

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, 2007-08. 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 for officers below the age of 40, except in case of medical incident. A copy of the summary of the medical report is to be attached to the PAR form by the Admin. / Personnel Deptt. The format of the health check up and the summary of medical report will be as circulated by the cadre controlling authority, after consultation with the ministry of Health & Family Welfare.

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 previous reporting officer would continue to apply. The work plan agreed upon at the beginning of the year has been reviewed again during the month of September/October as at 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 successful organization of a major event like the Kumbha 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 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 in 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 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, the 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 mean 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. Finally, the reviewing authority 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 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
Upto Rs.15,100/- to 18,300/-

Activity	Cut-off dates	
	Below Super Time Scale	Super Time Scale
Blank PAR form to be given to the officer reported upon by the Administration Division/Personnel Department, specifying the reporting officer and reviewing authority.	1 st April	1 st may
Self appraisal for current year	30 th April	31 st May
Appraisal by reporting authority	31 st May	30 th June
Appraisal by reviewing authority	30 th June	31 st July
Appraisal by accepting authority	31 st July	31 st August
Disclosure to the officer reported upon	15 th August	15 th September
Comments of the officer reported upon, if any(if non, transmission of the PAR to the DOPT)	31 st August	30 th September
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.	15 th September	15 th October
Comments of reporting authority.	30 th September	31 st October
Comments of reviewing authority.	15 th October	15 th November
Comments of accepting authority/PAR to be finalized and disclosed to the officer reported upon.	31 st October	30 th November
Representation to the Referral Board by the officer reported upon.	30 th November	31 st December
Forwarding of representation to the Referral Board along with the comments of reporting authority/reviewing authority and accepting authority.	15 th December	15 th January
Finalisation by Referral Board if the officer reported upon represents against the decision of the Accepting Authority.	15 th January	15 th February
Disclosure to the officer reported upon.	31 st January	28 th February
End of entire PAR Process.	31 st March	31 st March

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 year 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 members 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

I. Agriculture and Rural Development	
1) Department of Agriculture & Cooperation.	2) Department of Agricultural Research & Education
3) Department of Animal Husbandry, Dairying & Fisheries.	4) Ministry of Agro & Rural Industries.
5) Department of Rural Development	6) Ministry of Panchayati Raj.
7) Department of Land Resources	8) Department of Drinking Water Supply.
9) Department of Food & Public Distribution	10. Department of Consumer Affairs.
11) Ministry of Food Processing Industries	
II. Social Development	
1) Department of Health	2) Department of Family Welfare
3) Department of Ayurveda, Yoga & Naturopathy, Unani, Sidha and Homeopathy (AYUSH)	4) Department of Secondary & Higher Education
5) Department of elementary education & Literacy.	6) Department of Women & Child Development
7) Ministry of Social Justice & Empowerment	8) Department of Urban Employment & Poverty Alleviation
9) Ministry of Overseas Indian Affairs	
III. Culture and Information	
1) Ministry of Information & Broadcasting	2) Ministry of Culture
3) Ministry of Tourism	4) Ministry of Tribal Affairs
5) Ministry of Youth Affairs & Sports	
IV. Natural Resource Management	
1) Ministry of Environment & Forests	2) Ministry of Water Resources
3) Department of Ocean Development	4) Ministry of Mines

V. Energy and Environment	
1) Department of Atomic energy	2) Ministry of Non-Conventional Energy Sources
3) Ministry of Coal	4) Ministry of Petroleum & Natural Gas
5) Ministry of Power	
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 Chemical & Petrochemicals
3) Department of Commerce	4) Department of Heavy Industries
5) Department of Fertilisers	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 Affairs	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