives of the system i.e. what it should do for the organisation and how is it to be utilised for HR / organisational decisions. The Surindernath Committee concluded:

“Given the rapidly evolving challenges of public management, the Group felt that the present objectives of performance appraisal, especially for the All India Services, need to be widened and deepened to respond to the emerging needs of governance. In this context, performance appraisal cannot serve only to assess suitability for vertical movement, but should be primarily used for the overall development of an officer, and for his placement in an area where the most advantage can be taken of his abilities and potential. The Group is of the view that performance appraisal should be constructive and advisory in nature, to be used as a tool for the development and career planning of the officer, as opposed to a simple judgmental exercise, which is largely the case at present. There is, thus, a need for a paradigm shift in the philosophy of appraisal. To distinguish the new system, we refer hereafter to the “performance appraisal report (dossier)” (PAR) in place of the “annual confidential report (dossier)” (ACR). The term “ACR” is hereafter employed only when the present, rather than the prospective system is being referred to.

After detailed discussions, the Group was of the view that the objectives of performance appraisal should be to care of the following six functions:

- To make an assessment of the officer’s professional capabilities, with a view to determining capacity building needs and suitability for particular areas of responsibility/assignments. (Training and Placement Function)
- To counsel the officer on directions for improving performance, professional capabilities, and conduct with peers, juniors, elected representatives, and the general public (Feedback and Counselling function)
- To be a tool for developing a work plan for the year (Planning of work function)
- To make an objective assessment of the officer’s performance in the current assignment, including performance in training, study courses and deputation outside the government, based on monitorable inputs, relative to his/her peers, with a view to determining suitability for higher responsibilities and special assignments. (Promotion Function)
- To identify genuinely exceptional work accomplished, including innovations, with a view to giving due recognition (Recognition function)
- To enable officers to identify systemic shortcomings in the organization with a view to improving governance standards (Strengthening Governance function).
5.6 HOW THE OBJECTIVES ARE ADDRESSED BY THE PRESENT ACR SYSTEM

The following matrix maps the problems encountered in the present system of ACRs with the proposed objectives (The Six Functions of the PMS)

Table 1: Mapping Weaknesses of the ACR System to Objectives of the PAR System

<table>
<thead>
<tr>
<th>Objective Perceived Weaknesses related to realization of the objective</th>
</tr>
</thead>
<tbody>
<tr>
<td>Planning work and setting work expectations</td>
</tr>
<tr>
<td>Feedback &amp; Counseling</td>
</tr>
<tr>
<td></td>
</tr>
<tr>
<td></td>
</tr>
<tr>
<td>Training &amp; Placement</td>
</tr>
<tr>
<td></td>
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<tr>
<td></td>
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<tr>
<td></td>
</tr>
<tr>
<td></td>
</tr>
<tr>
<td>Objective</td>
</tr>
<tr>
<td>-----------</td>
</tr>
</tbody>
</table>
| Promotion | • The present system of appraisal is not based on monitorable inputs (relationship to accomplishment of an agreed work plan). And without moderation for differing standards of assessment of different assessors, (personal likes and dislikes intervene).  
• Adverse remarks are rarely given due to the hassles of having to defend such remarks subsequently.  
• In many cases, the rating of officers is below the benchmark for promotion but since it was not adverse, it was not communicated to the officer. Such cases have been challenged in the courts of law, who have held that such recording, in effect, worked adversely to an officer and should have been conveyed like an adverse entry.  
• There is no clear linkage between evaluation for individual parameters and overall grading (implicit weights for different attributes are subjective and variable).  
• There is insufficient variance in the structure of ACRs across differing types of jobs, (for example, field versus secretariat assignments, program implementation versus policy formulation assignments, etc.)  
• In the State governments, the ACR is rarely used, as an officer is better known through his general reputation.  
• There is no system for a trend (individual level) or macro (cadre level) analysis.  
• There is an acute problem of a very large proportion of the officers being graded as very good or outstanding. This makes it very difficult to identify the really outstanding officers.  
• ACRs of officers who are on deputation outside the governmental system are generally not available for the period of such deputation. Besides, performance in training/study courses is not taken into account.  
• There is considerable delay in the writing of ACRs, even though there are instructions regarding cut off dates for this purpose. In many cases, ACRs of several years are written together. As a result, objectivity of the assessment is suspect and promotions often get delayed. Besides, the remarks of reviewing and accepting authorities are often not available on account of their having demitted office. This is largely due to a weak monitoring mechanism. |
| Recognition | • There is an acute problem of a very large proportion of the officers being graded as very good or outstanding. This makes it very difficult to identify the really outstanding officers.  
• There is no focus on exceptional work accomplished or manifestly revealed incompetence (e.g. in crisis situations). There is also no provision for recognition of innovation and creativity. |
<table>
<thead>
<tr>
<th>Objective</th>
<th>Perceived Weaknesses related to realization of the objective</th>
</tr>
</thead>
</table>
| Strengthening Governance | • Although there are enabling powers for screening non-performers at the age of 50 (or after 20 years of service), the lack of clear norms for such screening seems to constrain this activity.  
• Core professional competency is not evaluated adequately.  
• There is no system for a trend (individual level) or macro (cadre level) analysis.  
• There is no provision for feedback from juniors and peers on leadership, teamwork skills, behavioural and reputational aspects.  
• There is no focus on exceptional work accomplished or manifestly revealed incompetence (e.g. in crisis situations). There is also no provision for recognition of innovation and creativity. |

5.7 LINKAGE OF THE APPRAISAL WITH TRAINING FUNCTION

Every well-governed country needs a highly professional civil service to meet the needs of public policy formulation and public management. Several countries have recognized this need and have invested significant resources in upgrading the quality of their public service personnel. Given our myriad challenges of development, governance and changes in technology and the external environment, we cannot afford to lag behind. The performance appraisal system should, therefore, be an effective tool to identify gaps in an officer’s capabilities, so that such gaps can be addressed through proper skill development.

In the current system, the ACR forms provide for a column in which the Reporting officer gives recommendations for training with a view to further improving the effectiveness and capabilities of an office, but only up to the selection grade and not beyond. Besides, there is no effective system of ensuring that officers are able to attend training programs to meet their identified skill gaps. Even in cases where officers attend long duration training programs (often abroad at high cost to the government), many officers tend to take them lightly, since either there is no appraisal of performance during such training, or if any is made by the training institution, it is not reflected in the performance appraisal, and accordingly does not count in future career advancement. Besides, selections for foreign and other prestigious training courses are not necessarily made on merit but on other factors like regional and service spread, etc.

Two kinds of Training Needs. In this context, it may be recognized that training needs are of two kinds:

1. That needed to meet the requirements of an officer’s current or immediately forthcoming assignment, and
2. That needed to strengthen or impart the requisite skills and competence to discharge responsibilities at higher levels and in different thematic areas during one’s service.

While the responsibility for sponsoring the officer for the first type of training should rest with the immediate supervisor/department, responsibility for sponsorship for the second category should rest with the training unit of the cadre controlling authority. Given these requirements, the annual performance appraisal would be a useful tool for identifying training needs for an officer’s current/forthcoming assignment. To facilitate such identification, the appraisal system should
provide for the officer to indicate his training needs, as he perceives them. Thereafter, the Reporting Officer may comment on this stated requirement, and if he agrees with the identified needs, indicate (in the next annual cycle) the steps taken by him to enable the officer to attend the requisite training program(s).

With regard to the training requirements for occupying higher positions and in different thematic areas, these have to be met through a combination of mandatory career courses and optional training programs, organized by the training unit of the cadre controlling authority. The performance in such career courses should be one of the criteria for various personnel actions (e.g. promotions, placements, etc.)

Thus, the responsibility for deputing an officer for such training should primarily rest with the reporting officer. The training unit of the cadre controlling authority should be responsible for making a wide menu of training programs available. Based on the (agreed) identified needs, Reporting officers should choose specific training programs from the menu and ensure that the officer reported upon is given the opportunity to attend the requisite training identified by/for him. The information contained in the year-to-year performance appraisal reports should be used, by the training unit of the cadre controlling authority, to ensure that the menu of training options covers the required topics.

5.7.1. Evaluating the acquisition of professional skills

Professional skills of officers may relate to the three functional categories (Implementation, Program/Project Preparation, and Policy Formulation) as well as to specific themes (e.g. Domain Areas, Specializations). Skill acquisition is through two distinct processes. In the first, formal knowledge relating to the skill may be acquired through courses of institutionalized training and/or academic study (including research). In the second, the formal knowledge acquired may be validated and strengthened through work experience. In general, formal knowledge and work experience are complements, rather than substitutes. Thus, a claim to Domain or Specialized knowledge, or policy formulation skills solely on the basis of either formal training or work experience would be less plausible than a claim based on both.

Indicators of the level of skill acquisition would, accordingly, relate to performance in each of the processes of skills acquisition. Thus, the indicators would be performance levels in relevant training/academic study (including research), as well as in work performance revealed in the PARs.

Currently, in respect of training/study courses participated in, a record is (supposedly) maintained in the ACR dossier, without, however, recording the performance levels. The existing practice is sought to be enhanced by also recording the levels of performance in these courses. In respect of research completed, the current practice is to list all publications of the officer (professional or otherwise, peer reviewed or not). This practice is sought to be restricted to peer reviewed published research in the relevant professional fields, in order that the information is actually of value in determining whether relevant skills have been acquired. The proposed changes in practice would also be consistent with the principle that officers are accountable for their accomplishments during all time spent on Government account.
5.8 PLANNING WORK AND SETTING WORK EXPECTATIONS

This objective of the performance appraisal system refers to identification of performance expectations of the appraisee in relation to the goals, targets and functions of the organization, as also of self-realization and development of the appraisee. Performance expectations furnish one benchmark against which actual performance may be judged. The main weakness in the present system of performance appraisal which stymies the realization of this objective is that currently, the appraisal is not based on monitorable inputs of accomplishment of an agreed Work Plan.

5.8.1. Necessary features

In order to be useful, performance expectations must be verifiable, i.e. at the close of the assessment period, it should be possible to determine, without ambiguity, whether or not the expectations have been realized. This is separate from the issue of giving credit for satisfactory or exceptional realization, or holding to account if realization is partial or absent. Verifiable expectations may involve quantitative targets (e.g. percentage of budget allocations spent in particular schemes, number of child immunizations accomplished, etc.) or may be qualitative descriptions of tasks to be accomplished (e.g. a particular policy document finalized and coursed through the Cabinet; a major project completed on schedule and within budget). The performance expectations should be subject to updating over the appraisal period, as new information becomes available, or if circumstances change significantly (“flexible”). Performance expectations may be prioritized in order of importance to the overall performance appraisal (“ranked”). Performance expectations should also be set in an interactive process, involving the appraisee, appraiser, and perhaps key colleagues whose support is essential to realization of these expectations (“consensual and achievable”). On the other hand, performance expectations cannot be established ex-post, after the appraisal period, nor can they be set without reference to the expectations of similarly placed appraisees (“fair and equitable”).

At present, while the current PAR form has a provision for ex-ante setting of work targets and of reckoning achievements against the targets, this is generally not followed. Performance appraisal typically proceeds without reference to monitorable expectations. Some reasons for this situation are as follows:

- It is difficult to set individual work expectations in many situations, e.g. Secretariat assignments. Where it is feasible to set expectations on an organization-wide, or unit (group) basis, it may be difficult to translate them to individual targets. This may be on account of extensive requirements of cooperation from other team members to fulfil one’s targets. Alternatively, the targets/tasks may be conceptually meaningful only as the output of teams, rather than of individuals.

- There is a prevailing misconception that only quantitative targets are to be furnished in setting performance expectations. The notion that qualitative descriptions of tasks to be accomplished is an alternative, legitimate way to set performance expectations, against which actual accomplishment may be evaluated, is not clear to many.
• Government agencies are generally acculturated to reacting to situations as they emerge, rather than anticipating and planning for them. Further, there is little interest in pro-actively seeking improvement in the functioning of Government agencies, and most officers are content with the status-quo in terms of systems, practices and functions. This results in an inability to identify meaningful, non-routine tasks which may be accomplished.

• There is no mechanism to ensure that the task of setting annual work plans at the beginning of the appraisal period is actually done.

The problems noted above may be addressed as follows:

Option 1:

At the beginning of each appraisal period, each appraisee should be required to prepare and submit for confirmation a draft Work Plan to the Reporting Officer. The Work Plan should provide quantitative targets where feasible, or qualitative but unambiguous statements of non-quantifiable tasks proposed to be accomplished, or both. The targets/tasks may relate to those of the appraisee, or of a defined Group of which the appraisee is a member. Where the targets or tasks relate to a Group as a whole, rather than of the individual, the specific responsibilities of the appraisee in ensuring that the Group is able to deliver on the work plan should be spelt out. In case of individual targets/tasks, it should set forth the requirements of inputs from colleagues or other agencies, as well as the staff, material and financial resources needed. The targets/tasks, whether of the appraisee or group, may also be prioritized in order of importance to the overall appraisal, and this prioritization should reflect the priorities attached by the organisation itself to accomplishment of the targets/tasks. It is not necessary (and it may not be possible) for the work plan to be exhaustive; the targets/tasks may, for example, relate to the 8-10 targets/tasks that are most salient, listed in descending order of priority (most important first). The Work Plan may be finalized in consultation with the Reporting Officer, who in turn, may consult other colleagues as necessary, within a specified time, and promptly placed on record with the Reviewing Officer. The Work Plan may be updated by mutual consultation during the course of the appraisal period, if and when significant changes in the situation occur.

In the PAR itself, the self-assessment by the appraisee should consist primarily of recapitulation of the targets/tasks set forth in the Work Plan as well as the actual realization of the targets/tasks, whether by the individual or group, as applicable. Where departures are significant, the appraisee may explain the reasons for the divergences.

During the appraisal exercise, the Reporting Officer should comment specifically on the claims/explanations by the appraisee in respect of realization of the Work Plan. These observations should comprise a significant input to the overall grading.

Option 2:

This option is premised on the assumption that there are positions in which it is typical for rapid changes in the situation to confront the appraisee, on account of which it is difficult to set out a cogent work plan at the beginning of the appraisal period. (This may be the case, for example, of field officers responsible for security or law and order). In such cases, the appraisee would list
ex-post, 8-10 significant tasks actually accomplished (by the Group of which s/he is a part, or individually), including an explanation of why these tasks could not be anticipated and listed in the Work Plan. In case of Group tasks, the specific role of the appraisee in accomplishing the tasks should be set forth.

The Reporting Officer would, in such cases, comment on the claims of the appraisee, and may add other significant tasks not reported by the appraisee, and give his opinion on the appraisee’s role in the accomplishment or failure to accomplish these additional tasks. These observations should form a significant input to the overall grading.

**Choice between options:** The Group recommends that a combination of the two options be adopted. The performance appraisal report should provide for a Work Plan to be set, as suggested in Option 1, but should also provide for an ex-post listing of significant tasks actually accomplished.

### 5.9 FEEDBACK AND COUNSELING FUNCTION

The exercise of providing feedback and counselling to the appraisee is to be undertaken essentially by the superior in recognition of his duties and responsibilities to develop the subordinate. Such feedback is important for the appraisee’s growth because it helps him to know his strengths, potential, and areas where improvement is required. Clearly, this would help better performance. Counselling is undertaken to encourage the appraisee to grow in maturity, to his potential, and to utilize his resources towards definite goals.

#### 5.9.1. Necessary Features

The feedback and counselling function has to be conceived as being divided into three broad phases of an officer’s career life cycle: the early phase, the middle phase and the top phase. Clearly, the requirements of feedback at each stage will be different because the officer will be at different stages of the career life cycle and therefore, will need to be handled differently.

In the early phase, the focus of feedback and counselling would be on acculturation and grooming of the appraisee into the traditions, role, and ethos of the civil service, firstly in field conditions, and then in terms of secretariat work. In the middle phase, the appraisee would be maturing in his career. There he would be learning how to look at larger issues, draw sustainable conclusions on the basis of verifiable data, project valid conceptualizations, suitably source and utilize domain knowledge. In short, serve as a bridge between the policy and implementation. Feedback and counselling at this stage would have to be more generic in character and a fairly non-directive one. Learning to handle the political sensitivities at this stage would be more substantial than in the preceding phase.

In the top segment, the feedback and counselling would be much more subtle and almost among equals. In the technical sense of the word counselling at this stage would be considerably reduced and the emphasis would be on providing feedback and helping the individual to assess his own approaches more realistically. The earlier exposure to political sensitivities and perceptions now reach a point of very sensitive handling. At the middle level, while dealing with program formulation issues, the appraisee would have had some orientation in dealing with
policy orientation of political parties. At the top level, his exposure to the political executive would be a matter of routine occurrence and would, therefore, need greater finesse in handling the issues. In particular, the political executive may be his immediate superior. Given the mandate of the group, however, the civil servants’ reporting relationship with the political executive, is left out of the purview of this report. It is assumed that for the top level, especially where Secretaries to Government of India (Principal Secretaries to the State Governments) are concerned, feedback and counselling would come from the Cabinet Secretary (Chief Secretary of the State) and perhaps at a peer level from colleagues of equivalent rank in other Ministries with whom he has an interface.

The treatment of the topic of feedback and counselling has a second component, in addition to the one noted above, and that is of the "processes".

It is important that the whole exercise be conducted in, as transparent and credible a manner as possible. This would enable strengthening of the constructive environment in the world of work of civil servants and support verifiable, timely and proactive corrections / measures of improvement.

It is suggested that feedback and counselling should be a parallel and concurrent process of the appraisal at each stage.

5.9.2. Amendments to the present system

The start of the performance appraisal process is the setting of the Work Plan for the current year. This would be agreed at a one-on-one meeting of the appraisee and Reporting officer, at which the Work Plan proposed by the appraisee would be reviewed. Subsequently, at mid-year, the Work Plan may be updated by a similar process. It would be useful for these sessions to also be face-to-face counselling sessions between the appraisee and Reporting officer. In addition, the Reporting officer may utilize several other occasions during the year to counsel the appraisee, as needed. While detailed records of such counselling sessions may be difficult to keep, the Reporting Officer may record important aspects on which advice is rendered to the appraisee, particularly if significant remedial actions are suggested.

Indeed, more than any other component of the appraisal exercise, the effectiveness of the feedback and counselling effort will be what the participants to the process make it to be.

PROMOTION FUNCTION

One of the key functions of any performance appraisal system is to judge if an officer is suitable for occupying a higher position. This is partly assessed from the manner in which the officer has discharged his earlier responsibilities.
5.9.3. Present System of Promotion

The Group identified the following major weakness in the current system of promotions:

1. Since suitability for promotion is judged solely on the basis of the ACRs, which in turn are afflicted by a serious problem of grade inflation (most officers typically obtaining “Very Good” or “Outstanding” grades), it is difficult to distinguish between officers on the basis of merit, and almost all officers are routinely promoted. Promotions are generally denied only if there are vigilance cases pending or contemplated against the officer.

2. This breeds complacency among mediocre, status-quo minded officers, coupled with frustration on the part of competent, pro-active officers, who see that the system makes no distinction between them and their non-performing colleagues. On the other hand, they are more vulnerable to criticism and attack as their pro-active actions may lead to occasional, bona-fide mistakes (“those who do nothing make no mistakes”). Hence, officers try to “play safe” by inaction rather than pro-actively addressing administrative and policy issues. Thus, a system where non-performance is safe and may be rewarded while performance is risky and may be punished (or at least not recognized) has emerged.

3. There has been a growing tendency to resort to sycophancy and unhealthy networking as the means to obtain “outstanding” assessments, and hence promotions, rather than proving one’s merit through actual performance.

4. There is no formal evaluation of an officer’s ability to perform at the higher level, where the required skills, mindset, knowledge base, aptitudes, and other attributes may be significantly different. The current promotion system only evaluates how the officer performed at the lower level. This is clearly inadequate, especially for senior positions.

The result is that many officers who reach senior positions involving program and policy formulation are ill equipped by way of skills, knowledge, aptitude, and mindset for these roles.

5.9.4. Recommendations on Promotions

On the general principles for promotion, the Group recommends that at junior levels of the AIS, when officers are in the formative years of their service careers, they should be guided, counselled, and trained to help them realize their full potential. Promotions should be assured to them, subject to generally satisfactory performance, and may be on a time-scale basis. However, as the officer grows in service and is to be considered for positions dealing with policy and program formulation and implementation, there should be deeper selection and only those who can demonstrate a creditable record of actual performance, and possess the necessary knowledge and skills required for holding such responsible posts, should be promoted. Promotion norms should be more stringent than at present and based explicitly on competition rather than on simple attainment of a-priori benchmarks. A clear signal should be conveyed to the officers that unless they perform well and improve their professional knowledge and skills, they would not be promoted.
This would be in line with the practice followed in most advanced countries, where promotions are neither automatic, nor based on a-priori benchmarks. Everyone has to strive hard to earn them. For example, in the UK a system has been introduced whereby all posts are advertised internally within the department. Officers have to apply, and compete for higher positions on merit. Those not selected are superseded. The practice in multilateral development banks (MDBs) is similar, except that the positions are, in principle, open to all staff working in the institution, and not confined to particular department. In Australia and New Zealand, where major reforms have been introduced in the civil services, all posts are required to be openly advertised (unlike in UK/Multilateral Development Banks where they are only advertised internally). Selections are made competitively on merit alone from out of the applications received. In determining merit, the demonstrated competence to hold the higher position carries considerable weight. Candidates who have relevant professional academic qualifications to demonstrate their competence for policy-making positions have a definite edge in selections. This clearly indicates the importance attached to acquisition of relevant skills for senior level appointments where an officer is required to formulate programs and develop policies that place at stake the interests of an entire nation or a whole state.

While there is clear merit in a rigorous, competitive selection process for promotion to high-level positions, a word of caution is essential. It is essential that the selection process be fully insulated from unstructured influences and there must not be any doubt in respect of its integrity. A set of fair and transparent criteria have, therefore, to be developed and employed for selection for higher positions.

Yet another factor to be borne in mind is that officers who have been superseded are often frustrated elements within the system and can be a serious nuisance. They can impede the smooth functioning of the organization by giving vent to their frustration in various ways. It is, therefore, essential that dignified methods of persuading them to leave the system should be found, either through reasonably attractive compensation packages or by finding placements for them outside the policy-making structure. Consistently poor performers should be weeded out and procedures for such weeding out should be streamlined.

Another consideration in redesigning the system of selections to higher positions is that officers must be evaluated not only on their performance in the feeder (lower) positions, but also in respect of their level of preparation by way of acquiring the necessary skills and knowledge for the higher level positions.

A final consideration is that the practice of “promotion without competition”, i.e. automatic promotion in order of seniority subject to meeting (typically modest) a-priori benchmarks of performance, which has led to complacency among officers, must be firmly eschewed.

The report provides details on how the performance appraisal system will be used for the promotion function along with other parameters.
Table 2: Mapping Different kinds of Information about Officers to Various Personnel Actions

<table>
<thead>
<tr>
<th>Personnel Actions → Kinds of Information ↓</th>
<th>Confirmation in a grade/service</th>
<th>Promotion to a higher grade</th>
<th>Empanelment</th>
<th>Selection to Particular Positions</th>
<th>Selection for Training</th>
<th>Retention in service</th>
</tr>
</thead>
<tbody>
<tr>
<td>Performance in a given position/grade</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
</tr>
<tr>
<td>Professional qualifications/academic background/research publications</td>
<td>N</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
<td>N</td>
</tr>
<tr>
<td>Work Experience</td>
<td>N</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
<td>N</td>
</tr>
<tr>
<td>Exceptional work accomplished</td>
<td>N</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
</tr>
<tr>
<td>Reprimands/strictures</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
</tr>
<tr>
<td>Reputation (360 degree evaluation)</td>
<td>N</td>
<td>N</td>
<td>N</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
</tr>
</tbody>
</table>

5.10 PERFORMANCE APPRAISAL AS A TOOL FOR RECOGNITION

The performance appraisal system can be a useful tool for recognizing exceptional work done by an officer (or conversely, negative achievement) and for using it as a basis for special assignments and other rewards, including inputs to promotion. If the performance appraisal system is made more open, it would also contribute to conveying the appreciation (or dissatisfaction) of the superiors for a good work done by the appraisee (or negative achievement). This, in itself, would be an important method of “recognition”. Accordingly, a specific column providing for a mention about significant achievements (or negative achievements) would facilitate in recording such information, and using the same for appropriate personnel actions.

5.10.1. Necessary Features

First, “critical incidents”, which arise in the course of implementing one’s Work Plan, and in any case in the course of one’s mandated role in the civil service. Second, achievements which testify to one’s talents and exceptional qualities, which, while not related directly to one’s work responsibilities, nevertheless indicate a quality of mind and/or character that would be of value in public service. Examples of the latter may include, winning a prestigious international award for creative writing, or social service, or scientific research. In respect of the former, some detail is provided in Box 3 below:
Box 3: “Critical Incidents”

“Critical Incidents” refer to episodes that have a positive or negative bearing on the accomplishments of the organization.

A positive critical incident would relate to: (a) accomplishments outside reasonable expectations for the post; (b) how a top priority performance dimension has been demonstrated beyond expectations and over a sustained period of time; or (c) work that has led to substantial benefits or improvements (e.g. cost savings, streamlining procedures). Some examples are:

- In a situation where 20% of posts have been abolished, the 2IC reorganizes, streamlines, and prioritizes the work; thereby improving workflow and reducing stress among remaining staff.
- Following a major natural calamity, a relatively junior district officer organizes relief promptly and effectively, without awaiting evaluation and directions from his superiors, and thereby reduces distress of a large number of persons.

A negative critical incident documents: (a) work below reasonable expectations for the post; (b) how a top priority performance dimension has been demonstrated below expectations and over a sustained period of time; or (c) work behaviours that led to substantial losses, disruption in the work of the unit, or damage to the organization. Some examples are:

- A supervisor consistently displays unprofessional conduct towards staff members, resulting in a climate of high tension and low morale in the organization.
- Unnecessarily strict adherence to regulations causes serious friction with an important client organization.
- A senior district officer fails to correctly anticipate and decisively pre-empt an outbreak of sectarian violence.

5.11 PERFORMANCE APPRAISAL AS TOOL FOR STRENGTHENING GOVERNANCE

This objective of the performance appraisal system refers to identification of performance expectations of the appraisee in relation to furtherance of “good governance” within the organization. Realization of “good governance” may involve either enhancing time and cost efficiency, and professional integrity of decision-making going by existing decision-making processes, or through process/procedural innovations to enhance good governance. Inclusion of these aspects in the performance appraisal system is premised on the belief that: (i) officers have sufficient information, knowledge, and creative impulse to innovate for, or otherwise accomplish improved governance; and (ii) that providing a means of recognition of such creativity or accomplishment would both help officers achieve self-realization, and help the organization better realize good governance. The following considerations are relevant to assessment of good governance accomplishments:
• The appraisee’s personal contribution to enhancement of governance standards of the organization, both within existing systems and through innovation.

• Perception of clients’ (internal and external) regarding enhancement of governance standards.

• The extent to which the enhancement of governance standards through innovation can be institutionalized, are sustainable, and of general applicability (i.e. to other public organizations).

5.11.1. Necessary Features

Although it has been obvious to informed observers of development programs for decades, it is only in the past few years that good governance has occupied centre-stage among public management concerns. While several accounts exist of what are the essential features of good governance in procedures of public organizations, the following are generally accepted as the core: (i) clearly defined and legally tenable organizational mandates; (ii) unambiguous decision rules to accomplish just these mandates (and no occult objectives), which also specify responsibilities of officers at each stage of the decision process; (iii) clearly specified and minimal requirements of information and documentation from the client to support just these decision rules and no more; (iv) decision-making processes to be bound (and minimal) in time and costs; (v) transparency in that clients are provided with sufficient information once a decision is reached to enable them to represent meaningfully against the decision if they so wish; (vi) automatic internal mechanisms for determining responsibility in case the specified procedural and substantive requirements of decision making, including specified time-lines are not correctly followed, and (vii) at least one stage of official review or appeal against the decision. Evaluation of procedural innovations for good governance may rely on the above criteria.

Apart from procedural enhancements, good governance, may also relate to qualitative improvements in the outputs of organizations that are not in the nature of case-by-case decision-making on application from clients.

Contributions of an appraisee to good governance, either individually, or as a member of a team, would relate to enhancements, both in design and execution, of the existing regime in one or several of these dimensions. Good governance objectives could, in principle, be set forth in the individual/organization Work Plan (e.g. reduction of mean and variance (or upper limit) of time required for disposal of specific categories of cases; reduction in costs incurred either aggregatively or on average over individual cases). Alternatively, they may be addressed as issues arise or events unfold during the work cycle.

5.11.2. Problems with the present system

Several problems have been identified as potentially impeding the realization of good governance:
• The present system of appraisal is not based on monitorable inputs, i.e. relationship to accomplishment of an agreed work plan. The agreed Work Plan may include setting performance standards (e.g. cost/time reductions, and their variance, in delivery of specified functions), or a plan of innovation in practices/procedures for good governance, including assessment of their replicability.

• There is no focus on exceptional work accomplished, whether within or outside the Work Plan, including in particular, that relating to innovations for good governance.

• Professional competencies are not sufficiently evaluated in the current performance appraisal process. This leads to attrition of professional competencies over time, in turn leading to sub-optimal performance by the organization.

• There is no systematic feedback from juniors and peers on leadership, teamwork skills, besides behaviour pattern and reputation, i.e. the personal and professional attributes.

• There is no provision for feedback from clients on behaviour patterns and reputation, or enhancements of organizational performance. This fact may lead to complacency, or worse, apathy, on the part of officers.

• Exceptional work accomplished by officers is rarely noted in the Performance Appraisal Reports. This lacuna may lead to officers not being sufficiently motivated to innovate, or alternatively, unconcerned about the consequences of serious errors of judgment, omission, or commission.

• “Deadwood” is not screened out and given incentives to seek placements outside the Government, because of lack of clear norms and processes in this regard.

• A time trend of the evaluations of officers is not done, which would enable steady improvement or deterioration in performance to be detected, and in case of the latter, appropriate measures to be taken.

5.12 OTHER RECOMMENDATIONS RELATING TO PERFORMANCE APPRAISAL

5.12.1. Better monitoring and scrutiny through computerization

As stated earlier, delays in recording appraisal reports is a major weakness in the current system. From the feedback received, the Group concluded that the delays take place on account of one or more of the following reasons:

• Low priority is accorded to recording the appraisal reports, as there is no visible pinch for delays. Even a system of gentle reminders does not exist except when an appraisee is due for promotion and such promotion gets held up for want of his annual report.

• Filling up the appraisal form is complex and officers tend to delay this in order to avoid a difficult task.
Sometimes appraisees seek to avoid having their reports written by a (particular) superior on account of an apprehension that the report would not be good enough. In some cases, the ACR form is submitted to an officer, who, while higher in the hierarchy than the appraisee, is not in fact the actual reporting officer. There is no systematic means of monitoring such practices.

Some superiors being unhappy with certain subordinates tend to delay writing reports as a means of harassment. This is often resorted to as a substitute for giving adverse entries in order to avoid the hassles of having to subsequently justify the adverse remarks.

These problems may be resolved if an effective system of monitoring the receipt of performance appraisal reports is put in place and, at least, a reminder is issued wherever there is a delay. Such reports would convey a signal that someone at a higher level is monitoring the timely recording of performance appraisal reports and repeated delays may adversely impact those responsible for the delay.

In order to have such an effective system of monitoring, it is, first of all, important to assign overall responsibility for monitoring and maintenance of the performance appraisal dossiers to one organisation. It is recommended that the monitoring function be assigned to the respective cadre controlling authority. In respect of the All India Services this may be assigned to the cadre controlling authority in the Central Government, who, in turn, would work through the cadre controlling departments in the State Governments.

The organisation assigned the responsibility of monitoring the timely writing of annual performance reports should then put in place a computerized system for more effective monitoring.

**Computerization would be useful for the following purposes:**

- Monitoring the timely writing of the appraisal report by the appropriate Reporting and Reviewing Officers.
- Facilitating the development of a master data sheet (MDS) which could be used by the committees/authorities concerned in the various personnel actions, including promotions, selection for particular positions, selection for training programs, etc.
- Providing assistance to promotion/empanelment committees in accounting for systematic variations in grading standards across different State cadres of the same service, and identifying inconsistencies between overall grades and grades for individual attributes.
- Aggregating ordinal numerical scores on the basis of frequency distribution or fuzzy set analysis.
- For drawing panels/shortlist of officers for specific assignment/training programmes.
- Maintaining an effective database of officers, that may be tapped for various other purposes.
With regard to the problems in filling up a complex form, it would be best if the parts relating to the Reporting and Reviewing Officers are simplified. The Group has kept this in mind in redesigning the proforma. Further, the entire form should be available as a computer file, both for ease of filling in, and to facilitate electronic record keeping.

5.12.2. Staggering cut-off dates

Another useful method of ensuring that the reports are written in time is to provide for higher levels to certify that they have initiated the reports in respect of their subordinates for whom they are the Reporting Officers, while submitting their self-appraisals. To facilitate this Group is of the view that staggering the cut off dates for report writing at different levels should be introduced. The period of report could remain the same, i.e., 1st April to 31st March. Only the cut-off dates by which the different stages of the performance appraisal system should be completed could be staggered. A calendar of the cut-off dates has been suggested separately in this chapter.

5.12.3. Need for an overall grade

While the pre-1985 ACR system did not require an overall grade to be given, subsequently the ACR form was revised requiring an overall grading in qualitative terms in specified categories. The main advantage of an overall grade is that provides a summary index of the performance of the appraisee over all evaluation parameters. On the other hand, it has the following disadvantages:

- The existence of a summary grade focusses everyone’s attention primarily on this aspect, leaving out other attributes and evaluative parameters from the reckoning during various personnel actions.
- An overall grade provides a focus for grade inflation.
- There is (at present) no consistency in the implicit weights attached to different evaluative parameters in arriving at the overall grade across different evaluators.
- At present, there is no specified requirement of distribution of overall grades across the set of appraisees (e.g. “Outstanding” grade not to be given to more than 5% of the appraisees, “Very Good” to not more than 15%, etc.). This fact provides a further stimulus to grade inflation.

The group, however, considered that the existence of an overall grade as a summary indicator of performance remains an important advantage, and the disadvantages may be countered by other measures. These may be aimed firstly, at addressing grade inflation, and secondly, specifying the substantive considerations for various personnel actions (e.g. promotions, empanelment, placements) in a way as to ensure that other relevant information from the PAR dossier, and not just the pattern of overall grades is utilized. These changes too, would help shift attention away from an exclusive pre-occupation with the overall grade.
5.12.4. Need for greater openness

Three issues are salient in this context: (i) to disclose or not to disclose (any part of) the PAR, and if disclosure is preferred; (ii) to disclose “everything but the overall grade” or “everything including the overall grade”; and (iii) stage at which disclosure should be made. These are discussed below:

a) To disclose or not to disclose

Communication of the positive (or negative) remarks about the appraisees would help to motivate them towards even better performance (or furnish needed correctives to their performance). As against this, making the system open may lead to accentuating the problems of grade inflation. What is needed is to provide enough openness so as to ensure the benefits of improved motivation (or needed correctives) for appraisees, while strengthening the PAR process in a manner that reduces the pressure for grade inflation by the evaluators.

b) To disclose “everything but the overall grade” or “everything including the overall grade”:

In our ACR system as it has emerged since 1985, the overall grade has acquired a certain mystique, particularly since it (or its aggregation) has (or is perceived to have) an overriding importance for personnel actions, in particular, empanelment to GoI positions. It is, accordingly, plausible that disclosure of the overall grade would lead to neglect of the other aspects of the PAR (on account of which the benefits of disclosure would be lost), and invite a spate of representations against the actual overall grade itself. Against this, non-disclosure of only the overall grade may result in the appraisee being misled, as it will be extremely difficult to make a judgment on whether the overall grade is a true summary index of the rest of the report.

In this regard, the Group looked at the policies relating to transparency in several Indian and foreign organizations and found that the general trend was towards a greater degree of openness in the performance appraisal system. Annex 8 gives the status with regard to transparency in several of the organizations studied by the group.

After weighing the pros and cons of the issue, the Group favours disclosure of everything, including the overall grade.

c) At what stage is disclosure to be made

It is considered that in the chain of appraisal, the Reporting Officer is most susceptible to the “happy family syndrome” (see below), and thus apt to inflate his assessment. On the other hand, the Reviewing Officer being in less contact, is less susceptible, and moreover is able to judge the appraisee’s performance in relation to a larger set of peers.

Accordingly, the Group feels that the disclosure should be after review by the Reviewing Officer, and in full (i.e. including the overall grade). The appraisee may then be given the option to give his comments, which may, however, only relate to the specific factual observations made by the Reporting and Reviewing Officers. Comments would not be admissible on the evaluations made, either in respect of work output, or the personal attributes and competencies, or the pen-pictures,
or the overall grade, unless the evaluations are explicitly based on the factual observations commented upon. In case the appraisee submits any comments, these, along with the entire report (and the comments by the Reporting and Reviewing Officers, if any), may be placed before a designated “Referral Board” who would consider the matter and if necessary, make any changes necessary in any part of the PAR, including the overall grading. The revised PAR in turn should be communicated in full to the appraisee. In considering the claims of the appraisee, the Referral Board should take note of the fact that the appraisee can only comment on specific factual observations of the Reporting and Reviewing Officers, and not on their evaluations. (It would be open to the Reporting and Reviewing Officers to accept the comments of the appraisee, and amend the PAR in light of these comments, in which case the matter need not be referred to the Referral Board).

A single Referral Board may be designated for a state cadre as a whole for all AIS, or separately by service, for all officers serving in the state (including officers on state deputation). In case of officers on GoI deputation, the Referral Boards may be similarly designated for all officers on central deputation and on foreign service.

It has been noted that at present, in representing against adverse remarks in the ACR, some officers allege malafide in-personum against the evaluating authorities. In the new system, it is suggested that in case the appraisee alleges such malafide against the reporting and/or review officers, the Referral Board would examine the claim. In case it is found that the allegation is without factual basis, the Referral Board would enter the finding and, if necessary, record an appropriate stricture in the PAR for that year. At the same time, if the claims are found to be true, it may report the same to the cadre controlling authority for suitable action against the concerned reporting/review officer.

### 5.13 PROCESS OF DISCLOSURE OF THE PAR TO THE APPRAISEE

The following sequential steps may be followed:

- The Reporting Officer gives an assessment in respect of the work output, personal attributes and competencies, a pen-picture and an overall grade.
- The Reviewing Officer may modify the assessments in respect of work output, personal attributes, and competencies. He would also provide his own pen-picture and if necessary, modify the overall grade.
- The appraisee is given a copy of the PAR after the review stage. The appraisee may, if he wishes, comment on the factual observations made by the Reporting and Reviewing Officers, and any evaluations explicitly based on these factual observations (but not on any other aspects) in writing to the Reporting Officer within 15 days.
- In case of representation, the Reporting Officer would, within 15 days, of receipt of the representation from the appraisee, forward the same, together with his own views on the same, to the Reviewing Officer.
The Reviewing Officer would consider the representation of the appraisee, the views of the Reporting Officer, and convey them to the Referral Board with his comments. It would be open to the Reporting and Reviewing Officers to accept the comments of the appraisee and modify the PAR accordingly, in which case the matter need not proceed to the Referral Board.

The Referral Board would consider the claims of the appraisee in light of the comments of the Reporting and Reviewing Officers, and confirm or modify the PAR, including the overall grade. The PAR process would be complete at this point, and further relief may only be sought by way of a Memorial to the President, as provided under Rule 25 of the All India Services, Discipline & Appeal Rules, 1969.

The entire PAR may then be disclosed to the appraisee.

In this formulation, the Reporting and Reviewing Officers accomplish the performance appraisal, while the third level only adjudicates any claims of the appraisee after considering his comments on factual assertions contained in the PAR and only those evaluative aspects, which are impacted, by the factual aspects commented upon, as well as those of the Reporting and Reviewing Officers.

The reasons for eschewing a third level of evaluation (“Accepting Authority”) are the following: One effect of multiple levels of performance appraisal is that the numbers of PARs that need to be considered at the higher levels typically cascade in geometric progression, leading to unreasonable demands of time and effort on the part of higher authorities in considering these PARs. This is also a major reason for delay in completion of PARs. Further, it is unlikely that authorities at higher levels would have much personal interaction with officers more than two levels below, and accordingly, would have little basis for making their appraisals. Accordingly, an original performance appraisal by a third level (Accepting Authority) is generally difficult to accomplish in the majority of cases. A two level performance appraisal is also the international norm.

5.14 GRADE INFLATION AND INSUFFICIENT VARIANCE IN GRADING

In order to deal with this problem, and in particular, the possible effect of transparency in further stimulating grade inflation, and the susceptibility of the Reporting Officer to this syndrome, the Group proposes several measures:

First, that the appraisee may be revealed the assessment only after the stage of review, on the premise that the Reviewing Officer being two levels removed from the appraisee would be relatively more objective.

Second, a system of numerical grading (see below) rather than qualitative grading, on a 10-point scale, which furnishes sufficient space to distinguish between levels of accomplishment.

Third, that very high (9,10) or very low (1,2) overall grades would have to be specifically explained by the evaluators in terms of work accomplished, or concrete evidence of exceptional achievement (or lack of passable achievement) as the case may be.
• Fourth, with computerization, systematic upward or downward biases in assessment (across State cadres or evaluators) may be detected, and necessary corrections effected at the time of relevant personnel actions (e.g. promotion).

• Fifth, that the evaluation of work accomplished would necessarily relate to a pre-determined (and filed) work plan, and thus less subject to discretionary assessment.

• Sixth, that of clearly specifying to the Reporting/Reviewing/ authorities that the assessment must be made relative to the peer Group of officers similarly placed, and not in relation to the general public, or some undefined group.

• Finally, by eliminating the need to separately convey an “adverse remark”, and permitting comments by the appraisee only in relation to factual observations and the specific evaluations actually impacted by these factual observations.

5.15 NUMERICAL GRADING

The Group was concerned that in gaining the benefits of numerical scoring (i.e. greater spread of scores, ease of computer operations), conceptually incorrect interpretations should not be placed on the scores, and that there should be no excessive cognitive effort required of the appraiser in awarding the numerical scores.

In the opinion of the Group, while the numerical scores may be viewed either as indexes of relative performance in the concerned dimension of the appraisee in relation to his peers (“ordinal score”), or as a measure of absolute level of performance in some underlying value scale (“cardinal scale”), in the latter case subjective evaluations cannot be compared inter-personally. Further, while for a given evaluator an award of a higher (lower) numerical score may be considered to reflect unambiguously higher (lower) performance on an absolute scale, such a scale is unlikely to be linear in that it would be incorrect to consider that a score of 8/10 represents a level performance which is twice that of a score of 4/10, on some underlying value scale. Rather, the correct interpretation is that a score of 8/10 is worse than 9/10, and better than 7/10, which, in turn, is better than 6/10, and so on. This interpretation puts some restrictions on how these scores may be aggregated. It is, in general, meaningless to compute the arithmetic (or weighted) average of a set of scores which are not inter-personally comparable. The aggregation is, however, permissible in terms of either determining the mode (most frequent occurrence) or median (i.e. below and above which the frequencies of the scores are identical). (Between median and mode, the former may be considered to be less prone to ambiguity, and hence preferred). Alternatively, the scores may be aggregated by classifying appraisees (over a period of time) into a smaller number of defined categories (e.g. “A”, “B”, “C”, etc.) through techniques of “fuzzy set analysis” (which are well-known in empirical work in social science, and for which standard software are available).

The same restriction on summing (or averaging) such scores across different value dimensions also arises if one considers that they are in respect of distinct and incommensurable (i.e. not comparable) value entities (e.g. “credibility” and “citizen focus”). In such case, even if for the sake of argument scores in each value dimension were considered to be cardinal quantities, it would be impermissible to sum quantities of dissimilar entities (“adding apples and oranges”). However, there would be no conceptual objection to determining the median or modal score across different value entities.
The Group also considered that while, in principle, there is no conceptual difficulty in scoring in terms of real numbers (e.g. integers as well as decimals), in practice, the cognitive burden of distinguishing ranks in decimal places would be too great, and accordingly prone to error. Accordingly, it is felt that all scoring must be restricted to integer values (i.e. 1, 2, 3, ... etc.). A scale of 1 to 10 would provide sufficient space for distinguishing between different levels of performance in each value category.

The Group also considered whether as a guide to evaluators, a mapping of the verbal categories now prevalent to the numerical grades would be useful. It was felt that these verbal categories are themselves not inter-personally comparable, and the observed frequency distribution of these categories (preponderance of “very good” and “outstanding”, demonstrating grade inflation) would simply be perpetuated if such mapping were done, nullifying the impact of the other measures for addressing the problem of grade inflation.

5.16 DEALING WITH ADVERSE AND ADVISORY REMARKS

The concept of “adverse remark”, and the process currently followed to address these is responsible for innumerable cases of long delays in finalization of ACRs, frequently leading to missed promotion chances and other adverse consequences. Various court rulings have set forth the principle that an entry is “adverse” if it would act as a barrier to promotion (in the strict usage of the term of advancement to a higher grade of pay, and not for other personnel actions, e.g. placement, including empanelment). The Group considered the question at considerable length. It was felt that the problem may be resolved through eschewing the very concept of an “adverse remark” by a combination of two approaches: (i) removing the stipulation of a-priori “benchmarks” for promotion or any other personnel action conferring benefits on officers, all such personnel actions being conducted by strictly competitive processes without need of benchmarks; and (ii) devising the PAR process in such manner as to provide opportunity for comment by the appraisee after he receives the entire assessment, but limited to factual observations and only those evaluative aspects actually impacted by these factual observations; and completing its consideration within the PAR process itself.

5.17 DEALING WITH INSUFFICIENT VARIANCE IN THE PROFORMA ACROSS LEVELS AND JOB TYPES

As stated in Box 1, the functions of professional level civil service positions (AIS and other Group A services) can be classified into three categories, i.e. Implementation; Program/Project Preparation; and Policy Formulation. Typically, in the early phase of a civil service career, the Implementation function dominates. The mix of functions of different positions gradually changes with ascending hierarchy of positions, with, first, increasing dominance of the program/project formulation function, and later increasing dominance of the policy formulation role. Accordingly, in case of the IAS, field positions upto and including the Deputy Commissioner/Collector largely focus on implementation; positions of Heads of Line Agencies (e.g. Agriculture or Education) have a greater component of program/project preparation (with perhaps some exposure to policy formulation); while positions of Secretary in the State Governments/Joint Secretary (and above) at the Centre have increasing focus on policy formulation (while retaining some aspects of the other two functions).
Accordingly, it has been considered that the PAR form (and perhaps process) should take account of these differences in functions as one moves up in the civil service hierarchy. At higher-level positions, several attributes that are necessary for field positions may not be relevant. Besides, at junior levels, where promotions are mostly time bound, the format could be simpler as it should be used largely as a tool for development and counselling. This would call for separate appraisal proforma for different levels. These may vary from field positions, which are focused on programme implementation to higher-level positions involving responsibilities for programme formulation and policy analysis. However, the Group was of the view that having a large number of forms would create avoidable confusion. In the interest of simplicity it would be better to have fewer forms but with suitable provisions that indicate which portions are relevant for which assignments. Through this method it would be possible to bring in sufficient variance in the PAR across job types. Further, since functional requirements do not change inexorably with hierarchy, it would enable relevant portions to be identified by function, rather than only by level.

It is therefore recommended that a single form may be used or all levels except those of (or equivalent to) a Secretary to Govt. of India/Chief Secretary to the State Government, where a very simple form would be adequate. However, taking into account the relevance of different attributes at different levels and the differences in the nature of jobs at these levels, some portions of the form would not be relevant for some functional positions or levels of seniority. These may be specified against the relevant columns.

5.18 STATE OF HEALTH

The state of health and physical fitness of officers is a relevant consideration in placements on account of factors such as the climate of a location, requirements of touring in the field, level of work-related stress, etc. However, this is rarely taken into account, except when representations are received against postings to areas with extreme climate or poor medical facilities. In order to ensure that health/physical fitness aspects are given due consideration in making placements, it is necessary that information on the state of health should be provided by a formal medical examination, (rather than non-professional impressions by the reporting officer).

Accordingly, the Group is of the view that a comprehensive health check up, at least once in two years, should be insisted upon. A summary of the medical report, should be placed in the PAR dossier. Accordingly, the column on state of health, in the existing proforma may be deleted and replaced by the medical report obtained at least once in two years. The appraisee should also be required to certify as to when he had undergone the last medical check up. Provision should also be made for conduct of such biennial medical examinations at Government or other authorized hospitals.

The conduct of periodic medical examinations, and the inclusion of the findings in the PAR dossier would, it is expected, lead to greater health consciousness among the officers. This would conduce to greater efficiency, and also reduce costs of illnesses to the Government.
5.19 REVIEW BY A BOARD

As noted earlier, grade inflation is a severe problem. It is usually the Reporting Officer who is most susceptible to recording inflated grades.

One suggestion that was made to rectify this problem was that the review may be conducted by a board rather than by an individual. This was premised on the expectation that a board would be in a better position to review the appraisee against a wider sample of his peers and thereby effect more reliable moderation of the rating given by the Reporting Officer.

After considerable discussion, the Group was of the view that while the suggestion has considerable merit, it may not be feasible to implement in practice. As such, for the present the idea of review by board may not be pursued.

5.20 “360 DEGREE” REPORTING

It is often considered that the reputations of professionals/civil servants among their peers, juniors, members of the public, public representatives, businessmen, journalists, etc. are an accurate index of their capabilities, attitudes, and personal qualities. In many international organizations and foreign governments, accordingly, the formal PARs are supplemented by “360 degree evaluation”, in which the reputations of the officers among the persons they encounter in the course of their work is ascertained. These assessments may provide a valuable cross-check on the accuracy of the PARs, and may also be more directly used in selections to positions which require some specific qualities (e.g. very high level of integrity, sensitivity to needs of the disadvantaged, flair for public relations, etc.), and for other purposes. Several suggestions were received by the Group to institute 360-degree assessments.

As yet there is no established modality for making 360-degree assessments. The Committee nevertheless considers that it would be useful to supplement the formal PAR regime with an institutionalized means of ascertaining the reputations of civil servants, consistent with our culture and ethos. Accordingly, we propose that each cadre controlling authority may, at its option, set up an “Eminent Persons Group ”, (EPG) i.e. persons of acknowledged character and wisdom who clearly do not (no longer) have any personal stakes in the civil service career of anyone in particular. Such persons (say, 5, who may serve of 3 years at a time on a pro-bono basis) may be drawn from retired civil servants, public figures, and academics. This EPG (names to be kept strictly confidential) may, through various means, e.g. discreet personal enquiries or more structured approaches such as personal interviews or administration of questionnaires, from a range of peers, juniors, and clients (e.g. public representatives, media persons, NGO functionaries, business persons, etc.), ascertain the reputation (in respect of financial and moral integrity, professional competence, attitudes, and personal qualities of each civil servant of the concerned cadre once every five years, starting from the 10th year of service. It would set out their findings in a confidential report to the concerned cadre controlling authority. This information may be compiled separately from the PAR dossier, and may be useful in the following contexts, besides others:
• Placements to sensitive or special appointments.
• Counselling officers at 20 years of service or 50 years regarding the advisability of their accepting VRS.
• Confidential counselling of officers regarding their attitudes or conduct (e.g. with respect to juniors or public representatives), or activities that have a bearing on moral or financial integrity, so that they may remedy themselves.

Frequently, the number of officers and staff for which a senior officer is the Accepting Authority may run into the hundreds, and he may not have (or be able to recall) any actual interaction with the majority of them. Sometimes he may be unable to associate a name with the individual.

The implication of lack of inter-personal comparability is that numerical scores awarded by different persons (e.g. overall grades in PARs of different years) cannot be averaged.

An analogy may be made with the concept of “utility functions” or “preference functions” which underlie economics. The economic rationale is that while there may indeed be significant variation in strength of preferences over different consumption baskets in terms of some underlying value scale, it is cognitively extremely difficult to do more than assign relative ranks to the baskets. Also, as noted above, cardinal valuations made by different individuals are not inter-personally comparable.

While our objection to summing (and averaging) the grades is based on conceptual grounds, an added, pragmatic reason is that such averaging easily leads to a situation where officers are sought to be distinguished on the basis of the second place of decimal on the average score, which is essentially meaningless on account of various sources of error in subjective evaluations, even by the most perceptive and dispassionate of evaluators.

This would mean that the current practice of the Personnel Department identifying “adverse remarks” in the ACRs, communicating them to the appraisees, receiving representations against the adverse remarks from the appraisees, and examining them in-extenso, would also be terminated. The relief from a finding by the Referral Board would be by way of Memorial to the President.

While we state this progression as a stylized fact, it is neither uniform over positions at the same hierarchical level, nor inexorable as one rises in the official hierarchy.

5.21 REDESIGNING THE PAR FORMAT AND PERSONAL DOSSIER

For various personnel actions (e.g. Promotions, placement, selection for special assignments, selection for training programs), different kinds of information about an officer would be required. At present, the personnel dossier of officers comprises the compilation of the ACRs over one’s career. The rules provide that in addition, the first page of the dossier should comprise information about the officer’s academic qualifications, languages known, papers and books published, recognitions earned, desserts received, etc. This requirement is not usually observed, largely on account of such information not being generally used for any significant personnel actions, such as promotion and empanelment.
It is proposed to adhere to the existing broad structure, with some enhancements to make the personnel dossier a comprehensive source of information about an officer for different personnel actions (except for the 360 degree evaluation, which is at the option of each cadre controlling authority) an illustration of the kinds of information required for different personnel actions is given in the table below:

### 5.21.1. Structure of the PAR Dossier: The PAR Dossier may comprise the following documents

- Curriculum Vitae of the officer (detailed below), to be updated periodically (some entries) by means of the annual PAR.
- The set of PARs earned in service throughout one's career.
- The set of PARs (or similar appraisal) earned by the officer on deputation on Foreign Service to organizations outside the Indian governmental system.
- Reports of the biennial medical examination
- The set of records of performance made by the concerned institution for training courses and academic courses attended, including while on Study Leave.

The Personnel Dossier may comprise the following sections:

#### 5.21.2. Curriculum Vitae

Section I: Personal Data: Such data would comprise the name, gender, parentage, State of domicile, place of birth, date of birth, and particulars of the nuclear family of the officer (names, gender, date of birth, nationality [if different from that of the officer], and specific relationship to the officer), whether or not they are dependants. Such data would be compiled at entry into service, and updated each year during the PAR process.

Section II: Academic and Professional Qualifications: Such data would comprise the particulars of all academic degrees earned and training courses completed, the period during which attended, degrees earned (if any), major and minor fields, thesis title (if relevant, Institution/University and location, overall grade/division (if applicable). (No distinctions should be made between academic degrees earned prior to and during the service career. Such data would be compiled at entry into service, and updated each year during the PAR process.

Section III: Publications Record: A listing of all peer reviewed professional research publications (including published seminar papers), giving title, Journal/book in which published, publisher, date of publication. Purely literary work or articles published in newspapers or magazines for the general public must be excluded. Such data would be compiled at entry into service and updated each year during the PAR process.

Section IV: Work Experience: Such data will comprise a listing of all positions held (title, organization, period held, description of work content), including those held in organizations outside the Indian governmental system. Such data would be updated each year during the PAR process.
Section V: Recognitions Earned and Reprimands/ Strictures/ Penalties Received: Such recognitions would include letters of commendation/medals/honours received from the State or Central Government for particular actions or accomplishments, and recognition from prestigious bodies either for public service or other accomplishment. (Such recognitions need not be limited to accomplishments related to one’s strictly official responsibilities, but may comprise, for example, literary or scientific or sports or community service accomplishments). Additionally, letters of reprimand, punishment by disciplinary authorities including courts, and strictures from courts would be included. Such data would be included as and when each such recognition/desert arises.

Since for the most part, the information relating to Sections I-V above are not entered in the personnel dossiers at present, it is suggested that at the start of the new system, each officer should compile a comprehensive CV in terms of the structure given above, supported by relevant documentation. Subsequently, each of these sections would be updated through the PAR process and, in any case, at least once every five years as well as prior to important personnel actions such as promotions or empanelment.

5.21.3. Structure of the PAR

Only 2 sets of proforma may be used for the All-India Services. One proforma would apply for all levels equivalent to that of the Chief Secretary (in the case of IAS)/ Director General of Police (in the case of IPS)/ Principal CCF (in the case of IFoS). For the remaining levels there would be a second proforma. The recommended proformae are included in the report.

The base format, applicable to the levels that fall below the top levels would comprise of the following four sections:

<table>
<thead>
<tr>
<th>Section I</th>
<th>Basic information</th>
</tr>
</thead>
<tbody>
<tr>
<td>Section II</td>
<td>Self appraisal</td>
</tr>
<tr>
<td>Section III</td>
<td>Appraisal</td>
</tr>
<tr>
<td>Section IV</td>
<td>Review</td>
</tr>
</tbody>
</table>

Section II - would require the appraisee to indicate his achievements against the pre-set work plan as well as achievements against unforeseen tasks during the year. He would be required to identify and comment on any one significant contribution made by him in some detail. He would also be required to indicate his training and skill upgradation needs.

Section III - would require an assessment of his work output as well as a series of personal attributes and functional competencies. It would also require a descriptive pen-picture to be recorded to highlight any other features that are not reflected in the rest of the appraisal. Finally a numerical overall grade is to be given.

Section IV - would require a review on more or less similar lines, i.e. assessment of the work output/personal attributes/functional competencies as well as recording of a pen-picture and an overall grade.
The Group also recognizes that once a decision is taken to computerize the performance appraisal management system, suitable changes may be needed in the PAR proformae to facilitate easier and more accurate data entry. However, the exact design will depend on the structure of the software designed and will have to await the same.

The computerized performance management system may be designed to update the CV automatically, by drawing on the data items available from each year’s performance appraisal report.

5.22 CALENDAR OF PAR

The suggested schedule of cut-off dates (deadlines) for the various activities in the performance appraisal system is as follows:

<table>
<thead>
<tr>
<th>Activity</th>
<th>Cut-off dates</th>
</tr>
</thead>
<tbody>
<tr>
<td>Submission of draft Work Plan for current year to reporting officer</td>
<td>15&lt;sup&gt;th&lt;/sup&gt; April</td>
</tr>
<tr>
<td>(if not submitted by appraisee within the deadline, reporting officer to</td>
<td>15&lt;sup&gt;th&lt;/sup&gt; April</td>
</tr>
<tr>
<td>prepare and file on behalf of appraisee)</td>
<td>15&lt;sup&gt;th&lt;/sup&gt; April</td>
</tr>
<tr>
<td>Finalization of Work Plan for current year after discussion with</td>
<td>30&lt;sup&gt;th&lt;/sup&gt; April</td>
</tr>
<tr>
<td>reporting officer and filing of Work Plan with Reviewing Officer;</td>
<td></td>
</tr>
<tr>
<td>Feedback and Counseling session</td>
<td></td>
</tr>
<tr>
<td>Mid-year review of Work Plan and filing with Reviewing Officer (if</td>
<td>31&lt;sup&gt;st&lt;/sup&gt; October</td>
</tr>
<tr>
<td>not completed by deadline, the original Work Plan will prevail)</td>
<td>31&lt;sup&gt;st&lt;/sup&gt; October</td>
</tr>
<tr>
<td>Blank PAR form to be given to appraisee by Department of Personnel,</td>
<td>1&lt;sup&gt;st&lt;/sup&gt; April</td>
</tr>
<tr>
<td>specifying the reporting officer and review officer</td>
<td>1&lt;sup&gt;st&lt;/sup&gt; May</td>
</tr>
<tr>
<td>Self appraisal for current year</td>
<td>30&lt;sup&gt;th&lt;/sup&gt; April</td>
</tr>
<tr>
<td>Appraisal by reporting officer</td>
<td>31&lt;sup&gt;st&lt;/sup&gt; May</td>
</tr>
<tr>
<td>Appraisal by reviewing officer</td>
<td>30&lt;sup&gt;th&lt;/sup&gt; June</td>
</tr>
<tr>
<td>Disclosure to appraisee</td>
<td>31&lt;sup&gt;st&lt;/sup&gt; July</td>
</tr>
<tr>
<td>Representation of appraisee, if any (if none, transmission of the PAR</td>
<td>31&lt;sup&gt;st&lt;/sup&gt; July</td>
</tr>
<tr>
<td>to the Department of Personnel)</td>
<td>31&lt;sup&gt;st&lt;/sup&gt; August</td>
</tr>
<tr>
<td>Comments of reporting officer, in case of appraisee makes comments</td>
<td>15&lt;sup&gt;th&lt;/sup&gt; August</td>
</tr>
</tbody>
</table>
### Table: Cut-off dates

<table>
<thead>
<tr>
<th>Activity</th>
<th>Below super-time scale</th>
<th>Super-time scale</th>
<th>Above super-time scale</th>
</tr>
</thead>
<tbody>
<tr>
<td>Comments of reviewing officer, in case appraisee makes comments. If appraisee’s comments are accepted, revised PAR to be finalized and disclosed to appraisee</td>
<td>31st August</td>
<td>30th September</td>
<td>31st October</td>
</tr>
<tr>
<td>Finalization by Referral Board if reviewing officer does not accept appraisee’s comments</td>
<td>31st October</td>
<td>30th November</td>
<td>31st December</td>
</tr>
<tr>
<td>Disclosure to Appraisee</td>
<td>15th November</td>
<td>15th Dec.</td>
<td>15th January</td>
</tr>
<tr>
<td>End of entire PAR process</td>
<td>31st March</td>
<td>31st March</td>
<td>31st March</td>
</tr>
</tbody>
</table>

While the time frame given above may not be absolutely rigid, it should be carefully monitored by the Department of Personnel. An officer who does not meet the prescribed time schedule should be required to explain the delay in his forwarding note/letter to the next higher authority/Department of Personnel. The entire process must, however, be completed by the 31st of March [i.e. within one year of the close of the relevant year to which the appraisal report relates], as suggested in the last row of the table above. If the PAR is not filed with the personnel department by 31st March, written explanations should be sought from the appraisee, Reporting Officer, Reviewing Officer, and Referral Board, to be furnished, in each case within one month. The Personnel Department will determine, on the basis of the explanations, responsibility for the delay, and pass appropriate strictures on the officer(s) concerned.

Performance reports (grade cards) from training/academic institutions would, in general, vary widely from the PAR format. In case of organizations outside the Indian governmental system, the choice of the format of performance appraisal (and process), i.e. whether to follow the format/process for the concerned service, or their own, should be left to the borrowing organization.
Table 3: Stages of Performance appraisal Reporting

1. **Start**
   - Setting up a work plan
   - Mid year review of work plan
   - Self appraisal
   - Appraisal
   - Review
   - Disclosure
   - Representation, if any
   - Comments of Reporting Officer, if any
   - Comments of Review Officer, if any
   - Decision of Referral Board, if required
   - End

- **15th April**
- **31st October**
- **30th April**
- **31st May**
- **31st July**
- **31st June**
- **31st August**
- **15th July**
- **15th August**
- **31st July**
- **31st August**
- **15th August**
- **31st August**
- **30th Sept**
- **15th Sept**
- **15th Oct**
- **16th October**
- **31st Oct**
- **31st Nov**
- **31st Dec**
- **31st March for all levels.**
6. REVISED PMS (PAR) INTRODUCED IN GOVERNMENT OF INDIA

This section describes the salient features of the PAR introduced in the Government of India with effect from the year 2007-08. The Complete Government Order pertaining to PAR is given at Annexure 3.

G.S.R. 197 (E) - In exercise of the powers conferred by sub-section (1) of section 3 of the All India Services Act, 1951, (61 of 1951), and in supersession of the All India Services (Confidential Rolls) Rules, 1970, except as respect things done or omitted to be done before such supersession, the Central Government, after consultation with the Governments of the States concerned, hereby makes the following rules, namely:

Short title, commencement and application. - (1) These rules may be called the All India Services (Performance Appraisal Report) Rules, 2007.

Maintenance and custody of performance appraisal dossier. - A comprehensive performance appraisal dossier shall be maintained for each member of the Service by the State Government and the Central Government in the manner specified under these rules and the performance appraisal dossier shall consist of documents specified in Schedule 1.

Form of the performance appraisal report. - (1) The reporting authority shall write the performance appraisal report in such form as may be specified by the Central Government in Schedule 2 and the officer reported upon and the reporting, reviewing and accepting authority shall ensure that the portions of the forms which are to be filled in by them are completed by them within the time limit specified in this behalf by the Central Government:

6.1 PERFORMANCE APPRAISAL REPORTS. -

1. A performance appraisal report assessing the performance, character, conduct and qualities of every member of the Service shall be written for each financial year or as may be specified by the Government in the Schedule

Provided further that if a performance appraisal report for a financial year is not recorded by 31st of December of the year in which the financial year ended, no remarks may be recorded thereafter and the officer may be assessed on the basis of the overall record and self assessment for the year, if he has submitted his self-assessment on time.

2. Subject to the provisions of sub-rule (4), a performance appraisal report shall also be written when either the reporting or reviewing authority or the member of the Service reported upon relinquishes charge of the post, and, in such a case, it shall be written at the time of the relinquishment or ordinarily within one month of such relinquishment.

3. Where more than one performance appraisal reports are written on a member of the Service during the course of a financial year each such report shall indicate the period to which it pertains:
Provided that only one report shall be written on a member of the Service for a particular period during the course of the financial year and there shall be a single reporting, reviewing and accepting authority at each level of assessment which shall be specified in the channel for writing performance appraisal reports by the concerned Ministries and State Governments and in no circumstances more than one person shall write the performance appraisal reports in the capacity of reporting, reviewing or accepting authority for a given period of time:

Provided further that if more than one person of the same superior level supervises the performance of the member of Service, the Government shall identify the person to report or review well in advance of the relevant assessment year.

4. Where the reporting authority has not seen, but the reviewing authority has seen the performance of a member of the Service 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 any such member for any such period.

5. Where, both the reporting authority and the reviewing authority have not seen and the accepting authority has seen, as referred to in sub-rule (4), the performance of any such member, the accepting authority shall write the performance appraisal of any such member during such period.

6. Where the reporting authority, the reviewing authority and the accepting authority have not seen the performance of a member of the Service for at least three months during the period for which the report is to be written, the Government shall make an entry to that effect in the performance appraisal report for any such period.

7. It shall not be competent for the reporting authority, the reviewing authority or the accepting authority to write a performance appraisal report after he demits office where the authority writing the performance appraisal report is not a Government servant.

6.2 REVIEW OF THE PERFORMANCE APPRAISAL REPORT.

1. The reviewing authority shall record his remarks on the performance appraisal report, within the timeframe specified in the Schedule 2.

2. Where the report is written by the reviewing authority under sub-rule (4) of rule 5, or where the reviewing authority has not seen, and the accepting authority has seen, the performance of a member of the Service for at least three months during the period for which the performance appraisal report is written, the accepting authority shall review the performance appraisal report of any such member for any such period within the timeframe specified in the Schedule 2.

3. It shall not be competent for the reviewing authority, or the accepting authority, to review any such performance appraisal report unless it has seen the performance of the member of the Service for at least three months during the period for which the report has been written, and in every such case an entry to that effect shall be made in the performance appraisal report.
4. Notwithstanding anything contained in sub-rules (1) and (2), it shall not be competent for the reviewing authority or the accepting authority to review any such performance appraisal report-

   (a) Where the authority reviewing the performance appraisal report is a Government servant, after one month of his retirement from service, and

   (b) In other cases, after one month of the date on which he demits office.

Explanation. - For the purposes of this rule, “a Minister” shall not be construed as having demitted the office if he continues to be a Minister in the Council of Ministers with a different portfolio or in the Council of Ministers immediately reconstituted after the previous Council of Ministers of which he was Minister with the same or a different portfolio provided the Prime Minister or the Chief Minister, as the case may be, continues in office.

6.3 ACCEPTANCE OF THE PERFORMANCE APPRAISAL REPORT.

1. The accepting authority shall within the timeframe specified in Schedule 2, record his remarks on the performance appraisal report and may accept it, with such modifications as may be considered necessary, and countersign the report:

   Provided that where the accepting authority has not seen the performance of any member of the Service for at least three months during the period for which the performance appraisal report has been written, it shall not be necessary for the accepting authority to accept any such report and an entry to this effect shall be made in the performance appraisal report.

6.4 DISCLOSURE OF PERFORMANCE APPRAISAL REPORT TO THE OFFICER REPORTED UPON AND PROCEDURE FOR REPRESENTATION TO THE REFERRAL BOARD

1. The full annual performance appraisal report, including the overall grade and assessment of integrity, shall be disclosed to the officer reported upon after finalisation by the accepting authority to enable the officer reported upon to represent his case.

2. The officer reported upon may have the option to give his comments on the performance appraisal report in writing to the accepting authority within fifteen days of the receipt of the Performance Appraisal Report.

3. The comments shall be restricted to the specific factual observations contained in the Performance Appraisal Report leading to the assessment of the officer in terms of attributes, work output and competency.

4. The accepting authority shall within fifteen days of receipt of comments from the officer reported upon forward the same to the reviewing and the reporting authority and call for their views on the comments.
5. The reporting authority shall, within fifteen days of receipt of comments from the officer reported upon forward his own views on the comments to the reviewing authority failing which it shall be presumed that he has no views thereon.

6. The reviewing authority shall forward the comments of the officer reported upon along with the views of the reporting authority and his own views to the accepting authority within fifteen days of receipt of the views of the reporting authority.

The accepting authority shall consider the comments of the officer reported upon, the views of the reporting authority and the reviewing authority and after due consideration may accept them and modify the performance appraisal report accordingly and the decision and final grading shall be communicated to the officer reported upon within fifteen days of receipt of the views of the reviewing authority.

(a) In case the officer reported upon chooses to represent against the final assessment conveyed to him according to this procedure, he may represent his case through the accepting authority for a decision by the Referral Board, as specified in the Schedule 3, within one month, provided that such representation shall be confined to errors of facts.

(b) The representation of the officer reported upon along with the views of the reporting authority, the reviewing authority and the accepting authority shall be forwarded to the Referral Board on the request of the officer reported upon within a period of fifteen days of receipt of communication.

6.5 DOCUMENTS TO BE MAINTAINED IN THE PERFORMANCE APPRAISAL DOSSIER

i. A Curriculum Vitae to be updated annually on the basis of the performance appraisal reports and a five-yearly Curriculum Vitae update submitted by the officer reported upon.

ii. The performance appraisal reports earned throughout the career.

iii. Certificates of training, academic courses attended after joining service, study leave.

iv. Details of books, articles and other publications.

v. Appreciation letters from Government or Secretary or Head of Department or special bodies or Commissions.

vi. Reports of medical check-ups.

vii. Copy of order imposing any of the penalties specified in the All India Services (Discipline and Appeal) Rules, 1969 and final result of inquiry into allegations and charges against a member of the Service.

viii. Warnings or displeasure or reprimands of the Government.
6.6 FORMS FOR PERFORMANCE APPRAISAL REPORT

- Form I and general guidelines for filling up the Performance Appraisal Report form for the Indian Administrative Service officers except the level of Secretary or Additional Secretary or equivalent to Government of India
- Form II and general guidelines for filling up the Performance Appraisal Report form for the Indian Administrative Service officers of the level of Secretary or Additional Secretary or equivalent to Government of India
- Form III for the Indian Administrative Service officers who are on deputation under rule 6(2)(ii) of the IAS (Cadre) Rules, 1954
- Form IIIA : Performance Report on study leave/leave for study for Indian Administrative Service officers
- Form IIIB : Performance report on training (applicable for the Indian Administrative Service officers).
- Form IV : Proforma for Health check up for the Indian Administrative Service officers.
FORM - I

[See rule 4]

The All India Services (Performance Appraisal Report) Rules, 2007

(Applicable for All IAS officers except the level of Secretary or Additional Secretary or equivalent to Government of India)

Performance Appraisal Report for the period from _______________ to _________________

Section I – Basic Information

(To be filled in by the Administration Division/Personnel Department)

1. Name of the officer reported upon: 

2. Service:  3. Cadre:  4. Year of allotment:  5. Date of Birth:  

6. Present Grade:  7. Present post:  

8. Date of appointment to present post:  

9. Reporting, Reviewing and Accepting Authorities

<table>
<thead>
<tr>
<th>Name &amp; Designation</th>
<th>Period worked</th>
</tr>
</thead>
<tbody>
<tr>
<td>Reporting Authority</td>
<td></td>
</tr>
<tr>
<td>Reviewing Authority</td>
<td></td>
</tr>
<tr>
<td>Accepting Authority</td>
<td></td>
</tr>
</tbody>
</table>

10. Period of absence on leave, etc.

<table>
<thead>
<tr>
<th>Period</th>
<th>Type</th>
<th>Remarks</th>
</tr>
</thead>
<tbody>
<tr>
<td>On Leave</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Others</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

11. Training Programs attended

<table>
<thead>
<tr>
<th>Date from</th>
<th>Date to</th>
<th>Institute</th>
<th>Subject</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
12. **Awards/Honours**

<table>
<thead>
<tr>
<th>Date</th>
<th>Description</th>
</tr>
</thead>
</table>

13. **Details of PARs of AIS officers not written by the officer as reporting/reviewing authority for the previous year**

<table>
<thead>
<tr>
<th>Date</th>
<th>Description</th>
</tr>
</thead>
</table>

14. **Date of filing the property return for year ending December**

<table>
<thead>
<tr>
<th>Date</th>
</tr>
</thead>
</table>

15. **Date of last prescribed medical examination (for officers over 40 years of age) (Attach copy of**

<table>
<thead>
<tr>
<th>Date</th>
</tr>
</thead>
</table>

Date:

Signature on behalf of Admn/Personnel Dept ______________________
SECTION - II : SELF APPRAISAL

1. Brief description of duties:
   (Objectives of the position you hold and the tasks you are required to perform, in about 100 words)

2. Annual work plan and achievement:

<table>
<thead>
<tr>
<th>Tasks to be performed</th>
<th>Deliverables(^1)</th>
<th>Actual achievements(^2)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Initial(^3)</td>
<td>Mid year(^4)</td>
</tr>
</tbody>
</table>

3. During the period under report, do you believe that you have made any exceptional contribution, e.g. successful completion of an extraordinarily challenging task or major systemic improvement (resulting in significant benefits to the public and/or reduction in time and costs)? If so, please give a verbal description (within 100 words):

---

\(^1\) Deliverables refer to quantitative or financial targets or verbal description of expected outputs.

\(^2\) Actual achievement refers to achievement against the specified deliverables in respect of each task (as updated at mid-year). No explanations for divergences are to be given in this table.

\(^3\) Initial listing of deliverables are to be finalized within 1 month of the start of the period under report.

\(^4\) Mid year listing of deliverables are to be finalized within 6 months of the start of the period under report.
4. What are the factors that hindered your performance?

5. Please indicate specific areas in which you feel the need to upgrade your skills through training programs:

   For the current assignment

   For your future career

Please Note: You should send an updated CV, including additional qualifications acquired/training programmes attended/special assignments undertaken, in a prescribed proforma, to the cadre controlling authority, once in 5 years, so that the records available with the cadre controlling authority remain updated.

6. Declaration

| Have you filed your immovable property return, as due. If yes, please mention date. | Yes/No | Date |
| Have you undergone the prescribed medical check up? | Yes/No |
| Have you set the annual work plan for the current year, in respect of whom you are the reporting authority? | Yes/No |

Date: Signature of officer reported upon......................
SECTION - III : APPRAISAL

1. Please state whether you agree with the responses relating to the accomplishments of the work plan and unforeseen tasks as filled out in Section II. If not, please furnish factual details.

2. Please comment on the claim (if made) of exceptional contribution by the officer reported upon.

3. Has the officer reported upon met with any significant failures in respect of his work? If yes, please furnish factual details.

4. Do you agree with the skill up-gradation needs as identified by the officer?
5. **Assessment of work output** (This assessment should rate the officer vis-à-vis his peers and not the general population. Grades should be assigned on a scale of 1-10, in whole numbers, with 1 referring to the lowest grade and 10 to the best grade. Weightage to this Section will be 40%).

<table>
<thead>
<tr>
<th>Reporting Authority</th>
<th>Reviewing Authority</th>
<th>Initial of Reviewing Authority</th>
</tr>
</thead>
<tbody>
<tr>
<td>i. Accomplishment of planned work</td>
<td></td>
<td></td>
</tr>
<tr>
<td>ii. Quality of output</td>
<td></td>
<td></td>
</tr>
<tr>
<td>iii. Accomplishment of exceptional work / unforeseen tasks performed</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Overall Grading on ‘Work Output’</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

6. **Assessment of Personal Attributes** (on a scale of 1-10. Weightage to this Section will be 30%).

<table>
<thead>
<tr>
<th>Reporting Authority</th>
<th>Reviewing Authority</th>
<th>Initial of Reviewing Authority</th>
</tr>
</thead>
<tbody>
<tr>
<td>i. Attitude to work</td>
<td></td>
<td></td>
</tr>
<tr>
<td>ii. Sense of responsibility</td>
<td></td>
<td></td>
</tr>
<tr>
<td>iii. Overall bearing and personality</td>
<td></td>
<td></td>
</tr>
<tr>
<td>iv. Emotional stability</td>
<td></td>
<td></td>
</tr>
<tr>
<td>v. Communication skills</td>
<td></td>
<td></td>
</tr>
<tr>
<td>vi. Moral courage and willingness to take a professional stand</td>
<td></td>
<td></td>
</tr>
<tr>
<td>vii. Leadership qualities</td>
<td></td>
<td></td>
</tr>
<tr>
<td>viii. Capacity to work in time limit</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Overall Grading on Personal Attributes</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

7. **Assessment of Functional Competency** (on a scale of 1-10. Weightage to this Section will be 30%).

<table>
<thead>
<tr>
<th>Reporting Authority</th>
<th>Reviewing Authority</th>
<th>Initial of Reviewing Authority</th>
</tr>
</thead>
<tbody>
<tr>
<td>i. Knowledge of laws/rules/procedures/ IT skills and awareness of the local norms in the relevant area</td>
<td></td>
<td></td>
</tr>
<tr>
<td>ii. Strategic planning ability</td>
<td></td>
<td></td>
</tr>
<tr>
<td>iii. Decision making ability</td>
<td></td>
<td></td>
</tr>
<tr>
<td>iv. Initiative</td>
<td></td>
<td></td>
</tr>
<tr>
<td>v. Coordination ability</td>
<td></td>
<td></td>
</tr>
<tr>
<td>vi. Ability to motivate and develop subordinates / work in a team.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Overall Grading on ‘Functional competency’</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
8. Integrity

Please comment on the integrity of the officer:

---

9. Pen picture by Reporting Officer. Please comment (in about 100 words) on the overall qualities of the officer including areas of strengths and lesser strengths and his attitude towards weaker sections.

---

10. Recommendation relating to domain assignment (Please tick mark any four)

<table>
<thead>
<tr>
<th>Agriculture and Rural Development</th>
<th>Public Finance &amp; Financial Management</th>
</tr>
</thead>
<tbody>
<tr>
<td>Social Development</td>
<td>Industry and Trade</td>
</tr>
<tr>
<td>Culture and Information</td>
<td>Internal Affairs and Defence</td>
</tr>
<tr>
<td>Natural Resource Management</td>
<td>Housing &amp; Urban Affairs</td>
</tr>
<tr>
<td>Energy and Environment</td>
<td>Personnel &amp; General Administration,</td>
</tr>
<tr>
<td></td>
<td>Governance Reform, Regulatory Systems</td>
</tr>
<tr>
<td>Communication Systems and Connectivity</td>
<td>Science &amp; Technology</td>
</tr>
<tr>
<td>Infrastructure</td>
<td></td>
</tr>
</tbody>
</table>

---

11. Overall grade (on a score of 1-10) 

---

Date: ____________________________

Signature of Reporting Authority _______
SECTION - IV : REVIEW

1. Do you agree with the assessment made by the reporting officer with respect to the work output and the various attributes in section III? Do you agree with the assessment of the reporting officer in respect of extraordinary achievements and/or significant failures of the moS / officer reported upon? (In case you do not agree with any of the numerical assessments of attributes please record your assessment in the column provided for you in that section and initial your entries).

   Yes  No

2. In case of difference of opinion details and reasons for the same may be given.

3. Pen picture by Reporting Officer. Please comment (in about 100 words) on the overall qualities of the officer including areas of strengths and lesser strengths and his attitude towards weaker sections.

4. Recommendation relating to domain assignment (Please tick mark any four)

   Agriculture and Rural Development  Public Finance & Financial Management
   Social Development  Industry and Trade
   Culture and Information  Internal Affairs and Defence
   Natural Resource Management  Housing & Urban Affairs
   Energy and Environment  Personnel & General Administration, Governance Reform, Regulatory Systems
   Communication Systems and Connectivity Infrastructure  Science & Technology

5. Overall grade on a scale of 1-10

   Date:                  Signature of Reviewing Authority ____________________
SECTION - V : ACCEPTANCE

1. Do you agree with the remarks of the reporting / reviewing authorities?
   
   Yes   No

2. In case of difference of opinion details and reasons for the same may be given.
   
   

3. Overall grade (on a score of 1-10)
   
   

Date                    Signature of Accepting Authority__________________
General guidelines for filling up the PAR form (Form I) for IAS officers except the level of Secretary or Additional Secretary or equivalent to the Government of India.

1. INTRODUCTION

1.1 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 up the form with a high sense of responsibility.

1.2 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/her true potential. It is not meant to be a faultfinding 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.

1.3 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.

1.4 Although the actual documentation of performance appraisal is a year-end exercise, in order that it may be a tool for human resource development, career planning and training, rather than a mere judgmental exercise, the Reporting Authority and the officer reported upon should meet during the course of the year at regular intervals to review the performance and to take necessary corrective steps.

2. SECTION-I

2.1 This Section should be filled up in the Administration Division/Personnel Deptt. Period of report could either be the entire reporting year, namely, from 1st of April to 31st March or a part of the year (exceeding 3 months). In case the period of report is a full year, it should be indicated accordingly; for example, 2007-2008. In case the period of report is less than the entire year, specific start and end dates should be indicated, for example, 10th September 2007 – 31st March 2008.

2.2 Information on the present grade (pay-scale) as well as present post (actual designation and organization) and the date from which he/she has been on his/her present post needs to be mentioned.

2.3 In the table relating to reporting, reviewing and accepting authorities the name and designation of the reporting and reviewing authorities should be mentioned so that the officer reported upon is clear about whom he/she is required to send the report.
2.4 The period of absence from duty, on leave, training, or for other reasons, should also be mentioned in this section in the table provided for the purpose. Details of the training attended, date of filing of property returns and whether the officer reported upon has reported/reviewed and the annual performance report of all his/her subordinate officers for the previous year should be mentioned in the table for the purpose.

2.5 This Section provides for regular annual medical examination. The health check is mandatory for all officers above the age of 40 and may be totally dispensed with officers below the age of 40, except in case of medical incident. A copy of Part C of the health check up report is to be attached to the PAR Form by the Admin./Personnel Deptt. and a copy provided to the member of the Service. The format of the health check up is given at Schedule 2.

3. SECTION-II

3.1 The officer reported upon is first required to give brief description of his/her duties and responsibilities, which would normally not exceed about 100 words. Ideally, this should be in bullet form.

3.2 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 relative annual work rhythm and budgetary cycle. This exercise is to be carried out at the beginning of the year and finalized by 30th April, positively. In case of a change of the reporting officer during the year, the work plan agreed with the previous reporting officer would continue to apply. The work plan agreed upon at the beginning of the year has to be reviewed again during the month of September/October as a mid-year exercise and finalized by 31st October. Based on this review the work plan may undergo some changes from that originally prepared.

3.3 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. The period spent by the officer during the year and his contribution could be considered for evaluating his performance against the work plan. In the case of mid-term transfers, continuity and assessment of work and the lower performance profile in the first quarter should be taken into consideration.

3.4 The work plans, duly signed by the officer reported upon and the reporting authority has to be submitted to the reviewing authority for his/her perusal and custody. The performance appraisal form provides for an assessment of the accomplishments vis-à-vis the work plan agreed at the commencement of the year and reviewed mid-year. The officer reported upon is required to fill up the table provided for the purpose in Section-II.

3.5 It is not necessary that the work plan should be entirely quantitative in nature. While for field level posts, the work plan would consist essentially of quantifiable targets, for secretarial level posts it would consist of policy objectives to be achieved etc.
3.6 Section II also provides an opportunity for the officer to reflect upon his/her performance during the year and indicate one item which he/she thought was a significant contributions made by him/her during the year. It is always possible for any officer to make significant contribution even in activities otherwise regarded as routine in nature. Examples of such contribution may be the successful organization of a major event like the Kumbh Mela or successful conclusion of an activity that has been going on for a long time, or even successful dealing of an emergency (e.g. major earth quake/flood) would certainly be an exceptional contribution.

3.7 The officer reported upon is required to indicate specific areas in which he/she feels the need to upgrade skills and attend training programs. He/she should also mention the specific steps that he/she has taken or proposes to take to upgrade his/her skills in the identified area.

3.8 There is an increased emphasis on competency building in the new performance appraisal and career progression system. There would be a premium on competency and skill upgradation. Hence, all officers are advised, through a note in Section II, to keep the cadre controlling authority informed, at least once in five years, of all educational and training programs attended, including the details of marks/grades secured in such programs, details of professional papers published. These would be taken into account in the future career progression.

3.9 This Section also requires the officer reported upon to record certain certificates about submission of property returns, annual medical check up and setting up of annual work plan for whom he/she would be the reporting authority.

4. SECTION-III

4.1 Section III requires the reporting authority to comment on Section II as filled out by the officer reported upon, and specifically state whether he/she agrees with the responses relating to the accomplishments. In case of disagreement the reporting authority should highlight the specific portions with which he/she is unable to agree and the reasons for such disagreement.

4.2 This Section then requires the reporting authority to comment on the skill upgradation needs as identified by the officer.

4.3 Thereafter, this Section requires the reporting authority to record a numerical grade in respect of the workout put of the officer reported upon both in respect of the planned work as well as the unforeseen tasks. A numerical grade is also required in respect of the “quality” of the output. In doing so, the reporting authority should take into account the costs incurred (whether the officer reported upon has been cost conscious), the time taken and whether the laid down rules/procedures have been adhered to in accomplishing the tasks.

4.4 The reporting authority is also required to record a numerical grade in respect of work output, personal attributes and functional competencies.
4.5 Section III requires the reporting authority to comment on the integrity of the officer reported upon. In recording remarks with regard to integrity, he/she need not limit him/herself only to matters relating to financial integrity but could also take into account the moral and intellectual integrity of the officer reported upon. The following procedure should be followed in filling up the 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, the column should be left blank and action taken as under:

(a) A separate secret note should be recorded and followed up. A copy of the note should also be sent together with the Performance Appraisal Report to the next superior officer who will ensure that the follow up action is taken expeditiously. Where it is not possible either to certify the integrity or to record the secret note, the Reporting Officer should state either that he/she had not watched the officer’s work for sufficient time to form a definite judgement or that he/she has heard nothing against the officer, as the case may be.

(b) If, as a result of the follow up action, the doubts or suspicions are cleared, the officer’s integrity should be certified and an entry made accordingly in the Performance Appraisal Report.

(c) If the doubts or suspicions are confirmed, this fact should also be recorded and duly communicated to the officer concerned.

(d) 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 and thereafter action taken as indicated at (b) and (c) above.

4.6 The reporting authority is also required to record a descriptive pen-picture on the overall qualities of the officer reported upon and his/her performance including his attitude towards weaker sections. This need not exceed about 100 words and should try to cover overall qualities of the officer including areas of strengths and lesser strengths. The pen-picture is also meant to be a qualitative supplement to the quantitative assessments made earlier part of this section.

4.7 Reporting authority is then required to make recommendations relating to domain assignment. The list of domains is at para 10.

4.8 Finally, the reporting authority is required to record an overall grade. This should also be done on a scale of 1-10, with 1 referring to the lowest grade and 10 to the highest.
5. **SECTION-IV**

5.1 This Section is to be filled up by the reviewing authority. He/she is required to indicate if he/she agrees with the assessments made by the reporting officer. In case of disagreement, he/she may record his/her own assessment against the work output or any of the attributes in the column specifically provided for the purpose. In case of agreement, he/she need not fill in the column meant for him/her in the attributes/work output tables.

5.2 The reviewing authority is required to record a pen-picture, not exceeding about 100 words, on the overall qualities of the officer reported upon including areas of strengths and lesser strengths and his/her performance including his attitude towards weaker sections and recommendations relating to domain assignment. Finally he/she is required to record an overall grade in the scale of 1-10.

6. **SECTION-V**

6.1 This Section is to be filled by the accepting authority. He/she is required to indicate if he/she agrees with the assessments made by the reporting authority/reviewing authorities. In case of difference of opinion, he/she is required to give details and reasons for the same in the column specifically provided for the purpose in the table in Section V.

7. **NUMERICAL GRADES**

7.1 At several places, numerical grades are to be awarded by reporting and review authorities. These should be on a scale of 1-10, where 1 refers to the lowest grade and 10 to the highest. It is expected that any grading of 1 or 2 (against work output or 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. Grades of 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, reviewing and accepting authorities should rate the officer against a larger population of his/her peers that may be currently working under them or would have worked under them in the past.

7.2 **Weightage & Mean**

Weights have been assigned to work output, personal attributes and functional competency. The overall grade will be based on the addition of the mean value of each group of indicators in proportion to weightage assigned.
8. DISCLOSURE

8.1 There should be more openness in the system of appraisal. The annual PAR, including the overall grade and integrity, should be communicated to the officer reported upon after it has been finalized by the accepting authority.

8.2 Representation

The officer reported upon may have the option to give his comments on the PAR. Such comments may be restricted to the specific factual observations contained in the Performance Appraisal Report leading to the assessment of the officer in terms of attributes, competency and output. If comments are submitted, the Reporting/Reviewing/Accepting Authority would have the option to accept them and modify the PAR accordingly. If the comments are not accepted, the views of the Reporting/Reviewing/Accepting Authority would be communicated with reasons to the officer reported upon. Thereafter, only if the officer reported upon so desires, he may request for the matter to be forwarded to the Referral Board. The representation shall be confined to errors of facts and nothing else. The Referral Board shall give clear findings on the representation and take a final decision on the assessment, including the overall grading in regard to the parameters affected thereby. The decision along with details in case an entry is upgraded or down graded with, reasons for same may be recorded in the PAR and the same communicated to the officer reported upon. The decision of the Referral Board shall be final.

9. SCHEDULE FOR COMPLETION OF CARS OF IAS OFFICERS

9.1 The following schedule should be strictly followed:

<table>
<thead>
<tr>
<th>Activity</th>
<th>Cut-off dates</th>
</tr>
</thead>
<tbody>
<tr>
<td>Blank PAR form to be given to the officer reported upon by the</td>
<td></td>
</tr>
<tr>
<td>Administration Division/Personnel Department, specifying the</td>
<td>1st April</td>
</tr>
<tr>
<td>reporting officer and reviewing authority</td>
<td>1st May</td>
</tr>
<tr>
<td>Self appraisal for current year</td>
<td>30th April</td>
</tr>
<tr>
<td>Appraisal by reporting authority</td>
<td>31st May</td>
</tr>
<tr>
<td>Appraisal by reviewing authority</td>
<td>30th June</td>
</tr>
<tr>
<td>Appraisal by accepting authority</td>
<td>31st July</td>
</tr>
<tr>
<td>Disclosure to the officer reported upon</td>
<td>31st August</td>
</tr>
<tr>
<td>Comments of the officer reported upon, if any (if none, transmission</td>
<td>30th September</td>
</tr>
<tr>
<td>of the PAR to the DOPT)</td>
<td></td>
</tr>
<tr>
<td>Forwarding of comments of the officer reported upon to the reviewing</td>
<td>15th September</td>
</tr>
<tr>
<td>and the reporting authority by the accepting authority, in case the</td>
<td>15th October</td>
</tr>
<tr>
<td>officer reported upon makes comments</td>
<td></td>
</tr>
<tr>
<td>Comments of reporting authority</td>
<td>30th September</td>
</tr>
<tr>
<td>Comments of reviewing authority</td>
<td>31st October</td>
</tr>
<tr>
<td>Comments of accepting authority/PAR to be finalized and disclosed to</td>
<td>30th November</td>
</tr>
<tr>
<td>the officer reported upon.</td>
<td></td>
</tr>
<tr>
<td>Activity</td>
<td>Cut-off dates</td>
</tr>
<tr>
<td>-------------------------------------------------------------------------</td>
<td>--------------------------------</td>
</tr>
<tr>
<td>Representation to the Referral Board by the officer reported upon</td>
<td>30th November 31st December</td>
</tr>
<tr>
<td>Forwarding of representation to the Referral Board along with the</td>
<td>15th December 15th January</td>
</tr>
<tr>
<td>comments of reporting authority/reviewing authority and accepting</td>
<td></td>
</tr>
<tr>
<td>authority</td>
<td></td>
</tr>
<tr>
<td>Finalization by Referral Board if the officer reported upon represents</td>
<td>15th January 15th February</td>
</tr>
<tr>
<td>against the decision of the Accepting Authority.</td>
<td></td>
</tr>
<tr>
<td>Disclosure to the officer reported upon</td>
<td>31st January 28th February</td>
</tr>
<tr>
<td>End of entire PAR Process</td>
<td>31st March 31st March</td>
</tr>
</tbody>
</table>

9.2 The completed PAR should reach the Cadre Controlling Authorities by 31st March the following year. The Cadre Controlling Authority will prepare a list of PARs not received and follow up with the Secretaries of the concerned Ministries and Chief Secretaries of the respective States.

9.3 Secretary (Personnel) in the State and the Establishment Officer in the Centre shall be the Nodal officers to ensure that the PARs of the members of Service, duly completed, are sent to the Cadre Controlling Authority by 31st March of the following year. They shall send a list each of the members of Service whose PARs are to be written and reviewed to the concerned Reporting/Reviewing/Accepting Authorities by 15th April every year to enable them to ensure completion of PARs within the time-schedule.

9.4 If a PAR relating to a financial year is not recorded by the 31st of December of the year in which the financial year ended, no remarks shall be recorded thereafter. The member of Service will be assessed based on the overall record and self-assessment of the year concerned, if he had given his self-assessment in time and the Reporting Authority, Reviewing Authority and the Accepting Authority have not completed the PAR according to the time schedule given in para 9.1.

9.5 The member of Service reported upon shall, while forwarding his self-appraisal to the Reporting Authority, endorse a copy of the self-appraisal, to the nodal officer and keep a record of the same as evidence that he had submitted the same in time.

9.6 The Reporting Authority shall record his comments in the PAR of the officer reported upon within the stipulated time and send it to the Reviewing Authority along with a copy thereof to the nodal Authority.

9.7 In case the Reporting Authority fails to submit the PAR to the Reviewing Authority within the stipulated period under intimation to the nodal officer, the nodal officer shall send a copy of self-appraisal directly to the Reviewing Authority and authorize him to initiate the PAR. The nodal officer shall also keep a note of the failure of the Reporting Authority to submit the PAR of his subordinate in time for an appropriate entry in the PAR of such Reporting Authorities.
9.8 The nodal officer shall evolve a suitable mechanism to ensure that the remarks of the Reporting, the Reviewing and the Accepting Authorities are recorded without fail by the dates given in the schedule below Para 9.1.

Officer in the Centre shall be the Nodal officers to ensure that the PARs of the members of Service, duly completed, are sent to the Cadre Controlling Authority by 31st March of the following year. They shall send a list each of the members of Service whose PARs are to be written and reviewed to the concerned Reporting/Reviewing/Accepting Authorities by 15th April every year to enable them to ensure completion of PARs within the time-schedule.

9.4. If a PAR relating to a financial year is not recorded by the 31st of December of the year in which the financial year ended, no remarks shall be recorded thereafter.

9.5. The Reporting Authority shall record his comments in the PAR of the officer reported upon within the stipulated time and send it to the Reviewing Authority along with a copy thereof to the nodal Authority.

9.6. The nodal officer shall evolve a suitable mechanism to ensure that the remarks of the Reporting, the Reviewing and the Accepting Authorities are recorded without fail by the dates given in the schedule below Para 9.1.

The GOI Order on PAR contains additional PAR forms (PAR Form II, PAR Form III, PAR Form IIIA, and PAR Form IIIB along with associated instructions for their completion. There is a Form IV – Proforma for Health Check up. The full text of the PAR order is given at Appendix 3.
7. DEVELOPMENT AND IMPLEMENTATION OF CSR LINKED STAFF APPRAISAL SYSTEM IN UP PWD

The Staff Appraisal System is a major HR Management process impacting each and every staff member of the organisation. A well designed and robustly implemented Performance Management System (PMS) has the potential to enhance the engagement and motivation levels of the staff significantly. When the staff perform to the best of their capacity, the overall performance of the organisation is enhanced. The existing PMS (ACR system) has been running since decades and therefore has become ingrained in the organisation culture of PWD. Revision of the system and implementation of a new (and much enlarged in its scope and applicability) PMS is a major change initiative. Smooth management of the change process in a large organisation like UP PWD is a big task. In this section we suggest a methodology for implementation of the revised PMS.

7.1 RESPONSIBILITY OF THE HRD & TRAINING CELL

The responsibility of the implementation of revised PMS will be that of the HRD & Training Cell, being set up in UP PWD (in pursuance with Report no. 4). The proposed HRD & Training Cell will have one unit headed by the “SE - HRMIS & Confidential’, who will be in charge of the PMS of all cadres of staff. The unit will also manage the maintenance of personal dossiers of staff, and also the performance records within the PWD computerised HRMIS system. The unit will provide data support for all HR decisions such as manpower planning, promotions, transfers, placements, recruitments and training & development.

7.2 DEVELOPMENT OF THE PMS

The HRD Cell will take up an action plan to develop the PMS for the PWD. The following steps and methodology are suggested:

7.2.1. Adapting PAR to PWD requirements.

It is recommended that the UP PWD adopt the PAR System, including the nomenclature ‘PAR’ with necessary modifications and adaptations. One of the early tasks of the HRD and Training Cell will be to adapt the GOI PAR system to meet the PWD needs. As described in the Section 4, the design of PAR has taken into consideration most of the performance management needs in a Government set up. Therefore, it is felt that only a few modifications if any, may be needed to make the PAR suitable for PWD. The full PAR notification is included in Appendix 3 for ready reference.

The development of PWD PAR may be done in a participatory manner through consultations with groups of officers (Appraisers & Appraisees) in the Headquarters as well as field units. Involvement of officers in the consultation process will be a great help for effective implementation of the system.
The adaption process would involve development of the following:

1. **PAR Forms**: It is suggested that only two sets of forms may be required, one for all Gazetted Officers (AE’s and above) and another for JE’s and other staff. The PAR forms will also include the required instructions for filling them up. The PAR forms may have to be issued in Hindi/ in bilingual format. The PAR cycle should continue to be aligned with the Financial Year.

2. **Policies and Guidelines**: The PAR system being a major departure from the existing ACR, detailed policy guidelines (as given in the GOI PAR order) will be issued. This could be in the form of a Users’ Manual accessible by every Appraiser and Appraisee. The guidelines/ policy documents will be placed on the PWD intranet for easy reference by users.

3. **Linking of PAR to reward, career progression and training**: At present this aspect is weak. Objectivity and transparency of linkage of rewards with performance is a major requirement of any effective PMS. The linkage of the performance rating records with promotions, specialisation training and special assignments should be established and implemented in a visible manner. In the long run, it is expected that the overall Government HR policies will be moving towards differentiating performance and rewarding outstanding performers better than average performers as is already being done in many high performing private sector organisations.

4. **Linking PAR to PWD Strategic & Annual Plans**: The PAR system is an effective management tool to enhance achievement of the strategic objectives and business goals of PWD by aligning the individual efforts to organisational goals. PWD is in the process of strengthening the Strategic Planning and Annual Business Planning and monitoring processes for which a dedicated Policy & Planning Unit (PPU) is being set up. The Annual Business Plan issued in the beginning of the Financial Year will be the guiding document for annual performance planning of officers.

### 7.3 IMPLEMENTATION OF PAR IN UP PWD

Implementation of the revised PMS in the PWD would be done as per an implementation plan drawn up by the HRD & training cell. The plan would take care of the following:

#### 7.3.1. Date of Introduction

It is suggested that the date from which the new system to be implemented be decided well in advance allowing sufficient time for finalisation of the PWD PAR system, issuance of necessary orders and guidelines and communicating/ providing training to the staff members. Depending on the resources committed for the above activities it is expected that 6 months time should be allowed. The earliest time for introduction of PAR is therefore, April 2008.
7.3.2. Communications

Once the PWD specific PAR system is finalised, the details will be communicated to all staff through available communication channels. It is recommended that in addition to the usual method of issuance of GO’s and gazette notifications etc., other means such as electronic and issue of printed guidelines booklets be resorted to. If possible, it may be worthwhile to issue a copy to each officer up to AE level.

One of the most effective method of communicating the revised system is through face to face workshops for groups of officers, 20-30 in a group. Several workshops will be organised by the Training Cell at decentralised locations in Zones, Circles and Divisions. Face to face workshops have the added benefit of securing a buy in and better compliance.

7.3.3. Training of Appraisers in Performance Management Skills

The most important enabler of effective implementation of the PAR is the training of Appraisers. All officers of rank AE and above will be performing the role of Appraisers (as well as being Appraisees). The Appraisers would need to be well versed in the system and the process of performance management and have a commitment to perform their tasks effectively and in a timely manner. Training is all the more important because the revised system is going to become a vital PWD capacity development process. The skills of performance management are briefly required in the following areas:

- planning work and setting expectations, formulating SMART KRA’s and KPI’s for the appraisees.
- monitoring and measuring performance,
- conducting face to face performance feedback discussions.
- providing honest and candid feedback on performance.
- coaching and mentoring the appraisees; helping them to perform better
- rating performance in an objective manner
- recognizing and rewarding good performance.
- Identifying the training and development needs of the appraisees

A more detailed description of the Performance Management skills training to be imparted to appraisers is given at Annexure 4.

7.3.4. Training Workshops

Expectedly, most PWD Officers would benefit immensely by developing their people management skills. Therefore, the objective of this training is to cover as many officers as possible. The most effective method for training large number of appraisers in PWD (the number would be close to 1600) is to arrange a series of training workshops with 20-30 participants in each workshop. A typical workshop would be for one full day or two half days. These may be organised at various regional locations. The training requirements will be included in the Annual training Plan of PWD. The programmes should be arranged just prior to the time the officers are required to work on the PMS. The most suitable period would be February & March of the year of introduction of the new system. The following steps are suggested for the training workshops:
a) Identify a core group of 20-25 ‘PMS Champions’ who will act as resource persons/facilitators for PMS skill training workshops. These officers will be trained as trainers (possibly with the help of a reputed training institution like IIM/ASCI) along with the officers of HRD & Training Cell.

b) Develop a standardised training course and course material including power point presentations and handbooks to be issued to participants.

c) Roll out the training programmes anchored by the trained resource persons.

d) The champions/resource persons will also act as facilitators/clarifiers in their respective locations during the process of implementation.

7.3.5. Top Management Commitment

Successful implementation of the revised PMS would require a very high level of Top Management commitment. The system if not implemented with full rigour, will degenerate to yet another paper exercise. The top management will be required to ensure that the key activities of the PMS process such as the setting of KRAs at the beginning of the year, the mid year reviews and the end of year formal feedback sessions are conducted per schedule and with full seriousness. This would also mean that the senior officers allocate sufficient time to this important people management process and not relegate it to a secondary function, to be done when time becomes available. The top officers must personally devote the required time to complete their own PMS and closely monitor its implementation in their units.

7.3.6. Top-Down Performance Planning

The process of performance management starts with performance planning i.e. setting up of the performance goals. PMS is a very valuable tool to enhance the performance of an organisation through proper alignment of the efforts of its different organs and the staff towards the achievement of Organisational objectives. The performance planning process is a top down process starting at the top most level and cascading down to next and next lower levels. For this process to be successful in PWD, it is necessary that the Strategic Plan of PWD for next 5/10 years is formulated and based on the strategic Plan an Annual Business Plan is prepared and issued before the start of the year. The performance planning of officers is then carried out in the following manner starting at top and cascading down the organisation:

a) The goals in the annual business plan is converted into performance targets of the members of the top management of PWD i.e. E-in-C’s, functional heads, heads of the state level units etc. in such a manner that there is no duplication and no goals are missed out.

b) Once the top management goals are available, the performance plans of Zonal Chief Engineers are prepared.

c) From the goals of a Zonal Chief Engineer, the performance plans of the Circle Heads are prepared. This is followed by the goal setting of the Division heads. The targets of individual officers in a unit, say a division, is prepared out of the targets of the Unit head.
It is clear that this process of performance planning cannot be achieved effectively without the timely completion of the goal setting of the top management level. The whole process would go out of gear if the ‘process’ is not managed in a rigorous manner. The Top management is required to set an example in this regard and drive the process of PMS across the organisation. The completion of the functions relating to PAR would be one parameter of performance of a superior officer as has been done in the PAR.

7.4 MAINTENANCE OF PAR DATA

PWD will need to adopt technology solutions to manage the HR functions effectively including the performance management. The HRD & Training Cell will implement a comprehensive HRMIS system for timely and cost effective maintenance of all personnel data, performance appraisal reports, training needs and training data etc. The computerised system will track the completion of the PMS activities and issue reminders wherever there is a delay. Such reports would convey a signal that someone at a higher level is monitoring the timely recording of performance appraisal reports and repeated delays may adversely impact those responsible for the delay.

Computerization would be useful for the following purposes:

- Monitoring the timely formulation of performance plans and writing of the appraisal reports by the appropriate Reporting and Reviewing Officers.
- Facilitating the development of a master data sheets for use by the committees/authorities concerned in the various personnel actions, including promotions, selection for particular positions, selection for training programs, etc.
- Aggregating ordinal numerical scores on the basis of frequency distribution or fuzzy set analysis.
- For drawing panels/shortlist of officers for specific assignment
- Providing training to the Officers in their priority training needs identified in the PAR.
- Maintaining an effective database of officers, that may be tapped for various other purposes.
8. PRESENTATION TO PROJECT STEERING COMMITTEE
# PWD Focus Group - E

<table>
<thead>
<tr>
<th>Name</th>
<th>Designation and Area</th>
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</thead>
<tbody>
<tr>
<td>Sri Afsar Husain</td>
<td>Chief Engineer (Complaints)</td>
</tr>
<tr>
<td>Sri Sushil Kumar</td>
<td>SE, Bulandshahar Circle, Bulandshahar</td>
</tr>
<tr>
<td>Sri Jitendra Kumar Srivastava</td>
<td>EE, PD, Farukhabad</td>
</tr>
<tr>
<td>Sri Arun Kumar Srivastava</td>
<td>EE, CD 1, Bahraich</td>
</tr>
<tr>
<td>Sri V. K. Rai</td>
<td>AE, Planning 1, Lucknow</td>
</tr>
<tr>
<td>Sri Salil K. Yadav</td>
<td>AE, W.B. Division 1, Lucknow</td>
</tr>
<tr>
<td>Sri P. K. Saxena</td>
<td>EE</td>
</tr>
<tr>
<td>Sri Sandeep Saxena</td>
<td>AE, IDS Cell</td>
</tr>
</tbody>
</table>

**LEA International Ltd. and LEA Associates South Asia Pvt. Ltd.**

<table>
<thead>
<tr>
<th>Name</th>
<th>Designation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Cdr. Narayan Mishra</td>
<td>Human Resource Management Specialist</td>
</tr>
</tbody>
</table>
Report No. 37: Report for Revised CSR (Civil Service Reforms) Linked Staff Performance Appraisal Policy

The IDS Action Plan on Human Resource Planning and Development programme includes:

• manpower need assessment
• human resource Planning,
• human resource development policy/guidelines,
• training policy & Objectives and finally
• performance appraisal and career planning.

The IDS Action Plan (serial 6B) objective states:

“Strengthen staff appraisal, career development and performance incentives/factors”

Action milestone to be achieved in this direction:

“Implement revised CSR-linked staff performance appraisal policy and processes”
Report No. 37: Report for Revised CSR (Civil Service Reforms) Linked Staff Performance Appraisal Policy

This Report Covers:

- Civil Service Reforms (CSR) and revision of staff appraisal system
- Review of Existing Staff Appraisal System in UP PWD
- Conceptual Framework of an effective Performance Management System (PMS)
- Rationale of revision of Staff Appraisal System under Civil Service Reforms
- Development and implementation of a revised CSR linked staff appraisal system in UP PWD on lines of new system of PERFORMANCE APPRAISAL REPORT (PAR) introduced in Government of India:
6. **Improving Work Systems and Methods**

The aim of improving systems and work methods would be to create a new work culture based on openness, accountability, responsiveness, efficiency and effectiveness.

The following systems to be examined and redesigned for bringing about professional efficiency in the functioning of the civil service.

6.1 **Personnel Management**

The existing methods of disciplinary proceedings against civil servants have proved to be ineffective for a variety of reasons. Operational bottlenecks are to be removed and the system strengthened further.
CSR and Revision of Staff appraisal system in GoUP
UP Civil Services Reform Policy- 2000

6.2 Performance Evaluation System

Suitable performance evaluation systems based on outcome-based, objective performance standards to be devised and put in place in all the government departments.

Since Annual Confidential Reports form the basis for promotion, there is a strong need to make them as objective as possible. For this objective, self-evaluation forms be set out for all posts so that correct comparative evaluation of the officers/personnel of the same level could be ensured. Recording of the certificate of having made entries in time by the reporting officer be made compulsory. Since the grading except 'excellent' are a barrier to promotion on merit, these should be communicated to the concerned.
Report No. 37: Report for Revised CSR (Civil Service Reforms) Linked Staff Performance Appraisal Policy

- Civil Service Reforms (CSR) and Revision of Staff appraisal system

CSR in Government of Uttar Pradesh


- No reports/recommendations in respect of revision of the Staff Performance Appraisal System have been issued at the GoUP level.

- The system of Staff Appraisal through the ACR system has remained unchanged.

- At the Government of India level CSR process in respect of revision of the Staff Performance Appraisal has made significant progress during 2000 and 2007.
Revision of Staff Appraisal System in PWD

• The State CSR Policy 2000 mandates revision of the staff appraisal system to make it objective and transparent. The system is required to cater for capacity development of staff as well.

• The IDS Action Plan (IDSP) includes the revision of the Staff Appraisal as priority agenda for enhancing efficiency of the department.

• At the Govt. of India level, many studies have been made including the Surindernath Committee (2003) and the Hota Committee (2004).

• A revised system of Performance Appraisal known as the ‘Performance Appraisal Report (PAR)’ has been implemented with effect from 01 April 2007 vide Govt. of India notification: The All India Services (Performance Appraisal Report) Rules 2007 dated 14th March 2007.
Revision of Staff Appraisal System in PWD

The State Government is expected to introduce the PAR system after adapting it to meet local conditions.

There is an opportunity in front of PWD to pioneer the introduction of a revised PMS

- PWD is currently at the focus of the reform initiative through the World Bank supported IDS Project. A dedicated HRD & Training Cell is being established in PWD to carry out specific HR enhancements including introduction of a revised PMS.

- Revision of the Staff appraisal system is a priority in the Govt. endorsed PWD IDS Action Plan.

- The PMS is the backbone of HR & organisational management. An effective PMS is essential to set up a modern HR Planning, Management & Development process and specifically a development oriented career planning and capacity enhancement program.
Report No. 37: Report for Revised CSR (Civil Service Reforms) Linked Staff Performance Appraisal Policy

Conceptual Framework: Performance Management System

The staff appraisal – much more than the ACR

“Performance management is the systematic process by which an organisation involves its staff, as individuals and members of a group, in improving organizational effectiveness in the accomplishment of its mission and goals.”
Conceptual Framework: Performance Management System

- The staff appraisal – much more than the ACR
- PMS as a Performance Enhancement Tool for individuals, units and the organisation.
- For the organisation, PMS is a tool to achieve planned strategic results through efforts of people, aligned towards organisational goals.
- PMS is an essential Management Tool for Managers-helps to get his unit’s works planned, coordinated and monitored and achieved.
- PMS motivates individuals by setting up work expectations and providing rewards for the efforts put in.
- PMS provides essential inputs for career planning and development.

*PMS is a key differentiator of the overall effectiveness of an organisation.*
Conceptual framework of an effective performance management system

Performance Management Process

- **Performance Planning**: setting and communicating clear performance expectations (Targets or KRA’s) and evaluation criteria. This is the most important stage of the PMS. How effectively it is done decides what results can be expected at the end of the year.

- **Performance Monitoring**: delivering regular relevant job feedback and taking corrective action in time. This includes coaching, supporting and providing necessary resources.

- **Performance Evaluation**: evaluating/rating of performance objectively over a defined period of time.
Conceptual framework of an effective performance management system

Performance Management Process…..

• **Training & Development**: Identifying individual training needs and providing learning & development opportunities to enhance the capacity to perform.

• **Consequence Management**: linking rewards to performance. Promotions and career advancement opportunities, monetary and non-monetary incentives are based on performance records and administered in a fair, consistent manner.
Major Enhancements effected in the PAR

- Widening the Objectives of the Performance Management System
- Linking the Appraisal with Training function
- Planning Work and Setting Work Expectations at the beginning of the year
- Feedback and Counselling Function
- Performance Appraisal as a Tool for Recognition
- Performance appraisal as tool for strengthening governance
Major Enhancements effected in the PAR

- Full Disclosure of the PAR to the Appraisee; Confidentiality removed
- Numerical Grading on a 1 to 10 scale
- Normalisation of the grades to deal with grade Inflation and Insufficient Variance.
- Dealing with Adverse and Advisory Remarks
- Record of the State of Health
- “360 degree” reporting
- Redesigning the PAR Format and Personal Dossier
- Emphasis on timely completion of PAR activities
Performance Management Cycle

- Setting up a work plan
- Mid year review of work plan
- Self appraisal
- Appraisal
- Review
- Disclosure
- Representation, if any
- Comments of Reporting Officer, if any
- Comments of Review Officer, if any
- Decision of Referral Board, if required
- End
Report No. 37: Report for Revised CSR (Civil Service Reforms) Linked Staff Performance Appraisal Policy

Development and Implementation of CSR linked staff appraisal system in UP PWD

• Responsibility of HRD and Training Cell

• Development of the PMS
  ➢ Adapting PAR to PWD requirements: PAR forms, Policies and Guidelines,
  ➢ Linking of PAR to career progression and training,
  ➢ Linking PAR to PWD strategic and Annual Plans.

• Implementation of PAR in UP PWD
  ➢ Date of introduction
  ➢ Communications
  ➢ Training of Appraisers in Performance Management Skills
  ➢ Training Workshops for Appraisers
  ➢ Top Management Commitment
  ➢ Top Down Performance Planning

• Maintenance of PAR Data
Training of Appraisers: Appraisal Skills

- Planning work and setting expectations, formulating SMART KRA’s and KPI’s.
- Monitoring and measuring performance,
- Conducting face to face performance feedback discussions.
- Providing honest and candid feedback on performance.
- Coaching and mentoring the appraises; helping them to perform better
- Rating performance in an objective manner
- Recognizing and rewarding good performance.
- Identifying the training and development needs of the appraises
Training in Appraisal Skills - Suggested Methodology

• Identify a core group of 20-25 ‘PMS Champions’ who will act as resource persons / facilitators for PMS skill training workshops. These officers will be trained as trainers (possibly with the help of a reputed training institution like IIM / ASCI) along with the officers of HRD & Training Cell.

• Develop a standardised training course and course material including power point presentations and handbooks to be issued to participants.

• Roll out the training programmes anchored by the trained resource persons.

• The champions / resource persons will also act as facilitators / clarifiers in their respective locations during the process of implementation.
TOP DOWN PERFORMANCE PLANNING

- The goals in the annual business plan is converted into performance targets of the members of the top management of PWD i.e. E-in-C’s, functional heads, heads of the state level units etc. in such a manner that there is no duplication and no goals are missed out.

- Once the top management goals are available, the performance plans of Zonal Chief Engineers are prepared.

- From the goals of a Zonal Chief Engineer, the performance plans of the Circle Heads are prepared. This is followed by the goal setting of the Division heads.

- The targets of individual officers in a Division is prepared out of the targets of the Division head.
TOP MANAGEMENT COMMITMENT

• The process of performance planning cannot be achieved effectively without the timely completion of the goal setting of the top management level.

• The system would go out of gear if the ‘process’ is not managed in a rigorous manner.

• The Top management is required to set an example in this regard and drive the process of PMS across the organisation. The completion of the functions relating to PAR would be one parameter of performance of a superior officer as has been done in the PAR.
ANNEXURE - 1

UTTAR PRADESH CIVIL SERVICE REFORMS POLICY, 2000

1. PREAMBLE

1.1 Civil Service is an integral part of the overall system of governance in the States. The Civil Service in Uttar Pradesh, as in the rest of India, is a legacy of British colonial rule. At the time of Independence Uttar Pradesh inherited a national Civil Service which ensured development of the state in the new environs of independence. In the post-independence period this Civil Service took up fresh challenges in the area of planning and development and brought about changes in them. But since the decade of 1980 it was being felt that for speedy economic and social development of the state and also for maintaining the faith of the people in the integrity, capacity and impartiality of administration, it was necessary to make wide changes and reforms in public service.

1.2 In the changing economic scenario characterised by liberalisation and globalization, a need is felt to think through the existing role of civil service in order to introduce suitable modifications for making the civil service respond to emerging challenges.

1.3 The conference of Chief Ministers, organized by the Government of India during May 1997 discussed the subjects of regularly making available accountable services to people and successful implementation of the schemes.

A discussion on the issue for civil services reforms was also held between the representatives of the World Bank and the representatives of the State Government. The World Bank emphasized the need for making the civil services more effective and pro-active and also indicated that it was necessary to limit administrative expenditure to ensure frugality. At the level of the Government of India too, discussion on the issue of reforms in public service was held with the officers of the State Government.

1.4 In this context, keeping in mind the need for reforms in civil service, the State Government assigned the responsibility of drafting the preliminary proposal for 'U.P. Civil Service Reforms Policy' to U.P. Academy of Administration, Nainital. A group of senior officers was constituted to discuss the draft policy paper submitted by the U.P. Academy of Administration. This group intensively discussed the recommendations made in the draft policy paper. The draft of U.P. Civil Service Reforms Policy prepared by the group was presented on 16.12.99 in the meeting of senior administrative officers of the State. After discussion, it was recommended that it is necessary to include the following elements in the agenda of civil service reforms:

1. Redefining functional goals
2. Restructuring and reorganizing the administrative set-up
3. Human Resource Development
4. Reforms in systems and procedures
On the basis of the above, a note on the proposed 'U.P. Civil Service Reforms Policy' was put up on 10.1. 2000, before the Economic Development Committee of Hon'ble Cabinet Committee for approval. The Economic Development Committee of Hon'ble Cabinet Committee after deliberations was pleased to order that the proposal be deferred. After this, corrections were made in some of the points of the submitted note and the proposal for constitution of 'Civil Services Board' was deleted and the amended proposal was submitted before the Economic Development Committee of Hon'ble Cabinet Committee and approved.

2. BASIC ASSUMPTIONS OF CIVIL SERVICES REFORMS POLICY

- The role of Civil Service is central to the system of governance of the State.
- In the economic and social development of the State the impact of Civil Services has been critical and in the early decades of the 21st Century the Civil Services are going to make very important contribution in the development of the State.
- In the light of the need of developing professional and more result oriented approaches to management, delivery of high quality and responsive services and injection of competition and choice into service provisions, it has become necessary to make changes in the Civil Service system.

3. OBJECTIVES

- To provide for the state of Uttar Pradesh and its citizens a highly professional, motivated and dedicated Civil Service which is known for its efficiency, effectiveness, integrity, political impartiality, objectivity, accountability and quality of service with a greater and genuine concern for service users.
- Creation of a new work culture in the Civil services characterised by transparency, motivation, accountability, responsiveness, integrity, efficiency and effectiveness
- To make the civil service function as a catalyst in the socio-economic development of the state and its people with a sense of justice.

4. KEY PRINCIPLES

The Government is wholeheartedly committed to sustaining the following key principles on which the civil service is based:

4.1 TRANSPARENCY

To make sure that people know exactly what is going on and what is the rationale of the decisions of the Government.

4.2 ACCOUNTABILITY

To make sure that for every action and inaction in government and its consequences there is a civil servant responsible and accountable to the state, society and people.
4.3 RESPONSIVENESS

To make sure that people's needs, aspirations and their well-being are the prime concern of the civil service and is reflected in the nature of response of civil service to people. For this it would be necessary to ensure that special training programmes and departmental workshops are conducted regularly.

4.4 EFFICIENCY

Performance based on outcomes and the optimum utilization of resources to have a favourable input-output ratio to be the driving force of the civil service.

4.5 EFFECTIVENESS

Realization of the reform objectives to re-orient the civil service to meet the emerging challenges effectively

5. AGENDA FOR REFORMS

5.1 REDEFINING FUNCTIONAL GOALS

In the wake of changing economic and political environment in the state and macro policy shifts at the national level, a need is felt to redefine the functional goals of the civil service with a view to making it more relevant and responsive in the present context

- Commitment for improvement of the financial state of the State Government and generation of adequate revenue. This should be first aim of the Civil Service

- The core government functions of the government are revenue generation, implementation of development schemes and maintenance of law and order. For these functions it is necessary to strengthen the civil services by introduction of new methods such as encouraging it to adopt best practices.

- It is necessary to bring about a change in the role of civil service. The civil service has to gradually make a shift from its earlier role of being a provider and regulator to one of a facilitator and promoter in an overall sense. The attitude "What can I do for you" is to be brought about in the civil service. Special programmes, necessary training and new methods of encouragement are to be developed for this.

- The role of civil service should be that of a catalyst in the economic growth and social development of the State

- The ethos of civil service to be characterised by professionalism, premium on performance and productivity and full commitment to reduction of corruption

- Capacity building for facilitating and enabling the on-going process of devolution, de-concentration and decentralisation together with deregulation
5.2 REORGANIZING AND RESTRUCTURING THE ADMINISTRATIVE SET-UP

The present administrative set-up is characterised by an excessively large bureaucracy with the result that the State is under a great financial stress.

In the light of this fact it would be necessary to reorganise the Secretariat, Directorates, local establishments along with the whole administrative set-up.

5.3 HUMAN RESOURCE MANAGEMENT AND DEVELOPMENT

To meet the two-fold challenge of performance management and improvement in the civil service, human resource development is the most decisive means and effort. Inadequate and insincere efforts for capacity building, specially half-hearted efforts made in the context of middle level and local personnel, has been the main cause of the present image of civil service. Therefore, the main objective of the strategy for future human resource development would be capacity building of all the government servants, specially those working at the middle and local level.

This will include the following activities:

- Constant up-gradation of knowledge, skills and attitude of civil servants working at all levels of the government with a focus on the cutting edge level through compulsory induction, in-service and specialized training.
- The goal of training for all, as stated in the national and state training policies, to be realized through sustained efforts and interventions.
- Sensitization of civil servants on gender issues and social responsibilities at all levels to be undertaken through a series of workshops, seminars, training and orientation programmes.
- Institutionalization of best practices in civil service administration and their documentation for institutional memory.
- Suitable systems be developed so that timely decision making could be encouraged and promoted.
- Inter-sectoral mobility of civil servants to be encouraged as per the emerging needs and opportunities.
- Greater use of Information Technology (IT).
- Specialization to be encouraged among the Group A and B level civil servants through informed career planning and training.
- The problem of frequent transfers should be solved through strict implementation of clearly defined personnel rules. For the transfer of senior officers of All India Services the suggestions of the Chief Secretary and other senior officers shall be taken and the final decision shall be taken by the Hon'ble Chief Minister on the names thus suggested.
6. IMPROVING WORK SYSTEMS AND METHODS

The aim of improving systems and work methods would be to create a new work culture based on openness, accountability, responsiveness, efficiency and effectiveness.

The following systems to be examined and redesigned for bringing about professional efficiency in the functioning of the civil service.

6.1 PERSONNEL MANAGEMENT

The existing methods of disciplinary proceedings against civil servants have proved to be ineffective for a variety of reasons. Operational bottlenecks are to be removed and the system strengthened further.

6.2 PERFORMANCE EVALUATION SYSTEM

- Suitable performance evaluation systems based on outcome-based objective performance standards to be devised and put in place in all the government departments.
- Since Annual Confidential Reports form the basis for promotion, there is a strong need to make them as objective as possible. For this objective, self-evaluation forms be set out for all posts so that correct comparative evaluation of the officers/personnel of the same level could be ensured. Recording of the certificate of having made entries in time by the reporting officer be made compulsory. Since the grading except 'excellent' are a barrier to promotion on merit, these should be communicated to the concerned.

6.3 CORRUPTION

- Corruption should be seen and dealt with as an issue of public interest and not merely as a moral issue.
- Action for punishment or prosecution of the officers, against whom the charges of corruption/serious irregularity have been established through enquiry, should be taken in a time-bound manner within 3 months.
- The existing Departmental Enquiry and vigilance related procedures methods be critically examined and made time-bound and effective.
- The provisions for screening of personnel be strictly implemented.
- Enquiry agencies and Vigilance System be strengthened through making adequate staff, powers, resources and autonomy available to them. In the same way, speedy and effective action be ensured on written objections.

7. IMPLEMENTATION STRATEGY

A policy has no meaning unless it can be truly and effectively realized in practice. The biggest challenge of this policy is to translate it into practice. Hence the need of an implementation strategy. The strategy adopted is as follows:
7.1 A Cabinet Committee, headed by the Chief Minister, to be constituted for providing guidance and direction to the overall implementation of the CSR policy.

7.2 An implementation team, known as the CSR Core Group, headed by the Chief Secretary to the Government of UP would spearhead the implementation of the policy. The responsibility of the Core Group would be to carry out necessary follow-up, monitoring and mid-course corrections in the policy implementation.

7.3 The department of Personnel would be the nodal organisation for the implementation of the policy, working under the guidance of the Cabinet Committee for CSR and direct supervision of the CSR Core Group. For this a special cell shall be constituted under the Department of Personnel.

7.4 A compendium of important government orders to be brought out annually by each department mandatorily both for the use of its own staff and information of the general public.

7.5 The Department of Administrative Reforms is to be strengthened suitably in order to be able to take up various follow up activities, emerging out of the reforms being presently undertaken.
ANNEXURE - 2

AN EFFECTIVE PERFORMANCE MANAGEMENT SYSTEM (PMS)

Performance management is the systematic process by which an organisation involves its staff, as individuals and members of a group, in improving organizational effectiveness in the accomplishment of its mission and goals.

In today's workplace, the role of performance management as a tool for performance improvement is in intense focus. As the expectations from a public service organization like PWD and hence pressure to perform are increasing, the PWD is required to become more effective and efficient, execute better on the development strategy. PWD is required to do more with less resources by enhancing its performance.

When someone mentions of performance management, the typical image is the end-of-the-year ritual of filling in the ACR forms, an activity which individual staff and the superiors equally detest; and the attendant tension in the workplace. Forward thinking organizations have taken steps to successfully address this negative view of performance management by implementing innovative solutions that ensure the System delivers real results and improve performance.

The Performance Appraisal - Only a part of the Performance Management Process

Frequently when performance management is mentioned, people think only of the appraisal or review. Performance management, however, involves so much more. Properly constructed appraisals should represent a summary of an ongoing, year-round dialogue. Focusing only on an annual appraisal form leads to misunderstanding and under appreciation of the benefits of performance management.

An effective performance management process enables managers to optimize productivity by:

- Aligning individual staff's day-to-day actions with strategic business objectives
- Providing visibility and clarifying accountability related to performance expectations
- Documenting individual performance to support compensation and career planning decisions
- Establishing focus for skill development and learning activity choices
- Creating documentation for legal purposes, to support decisions and reduce disputes

Many of the practices that support performance also positively impact job satisfaction and staff motivation. Recommended practices include:

- Setting and communicating clear performance expectations
- Delivering regular relevant job feedback
- Evaluating performance and delivering incentives in a fair and consistent manner
- Linking performance to rewards clearly
Providing appropriate learning and development opportunities

Identifying appropriate career paths for staff

**Consequences of a Poorly Structured Performance Management Process**

If individual goals are not aligned with organisational strategy, then time and resources are wasted.

- Low staff engagement levels may mean that individuals are not performing at their best.
- Inconsistent evaluation criteria and rewards can lead to mistrust, poor motivation and lower productivity.
- If top performers see no differentiation in performance ratings, opportunities and rewards from underperformers, morale can suffer.
- Without accurate performance information, training and development decisions and project assignment decisions may not be made in the organisation’s or the individual's best interests.
- A once a year process will not adequately alert managers to problems in a timely manner.
- Lack of proper system with documentation of performance may result in legal issues.

Management "buy-in" is equally important to the performance management process. If management does not understand the importance and value of the process, it can lead to consistently late or incomplete appraisals, mistrust, avoidance of performance discussions, and a lack of honest performance-related discussions. Often managers may feel unprepared to deliver quality feedback and oversee effective performance discussions.

**Benefits of Performance Management**

The primary reason to make sure performance management processes are functioning properly is to **tighten the link between strategic business objectives and day-to-day actions**. Effective goal setting (including timelines), combined with a method to track progress and identify obstacles, contributes to success and bottom line results. Staff want to feel successful, to do well at their job and feel they are making a valuable contribution. In order to ensure this happens, the staff need a clear understanding of individual goals and how they fit into the larger organizational goals.

Regularly tracking of progress against performance goals and objectives also provides the opportunity to recognize and reward staff for exceptional performance, contributing to job satisfaction and productivity.

When effectively implemented, performance management best practices result in a wide range of benefits for staff, managers and the organisation.
Benefits to staff, the managers and the organisation

Table 1: Benefits of an Effective Performance Management

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<tr>
<th>Staff</th>
<th>Supervisors / Managers</th>
<th>Organization</th>
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<tbody>
<tr>
<td>Clarification of Expectations</td>
<td>Time Savings</td>
<td>Savings</td>
</tr>
<tr>
<td>Improved self-assessment</td>
<td>Reduced Conflicts</td>
<td>Accuracy</td>
</tr>
<tr>
<td>Improved Performance</td>
<td>Visible Accountability</td>
<td>Accountability</td>
</tr>
<tr>
<td>Career Paths</td>
<td>Efficiency</td>
<td>Productivity</td>
</tr>
<tr>
<td>Job Satisfaction</td>
<td>Consistency</td>
<td>Retention</td>
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Staff performance management includes:

**Planning**  work and setting expectations,

**Monitoring**  performance,

**Developing**  capacity to perform,

**Rating**  of performance over a period (generally annual)

**Rewarding**  for performance

**Planning**

In an effective organization, work is planned out in advance. Planning means setting performance expectations and goals for groups and individuals to channel their efforts toward achieving organizational objectives. Getting employees involved in the planning process will help them understand the goals of the organization, what needs to be done, why it needs to be done, and how well it should be done. Planning employees' performance include establishing the elements and standards of their performance appraisal plans. Performance elements and standards should be measurable, understandable, verifiable, equitable, and achievable. Through critical elements, employees are held accountable as individuals for work assignments or responsibilities.

**Monitoring**

Assignments and projects are monitored continually. Monitoring well means consistently measuring performance and providing ongoing feedback to staff and work groups on their progress toward reaching their goals. By monitoring continually, unacceptable performance can be identified at any time during the appraisal period and assistance provided to address such performance rather than wait until the end of the period when summary rating levels are assigned.
Developing

In an effective organization, staff developmental needs are evaluated and addressed. Developing in this instance means increasing the capacity to perform through training and developmental opportunities to strengthen job-related skills and competencies.

Rating of Performance

Evaluating staff performance against the predetermined targets set out in the performance plan for looking at and comparing performance over time or among various staff. Organizations need to know who their best performers are. In the context of formal performance appraisal requirements, performance ratings are assigned in accordance with the organization's appraisal program and they are used for various personnel actions such as promotions and grant of incentives.

Rewarding

In an effective organization, rewards are used well. Rewarding means recognizing staff, individually and as members of groups, for their performance and acknowledging their contributions to the organization's mission.

Best Practices to Optimize Performance Management

1. **Set Goals Effectively**

   Goals are the basis of an effective process. There are two key elements to consider when developing goals. First, are goals written clearly and objectively? Second, are they directly contributing to the achievement of business strategy?

   Clearly communicating strategic business objectives is the first step to creating alignment. Providing visibility to goals set by departments across the organization furthers alignment. Typically the process begins with departmental managers setting goals for their departments, based upon organization-wide goals, which support the general business strategy. Making departmental goals accessible to all managers ensures there is no overlap, reduces conflict, and allows members of different departments to see where they support each other and ensure they are not working at cross purposes. Each manager in turn shares the overall goals with his/her department and meets with staff to identify individual performance goals and plans.

   When setting goals, key job expectations and responsibilities should act as the main guide and reference. Goals should be set that not only address what is expected, but also how it will be achieved. For example, the "what" covers quality or quantity expected, deadlines to be met, cost to deliver, etc. The "how" refers to the behavior demonstrated to achieve outcomes, for example, focus on customer service. In addition, some organizations choose to include competencies within performance expectations, to reinforce the link to business strategy, vision and mission.
An accepted framework to use to help write effective goals is the "SMART" goal:

S - Specific
M - Measurable
A - Achievable/Attainable
R - Results oriented/Realistic/Relevant
T - Time bound

The inclusion of the above criteria results in a goal that is understandable and easily visualized and evaluated. Making a goal specific, measurable, and time bound contributes to the ability to make progress on the goal and track progress. Some managers choose to further define goals with a start and finish date with milestones in between. As we have mentioned, goals must be achievable and realistic. An unachievable goal is just that. A staff knows when he/she does not stand a chance of reaching it, and their effort to achieve the goal will be affected. In addition, goals must reflect conditions that are under the staff's control. Sometimes the focus on the outcome of the goals can overshadow the necessary steps to achieve them. Action plans to support each goal can include documentation of the steps necessary to achieve a goal. By keeping goals relevant, a manager reinforces the importance of linking to strategic objectives and communicating why the goal is important.

A focus on objective, behavioral-based, and observable outcomes that are job-related helps ensure fairness of the process and reduces discrepancy. Although sometimes difficult to hear, objective feedback supported with regular documentation is difficult to dispute. This is also where an understanding of the organization's overall objectives and goals and how individual efforts contribute becomes essential. If for example, an individual understands that their actions support an area of the business then it is easier to understand the impact when deadlines are not met. Using the SMART framework provides clarity up front to staff who will be evaluated against these goals.

Peter Drucker's Management By Objective (MBO)

Performance Planning has its roots in the very popular concept of ‘Management by Objectives’ (MBO) first popularized by PETER DRUCKER in 1954 in his book 'The Practice of Management'. MBO is a process of agreeing upon OBJECTIVES within an organization so that MANAGEMENT and EMPLOYEES agree to the objectives and understand what they are.

It is all too easy for managers to fail to outline, and agree with their employees, what it is that everyone is trying to achieve. MBO substitutes for good intentions, a process that requires precise written description of objectives for the period ahead and TIMELINES for their monitoring and achievement. The process requires that the manager and the employee agree to what the employee will attempt to achieve in the period ahead, and (importantly) that the employee accepts and agree to the objectives (otherwise commitment will be lacking).
Organizations have scarce resources and so it is incumbent on the managers to consider the level of resourcing and whether the objectives that are jointly agreed are the right ones and represent the best allocation of effort. Also, reliable MIS are needed to establish relevant objectives and monitor their "reach ratio" in an objective way.

2. **Begin with Performance Planning**

Using established goals as a basis, performance planning sets the stage for the year by communicating objectives, and setting an actionable plan to guide the staff to successfully achieve goals.

Performance planning, as with all other steps, is a collaborative process between the manager and staff, although there will always be some elements that are non-negotiable. Begin with the job description and identify major job expectations; expectations then can be clarified for each major area.

Under each key contribution area, it is important to identify long-term and short-term goals, along with an action plan around how they will be achieved. Goals can be weighted to identify priorities. Discuss specific details related to how progress against goals will be evaluated. Next steps include determining any obstacles that would stand in the way of these goals being achieved. If an obstacle is knowledge, skills or behavior - a plan should be developed to overcome, i.e.; training, mentoring, etc.

Using the performance planning document as a reference document, the staff and manager then should regularly monitor progress against goals, problem solve road blocks, re-assess goals, change goals as business direction changes, and re-evaluate training and resource needs. This is where the conversation is critical and often where the follow through sometimes falls down. Performance planning and ongoing performance feedback are critical because they facilitate continuous improvement and aid open communication.

3. **Ensure that Performance Management is an Ongoing Process**

As the following diagram illustrates, goal setting, performance planning, performance monitoring, feedback and coaching is ongoing and supports the creation of the performance appraisal, which in turn supports processes related to rewards, learning and development. Performance monitoring, feedback and coaching creates a separate feedback loop within the larger loop which should take place more often, allowing for necessary adjustments to performance planning as conditions dictate.
4. Improve Productivity Through Better Goal Management

Regular **GOAL TRACKING** allows for the opportunity to provide feedback as needed, make adjustments to performance plans, tackle obstacles and prepare contingencies for missed deadlines. Without a mechanism to regularly track progress against goals, the ongoing, cyclical nature of the process falls apart.

Goal progress discussions, along with all performance feedback, should be delivered with respect and should be objective and supportive. Specific examples provide clarity and help the staff focus on future improvements. It is crucial that the manager listens to the staff’s perspective and incorporates the staff’s observations into future plans - the staff often experiences roadblocks the manager may not see.

5. Gather Performance Information from a Number of Sources

Gathering performance information from a variety of sources increases objectivity and ensures all factors impacting performance are considered. This information should include objective data like sales reports, call records or deadline reports. Other valuable information includes: feedback from others, results of personal observation, documentation of ongoing dialogue, records of any external or environmental factors impacting performance. Many reviews also include a staff self-evaluation. Other documents that help define performance objectives include: past performance appraisals, current departmental and organizational objectives and documented standards related to career goals.
In order to gather feedback from other staff, organizations will often use a 360° FEEDBACK PROCESS. Along with the completion of a self-assessment, selected peers, subordinates, and manager(s) are asked to contribute feedback around pre-identified areas. The feedback is based upon specifically identified skills or competencies and the final results are compared against the staff's self-assessment. This type of feedback increases self-awareness and in some cases is used to support the performance evaluation process.

Objectivity is essential when evaluating performance and it begins with clarity about job expectations and evaluation methods. Certain checks and balances can be built in to ensure objectivity. Managers commonly make mistakes when they conduct evaluations and the first step to minimizing those errors is to acknowledge they exist. Consistent processes organization-wide contribute to fairness and objectivity. Access to information allows others to check the validity of the process. Obviously, not all staff need access to other staff's performance appraisal results, but processes like calibration meetings will help ensure consistency. In the calibration process, managers with staff in similar positions meet and discuss the appraisals before they are finalized and shared with the staff. A calibration meeting helps establish the reasons individuals are awarded various performance rankings, educates managers about the process across the organization and promotes consistency. It also provides validation for manager's decisions, if appropriate.

6. Maintain Performance Documentation

Note taking must be consistent and include all significant occurrences, positive or negative. Documentation is important to support performance decisions, and notes should be written with the intent to share. In addition to documenting the details of an occurrence, any subsequent follow up should be detailed.

The performance log is a record that the manager keeps for each staff and is a record of performance "events." The maintenance of a performance log serves a number of purposes. The manager can record successes or performance that requires improvement. When it comes time to complete the appraisal, the manager has a historical record of events and will not have to rely on recent memory. In addition, this documentation can be used to support performance decisions or ratings. But it also can be used as a reminder for the manager - if the log has no recordings for a period of time, perhaps it is time to check in. If a staff does exceptionally well, or meets deadlines consistently, the log can be used as a reminder to provide recognition for a job well done. In addition, if a manager notices an area of deficiency, the log can serve as a reminder and a record of circumstances. The performance log can also act as a reminder for coaching i.e.: record of upcoming tasks, manager can make note to discuss with the staff to ensure he/she is prepared for the individual for a task ahead, and then follow up discussion can promote learning and continuous improvement. The performance log should be created using the same principles of performance management and should be objective, based on observable, job-related behaviors, including successes, achievements and, if applicable, any documentation related to disciplinary actions taken.
7. Adequately Prepare and Train Your Managers

Managing the performance of another individual is not an easy task and requires many skills. Training may be required to ensure managers feel adequately prepared to effectively complete all the tasks related to performance management. This is especially the case for newly promoted supervisors. Managers need to understand human behavior, how to motivate, how to develop, provide coaching and deal with conflict. To a great extent, managers must be observers and able to assess a situation, provide motivation and identify problems that interfere with performance. In addition, managers must understand that individuals at different levels of comfort, ability and experience with their jobs will require different levels of input, support and supervision. A manager who feels adequately prepared to provide and receive feedback, deliver a performance evaluation and conduct a performance evaluation meeting will be a major contributor to a successfully functioning process.

8. The Performance Review

The PERFORMANCE APPRAISAL, or review should be a summary of all that has been discussed. Based upon job expectations and key areas of contribution, and previously discussed goals and evaluation methods, the appraisal should be a written confirmation of what has already been discussed with the staff.

The form should include key job responsibilities, current project work, relevant competencies, goals and achievements. Previously completed performance appraisals should be used as reference documents. It should also contain an area to allow staff to record their comment and input. All comments included on the appraisal form need to be job-related and based upon observable behaviors.

For the appraisal meeting, it is imperative to prepare ahead of time. Schedule an appropriate place and time with no interruptions. Ensure the staff has the information necessary to allow them to prepare adequately. Begin the discussion with job requirements and strengths/ accomplishments. The focus, as pointed out previously, should be forward looking. The way the manager approaches this meeting conveys a message related to its importance and should be approached with the appropriate level of seriousness and an open mind. The manager must be prepared in regard to what he/she wants to discuss, but just as importantly must be prepared to listen.

Many suggest that it is important to first define the purpose of the meeting and provide an agenda. A factual discussion with a focus on job-related behaviors will keep the discussion objective. At the end of the meeting, key points should be summarized. It is important to note that the staff will be asked to sign the appraisal, whether or not there is agreement.

9. Link Performance Management with Rewards and Recognition

More and more, organizations are linking performance to compensation. This link, however, cannot effectively be established without the existence of sound performance management processes that are seen as fair and equitable.
Clear documentation of progress against performance expectations also allows proper recognition for a job well done. This can be provided in a number of ways, i.e.: formal recognition events, informal public recognition or privately delivered feedback.

It is important also to note the benefits of a consistent process across the organization. A consistent process creates a sense of fairness and significantly increases job satisfaction. This is even more critical if COMPENSATION IS LINKED TO PERFORMANCE. Staff need to know that if an individual in one department is identified as a top performer and compensated accordingly, then a staff performing at the same level in another department will receive similar rewards.

10. Evaluate and Encourage Full Participation and Success

There is widespread recognition that a once a year evaluation of performance does not have the same benefits as ongoing dialogue and feedback. Feedback that is delivered when it is most relevant enhances learning and provides the opportunity to make necessary accommodations in order to meet objectives. Many organizations are moving towards conducting performance reviews quarterly or six-monthly. Regardless of frequency, the attitude towards ongoing feedback is crucial. If there is organizational recognition and support for the need to build constructive feedback into the fabric of day-to-day interactions combined with increased visibility into goals, then the environment will encourage development and drive goal-directed performance improvement.

Design of the Performance Management Process

Design the process right. The performance management process must add value, otherwise problems with resistance and non-participation will surface. In addition, the process itself must be efficient and as simple as possible, while still providing the necessary value. Automated reminders and scheduling tools can help keep the process on track.

An important element that contributes to success is the top management commitment and support. This support needs to take not only the form of verbal support, but also through participation in the same performance management process for evaluations. In addition, consider the current culture of your organization when it comes to performance appraisals and performance management. Is the "atmosphere" supportive of an effective process? Is there a culture of open honest communication or are the staff fearful when they make a mistake? Staff must be able to honestly discuss performance and consider how to make improvements in order to move forward.

Another thing to consider is the provision of a mechanism to evaluate the process itself, whether it consists of an annual survey, focus groups, manager feedback, reporting, or a combination of these and other methods.
Automating the Performance Management Process

More and more organizations are relying on innovative technology solutions to implement PERFORMANCE MANAGEMENT BEST PRACTICES and automate painful manual processes using web-based, on-demand technology.

An automated system ensures that the performance management process is built around world-class best practices, easy to complete, efficient and consistent across an organization. Necessary visibility into organizational and departmental goals is simplified, as is access to necessary data to support accountability, consistent standards, and identification of top performers. It is especially important that technology provides us access to performance data and the ability to evaluate progress against goals, compare average manager ratings, easily access performance levels of individuals and use this data to support decision making. Aggregating and analyzing data in traditional paper-based forms is often too time-consuming and costly. Typically an automated system can offer:

- instant form routing and paperless processes
- goal tracking and cascading functionality for complete visibility and alignment
- automated goal management and performance review reminders
- legal scan wizards to ensure appropriate/legal use of language
- writing assistants to help managers prepare appraisal forms
- support tools providing coaching support to managers when they need it most
- dashboards to deliver company-wide, aggregated or individual reporting

How to do Performance Planning.

Performance planning means setting goals and determining what needs to be done to reach those goals. Consider the results of studies on goal setting as reported by Edwin A. Locke of the University of Maryland and Gary P. Latham of the University of Washington:

People who kept daily records of all the food they consumed but did not set goals to reduce food intake did not alter their eating habits. Only those who set specific goals in addition to keeping records lost weight.

People who were given feedback during performance appraisals performed no better than those who received no feedback. However, when goal setting took place as a follow on to the feedback, performance improved significantly.

People who were given specific, hard goals either outperformed people who were trying to do their best or else surpassed their own previous performance when they had already been trying to do their best.

People who were given feedback on five different dimensions of their performance had goals assigned with respect to only one. Their performance improved significantly only on that one dimension for which the goal had been set.
Study after study reveals that setting goals, measuring performance against those goals, providing feedback on goal achievement, and rewarding goal achievement improves performance significantly.

**Mechanisms.** Goal setting improves performance through three major mechanisms:

- Goals give people direction and focus their thoughts and actions.
- Goals give people the ability to regulate their efforts in proportion to the difficulty level of the goal they have accepted.
- Hard goals that staff accept increase staff persistence at achieving the goals.

**Other Benefits.** Besides improving performance, setting goals for individuals and groups provides many other benefits:

- Goals can clarify expectations. Staff find it helpful to know what management and supervisors expect from them.
- Goals can increase the challenge of a job. They can make a monotonous job more interesting to staff.
- Goals that are difficult but attainable can provide staff a sense of purpose.
- When people receive feedback that their goals have been reached, they feel a sense of increased liking for their job and satisfaction with their performance.
- Setting and achieving goals can create self-confidence in staff, pride in their achievement, and a willingness to accept future challenges.
- Setting goals for individuals is an important key to improving performance, but setting goals for teams is essential to the success of the team. Because a team is defined as two or more people who must coordinate their activities to accomplish a common goal, by definition teams must have goals.

**Seven Key Steps to Setting Performance Goals**

Setting difficult but achievable goals is an excellent technique for improving staff and team performance. In their book, *Goal Setting: A Motivational Technique That Works!*, Edwin A. Locke and Gary P. Latham present seven key steps to the goal setting process. Each of these steps can be used easily and should be used by managers and staff in Federal performance management programs.

1. **Specify Tasks** The first key step in the goal setting process is to specify the work that must be accomplished. For PWD officers, this can be done through their performance plans. Critical elements should clearly describe the tasks or behaviors officers must accomplish or demonstrate in order to achieve "fully successful" performance.
2. **Set Targets** Setting target levels of performance is the second key step in successful goal setting. Research has shown that setting goals that are difficult but possible to achieve produces higher levels of performance than if no goal or a vague goal had been set. In addition to ‘fully successful’ performance objectives, some organisations who included a “stretch goal” in each of the KRA’s, were pleasantly surprised that many of their top performers achieved them as well.

3. **Develop Clear Measures** Staff must know how their performance is measured. Using clear, credible measures of performance at all levels of operation organizational, team, and individual is necessary for successful performance management. Also, measures must gauge staff performance against all the goals in their elements. If measures cannot be qualitative or quantitative, they should at least verify whether the goal was achieved.

4. **Outline a Time Frame** Specifying the expected time frame for goal achievement is the next step in effective goal setting. If a task has a maximum time limit, it should be stated in the "Fully Successful" standard. If, however, decreasing the elapsed time needed for task completion is desired, a standard above "Fully Successful" could state such.

5. **Prioritize Goals** If multiple goals are established, they should be ranked in terms of importance or priority. To maximize the benefits of goal setting, the staff should be aware of and agree to the priority ranking. If one critical element is considered more important than the others, the staff should know about it.

6. **Rate Goal Performance** Staff must know how elements will be appraised and how summary levels will be assigned. Also, if goal achievement is to be used for determining incentive payouts or granting awards, staff must know the criteria on which the awards are based.

7. **Coordinate Efforts Necessary for Goal Achievement** Many goals established for critical elements may require only individual effort, with little coordination needed with other staff. However, if tasks are highly interdependent, be sure to develop a means of measuring each individual's contribution to the group's product.

Establishing critical elements with standards set at and above the "Fully Successful" level, developing a measurement system, and using staff participation throughout the process can optimize the benefits of goal setting and performance planning.

**Developing Performance Standards**

While performance elements tell staff what they have to do, the standards tell them how well they have to do it. A performance standard is a management-approved expression of the performance threshold(s), requirement(s), or expectation(s) that must be met to be appraised at a particular level of performance. A ‘fully successful’ (or equivalent) standard must be established for each critical element and included in the staff performance plan.
General Measures.

Performance standards should be objective, measurable, realistic, and stated clearly in writing. The standards should be written in terms of specific measurers that will be used to appraise performance. In order to develop specific measurers, you first must determine the general measure(s) that are important for each element. General measurers used to measure staff performance include the following:

- **Quality**: addresses how well the work is performed and/or how accurate or how effective the final product is. Quality refers to accuracy, appearance, usefulness, or effectiveness.

- **Quantity**: addresses how much work is produced. A quantity measure can be expressed as an error rate, such as number or percentage of errors allowable per unit of work, or as a general result to be achieved. When a quality or quantity standard is set, the ‘fully successful’ standard should be high enough to be challenging but not so high that it is not really achievable.

- **Timeliness**: addresses how quickly, when or by what date the work is produced. The most common error made in setting timeliness standards is to allow no margin for error. As with other standards, timeliness standards should be set realistically in view of other performance requirements and needs of the organization.

- **Cost-Effectiveness**: addresses monetary savings to the Government or working within a budget. Standards that address cost-effectiveness should be based on specific resource levels (money, personnel, or time) that generally can be documented and measured in PWD’s annual budgets. Cost-effectiveness standards may include such aspects of performance as maintaining or reducing unit costs, reducing the time it takes to produce a product or service, or reducing waste.

For each element, decide which of these general measurers are important to the performance of the element by asking the following questions:

- Is quality important? Does the stakeholder or customer care how well the work is done?
- Is quantity important? Does the stakeholder or customer care how many are produced?
- Is it important that the element be accomplished by a certain time or date?
- Is it important that the element be done within certain cost limits?

Specific Measures

Once you've decided which general measures are important, you can develop specific measurers. It is these specific measures that will be included in the standard. To develop specific measure(s) for each element, you must determine how you would measure the quantity, quality, timeliness, and/or cost-effectiveness of the element. If it can be measured with numbers, clearly define those numbers. If performance only can be described (i.e., observed and verified), clarify who would be the best judge to appraise the work and what factors they would look for. (The first-line supervisor is often the best person to judge performance, but there may be situations, depending on what is being measured, when a peer or the customer receiving the product or service would be the best judge.)
The following questions may help you determine specific measures. For each general measure, ask:

- How could (quality, quantity, timeliness, and/or cost effectiveness) be measured?
- Is there some number or percent that could be tracked?
- If there is no number, and the element can only be judged, ask who could judge that the element was done well? What factors would they look for?

**Writing Standards.** Once you've established the specific measures that apply to the elements, you can begin to write the standards. Before writing the 'fully successful' standard, you must know the number of levels that your appraisal program uses to appraise elements. For example, if you are under an appraisal program that uses two levels to appraise elements, the 'fully successful' standard would describe a single point of performance, above which is Fully Successful, and below which is Unacceptable. If, however, your appraisal program uses five levels to appraise elements, you would describe the 'fully successful' standard as a range, above which is higher than Fully Successful, and below which would be Minimally Successful (or equivalent). How you write the 'fully successful' standard depends on the number of levels your program uses to appraise elements.

If a specific measure for an element is numeric, for example, you would list the units to be tracked and determine the range of numbers (or the single number in a program that appraises elements at two levels) that represents 'fully successful' performance. If the specific measure is descriptive, you would identify the judge, list the factors that the judge would look for, and determine what he or she would see or report that verifies that 'fully successful' performance for that element had been met.

**Examples**

Given below are examples of Performance elements and standards.

**Element: Guidance and Technical Assistance.** 'fully successful' Standard in an appraisal program that appraises elements at five levels (to meet this standard, all of the bullets listed must be present or occur):

- No more than 3-8% errors per quarter, as determined by the supervisor.
- At least 60-80% of customers agree that the staff is willing to assist and that the information they receive is helpful.
- Staff initially responds to customer requests for assistance within at least 1-8 working hours from receipt of request.

(If this standard had been written for an appraisal program that appraised elements at only two levels, the standard would have been "no more than 8% errors per quarter, "at least 60% of customers agree," and "up to 8 working hours from receipt of request.")
Element: Team Participation. ‘fully successful’ Standard in an appraisal program that appraises elements at five levels (to meet this standard, all of the bullets listed must be present or occur):

- The supervisor and team members are satisfied that the incumbent:
- Usually assumes an appropriate amount of work/responsibility for group projects;
- Typically demonstrates a willingness to assume other responsibilities as needed; and
- Generally shares knowledge of office procedures/equipment with other members of the team.

Element: Analytical Results and Specifications. ‘fully successful’ standard in an appraisal program that appraises elements at five levels (to meet this standard, all of the bullets listed must be present or occur):

- The Research Manager is routinely satisfied that:
- The method measures that appropriate variable.
- The results are relevant.
- The method is scientifically sound.
- There is a well-written protocol.
- The method is accurate, precise, reproducible, fast, and cost-effective.

Four-step process of Performance Planning

The Performance Plan is constructed by the supervisor and the staff together, focusing on priority-setting for the performance management cycle period and, working cooperatively through a four-step process:

1. Agreeing upon Key Results Areas.
2. Agreeing upon Performance Objectives.
3. Agreeing upon Key Performance Indicators and associated Performance Targets.

Step 1 - AGREEING UPON KEY RESULT AREAS

KRAs are areas of activity, not specific points of accountability or particular outcomes to be achieved. At the same time, they are specific to the position and to the strategic plan for any performance management cycle.

A matching of the job requirements for an individual position with the section strategic plans and objectives is the starting point in determining appropriate Key Result Areas. This, in turn, should ensure that the agreed Key Result Areas are consistent with organization’s strategic plans and objectives. The matching process will also ensure that the agreed expected results and required actions are commensurate with the level of the staff’s position.
DEFINITION OF KEY RESULT AREA (KRA) A KRA is a function in which goals need to be achieved, rather than a specific task that needs to be accomplished. It is a relatively broad area of activity for the staff, based on the section's objectives to meet their strategic goals. As a result of this matching process, key activities and outcomes required of the staff can then be translated into a set of specific Key Result Areas, which apply for the length of the performance management cycle period. The number of KRAs should be limited to a maximum of 4-6, to enable a realistic focus on these areas and to make planning of individual development practical.

A balanced approach to the setting of KRAs brings together many of the seemingly disparate elements of an organisation's agenda, and relates them to individual performance. It allows a supervisor and staff to see whether improvement in one area may have been achieved at the expense of another. This approach is based on four perspectives:

- Organizational perspective
- Client perspective
- Task perspective
- Interpersonal perspective

Key Result Areas should, however, always identify the current most significant objectives of the position for the performance management cycle. They do not describe the myriad of activities required to meet those objectives. It is most useful to choose Key Result Areas, which have the most impact on achieving the goals relevant to the strategic plan, rather than attempting to deal with all areas.

Step 2- AGREEING UPON PERFORMANCE OBJECTIVES

The Key Result Areas will provide the framework for identifying the most important performance objectives for an individual. An effective performance objective within a Key Result Area will be:

- Verifiable
- Specific
- Challenging
- Owned.

A Performance Objective for a KRA gives a context for the KRA both in terms of personal objectives and contribution to the work area. For example, using the KRA of Office Management, for a general staff, the performance objective might be to develop a client focused image and service delivery model. Against the overall performance objective for the KRA, measurable outcomes then need to be identified under Step 3.

DEFINITION OF PERFORMANCE OBJECTIVE: A Performance Objective is a clearly defined and critical objective for the performance management cycle and is action oriented. It describes specifically what the staff will achieve.
Step 3 - AGREEING UPON KEY PERFORMANCE INDICATORS (KPIs) AND THEIR ASSOCIATED PERFORMANCE TARGETS

KPIs are the agreed measures of achievement within Key Result Areas and can include measures of quantity, quality, efficiency and effectiveness. Performance Targets specify the desired level of performance for indicators. Targets will in most instances be in one of three forms:

1. A CHANGE RELATIVE TO AN EXISTING LEVEL: This will most commonly be expressed as a percentage increase or reduction.
2. A LEVEL TO AIM AT: This could be measure of time to finish the required job.
3. AN OBJECTIVELY BASED QUALITY: This could be that a proposal is approved, or that all staff agree..

The establishment of Performance Targets determines the level of challenge in the job, and is governed by what is reasonable. This is largely a matter of judgment and negotiation between the supervisor and staff. The targets set may be based on:

- Previous results
- Corporate or strategic goals
- Specific deadlines that are imposed by stakeholders
- Budgets
- The availability of people to complete the work
- Best estimates.

DEFINITION OF KEY PERFORMANCE INDICATOR (KPI) A KPI is a specific, agreed measure of achievement within a KRA, and for the Performance Objective which has been agreed. It is important to note that the key characteristics of KPIs are that they are objective, independent and standardised measures of performance, not ratings or judgments of performance. Also, it is significant that the KPIs measure an outcome, rather than an activity.

Performance Targets should consider stakeholder expectations. They may be QUANTITATIVE or QUALITATIVE. The measure is activity based rather than outcome based, as these KPIs will often be more suitable to routine repetitive functions. The staff keeping a log-listing enquiry, information issue and follow-up dates could measure this KPI

Step 4 - AGREEING UPON ACTION PLANS

Action Plans outline the agreed steps and timing necessary to achieve the Performance Targets set for the Key Performance Indicators in each Key Result Area.

The beginning of action planning is a review of the KRAs and other Performance Objectives to ensure that:
They are achievable at the standard specified in the Performance Targets

The resources required are available and reasonable (e.g. time, capital or ongoing expenditure)

The total set of KRAs and their Performance Objectives can be achieved within a reasonable workload, taking into account other required duties.

DEFINITION OF ACTION PLAN: The Action Plan is a sequential list of the essential actions that need to be undertaken by nominated people including the staff, the manager, and others, in order that the target is achieved. In the Action Plan, each action has a date attached by which it will be completed.

Preliminary estimates of workloads, scheduling of tasks, and examination of both budgets and the level of coordination with others that is required, will usually indicate whether a set of KRAs and its Performance Objectives are achievable. If judgments about Performance Indicators/Targets (KPIs/PTs) later prove to be incorrect, or a change in priorities means that a particular performance indicator is no longer central to a position, it may be necessary to adjust the KRAs or Performance Objectives.

Focus on Accomplishments not on Activities

“Once upon a time there were two beekeepers who each had a beehive. The beekeepers worked for a company called Bees, Inc. The company's customers loved its honey and demand for the product was increasing. So Bees, Inc. assigned each beekeeper a goal for increased honey production. The beekeepers had different ideas about how to meet their goal and designed different approaches to improve the performance of their hives.

The first beekeeper established a bee performance management approach that measured how many flowers each bee visited. At considerable cost to the beekeeper, an extensive measurement system was created to count the flowers each bee visited. The beekeeper provided feedback to each bee at mid-season on his individual performance. The beekeeper created special awards for the bees who visited the most flowers. However, the bees were never told about the hive's goal to produce more honey so that the company could increase honey sales.
The second beekeeper also established a bee performance management approach but this approach communicated to each bee the goal of the hive for increased honey production. The beekeeper and his bees measured two aspects of their performance: the amount of nectar each bee brought back to the hive and the amount of honey the hive produced. The performance of each bee and the hive's overall performance were charted and posted on the hive's bulletin board for all the bees to see. The beekeeper created a few awards for the bees that gathered the most nectar. But he also established a hive incentive program that rewarded each bee in the hive based on the hive's overall honey production the more honey produced, the more recognition each bee would receive.

At the end of the season, the beekeepers evaluated their approaches. The first beekeeper found that his hive had indeed increased the number of flowers visited, but the amount of honey produced by the hive had dropped. The Queen Bee reported that because the bees were so busy trying to visit as many flowers as possible, they limited the amount of nectar they would carry so they could fly faster. Also, since only the top performers would be recognized, the bees felt they were competing against each other for awards. As a result, they would not share valuable information with each other that could have helped improve the performance of all the bees (like the location of the flower-filled fields they'd spotted on the way back to the hive). As the beekeeper handed out the awards to individual bees, unhappy buzzing was heard in the background. (After all was said and done, one of the high-performing bees told the beekeeper that if he'd known that the real goal was to make more honey, he would have worked completely differently.)

The second beekeeper, however, had very different results. Because each bee in his hive was focused on the hive's goal of producing more honey, the bees had concentrated their efforts on gathering more nectar in order to produce more honey than ever before. The bees worked together to determine the highest nectar yielding flowers and to create quicker processes for depositing the nectar they'd gathered. They also worked together to help increase the amount of nectar gathered by the poorer performers. The Queen Bee of this hive reported that the poor performers either improved their performance or transferred to hive #1. Because the hive had reached its goal, the beekeeper awarded each bee his portion of the hive incentive payment. The beekeeper was also surprised to hear a loud, happy buzz and a jubilant flapping of wings as he rewarded the individual high-performing bees with special recognition.

Accomplishments vs. Activities. Although it somewhat simplifies performance management, the beekeepers' story illustrates the importance of measuring and recognizing accomplishments (honey production) versus activities (visiting flowers).

The type of measurement that should occur at each organizational level and includes measurements used by the beekeepers include:

Activities are the actions taken to produce results. They are generally described using verbs. Examples of activities include filing documents, writing software programs, and answering customer questions (in the beekeeper fable, the activity was visiting flowers).
Outputs (or accomplishments) are the products or services (the results) of staff and work unit activities. They are generally described using nouns. Examples of outputs include files that are orderly and complete, a software program that works, and accurate guidance to customers that is accurate and accessible (from the fable, accomplishments included the amount of nectar that was gathered and honey that was produced).

Outcomes are the final results of all of an organisation's products and services (and the effects of other outside factors that may affect performance). Examples of outcomes include reduced highway deaths, a decrease in the rate of teenage alcoholism, and improved air quality (the outcome for Bees, Inc. and its beekeepers and bees was increased honey sales).

Organizations would do well to try the second beekeeper's approach of sharing information about organizational goals with the hive, measuring and rewarding accomplishments (not only activities) and providing feedback on performance.

"Improved Performance Starts with Sound Planning"

How to conduct an annual performance planning meeting

The responsibility for this face-to-face meeting is shared between supervisor and staff, who should prepare by planning ahead and having:

- An agreed upon time set aside
- A copy of the Individual Performance and Development Plan
- Familiarity with the strategic objectives of their Functional Head
- A commitment to open and honest discussion.

Effective communication skills on the part of the participants will enhance the discussions.

The exact course of the discussion is up to the participants, so long as the key tasks are accomplished. There are seven key tasks:

1. Agree upon Key Result Areas
2. Agree upon Performance Objectives
3. Agree upon Key Performance Indicators/Targets
4. Agree upon Action Plans
5. Agree upon the Individual Development Plan
6. Reviewing the Plan
7. Signing off the Completed Plan
Task 1 : AGREE UPON KEY RESULT AREAS

- The agreed KRAs should represent the most significant areas of the job on which it is important to focus on/improve during the performance management cycle.
- Some KRAs will be a feature of successive performance and development plans, as it is recognised that some performance objectives may need to be accomplished over a longer time period than one year.
- There may be a mixture of generic KRAs, and KRAs, which are specific to the staff's position.
- The set of agreed KRAs should reflect the breadth of the job role to be performed during the performance management cycle.
- When the job role involves a substantial amount of time in a particular area or activity, such as client service or computer support for a staff; a number of KRAs highlighting different aspects of the area or activity may be appropriate. For example, a major computer support focus, KRAs might include EQUIPMENT EVALUATION, SOFTWARE SUPPORT and EQUIPMENT UTILISATION.

Task 2 : AGREE UPON PERFORMANCE OBJECTIVES

Once the Key Result Areas are agreed upon, the second task is to agree upon the Performance Objectives. There should be one performance objective for each KRA. PERFORMANCE OBJECTIVES ARE THE SPECIFICS OF WHAT WILL BE ACHIEVED during the review period.

Performance objectives must be:

- Achievable within the performance management cycle, unless it is agreed that a particular objective will be extended over two or perhaps three performance management cycles.
- Achievable within available resources of the Functional area, including any resources specifically allocated.
- Manageable in terms of total workload when viewed collectively.

Task 3 : AGREE UPON KEY PERFORMANCE INDICATORS/TARGETS

Once agreement is reached on what will be done, the next task is to agree on specific outcomes and the way(s) in which success will be measured. KEY PERFORMANCE INDICATORS ARE THE MEASURES OF ACHIEVEMENT WITHIN THE KRA. KPIs are outcome oriented.

As there will be only one KPI for each KRA, in choosing and agreeing upon the KPI it is critically important to choose the most appropriate measure so that when evaluating achievement clear, objective and relevant information is available.

TARGETS ARE THE FINE DETAILS OF WHAT WILL BE DONE, BY WHEN AND (IF APPROPRIATE) AT WHAT COST.
There must be a shared commitment from both the staff and supervisor to achieving KPIs and targets, so they must be:

- Agreed
- Realistic
- Verifiable
- Specific
- Challenging

At this time sources of support and necessary resources should be identified.

**Task 4 : AGREE UPON ACTION PLANS**

For each KRA with its particular performance objective and associated KPI and targets, an action plan needs to be agreed. In many cases this may involve the staff having time to reflect on the agreed KPIs / targets before coming back to the supervisor with a proposed action plan for finalisation by agreement. ACTION PLANS DETAIL CLEARLY HOW IT WILL ALL BE ACHIEVED..

**Task 5 : AGREE UPON THE INDIVIDUAL DEVELOPMENT PLAN**

In order to be able to achieve the performance plan, it may be necessary to develop new skills or experience, or enhance existing skills or experience.

The number of areas for development at any time should not exceed that which the staff can successfully handle, and needs to be reasonable in light of the overall workload. A manageable target for the staff, would not normally be more than three areas of skill development for a single performance management cycle.

Individual development is not limited to training courses and workshops, and can also include:

- Project involvement
- Visits to other organisations
- Research e.g., print information to be gathered and studied, from books, internet searches, professional journals, policy documents etc
- Seminars
- On-the-job coaching
- Mentoring
- Involvement in the profession.
Task 6 : REVIEWING THE PLAN

Once the Plan has been developed, it is important to review it in total, to ensure that:

- The goals are attainable
- The resources are reasonable
- The workload for the staff is reasonable within the context of their total work load
- The performance objectives for each KRA are clearly understood by both staff and supervisor.

Task 7 : SIGNING OFF THE COMPLETED PLAN

Before the staff and supervisor sign off the agreed Plan, it needs to be forwarded to the Functional Head for authorisation. The Head will seek to ensure that the Plan is consistent with the strategic objectives of the organisation, and that required resources can be made available.

Upon sign off, the original should be retained by the staff and a copy by the supervisor. The staff should then periodically update the RESULTS and DATE OF RESULT columns of the Action Plans in preparation for Review meetings.

Key Points

The road to effective performance management is not always an easy one, but progressing towards a long-term vision by making manageable changes, step-by-step, will bring about significant results. The points below are the key elements of a successful process.

- Communicate and understand purpose and value of process
- Set goals effectively
- Begin with performance planning
- Ensure an ongoing process
- Gather information from a number of sources
- Document, document, document
- Adequately prepare and train managers
- Deliver objective reviews that summarize an ongoing process
- Link performance management with other talent management processes
- Evaluate the process and make it easy, efficient and effective to ensure participation
- Consider the benefits of automation to save money and resources and optimize the performance management process.
ANNEXURE – 3

ALL INDIA SERVICES PERFORMANCE APPRAISAL REPORT (PAR) RULES 2007

[To be published in the Gazette of India, Extraordinary, Part II, Section 3, Sub-section (i)]

Government of India
Ministry of Personnel, Public Grievances and Pensions
Department of Personnel and Training

NOTIFICATION

New Delhi, Dated the 14th March, 2007

G.S.R. 197 (E) - In exercise of the powers conferred by sub-section (1) of section 3 of the All India Services Act, 1951, (61 of 1951), and in supersession of the All India Services (Confidential Rolls) Rules, 1970, except as respect things done or omitted to be done before such supersession, the Central Government, after consultation with the Governments of the States concerned, hereby makes the following rules, namely: -

1. Short title, commencement and application.- (1) These rules may be called the All India Services (Performance Appraisal Report) Rules, 2007.

(2) They shall come into force on the date of their publication in the Official Gazette.

2. Definitions. - In these rules, unless the context otherwise requires;-

(a) “accepting authority” means the authority which supervises the performance of the reviewing authority as may be specifically empowered in this behalf by the Government;

(b) “benchmark score” shall mean the minimum numerical weighted mean score arrived at for overall grading above which an officer shall be regarded as fit for promotion or empanelment, as the case may be, to the next higher grade;

(c) “empanelment” means the process of assessing the suitability for appointment at the level of Joint Secretary and above as well as equivalent posts in the Government of India;

(d) "Government" means, –

(i) In the case of a member of the Service serving in connection with the affairs of a State, or who is deputed for service in any company, association or body of individuals whether incorporated or not, which is wholly or substantially owned or controlled by the Government of a State, or in a local authority set up by an Act of the Legislature of a State, the Government of that State;

(ii) in any other case, the Central Government;
(e) “member of the Service” means a member of an All India Service as defined in section 2 of the All India Services Act, 1951 (61 of 1951);

(f) “performance appraisal report” means the performance appraisal report referred to in rules 4 and 5;

(g) “performance appraisal dossier” means the compilation of the performance appraisal reports written on a member of the Service, referred to in rule 3, and includes such other documents as may be specified by the Central Government, by general or special order, in this behalf;

(h) “promotion” means appointment of a member of the Service to the next higher grade over the one in which he is serving at the relevant time;

(i) “referral board” means a board consisting of officers of the Service designated by the Central Government for cases relating to all officers of the Service on Central deputation, or for officers of State cadres serving in the State, specified in Schedule 3;

(j) “reporting authority” means such authority or authorities supervising the performance of the member of the Service reported upon as may be specifically empowered in this behalf by the Government;

(k) “reviewing authority” means such authority or authorities supervising the performance of the reporting authority as may be specifically empowered in this behalf by the Government;

(l) “Schedule” means the Schedule annexed to these rules;

(m) “State” means a State specified in the First Schedule to the Constitution and includes a Union Territory;

(n) “State Government” means the Government of the State on whose cadre the member of the Service is borne and in relation to a member of the Service borne on a Joint Cadre, the Joint Cadre Authority.

3. Maintenance and custody of performance appraisal dossier. - A comprehensive performance appraisal dossier shall be maintained for each member of the Service by the State Government and the Central Government in the manner specified under these rules and the performance appraisal dossier shall consist of the documents specified in Schedule 1.

4. Form of the performance appraisal report. - (1) The reporting authority shall write the performance appraisal report in such form as may be specified by the Central Government in Schedule 2 and the officer reported upon and the reporting, reviewing and accepting authority shall ensure that the portions of the forms which are to be filled in by them are completed by them within the time limit specified in this behalf by the Central Government:
Provided that the Central Government may make such additions in the form or the cut-off dates so specified as may be considered necessary or desirable.

Provided further that the performance appraisal report shall also be written in such form as may be specified in this behalf by the Central Government for the members of the Service on deputation and be treated as mandatory input for empanelment and promotion and placed in the performance appraisal dossier:

Provided also that the performance appraisal report shall also be written for members of Service who are on training or study leave in such form as may be specified in this behalf by the Central Government.

5. Performance appraisal reports.- (1) A performance appraisal report assessing the performance, character, conduct and qualities of every member of the Service shall be written for each financial year or as may be specified by the Government in the Schedule 2: Provided that a performance appraisal report may not be written in such cases as may be specified by the Central Government, by general or special order:

Provided further that if a performance appraisal report for a financial year is not recorded by 31st of December of the year in which the financial year ended, no remarks may be recorded thereafter and the officer may be assessed on the basis of the overall record and self assessment for the year, if he has submitted his self-assessment on time.

(2) Subject to the provisions of sub-rule (4), a performance appraisal report shall also be written when either the reporting or reviewing authority or the member of the Service reported upon relinquishes charge of the post, and, in such a case, it shall be written at the time of the relinquishment or ordinarily within one month of such relinquishment.

(3) Where more than one performance appraisal reports are written on a member of the Service during the course of a financial year each such report shall indicate the period to which it pertains:

Provided that only one report shall be written on a member of the Service for a particular period during the course of the financial year and there shall be a single reporting, reviewing and accepting authority at each level of assessment which shall be specified in the channel for writing performance appraisal reports by the concerned Ministries and State Governments and in no circumstances more than one person shall write the performance appraisal reports in the capacity of reporting, reviewing or accepting authority for a given period of time:

Provided further that if more than one person of the same superior level supervises the performance of the member of Service, the Government shall identify the person to report or review well in advance of the relevant assessment year.

(4) Where the reporting authority has not seen, but the reviewing authority has seen the performance of a member of the Service 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 any such member for any such period.
(5) Where, both the reporting authority and the reviewing authority have not seen and the accepting authority has seen, as referred to in sub-rule (4), the performance of any such member, the accepting authority shall write the performance appraisal of any such member during such period.

(6) Where the reporting authority, the reviewing authority and the accepting authority have not seen the performance of a member of the Service for at least three months during the period for which the report is to be written, the Government shall make an entry to that effect in the performance appraisal report for any such period.

(7) Notwithstanding anything contained in sub-rules (1), (2), (4) and (5), it shall not be competent for the reporting authority, the reviewing authority or the accepting authority to write a performance appraisal report after he demits office where the authority writing the performance appraisal report is not a Government servant.

Explanation. - For the purposes of this rule, “a Minister” shall not be construed as having demitted the office if he continues to be a Minister in the Council of Ministers with a different portfolio or in the Council of Ministers immediately reconstituted after the previous Council of Ministers of which he was a Minister with the same or a different portfolio provided the Prime Minister or the Chief Minister, as the case may be, continues in office.


(2) Where the report is written by the reviewing authority under sub-rule (4) of rule 5, or where the reviewing authority has not seen, and the accepting authority has seen, the performance of a member of the Service for at least three months during the period for which the performance appraisal report is written, the accepting authority shall review the performance appraisal report of any such member for any such period within the timeframe specified in the Schedule 2.

(3) It shall not be competent for the reviewing authority, or the accepting authority, to review any such performance appraisal report unless it has seen the performance of the member of the Service for at least three months during the period for which the report has been written, and in every such case an entry to that effect shall be made in the performance appraisal report.

(4) Notwithstanding anything contained in sub-rules (1) and (2), it shall not be competent for the reviewing authority or the accepting authority to review any such performance appraisal report-

(a) Where the authority reviewing the performance appraisal report is a Government servant, after one month of his retirement from service, and

(b) In other cases, after one month of the date on which he demits office.
Explanation. - For the purposes of this rule, “a Minister” shall not be construed as having demitted the office if he continues to be a Minister in the Council of Ministers with a different portfolio or in the Council of Ministers immediately reconstituted after the previous Council of Ministers of which he was Minister with the same or a different portfolio provided the Prime Minister or the Chief Minister, as the case may be, continues in office.

7. **Acceptance of the Performance Appraisal Report.** - (1) The accepting authority shall within the timeframe specified in Schedule 2, record his remarks on the performance appraisal report and may accept it, with such modifications as may be considered necessary, and countersign the report:

Provided that where the accepting authority has not seen the performance of any member of the Service for at least three months during the period for which the performance appraisal report has been written, it shall not be necessary for the accepting authority to accept any such report and an entry to this effect shall be made in the performance appraisal report.

(2) Notwithstanding anything contained in sub-rule (1), it shall not be competent for the accepting authority to accept and countersign any such performance report:

(a) where the accepting authority is a Government servant, after one month of his retirement from service, and

(b) in other cases, one month after the date on which he demits the office.

(3) When the performance appraisal report be not written or revised.-

Notwithstanding anything contained in rule 5 or rule 6, where the accepting authority writes or reviews the performance appraisal report of any member of the Service, it shall not be necessary to review or accept any such report.

8. **Communication of the performance appraisal report to the Central Government and the State Government.** - A certified true copy of the performance appraisal report shall be sent to the Central Government or the State Government or both to the Central Government and the State Government, according as the member of the Service is serving in connection with the affairs of the State, on whose cadre he is borne, or the Union, or a State to which he has been deputed under sub-rule (1) of rule 6 of the respective All India Services Cadre Rules:

Provided that if the performance appraisal report is written in a language other than Hindi or English, it shall be accompanied by an authentic certified translation in Hindi or English.

9. **Disclosure of performance appraisal report to the officer reported upon and procedure for representation to the Referral Board.** - (1) The full annual performance appraisal report, including the overall grade and assessment of integrity, shall be disclosed to the officer reported upon after finalisation by the accepting authority to enable the officer reported upon to represent his case.
(2) The officer reported upon may have the option to give his comments on the performance appraisal report in writing to the accepting authority within fifteen days of the receipt of the Performance Appraisal Report.

(3) The comments shall be restricted to the specific factual observations contained in the Performance Appraisal Report leading to the assessment of the officer in terms of attributes, work output and competency.

(4) The accepting authority shall within fifteen days of receipt of comments from the officer reported upon forward the same to the reviewing and the reporting authority and call for their views on the comments.

(5) The reporting authority shall, within fifteen days of receipt of comments from the officer reported upon forward his own views on the comments to the reviewing authority failing which it shall be presumed that he has no views thereon.

(6) The reviewing authority shall forward the comments of the officer reported upon along with the views of the reporting authority and his own views to the accepting authority within fifteen days of receipt of the views of the reviewing authority.

(7) The accepting authority shall consider the comments of the officer reported upon, the views of the reporting authority and the reviewing authority and after due consideration may accept them and modify the performance appraisal report accordingly and the decision and final grading shall be communicated to the officer reported upon within fifteen days of receipt of the views of the reviewing authority.

(8) (a) In case the officer reported upon chooses to represent against the final assessment conveyed to him according to this procedure, he may represent his case through the accepting authority for a decision by the Referral Board, as specified in the Schedule 3, within one month, provided that such representation shall be confined to errors of facts.

(b) The representation of the officer reported upon along with the views of the reporting authority, the reviewing authority and the accepting authority shall be forwarded to the Referral Board on the request of the officer reported upon within a period of fifteen days of receipt of communication.

(9) (a) The Referral Board shall consider the representation of the officer reported upon in the light of the comments of the reporting authority, the reviewing authority and the accepting authority and confirm or modify the performance appraisal report, including the overall grade and the decision of the Referral Board shall be confined only to errors of facts and the decision of the Referral Board shall be final.

(b) In case an entry or assessment is upgraded or down graded, reasons for the same shall be recorded in the performance appraisal report.
The entire performance appraisal report, including the overall grade, shall thereafter be communicated to the officer reported upon which shall conclude the process of assessment and no further representation of any kind shall be entertained thereafter.

10. Memorial against assessment. - Nothing in these rules shall be deemed to preclude an officer from making a memorial to the President on the Performance Appraisal Report, as provided under rule 25 of the All India Services (Discipline and Appeal) Rules, 1969.

11. General. - The Central Government may issue instructions, not inconsistent with the provisions of these rules, or as it may consider necessary, with regard to the writing of the performance appraisal reports, the maintenance of the performance appraisal dossier and the effect of the performance appraisal reports on the conditions of service of a member of the Service.

SCHEDULE 1

[See rule 3]

Documents to be maintained in the Performance Appraisal Dossier

(i) A Curriculum Vitae to be updated annually on the basis of the performance appraisal reports and a five-yearly Curriculum Vitae update submitted by the officer reported upon

(ii) The performance appraisal reports earned throughout the career.

(iii) Certificates of training, academic courses attended after joining service, study leave

(iv) Details of books, articles and other publications.

(v) Appreciation letters from Government or Secretary or Head of Department or special bodies or Commissions.

(vi) Reports of medical check-ups.

(vii) Copy of order imposing any of the penalties specified in the All India Services (Discipline and Appeal) Rules, 1969 and final result of inquiry into allegations and charges against a member of the Service.

(viii) Warnings or displeasure or reprimands of the Government
SCHEDULE 2

[See rule 4]

Forms for Performance Appraisal Report

Appendix – Performance Appraisal Report Forms and Proforma for Health check up for the Indian Administrative Service

Form I and general guidelines for filling up the Performance Appraisal Report form for the Indian Administrative Service officers except the level of Secretary or Additional Secretary or equivalent to Government of India

Form II and general guidelines for filling up the Performance Appraisal Report form for the Indian Administrative Service officers of the level of Secretary or Additional Secretary or equivalent to Government of India

Form III for the Indian Administrative Service officers who are on deputation under rule 6(2)(ii) of the IAS (Cadre) Rules, 1954

Form IIIA Performance Report on study leave/leave for study for Indian Administrative Service officers

Form IIIB Performance report on training (applicable for the Indian Administrative Service officers).

Form IV Proforma for Health check up for the Indian Administrative Service officers.

SCHEDULE 3

[See rule 2 (i)]

Composition of the Referral Board

For IAS

(a) In respect of officers working in the States -

(i) Chief Secretary of the State Chairperson

(ii) Senior most Secretary in the State Member

(iii) Secretary (Appointments) Member
Technical Assistance for Implementation of Institutional Reforms in Road Sector of Uttar Pradesh

Report No. 37

(b) In respect of officers working in the Centre -

(i) Cabinet Secretary
Chairperson

(ii) Secretary (Personnel)
Member

(iii) Establishment Officer
Convener

For IPS

(a) In respect of officers working in the States -

(i) Chief Secretary of the State
Chairperson

(ii) Director General of Police
Member

(iii) Secretary (Appointments)/Secretary (PAR)
Convener

(b) In respect of officers working in the Centre -

(i) Cabinet Secretary
Chairperson

(ii) Secretary (Personnel)
Member

(iii) Establishment Officer
Convener

For IFS

(a) In respect of officers working in the States -

(i) Chief Secretary of the State
Chairperson

(ii) Senior most Chief Conservator of Forests in the State
Member

(iii) ACS/Principal Secretary
Member

(iv) Secretary (Appointments)
Convener

(b) In respect of officers working in the Centre -

(i) Cabinet Secretary
Chairperson

(ii) Secretary (Personnel)
Member

(iii) Establishment Officer
Convener
Form I

[See rule 4]

The All India Services (Performance Appraisal Report) Rules, 2007

(Applicable for All IAS officers except the level of Secretary or Additional Secretary or equivalent to Government of India)

Performance Appraisal Report for the period from __________ to __________

Section I – Basic Information

(To be filled in by the Administration Division/Personnel Department)

1. Name of the officer reported upon: ______________________


8. Date of appointment to present post: ______________________

9. Reporting, Reviewing and Accepting Authorities

<table>
<thead>
<tr>
<th>Name &amp; Designation</th>
<th>Period worked</th>
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<tbody>
<tr>
<td>Reporting Authority</td>
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<td>Reviewing Authority</td>
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<td>Accepting Authority</td>
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10. Period of absence on leave, etc.

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<tr>
<th>Period</th>
<th>Type</th>
<th>Remarks</th>
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<tr>
<td>On Leave (specify type)</td>
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<tr>
<td>Others (specify)</td>
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11. Training Programs attended

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<th>Date from</th>
<th>Date to</th>
<th>Institute</th>
<th>Subject</th>
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</table>
12. Awards/Honours


13. Details of PARs of AIS officers not written by the officer as reporting/reviewing authority for the previous year


14. Date of filing the property return for year ending December

15. Date of last prescribed medical examination (for officers over 40 years of age) (Attach copy of Part ‘C’ of Report)

Date: __________________________

Signature on behalf of __________________________

Admn /Personnel Dept

Section II – Self Appraisal

1. Brief description of duties:

(Objectives of the position you hold and the tasks you are required to perform, in about 100 words)
2. Annual work plan and achievement:

<table>
<thead>
<tr>
<th>Tasks to be performed</th>
<th>Deliverables ^{11}</th>
<th>Actual achievements ^{22}</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Initial ^{33}</td>
<td>Mid year ^{44}</td>
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3. During the period under report, do you believe that you have made any exceptional contribution, e.g. successful completion of an extraordinarily challenging task or major systemic improvement (resulting in significant benefits to the public and/or reduction in time and costs)? If so, please give a verbal description (within 100 words):

---

\(^{1}\) Deliverables refer to quantitative or financial targets or verbal description of expected outputs.

\(^{2}\) Actual achievement refers to achievement against the specified deliverables in respect of each task (as updated at mid-year). No explanations for divergences are to be given in this table.

\(^{3}\) Initial listing of deliverables are to be finalized within 1 month of the start of the period under report.

\(^{4}\) Mid year listing of deliverables are to be finalized within 6 months of the start of the period under report.
4. What are the factors that hindered your performance?

5. Please indicate specific areas in which you feel the need to upgrade your skills through training programs:

For the current assignment

For your future career

Please Note: You should send an updated CV, including additional qualifications acquired/training programmes attended/special assignments undertaken, in a prescribed proforma, to the cadre controlling authority, once in 5 years, so that the records available with the cadre controlling authority remain updated.
6. Declaration

<table>
<thead>
<tr>
<th>Have you filed your immovable property return, as due. If yes, please mention date.</th>
<th>Yes/No</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Have you undergone the prescribed medical check up?</td>
<td>Yes/No</td>
<td></td>
</tr>
<tr>
<td>Have you set the annual work plan for the current year, in respect of whom you are the reporting authority?</td>
<td>Yes/No</td>
<td></td>
</tr>
</tbody>
</table>

Date:                                    Signature of officer reported upon.........................
Section III
Appraisal

1. Please state whether you agree with the responses relating to the accomplishments of the work plan and unforeseen tasks as filled out in Section II. If not, please furnish factual details.

2. Please comment on the claim (if made) of exceptional contribution by the officer reported upon.
3. Has the officer reported upon met with any significant failures in respect of his work? If yes, please furnish factual details.

4. Do you agree with the skill up-gradation needs as identified by the officer?

5. **Assessment of work output** (This assessment should rate the officer vis-à-vis his peers and not the general population. Grades should be assigned on a scale of 1-10, in whole numbers, with 1 referring to the lowest grade and 10 to the best grade. Weightage to this Section will be 40%).

<table>
<thead>
<tr>
<th>Reporting Authority</th>
<th>Reviewing Authority</th>
<th>Initial of Reviewing Authority</th>
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<tbody>
<tr>
<td>i. Accomplishment of planned work</td>
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<tr>
<td>ii. Quality of output</td>
<td></td>
<td></td>
</tr>
<tr>
<td>iii. Accomplishment of exceptional work / unforeseen tasks performed</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Overall Grading on ‘Work Output’</td>
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</table>
6. **Assessment of Personal Attributes** (on a scale of 1-10. Weightage to this Section will be 30%).

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<th>Reporting Authority</th>
<th>Reviewing Authority</th>
<th>Initial of Reviewing Authority</th>
</tr>
</thead>
<tbody>
<tr>
<td>i. Attitude to work</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>ii. Sense of responsibility</td>
<td></td>
<td></td>
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<tr>
<td>iii. Overall bearing and personality</td>
<td></td>
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<tr>
<td>iv. Emotional stability</td>
<td></td>
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<tr>
<td>v. Communication skills</td>
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<tr>
<td>vi. Moral courage and willingness to take a professional stand</td>
<td></td>
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<tr>
<td>vii. Leadership qualities</td>
<td></td>
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<tr>
<td>viii. Capacity to work in time limit</td>
<td></td>
<td></td>
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<tr>
<td>Overall Grading on Personal Attributes</td>
<td></td>
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<td></td>
</tr>
</tbody>
</table>

7. **Assessment of Functional Competency** (on a scale of 1-10. Weightage to this Section will be 30%).

<table>
<thead>
<tr>
<th></th>
<th>Reporting Authority</th>
<th>Reviewing Authority</th>
<th>Initial of Reviewing Authority</th>
</tr>
</thead>
<tbody>
<tr>
<td>i. Knowledge of laws/rules/procedures/ IT skills and awareness of the local norms in the relevant area</td>
<td></td>
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<td></td>
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<tr>
<td>ii. Strategic planning ability</td>
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<tr>
<td>iii. Decision making ability</td>
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<tr>
<td>iv. Initiative</td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>v. Coordination ability</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>vi. Ability to motivate and develop subordinates / work in a team.</td>
<td></td>
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<td></td>
</tr>
<tr>
<td>Overall Grading on ‘Functional competency’</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

8. **Integrity**

Please comment on the integrity of the officer:
9. Pen picture by Reporting Officer. Please comment (in about 100 words) on the overall qualities of the officer including areas of strengths and lesser strengths and his attitude towards weaker sections.
10. Recommendation relating to domain assignment (Please tick mark any four)

<table>
<thead>
<tr>
<th>Agriculture and Rural Development</th>
<th>Public Finance &amp; Financial Management</th>
</tr>
</thead>
<tbody>
<tr>
<td>Social Development</td>
<td>Industry and Trade</td>
</tr>
<tr>
<td>Culture and Information</td>
<td>Internal Affairs and Defence</td>
</tr>
<tr>
<td>Natural Resource Management</td>
<td>Housing &amp; Urban Affairs</td>
</tr>
<tr>
<td>Energy and Environment</td>
<td>Personnel &amp; General Administration, Governance Reform, Regulatory Systems</td>
</tr>
<tr>
<td>Communication Systems and Connectivity Infrastructure</td>
<td>Science &amp; Technology</td>
</tr>
</tbody>
</table>

11. Overall grade (on a score of 1-10)  

Date:  
Signature of Reporting Authority ___________
Section IV –

Review

1. Do you agree with the assessment made by the reporting officer with respect to the work output and the various attributes in section III? Do you agree with the assessment of the reporting officer in respect of extraordinary achievements and/or significant failures of the moS / officer reported upon? (In case you do not agree with any of the numerical assessments of attributes please record your assessment in the column provided for you in that section and initial your entries).

   Yes   No

2. In case of difference of opinion details and reasons for the same may be given.
3. Pen picture by Reporting Officer. Please comment (in about 100 words) on the overall qualities of the officer including areas of strengths and lesser strengths and his attitude towards weaker sections.

4. Recommendation relating to domain assignment (Please tick mark any four)

<table>
<thead>
<tr>
<th>Agriculture and Rural Development</th>
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</tr>
<tr>
<td>Communication Systems and Connectivity Infrastructure</td>
<td>Science &amp; Technology</td>
</tr>
</tbody>
</table>

5. Overall grade on a scale of 1-10

Date: ____________________
Signature of Reviewing Authority ____________________
Section V
Acceptance

1. Do you agree with the remarks of the reporting / reviewing authorities?

   Yes  No

2. In case of difference of opinion details and reasons for the same may be given.

3. Overall grade (on a score of 1-10)

   Date  Signature of Accepting Authority_______________
General guidelines for filling up the PAR form for IAS officers except the level of Secretary or Additional Secretary or equivalent to the Government of India.

1. Introduction

1.1 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 up the form with a high sense of responsibility.

1.2 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/her true potential. It is not meant to be a faultfinding 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.

1.3 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.

1.4 Although the actual documentation of performance appraisal is a year-end exercise, in order that it may be a tool for human resource development, career planning and training, rather than a mere judgmental exercise, the Reporting Authority and the officer reported upon should meet during the course of the year at regular intervals to review the performance and to take necessary corrective steps.

2. Section-I

2.1 This Section should be filled up in the Administration Division/Personnel Deptt. Period of report could either be the entire reporting year, namely, from 1st of April to 31st March or a part of the year (exceeding 3 months). In case the period of report is a full year, it should be indicated accordingly; for example, 2007-2008. In case the period of report is less than the entire year, specific start and end dates should be indicated, for example, 10th September 2007 – 31st March 2008.

2.2 Information on the present grade (pay-scale) as well as present post (actual designation and organization) and the date from which he/she has been on his/her present post needs to be mentioned.

2.3 In the table relating to reporting, reviewing and accepting authorities the name and designation of the reporting and reviewing authorities should be mentioned so that the officer reported upon is clear about whom he/she is required to send the report.
2.4 The period of absence from duty, on leave, training, or for other reasons, should also be mentioned in this section in the table provided for the purpose. Details of the training attended, date of filing of property returns and whether the officer reported upon has reported/reviewed and the annual performance report of all his/her subordinate officers for the previous year should be mentioned in the table for the purpose.

2.5 This Section provides for regular annual medical examination. The health check is mandatory for all officers above the age of 40 and may be totally dispensed with officers below the age of 40, except in case of medical incident. A copy of Part C of the health check up report is to be attached to the PAR Form by the Admin./Personnel Deptt. and a copy provided to the member of the Service. The format of the health check up is given at Schedule 2.

3. Section-II

3.1 The officer reported upon is first required to give brief description of his/her duties and responsibilities, which would normally not exceed about 100 words. Ideally, this should be in bullet form.

3.2 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 relative annual work rhythm and budgetary cycle. This exercise is to be carried out at the beginning of the year and finalized by 30th April, positively. In case of a change of the reporting officer during the year, the work plan agreed with the previous reporting officer would continue to apply. The work plan agreed upon at the beginning of the year has to be reviewed again during the month of September/October as a mid-year exercise and finalized by 31st October. Based on this review the work plan may undergo some changes from that originally prepared.

3.3 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. The period spent by the officer during the year and his contribution could be considered for evaluating his performance against the work plan. In the case of mid-term transfers, continuity and assessment of work and the lower performance profile in the first quarter should be taken into consideration.

3.4 The work plans, duly signed by the officer reported upon and the reporting authority has to be submitted to the reviewing authority for his/her perusal and custody. The performance appraisal form provides for an assessment of the accomplishments vis-à-vis the work plan agreed at the commencement of the year and reviewed mid-year. The officer reported upon is required to fill up the table provided for the purpose in Section-II.

3.5 It is not necessary that the work plan should be entirely quantitative in nature. While for field level posts, the work plan would consist essentially of quantifiable targets, for secretarial level posts it would consist of policy objectives to be achieved etc.
3.6 Section II also provides an opportunity for the officer to reflect upon his/her performance during the year and indicate one item which he/she thought was a significant contribution made by him/her during the year. It is always possible for any officer to make significant contribution even in activities otherwise regarded as routine in nature. Examples of such contribution may be the successful organization of a major event like the Kumbh Mela or successful conclusion of an activity that has been going on for a long time, or even successful dealing of an emergency (e.g. major earth quake/flood) would certainly be an exceptional contribution.

3.7 The officer reported upon is required to indicate specific areas in which he/she feels the need to upgrade skills and attend training programs. He/she should also mention the specific steps that he/she has taken or proposes to take to upgrade his/her skills in the identified area.

3.8 There is an increased emphasis on competency building in the new performance appraisal and career progression system. There would be a premium on competency and skill upgradation. Hence, all officers are advised, through a note in Section II, to keep the cadre controlling authority informed, at least once in five years, of all educational and training programs attended, including the details of marks/grades secured in such programs, details of professional papers published. These would be taken into account in the future career progression.

3.9 This Section also requires the officer reported upon to record certain certificates about submission of property returns, annual medical check up and setting up of annual work plan for whom he/she would be the reporting authority.

4. Section-III

4.1 Section III requires the reporting authority to comment on Section II as filled out by the officer reported upon, and specifically state whether he/she agrees with the responses relating to the accomplishments. In case of disagreement the reporting authority should highlight the specific portions with which he/she is unable to agree and the reasons for such disagreement.

4.2 This Section then requires the reporting authority to comment on the skill upgradation needs as identified by the officer.

4.3 Thereafter, this Section requires the reporting authority to record a numerical grade in respect of the workout put of the officer reported upon both in respect of the planned work as well as the unforeseen tasks. A numerical grade is also required in respect of the "quality" of the output. In doing so, the reporting authority should take into account the costs incurred (whether the officer reported upon has been cost conscious), the time taken and whether the laid down rules/procedures have been adhered to in accomplishing the tasks.

4.4 The reporting authority is also required to record a numerical grade in respect of work output, personal attributes and functional competencies.
4.5 Section III requires the reporting authority to comment on the integrity of the officer reported upon. In recording remarks with regard to integrity, he/she need not limit him/herself only to matters relating to financial integrity but could also take into account the moral and intellectual integrity of the officer reported upon. The following procedure should be followed in filling up the 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, the column should be left blank and action taken as under:

(a) A separate secret note should be recorded and followed up. A copy of the note should also be sent together with the Performance Appraisal Report to the next superior officer who will ensure that the follow up action is taken expeditiously. Where it is not possible either to certify the integrity or to record the secret note, the Reporting Officer should state either that he/she had not watched the officer’s work for sufficient time to form a definite judgement or that he/she has heard nothing against the officer, as the case may be.

(b) If, as a result of the follow up action, the doubts or suspicions are cleared, the officer’s integrity should be certified and an entry made accordingly in the Performance Appraisal Report.

(c) If the doubts or suspicions are confirmed, this fact should also be recorded and duly communicated to the officer concerned.

(d) If as a result of the follow up action, the doubts or suspicions are neither cleared nor confirmed, the officers conduct should be watched for a further period and thereafter action taken as indicated at (b) and (c) above.

4.6 The reporting authority is also required to record a descriptive pen-picture on the overall qualities of the officer reported upon and his/her performance including his attitude towards weaker sections. This need not exceed about 100 words and should try to cover overall qualities of the officer including areas of strengths and lesser strengths. The pen-picture is also meant to be a qualitative supplement to the quantitative assessments made earlier part of this section.

4.7 Reporting authority is then required to make recommendations relating to domain assignment. The list of domains is at para 10.

4.8 Finally, the reporting authority is required to record an overall grade. This should also be done on a scale of 1-10, with 1 referring to the lowest grade and 10 to the highest.
5. Section-IV

5.1 This Section is to be filled up by the reviewing authority. He/she is required to indicate if he/she agrees with the assessments made by the reporting officer. In case of disagreement, he/she may record his/her own assessment against the work output or any of the attributes in the column specifically provided for the purpose. In case of agreement, he/she need not fill in the column meant for him/her in the attributes/work output tables.

5.2 The reviewing authority is required to record a pen-picture, not exceeding about 100 words, on the overall qualities of the officer reported upon including areas of strengths and lesser strengths and his/her performance including his attitude towards weaker sections and recommendations relating to domain assignment. Finally he/she is required to record an overall grade in the scale of 1-10.

6. Section-V

6.1 This Section is to be filled by the accepting authority. He/she is required to indicate if he/she agrees with the assessments made by the reporting authority/reviewing authorities. In case of difference of opinion, he/she is required to give details and reasons for the same in the column specifically provided for the purpose in the table in Section V.

7. Numerical Grades

7.1 At several places, numerical grades are to be awarded by reporting and review authorities. These should be on a scale of 1-10, where 1 refers to the lowest grade and 10 to the highest. It is expected that any grading of 1 or 2 (against work output or 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. Grades of 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, reviewing and accepting authorities should rate the officer against a larger population of his/her peers that may be currently working under them or would have worked under them in the past.

7.2 Weightage & Mean

Weights have been assigned to work output, personal attributes and functional competency. The overall grade will be based on the addition of the mean value of each group of indicators in proportion to weightage assigned.

8. Disclosure

8.1 There should be more openness in the system of appraisal. The annual PAR, including the overall grade and integrity, should be communicated to the officer reported upon after it has been finalized by the accepting authority.
8.2. Representation

The officer reported upon may have the option to give his comments on the PAR. Such comments may be restricted to the specific factual observations contained in the **Performance Appraisal Report** leading to the assessment of the officer in terms of attributes, competency and output. If comments are submitted, the Reporting/Reviewing/Accepting Authority would have the option to accept them and modify the PAR accordingly. If the comments are not accepted, the views of the Reporting/Reviewing/Accepting Authority would be communicated with reasons to the officer reported upon. Thereafter, only if the officer reported upon so desires, he may request for the matter to be forwarded to the Referral Board. The representation shall be confined to errors of facts and nothing else. The Referral Board shall give clear findings on the representation and take a final decision on the assessment, including the overall grading in regard to the parameters affected thereby. The decision along with details in case an entry is upgraded or down graded with, reasons for same may be recorded in the PAR and the same communicated to the officer reported upon. The decision of the Referral Board shall be final.

9. Schedule for completion of PARs of IAS Officers

9.1. The following schedule should be strictly followed: -

**Reporting Year – Financial Year**

<table>
<thead>
<tr>
<th>Activity</th>
<th>Cut-off dates</th>
</tr>
</thead>
<tbody>
<tr>
<td>Blank PAR form to be given to the officer reported upon by the Administration Division/Personnel Department, specifying the reporting officer and reviewing authority</td>
<td>1&lt;sup&gt;st&lt;/sup&gt; April  1&lt;sup&gt;st&lt;/sup&gt; May</td>
</tr>
<tr>
<td>Self appraisal for current year</td>
<td>30&lt;sup&gt;th&lt;/sup&gt; April  31&lt;sup&gt;st&lt;/sup&gt; May</td>
</tr>
<tr>
<td>Appraisal by reporting authority</td>
<td>31&lt;sup&gt;st&lt;/sup&gt; May  30&lt;sup&gt;th&lt;/sup&gt; June</td>
</tr>
<tr>
<td>Appraisal by reviewing authority</td>
<td>30&lt;sup&gt;th&lt;/sup&gt; June  31&lt;sup&gt;st&lt;/sup&gt; July</td>
</tr>
<tr>
<td>Appraisal by accepting authority</td>
<td>31&lt;sup&gt;st&lt;/sup&gt; July  31&lt;sup&gt;st&lt;/sup&gt; August</td>
</tr>
<tr>
<td>Disclosure to the officer reported upon</td>
<td>15&lt;sup&gt;th&lt;/sup&gt; August  15&lt;sup&gt;th&lt;/sup&gt; September</td>
</tr>
<tr>
<td>Comments of the officer reported upon, if any (if none, transmission of the PAR to the DOPT)</td>
<td>31&lt;sup&gt;st&lt;/sup&gt; August  30&lt;sup&gt;th&lt;/sup&gt; September</td>
</tr>
<tr>
<td>Forwarding of comments of the officer reported upon to the reviewing and the reporting authority by the accepting authority, in case the officer reported upon makes comments</td>
<td>15&lt;sup&gt;th&lt;/sup&gt; September  15&lt;sup&gt;th&lt;/sup&gt; October</td>
</tr>
<tr>
<td>Comments of reporting authority</td>
<td>30&lt;sup&gt;th&lt;/sup&gt; September  31&lt;sup&gt;st&lt;/sup&gt; October</td>
</tr>
<tr>
<td>Comments of reviewing authority</td>
<td>15&lt;sup&gt;th&lt;/sup&gt; October  15&lt;sup&gt;th&lt;/sup&gt; November</td>
</tr>
<tr>
<td>Comments of accepting authority/PAR to be finalized and disclosed to the officer reported upon.</td>
<td>31&lt;sup&gt;st&lt;/sup&gt; October  30&lt;sup&gt;th&lt;/sup&gt; November</td>
</tr>
<tr>
<td>Activity</td>
<td>Cut-off dates</td>
</tr>
<tr>
<td>-------------------------------------------------------------------------</td>
<td>---------------------------</td>
</tr>
<tr>
<td></td>
<td>Below Super Time Scale</td>
</tr>
<tr>
<td>Representation to the Referral Board by the officer reported upon</td>
<td>30th November</td>
</tr>
<tr>
<td>Forwarding of representation to the Referral Board along with the</td>
<td>15th December</td>
</tr>
<tr>
<td>comments of reporting authority/reviewing authority and accepting</td>
<td></td>
</tr>
<tr>
<td>authority</td>
<td></td>
</tr>
<tr>
<td>Finalization by Referral Board if the officer reported upon represents</td>
<td>15th January</td>
</tr>
<tr>
<td>against the decision of the Accepting Authority.</td>
<td></td>
</tr>
<tr>
<td>Disclosure to the officer reported upon</td>
<td>31st January</td>
</tr>
<tr>
<td>End of entire PAR Process</td>
<td>31st March</td>
</tr>
</tbody>
</table>

9.2 The completed PAR should reach the Cadre Controlling Authorities by 31\textsuperscript{st} March the following year. The Cadre Controlling Authority will prepare a list of PARs not received and follow up with the Secretaries of the concerned Ministries and Chief Secretaries of the respective States.

9.3 Secretary (Personnel) in the State and the Establishment Officer in the Centre shall be the Nodal officers to ensure that the PARs of the members of Service, duly completed, are sent to the Cadre Controlling Authority by 31\textsuperscript{st} March of the following year. They shall send a list each of the members of Service whose PARs are to be written and reviewed to the concerned Reporting/Reviewing/Accepting Authorities by 15\textsuperscript{th} April every year to enable them to ensure completion of PARs within the time-schedule.

9.4 If a PAR relating to a financial year is not recorded by the 31\textsuperscript{st} of December of the year in which the financial year ended, no remarks shall be recorded thereafter. The member of Service will be assessed based on the overall record and self-assessment of the year concerned, if he had given his self-assessment in time and the Reporting Authority, Reviewing Authority and the Accepting Authority have not completed the PAR according to the time schedule given in para 9.1.

9.5 The member of Service reported upon shall, while forwarding his self-appraisal to the Reporting Authority, endorse a copy of the self-appraisal, to the nodal officer and keep a record of the same as evidence that he had submitted the same in time.

9.6 The Reporting Authority shall record his comments in the PAR of the officer reported upon within the stipulated time and send it to the Reviewing Authority along with a copy thereof to the nodal Authority.

9.7 In case the Reporting Authority fails to submit the PAR to the Reviewing Authority within the stipulated period under intimation to the nodal officer, the nodal officer shall send a copy of self-appraisal directly to the Reviewing Authority and authorize him to initiate the PAR. The nodal officer shall also keep a note of the failure of the Reporting Authority to submit the PAR of his subordinate in time for an appropriate entry in the PAR of such Reporting Authorities.
9.8 The nodal officer shall evolve a suitable mechanism to ensure that the remarks of the Reporting, the Reviewing and the Accepting Authorities are recorded without fail by the dates given in the schedule below Para 9.1.

10. **Mapping of Departments to Domains**

<table>
<thead>
<tr>
<th>I. Agriculture and Rural Development</th>
</tr>
</thead>
<tbody>
<tr>
<td>1) Department of Agriculture &amp; Cooperation</td>
</tr>
<tr>
<td>2) Department of Agricultural Research &amp; Education</td>
</tr>
<tr>
<td>3) Department of Animal Husbandry, Dairying &amp; Fisheries</td>
</tr>
<tr>
<td>4) Ministry of Agro &amp; Rural Industries</td>
</tr>
<tr>
<td>5) Department of Rural Development</td>
</tr>
<tr>
<td>6) Ministry of Panchayati Raj</td>
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<tr>
<td>7) Department of Land Resources</td>
</tr>
<tr>
<td>8) Department of Drinking Water Supply</td>
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<tr>
<td>9) Department of Food &amp; Public Distribution</td>
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<td>10) Department of Consumer Affairs</td>
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<tr>
<td>11) Ministry of Food Processing Industries</td>
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</tbody>
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<table>
<thead>
<tr>
<th>II. Social Development</th>
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</thead>
<tbody>
<tr>
<td>1) Department of Health</td>
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<tr>
<td>2) Department of Family Welfare</td>
</tr>
<tr>
<td>3) Department of Ayurveda, Yoga &amp; Naturopathy, Unani, Siddha and Homeopathy (AYUSH)</td>
</tr>
<tr>
<td>4) Department of Secondary &amp; Higher Education</td>
</tr>
<tr>
<td>5) Department of elementary education &amp; Literacy</td>
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<tr>
<td>6) Department of Women &amp; Child Development</td>
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<tr>
<td>7) Ministry of Social Justice &amp; Empowerment</td>
</tr>
<tr>
<td>8) Department of Urban Employment &amp; Poverty Alleviation</td>
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<td>9) Ministry of Overseas Indian Affairs</td>
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<tr>
<th>III. Culture and Information</th>
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<tbody>
<tr>
<td>1) Ministry of Information &amp; Broadcasting</td>
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<tr>
<td>2) Ministry of Culture</td>
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<tr>
<td>3) Ministry of Tourism</td>
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<tr>
<td>4) Ministry of Tribal Affairs</td>
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<tr>
<td>5) Ministry of Youth Affairs &amp; Sports</td>
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<tr>
<th>IV. Natural Resource Management</th>
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<tbody>
<tr>
<td>1) Ministry of Environment &amp; Forests</td>
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<tr>
<td>2) Ministry of Water Resources</td>
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<tr>
<td>3) Department of Ocean Development</td>
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<td>4) Ministry of Mines</td>
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<th>V. Energy and Environment</th>
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<tr>
<td>1) Department of Atomic energy</td>
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<tr>
<td>2) Ministry of Non-Conventional Energy Sources</td>
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<tr>
<td>3) Ministry of Coal</td>
</tr>
<tr>
<td>4) Ministry of Petroleum &amp; Natural Gas</td>
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<td>5) Ministry of Power</td>
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<th>VI. Communication Systems and Connectivity Infrastructure</th>
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<tbody>
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<td>1) Ministry of Civil Aviation</td>
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<tr>
<td>2) Department of Information Technology</td>
</tr>
<tr>
<td>3) Department of Telecommunication</td>
</tr>
<tr>
<td>4) Department of Posts</td>
</tr>
<tr>
<td>5) Department of Road Transport &amp; Highways</td>
</tr>
<tr>
<td>6) Department of Shipping</td>
</tr>
</tbody>
</table>
### VII. Public Finance & Financial Management

1) Department of Disinvestment  
2) Department of Expenditure  
3) Department of Economic Affairs  
4) Department of Revenue  
5) Ministry of Company Affairs 
6) Planning Commission  
7) Ministry of Statistics & Programme Implementation

### VIII. Industry and Trade

1) Department of Industrial Policy & Promotion  
2) Department of Chemicals & Petrochemicals  
3) Department of Commerce  
4) Department of Heavy Industries  
5) Department of Fertilizers  
6) Ministry of Textiles  
7) Department of Public Enterprises  
8) Ministry of Small Sale Industries

### IX. Internal Affairs and Defence

1) Department of Defence  
2) Department of Defence Production  
3) Department of Defence Research & Development  
4) Department of Ex-Servicemen Welfare  
5) Department of Internal Security  
6) Department of States  
7) Department of Official Language  
8) Department of Home  
9) Department of Jammu & Kashmir Affair  
10) Department of Border Management  
11) Ministry of Development of North Eastern Region

### X. Housing & Urban Affairs

1) Ministry of Urban Development

### XI. Personnel & General Administration, Governance Reform, Regulatory Systems

1) Department of Personnel & Training  
2) Department of Administrative Reforms & Public Grievances  
3) Department of Pensions & Pensioners Welfare  
4) Department of Legal Affairs  
5) Legislative Department  
6) Department of Justice  
7) Cabinet Secretariat  
8) Ministry of Labour & Employment  
9) President’s Secretariat  
10) Ministry of Parliamentary Affairs  
11) Prime Minister’s Office  
12) UPSC

### XII. Science & Technology

1) Department of Science & Technology  
2) Department of Scientific & Industrial Research  
3) Department of Bio-Technology  
4) Department of Space
Form II

[See rule 4]

The All India Services (Performance Appraisal Report) Rules, 2007

(Applicable for IAS officers of the level of Secretary or Additional Secretary or equivalent to Government of India)

Performance Appraisal Report for the period from _________ to __________

Section I – Basic Information

(To be filled in by the Administration Division/Personnel Department)

1. Name of the officer reported upon:  

2. Service:  

3. Cadre:  

4. Year of allotment:  

5. Date of Birth:  

6. Present Grade:  

7. Present post:  

8. Date of appointment to present post:  

9. Reporting, Reviewing and Accepting Authorities

<table>
<thead>
<tr>
<th>Name &amp; Designation</th>
<th>Period worked</th>
</tr>
</thead>
<tbody>
<tr>
<td>Reporting Authority</td>
<td></td>
</tr>
<tr>
<td>Reviewing Authority</td>
<td></td>
</tr>
<tr>
<td>Accepting Authority</td>
<td></td>
</tr>
</tbody>
</table>

10. Period of absence on leave, etc.

<table>
<thead>
<tr>
<th>Period</th>
<th>Type</th>
<th>Remarks</th>
</tr>
</thead>
<tbody>
<tr>
<td>On Leave (specify type)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Others (specify)</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
11. Training Programs attended

<table>
<thead>
<tr>
<th>Date from</th>
<th>Date to</th>
<th>Institute</th>
<th>Subject</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

12. Awards/Honours


13. Details of PARs of AIS officers not written by the officer as reporting/reviewing authority for the previous year


14. Date of filing the property return for year ending December


15. Date of last prescribed medical examination (for officers over 40 years of age) (Attach copy of Part 'C' of Report)


Date: ____________________________

Signature on behalf of ______________

Admin/Personnel Dept
## Section II

### 1. Declaration

<table>
<thead>
<tr>
<th>Question</th>
<th>Yes/No</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Have you filed your immovable property return, as due. If yes, please mention date</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Have you undergone the prescribed medical check up?</td>
<td>Yes/No</td>
<td></td>
</tr>
<tr>
<td>Have you set the annual work plan for all officers for the current year, in respect of whom you are the reporting authority?</td>
<td>Yes/No</td>
<td></td>
</tr>
<tr>
<td>Have you prepared the work plan for yourself?</td>
<td>Yes/No</td>
<td></td>
</tr>
<tr>
<td>Have you enclosed a note on important achievements during the period?</td>
<td>Yes/No</td>
<td></td>
</tr>
</tbody>
</table>

Signature________________

Officer reported upon

Date:
Section III

Appraisal

1. **Assessment of Attributes** (This assessment should rate the officer vis-à-vis his peers and not the general population. Grades should be assigned on a scale of 1-10, in whole numbers, with 1 referring to the lowest grade and 10 to the best grade. 70% weightage will be assigned to this item).

<table>
<thead>
<tr>
<th>Reporting officer</th>
<th>Reviewing officer</th>
<th>Initial of Reviewing Officer</th>
</tr>
</thead>
<tbody>
<tr>
<td>i) Attitude to work</td>
<td></td>
<td></td>
</tr>
<tr>
<td>ii) Decision making ability</td>
<td></td>
<td></td>
</tr>
<tr>
<td>iii) Initiative</td>
<td></td>
<td></td>
</tr>
<tr>
<td>iv) Ability to inspire and motivate</td>
<td></td>
<td></td>
</tr>
<tr>
<td>v) Strategic Planning ability/innovativeness</td>
<td></td>
<td></td>
</tr>
<tr>
<td>vi) Coordination ability</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Overall grading on attributes</strong></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

2. **Assessment of work output** (This assessment should rate the officer vis-à-vis his peers and not the general population. Grades should be assigned on a scale of 1-10, in whole numbers, with 1 referring to the lowest grade and 10 to the best grade. 30% weightage will be assigned to this item.)

<table>
<thead>
<tr>
<th>Reporting officer</th>
<th>Review officer</th>
<th>Initial of Reviewing Officer</th>
</tr>
</thead>
<tbody>
<tr>
<td>i) Accomplishment of Planned Work</td>
<td></td>
<td></td>
</tr>
<tr>
<td>ii) Quality of Output</td>
<td></td>
<td></td>
</tr>
<tr>
<td>iii) Accomplishment of exceptional work/ unforeseen tasks during the period</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Overall Grading on 'Work Output'</strong></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
3. Integrity

Please comment on the integrity of the officer, keeping in mind both his financial integrity and his moral integrity.
4. Pen picture by the Reporting Authority.

Please comment (in about 100 words) on the overall qualities of the officer including areas of strengths and lesser strengths and his attitude towards weaker sections.
5. Recommendation relating to domain assignment (Please tick mark any four).

<table>
<thead>
<tr>
<th>Agriculture and Rural Development</th>
<th>Public Finance &amp; Financial Management</th>
</tr>
</thead>
<tbody>
<tr>
<td>Social Development</td>
<td>Industry and Trade</td>
</tr>
<tr>
<td>Culture and Information</td>
<td>Internal Affairs and Defence</td>
</tr>
<tr>
<td>Natural Resource Management</td>
<td>Housing &amp; Urban Affairs</td>
</tr>
<tr>
<td>Energy and Environment</td>
<td>Personnel &amp; General Administration,</td>
</tr>
<tr>
<td></td>
<td>Governance Reform, Regulatory Systems</td>
</tr>
<tr>
<td>Communication Systems and Connectivity</td>
<td>Science &amp; Technology</td>
</tr>
<tr>
<td>Infrastructure</td>
<td></td>
</tr>
</tbody>
</table>

6. Overall Grade on a scale of 1-10

Signature of Reporting Authority

Date:
Section IV – Review

1. Do you agree with the assessment made by the reporting officer with respect to the work output and the various attributes in section III? Do you agree with the assessment of the reporting officer in respect of extraordinary achievements and/or significant failures of the MoS / officer reported upon?

(In case you do not agree with any of the numerical assessments of attributes please record your assessment in the column provided for you in that section and initial your entries)

Yes  No

2. In case of difference of opinion details and reasons for the same may be given.
3. Please comment (in about 100 words) on the overall qualities of the officer including areas of strengths and lesser strengths and his attitude towards weaker sections.

4. Recommendation relating to domain assignment (Please tick mark any four)

<table>
<thead>
<tr>
<th>Agriculture and Rural Development</th>
<th>Public Finance &amp; Financial Management</th>
</tr>
</thead>
<tbody>
<tr>
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<tr>
<td>Energy and Environment</td>
<td>Personnel &amp; General Administration, Governance Reform, Regulatory Systems</td>
</tr>
<tr>
<td>Communication Systems and Connectivity Infrastructure</td>
<td>Science &amp; Technology</td>
</tr>
</tbody>
</table>

5. Overall Grade on a scale of 1-10. 

Signature of Reviewing Authority

Date:
Section V – Acceptance

1. Do you agree with the remarks of the reporting/reviewing authorities?
   Yes  No

2. In case of difference of opinion details and reasons for the same may be given.

3. Overall Grade on a scale of 1-10.

   ____________________
   Date           Signature of Accepting Authority
General guidelines for filling up the PAR form for IAS officers of the level of Secretary or Additional Secretary or equivalent to the Government of India.

1. Introduction

1.1 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, the Reviewing Authority and the Accepting Authority should, therefore, undertake the duty of filling up the form with a high sense of responsibility.

1.2 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/her true potential. It is not meant to be a faultfinding 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.

1.3 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.

1.4 Although the actual documentation of performance appraisal is a year-end exercise, in order that it may be a tool for human resource development, career planning and training, rather than a mere judgmental exercise, the Reporting Authority and the officer reported upon should meet during the course of the year at regular intervals to review the performance and to take necessary corrective steps.

2. Section-I

2.1 This Section should be filled up in the Administration Division/Personnel Deptt. Period of report could either be the entire reporting year, namely, from 1st of April to 31st March or a part of the year (exceeding 3 months). In case the period of report is a full year, it should be indicated accordingly; for example, 2007-2008. In case the period of report is less than the entire year, specific start and end dates should be indicated, for example, 10th September 2007 – 31st March 2008.

2.2 Information on the present grade (pay-scale) as well as present post (actual designation and organization) and the date from which he/she has been on his/her present post needs to be mentioned.

2.3 In the table relating to reporting, reviewing and accepting authorities the name and designation of the reporting, reviewing and accepting authorities should be mentioned so that the officer reported upon is clear about whom he/she is required to send the report to.
2.4 The period of absence from duty, on leave, training, or for other reasons, should also be mentioned in this section in the table provided for the purpose. Details of the training attended date of filing of property returns and whether the officer reported upon has reported/reviewed should be mentioned in the table for the purpose and annual performance report of all his/her subordinate officers for the previous year.

2.5 This Section provides for regular annual medical examination. The health check is mandatory for all officers above the age of 40 and may be totally dispensed with officers below the age of 40, except in case of medical incident. A copy of Part C of the health check up report is to be attached to the PAR Form by the Admin./Personnel Deptt. and a copy provided to the member of the Service. The format of the health check up is given at Schedule 2.

3. **Section-II**

This Section requires the officer reported upon to record certain certificates about submission of property returns, annual medical check up, setting up of annual work plan for whom he/she would be the reporting authority as well as for himself. The officer has to report on the preparation of the work plan for himself and has the option to enclose a note on the important achievements during the period.

4. **Section-III**

4.1 The reporting authority is required to record a numerical grade in respect of certain attributes and work output.

4.2 This Section requires the reporting authority to record a numerical grade in respect of the work output of the officer reported upon both in respect of the planned work as well as the unforeseen tasks. A numerical grade is also required in respect of the “quality” of the output. In doing so, the reporting authority should take into account the costs incurred (whether the officer reported upon has been cost conscious), the time taken and whether the laid down rules/procedures have been adhered to in accomplishing the tasks.

4.3 Section III requires the reporting authority to comment on the integrity of the officer reported upon. In recording remarks with regard to integrity, he/she need not limit him/herself only to matters relating to financial integrity but could also take into account the moral and intellectual integrity of the officer reported upon. The following procedure should be followed in filling up the 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, the column should be left blank and action taken as under:

(a) A separate secret note should be recorded and followed up. A copy of the note should also be sent together with the Performance Appraisal Report to the next superior officer who will ensure that the follow up action is taken expeditiously. Where it is not possible either to certify the integrity or to
record the secret note, the Reporting Officer should state either that he/she had not watched the officer’s work for sufficient time to form a definite judgment or that he/she has heard nothing against the officer, as the case may be.

(b) If, as a result of the follow up action, the doubts or suspicions are cleared, the officer’s integrity should be certified and an entry made accordingly in the Performance Appraisal Report.

(c) If the doubts or suspicions are confirmed, this fact should also be recorded and duly communicated to the officer concerned.

(d) If as a result of the follow up action, the doubts or suspicions are neither cleared nor confirmed, the officers conduct should be watched for a further period and thereafter action taken as indicated at (b) and (c) above.

4.4 The reporting authority is also required to record a descriptive pen-picture on the overall qualities of the officer reported upon and his/her performance including his attitude towards weaker sections. This need not exceed about 100 words and should try to cover overall qualities of the officer including areas of strengths and lesser strengths. The pen-picture is also meant to be a qualitative supplement to the quantitative assessments made earlier part of this section.

4.5 The reporting authority is then required to make recommendations relating to domain assignment. The list of domains is at para 10.

4.6 Finally, the reporting authority is required to record an overall grade. This should also be done on a scale of 1-10, with 1 referring to the lowest grade and 10 to the highest.

5. Section-IV

5.1 This Section is to be filled up by the reviewing authority. He/she is required to indicate if he/she agrees with the assessments made by the reporting officer. In case of disagreement, he/she may record his/her own assessment against the work output or any of the attributes in the column specifically provided for the purpose. In case of agreement, he/she need not fill in the column meant for him/her in the attributes/work output tables.

5.2 The reviewing authority is required to record a descriptive pen-picture, not exceeding about 100 words, on the overall qualities of the officer reported upon and his/her performance including his attitude towards weaker sections, pen-picture and recommendations relating to domain assignment. Finally he/she is required to record an overall grade in the scale of 1-10.
6. Section-V

6.1 This Section is to be filled by the accepting authority. He/she is required to indicate if he/she agrees with the assessments made by the reporting authority/reviewing authorities. In case of difference of opinion, he/she is required to give details and reasons for the same in the column specifically provided for the purpose in the table in Section V.

7. Numerical Grades

7.1 At several places, numerical grades are to be awarded by reporting and review authorities. These should be on a scale of 1-10, where 1 refers to the lowest grade and 10 to the highest. It is expected that any grading of 1 or 2 (against work output or 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. Grades of 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 or would have worked under them in the past.

7.2 Weightage & Mean

Weights have been assigned to attributes and work output. The overall grade will be based on the addition of the mean value of each group of indicators/descriptive picture in proportion to weightage assigned. The overall grade will be the average mean of all the numerical indicators assigned by the authority.

8. Disclosure

8.1 There should be more openness in the system of appraisal. The annual PAR, including the overall grade and integrity, should be communicated to the officer reported upon after it has been finalized by the accepting authority.

8.2 Representation

The officer reported upon may have the option to give his comments on the PAR. Such comments may be restricted to the specific factual observations contained in the Performance Appraisal Report leading to the assessment of the officer in terms of attributes and output. If comments are submitted, the Reporting/Reviewing/Accepting Authority would have the option to accept them and modify the PAR accordingly. If the comments are not accepted, the views of the Reporting/Reviewing/Accepting Authority would be communicated with reasons to the officer reported upon. Thereafter, only if the officer reported upon so desires, he may request for the matter to be forwarded to the Referral Board. The representation shall be confined to errors of facts and nothing else. The Referral Board shall give clear findings on the representation and take a final decision on the assessment, including the overall grading in regard to the parameters affected thereby. In case of an adverse entry, the entry and the overall grading may be communicated. In case an entry is upgraded or down graded, reasons for same may be recorded in the PAR.
9. Schedule for completion of PARs of IAS Officers

9.1 The following schedule should be strictly followed:

**Reporting Year – Financial Year**

<table>
<thead>
<tr>
<th>Activity</th>
<th>Cut-off dates</th>
</tr>
</thead>
<tbody>
<tr>
<td>Blank PAR form to be given to the officer reported upon by the Administration Division/Personnel Department, specifying the reporting officer and reviewing authority</td>
<td>1&lt;sup&gt;st&lt;/sup&gt; June</td>
</tr>
<tr>
<td>Filling in Section II by the officer reported upon</td>
<td>15&lt;sup&gt;th&lt;/sup&gt; June*</td>
</tr>
<tr>
<td>Appraisal by reporting authority</td>
<td>15&lt;sup&gt;th&lt;/sup&gt; July</td>
</tr>
<tr>
<td>Appraisal by reviewing authority</td>
<td>15&lt;sup&gt;th&lt;/sup&gt; August</td>
</tr>
<tr>
<td>Appraisal by accepting authority</td>
<td>15&lt;sup&gt;th&lt;/sup&gt; September</td>
</tr>
<tr>
<td>Disclosure to the officer reported upon</td>
<td>30&lt;sup&gt;th&lt;/sup&gt; September</td>
</tr>
<tr>
<td>Comments of the officer reported upon, if any (if none, transmission of the PAR to the DOPT)</td>
<td>15&lt;sup&gt;th&lt;/sup&gt; October</td>
</tr>
<tr>
<td>Forwarding of comments of the officer reported upon to the reviewing and the reporting authority by the accepting authority, in case the officer reported upon makes comments</td>
<td>31&lt;sup&gt;st&lt;/sup&gt; October</td>
</tr>
<tr>
<td>Comments of reporting authority</td>
<td>15&lt;sup&gt;th&lt;/sup&gt; November</td>
</tr>
<tr>
<td>Comments of reviewing authority</td>
<td>30&lt;sup&gt;th&lt;/sup&gt; November</td>
</tr>
<tr>
<td>Comments of accepting authority/PAR to be finalized and disclosed to him</td>
<td>15&lt;sup&gt;th&lt;/sup&gt; December</td>
</tr>
<tr>
<td>Representation to the Referral Board by the officer reported upon</td>
<td>31&lt;sup&gt;st&lt;/sup&gt; December</td>
</tr>
<tr>
<td>Forwarding of representation to the Referral Board along with the comments of reporting authority/reviewing authority and accepting authority</td>
<td>31&lt;sup&gt;st&lt;/sup&gt; January</td>
</tr>
<tr>
<td>Finalization by Referral Board if the officer reported upon represents against the decision of the Accepting Authority.</td>
<td>28&lt;sup&gt;th&lt;/sup&gt; February</td>
</tr>
<tr>
<td>Disclosure to the officer reported upon</td>
<td>15&lt;sup&gt;th&lt;/sup&gt; March</td>
</tr>
<tr>
<td>End of entire PAR Process</td>
<td>31&lt;sup&gt;st&lt;/sup&gt; March</td>
</tr>
</tbody>
</table>

*They are required to fill in only Section II - Declaration

9.2 The completed PAR should reach the Cadre Controlling Authorities by 31<sup>st</sup> March the following year. The Cadre Controlling Authority will prepare a list of PARs not received and follow up with the Secretaries of the concerned Ministries and Chief Secretaries of the respective States.

9.3 Secretary (Personnel) in the State and Establishment Officer in the Centre shall be the Nodal officers to ensure that the PARs of the members of Service, duly completed, are sent to the Cadre Controlling Authority by 31<sup>st</sup> March of the following year. They shall send a list each of the members of Service whose PARs are to be written and reviewed to the concerned Reporting/Reviewing/Accepting Authorities by 15<sup>th</sup> April every year to enable them to ensure completion of PARs within the time-schedule.

9.4 If a PAR relating to a financial year is not recorded by the 31<sup>st</sup> of December of the year in which the financial year ended, no remarks shall be recorded thereafter.
9.5. The Reporting Authority shall record his comments in the PAR of the officer reported upon within the stipulated time and send it to the Reviewing Authority along with a copy thereof to the nodal Authority.

9.6. The nodal officer shall evolve a suitable mechanism to ensure that the remarks of the Reporting, the Reviewing and the Accepting Authorities are recorded without fail by the dates given in the schedule below Para 9.1.

10. **Mapping of Departments to Domains**

<table>
<thead>
<tr>
<th>I. Agriculture and Rural Development</th>
</tr>
</thead>
<tbody>
<tr>
<td>1) Department of Agriculture &amp; Cooperation</td>
</tr>
<tr>
<td>3) Department of Animal Husbandry, Dairying &amp; Fisheries</td>
</tr>
<tr>
<td>5) Department of Rural Development</td>
</tr>
<tr>
<td>7) Department of Land Resources</td>
</tr>
<tr>
<td>9) Department of Food &amp; Public Distribution</td>
</tr>
<tr>
<td>11) Ministry of Food Processing Industries</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>II. Social Development</th>
</tr>
</thead>
<tbody>
<tr>
<td>1) Department of Health</td>
</tr>
<tr>
<td>3) Department of Ayurveda, Yoga &amp; Naturopathy, Unani, Siddha and Homeopathy (AYUSH)</td>
</tr>
<tr>
<td>5) Department of elementary education &amp; Literacy</td>
</tr>
<tr>
<td>7) Ministry of Social Justice &amp; Empowerment</td>
</tr>
<tr>
<td>9) Ministry of Overseas Indian Affairs</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>III. Culture and Information</th>
</tr>
</thead>
<tbody>
<tr>
<td>1) Ministry of Information &amp; Broadcasting</td>
</tr>
<tr>
<td>3) Ministry of Tourism</td>
</tr>
<tr>
<td>5) Ministry of Youth Affairs &amp; Sports</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>IV. Natural Resource Management</th>
</tr>
</thead>
<tbody>
<tr>
<td>1) Ministry of Environment &amp; Forests</td>
</tr>
<tr>
<td>3) Department of Ocean Development</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>V. Energy and Environment</th>
</tr>
</thead>
<tbody>
<tr>
<td>1) Department of Atomic energy</td>
</tr>
<tr>
<td>3) Ministry of Coal</td>
</tr>
<tr>
<td>5) Ministry of Power</td>
</tr>
</tbody>
</table>
### VI. Communication Systems and Connectivity Infrastructure
1) Ministry of Civil Aviation  
2) Department of Information Technology  
3) Department of Telecommunication  
4) Department of Posts  
5) Department of Road Transport & Highways  
6) Department of Shipping

### VII. Public Finance & Financial Management
1) Department of Disinvestment  
2) Department of Expenditure  
3) Department of Economic Affairs  
4) Department of Revenue  
5) Ministry of Company Affairs  
6) Planning Commission  
7) Ministry of Statistics & Programme Implementation

### VIII. Industry and Trade
1) Department of Industrial Policy & Promotion  
2) Department of Chemicals & Petrochemicals  
3) Department of Commerce  
4) Department of Heavy Industries  
5) Department of Fertilizers  
6) Ministry of Textiles  
7) Department of Public Enterprises  
8) Ministry of Small Sale Industries

### IX. Internal Affairs and Defence
1) Department of Defence  
2) Department of Defence Production  
3) Department of Defence Research & Development  
4) Department of Ex-Servicemen Welfare  
5) Department of Internal Security  
6) Department of States  
7) Department of Official Language  
8) Department of Home  
9) Department of Jammu & Kashmir Affair  
10) Department of Border Management  
11) Ministry of Development of North Eastern Region

### X. Housing & Urban Affairs
1) Ministry of Urban Development

### XI. Personnel & General Administration, Governance Reform, Regulatory Systems
1) Department of Personnel & Training  
2) Department of Administrative Reforms & Public Grievances  
3) Department of Pensions & Pensioners Welfare  
4) Department of Legal Affairs  
5) Legislative Department  
6) Department of Justice  
7) Cabinet Secretariat  
8) Ministry of Labour & Employment  
9) President’s Secretariat  
10) Ministry of Parliamentary Affairs  
11) Prime Minister’s Office  
12) UPSC  
13) Election Commission

### XII. Science & Technology
1) Department of Science & Technology  
2) Department of Scientific & Industrial Research  
3) Department of Bio-Technology  
4) Department of Space
Form III

[See rule 4]

The All India Services (Performance Appraisal Report) Rules, 2007

[Applicable for IAS officers who are on deputation under Rule 6(2)(ii)]

Performance Appraisal Report for the period from ________ to _________

Section I – Basic Information

(To be filled in by the Administration Division/Personnel Department)

1. Name of the officer reported upon: ________________________


5. Date of Birth: ________________________

6. Present Grade: ________________________

7. Present post: ________________________

8. Date of appointment to present post: ________________________

9. Reporting, Reviewing and Accepting Authorities

<table>
<thead>
<tr>
<th>Name &amp; Designation</th>
<th>Period worked</th>
</tr>
</thead>
<tbody>
<tr>
<td>Reporting Authority</td>
<td></td>
</tr>
<tr>
<td>Reviewing Authority</td>
<td></td>
</tr>
<tr>
<td>Accepting Authority</td>
<td></td>
</tr>
</tbody>
</table>

10. Period of absence on leave, etc.

<table>
<thead>
<tr>
<th>Period</th>
<th>Type</th>
<th>Remarks</th>
</tr>
</thead>
<tbody>
<tr>
<td>On Leave (specify type)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Others (specify)</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
11. Training Programs attended

<table>
<thead>
<tr>
<th>Date from</th>
<th>Date to</th>
<th>Institute</th>
<th>Subject</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

12. Awards/Honours

|                                               |
|                                               |
|                                               |
|                                               |

13. Details of PARs of AIS officers not written by the officer as reporting/reviewing authority for the previous year

|                                               |
|                                               |
|                                               |
|                                               |

14. Date of filing the property return for year ending December

15. Date of last prescribed medical examination (Attach copy of Part ‘C’ of Report)

Signature on behalf of__________________________

Date:        Admn/Personnel Dept
Section II – Self Appraisal

1. Brief description of duties:
(Objectives of the position you hold and the tasks you are required to perform, in about 100 words)

2. Annual work plan and achievement:

<table>
<thead>
<tr>
<th>Tasks to be performed</th>
<th>Deliverables</th>
<th>Actual Achievement</th>
</tr>
</thead>
</table>

[1] Deliverables refer to quantitative or financial targets or verbal description of expected outputs.

[2] Actual achievement refers to achievement against the specified deliverables in respect of each task (as updated at mid-year). No explanations for divergences are to be given in this table.

[3] Initial listing of deliverables are to be finalized within 1 month of the start of the period under report.

[4] Mid year listing of deliverables are to be finalized within 6 months of the start of the period under report.
3. During the period under report, do you believe that you have made any exceptional contribution? If so, please give a verbal description (within 100 words):

4. Declaration

<table>
<thead>
<tr>
<th>Question</th>
<th>Yes/No</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Have you filed your immovable property return, as due. If yes, please mention date.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Have you undergone the prescribed medical check up?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Have you set the annual work plan for all officers for the current year, in respect of whom you are the reporting authority?</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Signature of officer reported upon ________________________

Date:
Section III

Appraisal

1. Assessment of Attributes (This assessment should rate the officer vis-à-vis his peers and not the general population. Grades should be assigned on a scale of 1-10, in whole numbers, with 1 referring to the lowest grade and 10 to the best grade). 70% weightage will be assigned to this item.

<table>
<thead>
<tr>
<th>Attribute</th>
<th>Reporting officer</th>
<th>Reviewing officer</th>
<th>Initial of Reviewing Officer</th>
</tr>
</thead>
<tbody>
<tr>
<td>i) Attitude to work</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>ii) Decision making ability</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>iii) Initiative</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>iv) Ability to inspire and motivate</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>v) Strategic Planning ability/innovativeness</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>vi) Coordination ability</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Overall grading on attributes</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

2. Assessment of work output (This assessment should rate the officer vis-à-vis his peers and not the general population. Grades should be assigned on a scale of 1-10, in whole numbers, with 1 referring to the lowest grade and 10 to the best grade. 30% weightage will be assigned to this item.)

<table>
<thead>
<tr>
<th>Work Output</th>
<th>Reporting officer</th>
<th>Reviewing officer</th>
<th>Initial of Reviewing Officer</th>
</tr>
</thead>
<tbody>
<tr>
<td>i. Accomplishment of Planned Work</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>ii. Quality of Output</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>iii. Accomplishment of unforeseen tasks/exceptional work during the period</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Overall Grading on 'Work Output'</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

3. Integrity

Please comment on the integrity of the officer, keeping in mind both his financial integrity and his moral integrity.
4. Pen picture by the Reporting Authority. Please comment (in about 100 words) on the overall qualities of the officer including areas of strengths and lesser strengths.

5. Recommendation relating to domain assignment (Please tick mark any four).

<table>
<thead>
<tr>
<th>Agriculture and Rural Development</th>
<th>Public Finance &amp; Financial Management</th>
</tr>
</thead>
<tbody>
<tr>
<td>Social Development</td>
<td>Industry and Trade</td>
</tr>
<tr>
<td>Culture and Information</td>
<td>Internal Affairs and Defence</td>
</tr>
<tr>
<td>Natural Resource Management</td>
<td>Housing &amp; Urban Affairs</td>
</tr>
<tr>
<td>Energy and Environment</td>
<td>Personnel &amp; General Administration, Governance Reform, Regulatory Systems</td>
</tr>
<tr>
<td>Communication Systems and Connectivity Infrastructure</td>
<td>Science &amp; Technology</td>
</tr>
</tbody>
</table>

6. Overall Grade on a scale of 1-10

Signature of Reporting Authority___________

Date:
Section IV – Review

1. Do you agree with the assessment made by the reporting officer with respect to the work output and the various attributes in section III? Do you agree with the assessment of the reporting officer in respect of extraordinary achievements and/or significant failures of the moS / officer reported upon?

(In case you do not agree with any of the numerical assessments of attributes please record your assessment in the column provided for you in that section and initial your entries)

Yes  No

2. In case of difference of opinion details and reasons for the same may be given.
3. Please record a pen-picture of the Officer reported upon in about 100 words on the overall qualities of the officer including areas of strengths and lesser strengths.
4. Recommendation relating to domain assignment (Please tick mark any four)

<table>
<thead>
<tr>
<th>Agriculture and Rural Development</th>
<th>Public Finance &amp; Financial Management</th>
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</thead>
<tbody>
<tr>
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</tr>
<tr>
<td>Communication Systems and Connectivity Infrastructure</td>
<td>Science &amp; Technology</td>
</tr>
</tbody>
</table>

5. Overall Grade on a scale of 1-10.  

Signature of Reviewing Authority__________________

Date:
Section VI – Acceptance

1. Do you agree with the remarks of the reporting/reviewing authorities?

   Yes  No

2. In case of difference of opinion details and reasons for the same may be given.

3. Overall Grade on a scale of 1-10. 

   

Date         Signature of Accepting Authority________________
General guidelines for filling up the PAR form for IAS officers who are on deputation under Rule 6(2) (ii)

1. Introduction

1.1. 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, the Reviewing Authority and the Accepting Authority should, therefore, undertake the duty of filling up the form with a high sense of responsibility.

1.2. 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/her true potential. It is not meant to be a faultfinding 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.

1.3. 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.

1.4. Although the actual documentation of performance appraisal is a year-end exercise, in order that it may be a tool for human resource development, career planning and training, rather than a mere judgmental exercise, the Reporting Authority and the officer reported upon should meet during the course of the year at regular intervals to review the performance and to take necessary corrective steps.

2. Section-I

2.1. This Section should be filled up in the Administration Division/Personnel Deptt. Period of report could either be the entire reporting year, namely, from 1st of April to 31st March or a part of the year (exceeding 3 months). In case the period of report is a full year, it should be indicated accordingly; for example, 2007-2008. In case the period of report is less than the entire year, specific start and end dates should be indicated, for example, 10th September 2007 – 31st March 2008.

2.2. Information on the present grade (pay-scale) as well as present post (actual designation and organization) and the date from which he/she has been on his/her present post needs to be mentioned.

2.3. In the table relating to reporting, reviewing and accepting authorities the name and designation of the reporting, reviewing and accepting authorities should be mentioned so that the officer reported upon is clear about whom he/she is required to send the report to.
2.4 The period of absence from duty, on leave, training, or for other reasons, should also be mentioned in this section in the table provided for the purpose. Details of the training attended date of filing of property returns and whether the officer reported upon has reported/reviewed should be mentioned in the table for the purpose and annual performance report of all his/her subordinate officers for the previous year.

2.5 This Section provides for regular annual medical examination. The health check may be mandatory for all officers above the age of 40 and may be totally dispensed with officers below the age of 40, except in case of medical incident. A copy of Part C of the health check up report is to be attached to the PAR Form by the Admin./Personnel Deptt. and a copy provided to the member of the Service. The format of the health check up is given in Annexure IV.

3. Section-II

3.1 The officer reported upon is first required to give brief description of his/her duties and responsibilities, which would normally not exceed about 100 words. Ideally, this should be in bullet form.

3.2 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 relative annual work rhythm and budgetary cycle. This exercise is to be carried out at the beginning of the year and finalized by 30th April, positively. In case of a change of the reporting officer during the year, the work plan agreed with the previous reporting officer would continue to apply. The work plan agreed upon at the beginning of the year has to be reviewed again during the month of September/October as a mid-year exercise and finalized by 31st October. Based on this review the work plan may undergo some changes from that originally prepared.

3.3 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. The period spent by the officer during the year and his contribution could be considered for evaluating his performance against the work plan. In the case of mid-term transfers, continuity and assessment of work and the lower performance profile in the first quarter should be taken into consideration.

3.4 The work plans, duly signed by the officer reported upon and the reporting authority has to be submitted to the reviewing authority for his/her perusal and custody. The performance appraisal form provides for an assessment of the accomplishments vis-à-vis the work plan agreed at the commencement of the year and reviewed mid-year. The officer reported upon is required to fill up the table provided for the purpose in Section-II.

3.5 It is not necessary that the work plan should be entirely quantitative in nature. While for field level posts, the work plan would consist essentially of quantifiable targets, for secretarial level posts it would consist of policy objectives to be achieved etc.
4. **Section-III**

4.4 The reporting authority is required to record a numerical grade in respect of certain attributes and work output.

4.5 This Section requires the reporting authority to record a numerical grade in respect of the work output of the officer reported upon both in respect of the planned work as well as the unforeseen tasks. A numerical grade is also required in respect of the “quality” of the output. In doing so, the reporting authority should take into account the costs incurred (whether the officer reported upon has been cost conscious), the time taken and whether the laid down rules/procedures have been adhered to in accomplishing the tasks.

4.6 Section III requires the reporting authority to comment on the integrity of the officer reported upon. In recording remarks with regard to integrity, he/she need not limit him/herself only to matters relating to financial integrity but could also take into account the moral and intellectual integrity of the officer reported upon. The following procedure should be followed in filling up the 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, the column should be left blank and action taken as under:

(a) A separate secret note should be recorded and followed up. A copy of the note should also be sent together with the **Performance Appraisal Report** to the next superior officer who will ensure that the follow up action is taken expeditiously. Where it is not possible either to certify the integrity or to record the secret note, the Reporting Officer should state either that he/she had not watched the officer’s work for sufficient time to form a definite judgment or that he/she has heard nothing against the officer, as the case may be.

(b) If, as a result of the follow up action, the doubts or suspicions are cleared, the officer’s integrity should be certified and an entry made accordingly in the **Performance Appraisal Report**.

(c) If the doubts or suspicions are confirmed, this fact should also be recorded and duly communicated to the officer concerned.

(d) If as a result of the follow up action, the doubts or suspicions are neither cleared nor confirmed, the officers conduct should be watched for a further period and thereafter action taken as indicated at (b) and (c) above.

4.4 The reporting authority is also required to record a descriptive pen-picture on the overall qualities of the officer reported upon and his/her **performance** including areas of strengths and lesser strengths. This need not exceed about 100 words and should try to cover overall qualities of the officer including areas of strengths and lesser strengths. The pen-picture is also meant to be a qualitative supplement to the quantitative assessments made earlier part of this section.
4.5 The reporting authority is then required to make recommendations relating to domain assignment. The list of domains is at para 9.

4.6 Finally, the reporting authority is required to record an overall grade. This should also be done on a scale of 1-10, with 1 referring to the lowest grade and 10 to the highest.

5. Section-IV

5.1 This Section is to be filled up by the reviewing authority. He/she is required to indicate if he/she agrees with the assessments made by the reporting officer. In case of disagreement, he/she may record his/her own assessment against the work output or any of the attributes in the column specifically provided for the purpose. In case of agreement, he/she need not fill in the column meant for him/her in the attributes/work output tables.

5.2 The reviewing authority is required to record a pen-picture, not exceeding about 100 words, including areas of strengths and lesser strengths and recommendations relating to domain assignment. Finally he/she is required to record an overall grade in the scale of 1-10.

6. Section-V

6.1 This Section is to be filled by the accepting authority. He/she is required to indicate if he/she agrees with the assessments made by the reporting authority/reviewing authorities. In case of difference of opinion, he/she is required to give details and reasons for the same in the column specifically provided for the purpose in the table in Section V.

7. Numerical Grades

7.1 At several places, numerical grades are to be awarded by reporting and review authorities. These should be on a scale of 1-10, where 1 refers to the lowest grade and 10 to the highest. It is expected that any grading of 1 or 2 (against work output or 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. Grades of 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 or would have worked under them in the past.

7.2 Weightage & Mean

Weights have been assigned to attributes and work output. The overall grade will be based on the addition of the mean value of each group of indicators/descriptive picture in proportion to weightage assigned.

8. Schedule for completion of PARs of IAS Officers

The completed PAR should reach the Cadre Controlling Authorities by 31st March the following year. The Cadre Controlling Authority will prepare a list of PARs not received and follow up with the concerned organisations.
9. Mapping of Departments to Domains

<table>
<thead>
<tr>
<th>I. Agriculture and Rural Development</th>
<th>II. Social Development</th>
</tr>
</thead>
<tbody>
<tr>
<td>1) Department of Agriculture &amp; Cooperation</td>
<td>1) Department of Health</td>
</tr>
<tr>
<td>2) Department of Agricultural Research &amp; Education</td>
<td>2) Department of Family Welfare</td>
</tr>
<tr>
<td>3) Department of Animal Husbandry, Dairying &amp; Fisheries</td>
<td>3) Department of Ayurveda, Yoga &amp; Naturopathy, Unani, Siddha and Homeopathy (AYUSH)</td>
</tr>
<tr>
<td>4) Ministry of Agro &amp; Rural Industries</td>
<td>4) Department of Secondary &amp; Higher Education</td>
</tr>
<tr>
<td>5) Department of Rural Development</td>
<td>5) Department of elementary education &amp; Literacy</td>
</tr>
<tr>
<td>6) Ministry of Panchayati Raj</td>
<td>6) Department of Women &amp; Child Development</td>
</tr>
<tr>
<td>7) Department of Land Resources</td>
<td>7) Ministry of Social Justice &amp; Empowerment</td>
</tr>
<tr>
<td>8) Department of Drinking Water Supply</td>
<td>8) Department of Urban Employment &amp; Poverty Alleviation</td>
</tr>
<tr>
<td>9) Department of Food &amp; Public Distribution</td>
<td>9) Ministry of Overseas Indian Affairs</td>
</tr>
<tr>
<td>10) Department of Consumer Affairs</td>
<td></td>
</tr>
<tr>
<td>11) Ministry of Food Processing Industries</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>III. Culture and Information</th>
</tr>
</thead>
<tbody>
<tr>
<td>1) Ministry of Information &amp; Broadcasting</td>
</tr>
<tr>
<td>3) Ministry of Tourism</td>
</tr>
<tr>
<td>5) Ministry of Youth Affairs &amp; Sports</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>IV. Natural Resource Management</th>
</tr>
</thead>
<tbody>
<tr>
<td>1) Ministry of Environment &amp; Forests</td>
</tr>
<tr>
<td>3) Department of Ocean Development</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>V. Energy and Environment</th>
</tr>
</thead>
<tbody>
<tr>
<td>1) Department of Atomic energy</td>
</tr>
<tr>
<td>3) Ministry of Coal</td>
</tr>
<tr>
<td>5) Ministry of Power</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>VI. Communication Systems and Connectivity Infrastructure</th>
</tr>
</thead>
<tbody>
<tr>
<td>1) Ministry of Civil Aviation</td>
</tr>
<tr>
<td>3) Department of Telecommunication</td>
</tr>
<tr>
<td>5) Department of Road Transport &amp; Highways</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>VII. Public Finance &amp; Financial Management</th>
</tr>
</thead>
<tbody>
<tr>
<td>1) Department of Disinvestment</td>
</tr>
<tr>
<td>3) Department of Economic Affairs</td>
</tr>
<tr>
<td>5) Ministry of Company Affairs</td>
</tr>
<tr>
<td>7) Ministry of Statistics &amp; Programme Implementation</td>
</tr>
</tbody>
</table>
### VIII. Industry and Trade

1) Department of Industrial Policy & Promotion  
3) Department of Commerce  
5) Department of Fertilizers  
7) Department of Public Enterprises

2) Department of Chemicals & Petrochemicals  
4) Department of Heavy Industries  
6) Ministry of Textiles  
8) Ministry of Small Sale Industries

### IX. Internal Affairs and Defence

1) Department of Defence  
3) Department of Defence Research & Development  
5) Department of Internal Security  
7) Department of Official Language  
9) Department of Jammu & Kashmir Affairs  
11) Ministry of Development of North Eastern Region

2) Department of Defence Production  
4) Department of Ex-Servicemen Welfare  
6) Department of States  
8) Department of Home  
10) Department of Border Management

### X. Housing & Urban Affairs

1) Ministry of Urban Development

### XI. Personnel & General Administration, Governance Reform, Regulatory Systems

1) Department of Personnel & Training  
3) Department of Pensions & Pensioners Welfare  
5) Legislative Department  
7) Cabinet Secretariat  
9) President's Secretariat  
11) Prime Minister's Office  
13) Election Commission

2) Department of Administrative Reforms & Public Grievances  
4) Department of Legal Affairs  
6) Department of Justice  
8) Ministry of Labour & Employment  
10) Ministry of Parliamentary Affairs  
12) UPSC

### XII. Science & Technology

1) Department of Science & Technology  
3) Department of Bio-Technology

2) Department of Scientific & Industrial Research  
4) Department of Space
Form IIIA

[See rule 4]

The All India Services (Performance Appraisal Report) Rules, 2007

PERFORMANCE REPORT ON STUDY LEAVE/LEAVE FOR STUDY

(Applicable for IAS Officers)

(For the year/period ending_______________________)

A. PERSONAL DATA

1. Name of the Officer
2. Cadre/year of allotment
3. Date of Birth
4. Present Grade Date
5. Study Leave/Leave Details
   a) Course
   b) Institution
   c) Duration
6. Period of Sanctioned Leave
7. Details of Degree/Certificate/Diploma and Evaluation obtained during the period (copies to be enclosed)
8. Date of Filing Annual Property Returns
B. SELF ASSESSMENT:

Officer’s Signature __________________
Date:_________________________

To be filled in duplicate and submitted to Cadre Controlling Authorities in the State and the Central Government.
Form III B

[See rule 4]

The All India Services (Performance Appraisal Report) Rules, 2007

PERFORMANCE REPORT ON TRAINING

(Applicable for IAS Officers)

(For the year/period ending_______________________)

A. PERSONAL DATA

<p>| | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Name of the Officer</td>
<td></td>
</tr>
<tr>
<td>2. Service/Cadre/year of allotment</td>
<td></td>
</tr>
<tr>
<td>3. Date of Birth</td>
<td></td>
</tr>
<tr>
<td>4. Present Grade</td>
<td>Date</td>
</tr>
<tr>
<td>5. Training Details</td>
<td></td>
</tr>
<tr>
<td>a) Course</td>
<td></td>
</tr>
<tr>
<td>b) Institution</td>
<td></td>
</tr>
<tr>
<td>c) Duration</td>
<td></td>
</tr>
<tr>
<td>6. Details of Degree/Certificate/Diploma and Evaluation obtained during the period (copies to be enclosed)</td>
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</tr>
<tr>
<td>7. Date of Filing Annual Property Returns</td>
<td></td>
</tr>
</tbody>
</table>
B. SELF ASSESSMENT: -

Officer’s Signature __________________
Date: ________________________

To be filled in duplicate and submitted to Cadre Controlling Authorities in the State and the Central Government.
The All India Services (Performance Appraisal Report) Rules, 2007

PROFORMA FOR HEALTH CHECK UP

Date:

Name      Age       Sex: M/F

**Brief clinical history, if any:**

Female Officers

Detailed menstrual history & History of LMP including date of last confinement

**A: Examination**

Physical      Systemic

**Investigations:**

**Haemogram**

Hb%

TLC

DLC

Peripheral Smear
**Blood Sugar**

F

P.P

**Lipid Profile**

Total Cholesterol

HDL Cholesterol

LDL Cholesterol

VLDL Cholesterol

Triglyceride
Liver Function Test

Total Bilirubin

Direct Bilirubin

Indirect Bilirubin

SGOT

SGPT

ALK Phosphatase

Kidney Function Test

Urea

Creatinine

Uric Acid

Electrolytes

Na+
K
Calcium
Inorganic Phosphates
Cardiac Profile

CPK

CK-MB

LDH

SGOT

PSA

PAP Smear

Mammography+

Urine

Routine Microscopic

Sugar
### Albumin

**E.C.G**

**X-ray Chest**

**Ultra Sound Abdomen**

**Any other Investigation**

**Advise**

### B: Medical Report of the Officer

|   | 
|---|---|
| 1. | Haemoglobin level of the officer Normal/Low | Normal/High/Low |
| 2. | Blood Sugar level | Satisfactory/Normal/High/Low |
| 3. | Cholesterol level of the officer | Normal/High/Low |
| 4. | Liver functioning | Satisfactory/normal/dysfunctioning |
| 5. | Kidney Status | Normal/Both-one kidney not functional optimally |
| 6. | Cardiac Status | Normal/enlarged/blocked/not normal |
| 7. | In case of female officer, if the Gynae and Memographic check up is normal? | Normal/below normal |

### C: Summary of Medical Report (copy to be attached to PAR)

|   | 
|---|---|
| 1. | Overall Health of the officer | Excellent /Very Good/Good/Average |
| 2. | Any other remarks based on the health medical check up of the officer | 
| 3. | Health profile grading | Excellent /Very Good/Good/Average |

Date

Signature of Medical Authority

Designation*

(G.C. Pandey)

Under Secretary to the Government of India

[No. 11059/18/2002-AIS-III]

---

*Signature and Designation Details*

---

*Report No. 37*
To
The Manager,
Govt. of India Press,
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(G.C. Pandey)
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ANNEXURE - 4

TRAINING APPRAISERS IN PERFORMANCE MANAGEMENT SKILLS

Performance management is an important responsibility of a Superior Officer who acts as an Appraiser (as a Reporting Officer or a Reviewing / Accepting Officer). It is essential that the Appraisers be trained to develop their performance management competencies so that they manage the staff performance well and help PWD accomplish its goals. Training programs will be required firstly, to inform the Appraisers about the revised system and their role and responsibilities, preferably through a participatory process to obtain their buy-in and commitment to implement the system in a robust manner. Secondly, special training workshops would be targeted to develop their competencies relating to performance management.

1.1 Competencies required for Effective Performance Management

Managing staff performance includes:

- planning work and setting expectations,
- monitoring and measuring performance,
- developing the capacity to perform,
- periodically rating performance in a summary fashion, and
- recognizing and rewarding good performance.

Practicing good performance management requires proficiency in certain competencies. Competencies are observable, measurable patterns of skills, knowledge, abilities, behaviors, and other characteristics that an individual needs to perform work roles or occupational functions successfully. Performance management competencies that all supervisors should develop and demonstrate include:

- **Communicating**- Establishing and maintaining effective communications with each staff not only requires good oral and written communication skills, but it also includes the ability to establish good working relationships. To communicate effectively with staff, supervisors must establish an environment that promotes an open door atmosphere, the sharing of ideas, and staff involvement in decision making processes.

- **Setting Goals**- Setting long- and short-term goals with staff gives focus to staff efforts. When goal setting is done correctly, staff strive to accomplish those goals and feel confident in achieving them. Knowing how to set goals effectively is an important part of performance management. To do this well, supervisors need to be able to clarify expectations and to set realistic standards and targets.

- **Measuring Staff Performance**- Credible measures of performance that staff understand and accept are critical for achieving high-level performance. Measuring staff accomplishments, using both qualitative and quantitative measures, provides the information that supervisors and staff need in order to monitor performance.
• **Giving Feedback** - Feedback should inform, enlighten, and suggest improvements to staff regarding their performance. Supervisors should describe specific work related behaviour or results they have observed as close to the event as possible.

• **Identifying Training Needs, Coaching and Developing** - Using their coaching skills, supervisors evaluate and address the developmental needs of their staff and help them select diverse experiences to gain necessary skills. Supervisors and staff create development plans that might include training, new assignments, job enrichment, self-study, or work details.

• **Recognizing** - Effectively recognizing staff is another performance management competency. Being able to genuinely acknowledge a job well done is critical for strengthening staff's commitment to do their best. Supervisors should be skilled at using formal awards programs as well as using informal recognition techniques, including personal thank you’s and voicing verbal appreciation in staff meetings.

### 1.2 Developing Performance Management Competencies

#### 1.2.1 Communication Skills

Excellent communication skills are essential for good performance management. They are important competencies used in the entire performance management process, from planning and communicating work expectations to recognizing staff for their successful achievements. To communicate effectively with staff, performance managers must:

- establish strong working relationships with staff,
- promote easy access to information and feedback,
- promote staff involvement in planning and development activities, and
- recognize and praise top performers.

#### 1.2.2 Relationships

Establishing an effective working relationship with each staff takes time and effort. The best managers make certain each staff feels connected and valued. Competent managers individualize their efforts to communicate with staff, recognize staff’s strengths, and support their development. According to Buckingham and Coffman, in their book, Break All the Rules, "...helping a staff excel lies in the details: the details of his particular recognition needs, of his relationship needs, of his goals, and of his talents/non-talents." It is clear that to keep talented and productive staff, managers must clarify expectations, give staff the opportunity to do their best, recognize and praise them, and encourage individuals to develop their skills. These actions help build good working relationships.

#### 1.2.3 Continuous Feedback and Coaching

Successful performance managers develop a routine that includes frequent, in-depth discussions about performance with staff, as often as once a quarter, according to a Gallup survey. The routine should remain simple and the informal conversation should center on how both the staff and supervisor view the staff's performance and development. The meetings should focus on the future and on what "could be" as well as on the past. Asking specific questions to help the staff along can be important. Such questions might include:
• What have you accomplished?
• How did you measure accomplishments?
• What do you want to accomplish in the next few months?
• What measurements might you use for those accomplishments?
• What has to be done?
• How can I help?

These types of open-ended questions are key to engaging staff in assessing their performance and giving them appropriate feedback. Feedback should include the manager's observations, as well as a variety of performance data. Managers need to be clear on the purpose of this feedback-to inform, enlighten, and suggest improvements where needed.

1.2.4 Staff Participation in the Process - As part of these ongoing planning and development meetings, managers should involve staff in the performance assessment and planning dialog. Not only is it important for staff to keep track of their own performance, it also is important for them to take responsibility for learning and developing. As Dorothy Leeds emphasizes in Smart Questions, "People remember best those things they discover, learn, and experience themselves."

1.2.5 Recognition - Praising and recognizing staff involves another important communication skill. For some managers, giving praise and recognition is difficult. Yet various studies indicate that staff value personalized, spur of the moment recognition for their contributions. To be effective in recognizing staff, managers need to:

• deliver recognition in an open, public way;
• tailor recognition to the unique needs of individuals;
• recognize close to the time of the achievement; and
• establish a clear connection between accomplishments and recognition.

According to Rosabeth Moss Kanter, "Recognition is so easy to do and so inexpensive to distribute, there is simply no excuse for not doing it...Recognition signifies someone noticed and someone cares". At the same time, recognition communicates what the organization values that is, what great performance looks like.

1.3 Role of Managers in Enhancing Performance - Managers play their most important role when they set the stage for good performance. By understanding the factors that contribute to performance, management can focus on those factors to improve the results their staff and organizations achieve.

Staff performance is the accomplishment of work assignments or responsibilities. Organizational performance is the accomplishment of organizational goals. To achieve good performance, organizations and staff must have the capacity and the commitment to perform. Written as a formula, this concept can be expressed as:
Performance = Capacity x Commitment

Note that performance is the product of two factors—capacity and commitment. If either one of these factors is zero, the result is zero. In addition, the relationship of capacity to commitment in this equation means that adjustments to either factor will affect performance. Knowing this, managers can analyze various factors of the equation and address those areas that are weak to improve the result of the equation: performance.

1.3.1 Keys to Enhance Capacity of Staff - Capacity. In a work setting, the capacity to perform means having available the competencies, the resources, and the opportunity to complete the job. If staff are missing these, the work will not get done and the results will not be achieved. In other words:

Capacity = Competencies x Resources x Opportunity

- **Competencies** - Competencies are sets of measurable skills, knowledge, behaviours, and personal attributes critical to successful performance. Staff must have the right competencies in order to complete a job satisfactorily. Organizational leaders must pay close attention to this factor in the performance equation. They should carefully determine which competencies are important to achieving the results set out in strategic and performance plans so that they can hire the best people for the job, make effective work assignments, and establish individual development plans for staff that focus on the most important competencies.

- **Resources** - Staff must be given the resources they need to do their jobs. A key management responsibility is to ensure staff have a work environment that contains the tools they need to be effective. If staff have all the competencies needed to complete the job, but lack the resources to perform, the job will not get done. For example, customer service representatives who do not have working phones at their desk will not be able to call their customers.

- **Opportunity** - Staff may have the competencies and the resources to do the job, but may never be given the opportunity to perform. For example, a public relations specialist assigned to facilitate public forums will not have the opportunity to perform that assignment if no public forums are held. Supervisors should be aware when situations arise that prevent a competent staff from performing assigned duties well.

- **Commitment** - In a work setting, commitment means, at a minimum, that a staff agrees to complete assigned work and meet or exceed specific standards of quality, quantity, and timeliness that add value to the organization and its results. The level of staff commitment to the job is often the key determinant of whether a staff performs marginally or exceeds expectations.

Methods for gaining staff commitment include:

- setting clear goals for staff that require effort to achieve but are reachable;
- showing staff how they fit into the "big picture" of the organization’s mission and how their work helps the organization accomplish its goals;
• involving staff and their representatives in decision-making processes that affect how the work gets done as well as the quality of work life;
• measuring performance and results using credible measures that staff understand and accept;
• using staff input to develop staff performance plans;
• creating a work climate where staff feel valued; and
• recognizing and rewarding—formally and informally—staff achievements.

Obtaining and maintaining staff commitment can be the most challenging factor of the performance formula. But practicing good performance management techniques offers supervisors and managers the ways and means to sustain and improve that commitment and thereby further leverage their staff’s capacity to perform.

### 1.3.2 The Power of Positive Feedback

"You get what you reward." Bob Nelson, author of 1001 Ways to Reward Staff, made this statement during the "Transformations 97" post-conference workshop, "Making Effective Use of Staff Recognition." Nelson particularly stressed the value of positive feedback, immediate recognition, informal recognition, and effective program design.

**Positive Feedback**- Nelson emphasized positive feedback throughout the workshop and said supervisors should remember that it can be a motivating force for some staff. He suggested that when delivering feedback or presenting informal recognition, supervisors should remember to use the "I" format:

- I saw what you did
- I appreciate it
- It's important
- It makes me feel....

Immediate Recognition. Nelson suggested three different methods that supervisors or managers can use to give their staff immediate recognition:

- give the praise or recognition directly to the staff;
- give the praise while another staff is present; or
- give the praise about the staff to another manager or supervisor.

**Informal Recognition**- While on-the-spot praise is an immediate and easy method of recognizing staff performance, Nelson noted other ways that staff could be given informal recognition. He gave several effective, low cost, and easy-to-do examples: create a wall of fame by displaying photos of achievers, give certificates of appreciation, present balloons, display computer banners, give award pins, or create a special award. Nelson said that designers of low-cost awards programs should be creative, the award should match the achievement, and the award should be given as soon as possible after the achievement.
1.3.3 Designing a Recognition Programs

- Focus on a few areas or goals that will have the most impact. Where should you direct your recognition efforts?
- Involve your target staff group in the design process. Staff input helps to gain staff buy-in for the new program.
- Announce the awards program with a fanfare. Let everyone know about the program.
- Make the program criteria clear. Make sure everyone knows about the program, its criteria, and the nomination process.
- Publicly track the process of the program. Use graphs, charts, and pictures to show that goals are being met, to track program activity, and to show who its recipients are.
- Have lots and lots of qualifying recipients. Make sure everyone has an equal chance to receive recognition, not just a select few.
- Allow for flexibility and choice of rewards. Have a variety of awards so managers have several choices.
- End or review the program as needed. If the program is not working, it is better to end it quickly and develop a new one.
- Link informal and formal awards. Ensure that informal awards are in line with the formal awards structure; do so by making informal awards a subset of the formal awards programs already in place.
- Find ways to sustain the behaviour. Once you have rewarded staff for their efforts, look for other ways to maintain their motivation.

"While money is important to staff, what tends to motivate them to perform and to perform at higher levels is the thoughtful, personal kind of recognition that signifies true appreciation for a job well done.

1.4 Method of Training the Appraisers

It is necessary that the appraises be trained in Appraisal skills through interactive & participative workshops. A typical workshop on the above may be run over one full day or through two half-day sessions, facilitated by an experienced facilitator."