

# 17.<sup>1</sup> THE ALL INDIA SERVICES (PERFORMANCE APPRAISAL REPORT) RULES, 2007

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;

<sup>2</sup>(ba) **“competent authority”** means the authority as mentioned in sub-rules (7A) and (7B) of rule 9 to decide the representation of the officer reported upon against performance appraisal report disclosed to the member of Service;

(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;

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<sup>1</sup> Published vide Notification No.11059/18/2002-AIS-III dated 14.03.2007 vide GSR No.197(E) dated 14.03.2007 in supersession of All India Service (Confidential Roll) Rules, 1970

<sup>2</sup> Inserted vide Notification No. 11059/01/2016-AIS-III dt.15.6.2017 (GSR No. 596(E) dt. 16.6.2017)

(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.** - 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.

<sup>3</sup>**4A (1)** The performance appraisal report shall be generated and written by the officer reported upon electronically in the form as specified in Schedule 2.

(2) The comments of the reporting, reviewing and accepting authority shall be recorded electronically in case he is a government servant.

(3) The political executives may record their comments manually and the performance appraisal report so recorded shall be uploaded electronically as per time frame specified in Schedule 2:

Provided that in certain cases, with the approval of the Government and for reasons to be recorded in writing, performance appraisal report may be generated and written manually by the officer reported upon and any of the reporting authorities, that is, reporting or reviewing or accepting authority as per the guidelines specified by the Central Government from time to time :

Provided further that prior approval of the Central Government in consultation with Department of Personnel and Training shall be taken in cases where permanent exemption from electronic filing of performance appraisal report is sought on the grounds of national security, etc. for a particular class of posts.

**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.

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<sup>3</sup> Inserted vide Notification No. 11059/01/2016-AIS-III dt.15.6.2017 (GSR No. 596(E) dt. 16.6.2017)

<sup>4</sup>(2) Subject to the provisions of sub-rule (4), a performance appraisal report shall also be written when either the reporting or reviewing or accepting authority who is a government servant or the member of the Service reported upon relinquishes charge (other than retirement) of the post, and, in such a case, the report shall be written within the time frame as specified in Schedule 2 for completion of performance appraisal report in paragraph 9 of general guidelines for filling of the performance appraisal report form.

(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:

<sup>5</sup>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:

<sup>6</sup>Provided further that if the member of Service occupies more than one post, the Government shall identify the post (substantive or additional charge) to report or review, well in advance of the relevant assessment year.

<sup>7</sup>(3A) In general one person shall write the performance appraisal reports in the capacity of reporting, reviewing or accepting authority for a given period of time:

Provided that if more than one person supervises the performance of the member of Service for a given period of time, the Government shall identify the persons 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.

<sup>8</sup>(7) Omitted.

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<sup>4</sup> Substituted vide Notification No. 11059/01/2016-AIS-III dt.15.6.2017 (GSR No. 596(E) dt. 16.6.2017)

<sup>5</sup> Substituted vide Notification No. 11059/01/2016-AIS-III dt.15.6.2017 (GSR No. 596(E) dt. 16.6.2017)

<sup>6</sup> Substituted vide Notification No. 11059/01/2016-AIS-III dt.15.6.2017 (GSR No. 596(E) dt. 16.6.2017)

<sup>7</sup> Inserted vide Notification No. 11059/01/2016-AIS-III dt.15.6.2017 (GSR No. 596(E) dt. 16.6.2017)

<sup>8</sup> Omitted vide Notification No. 11059/01/2016-AIS-III dt.15.6.2017 (GSR No. 596(E) dt. 16.6.2017)

**6. 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.

<sup>9</sup>(4) Omitted.

**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.

<sup>10</sup>(2) Omitted.

(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.

**<sup>11</sup>7A. Restriction on reporting authority, etc. in certain cases.** - Notwithstanding anything contained in rules 5, 6 and 7, it shall not be competent for the reporting authority, reviewing authority or accepting authority to write a performance appraisal report where the authority reporting the performance appraisal report is a government servant, after one month of his retirement from service; and in other cases, after one month of the date on which he demits office.

**Explanation.-** For the purposes of this rule,-

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<sup>9</sup> Omitted vide Notification No. 11059/01/2016-AIS-III dt.15.6.2017 (GSR No. 596(E) dt. 16.6.2017)

<sup>10</sup> Omitted vide Notification No. 11059/01/2016-AIS-III dt.15.6.2017 (GSR No. 596(E) dt. 16.6.2017)

<sup>11</sup> Inserted vide Notification No. 11059/01/2016-AIS-III dt.15.6.2017 (GSR No. 596(E) dt. 16.6.2017)

(a) a Minister shall not be deemed to have 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.

(b) a Minister shall be deemed to have demitted the office where pursuant to fresh elections, a new Council of Ministers has been reconstituted, even if the Minister who was in the earlier Council of Ministers finds a place in the new Council of Ministers with the same or different portfolio.

**<sup>12</sup>7B. Treating performance appraisal report as non-est.** - The performance appraisal report, not recorded in terms of the provisions of these rules and instructions issued thereunder, shall be treated as non-est:

Provided that all the performance appraisal reports filed manually without approval of the Government to do so shall be treated as non-est.”.

**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.** - <sup>13</sup>(1) The full annual performance appraisal report, including the overall grade and assessment of integrity, shall be disclosed electronically to the officer reported upon, after finalisation by the accepting authority except in the cases where it is generated manually, 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.

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<sup>12</sup> Inserted vide Notification No. 11059/01/2016-AIS-III dt.15.6.2017 (GSR No. 596(E) dt. 16.6.2017)

<sup>13</sup> Substituted vide Notification No. 11059/01/2016-AIS-III dt.15.6.2017 (GSR No. 596(E) dt. 16.6.2017)

<sup>14</sup>(4) The accepting authority shall within fifteen days from the date 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 and the comments of reporting and reviewing authority are required to be sought even if they have retired or demitted or relinquished office, and in case the comments of reporting and reviewing authority are not received within fifteen days from the date of receipt, it shall be presumed that reporting and reviewing authority have no comments to offer.

(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.

<sup>15</sup>(7) If the accepting authority is of a level below the Minister in the State or in the Central Government, then the competent authority to decide the representation shall be one level higher than the accepting authority and in such cases the accepting authority shall forward the comments of the officer reported upon along with the views of the reporting authority, reviewing authority and his own views to the competent authority within fifteen days of receipt of the views of the reviewing authority, and the comments of the accepting authority are required to be sought even if he has retired or demitted or relinquished office.

<sup>16</sup>(7A) The competent authority shall consider the comments of the officer reported upon, the views of the reporting authority, reviewing authority and accepting authority and after due consideration, the competent authority may accept them and modify the performance appraisal report with a speaking order and the final grading shall be communicated to the officer reported upon within fifteen days of receipt of the views of the accepting authority.

<sup>17</sup>(7B) If the accepting authority is the Minister in the State (including the Chief Minister) or the Minister in the Centre, then the competent authority to decide the representation will be the accepting authority himself and in such cases 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, and the comments of the reporting and the reviewing authority are required to be sought even if he has retired or demitted or relinquished office.

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<sup>14</sup> Substituted vide Notification No. 11059/01/2016-AIS-III dt.15.6.2017 (GSR No. 596(E) dt. 16.6.2017)

<sup>15</sup> Substituted vide Notification No. 11059/01/2016-AIS-III dt.15.6.2017 (GSR No. 596(E) dt. 16.6.2017)

<sup>16</sup> Substituted vide Notification No. 11059/01/2016-AIS-III dt.15.6.2017 (GSR No. 596(E) dt. 16.6.2017)

<sup>17</sup> Substituted vide Notification No. 11059/01/2016-AIS-III dt.15.6.2017 (GSR No. 596(E) dt. 16.6.2017)

<sup>18</sup>(7C) If the competent authority has not seen the work for the reporting period, the representation shall be referred to the Referral Board.

(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, <sup>19</sup>the accepting authority and the competent 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:

<sup>20</sup>Provided that where the representation has been sent to the Referral Board when the competent authority has not seen the work of the officer reported upon, 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 in respect of both factual observations and errors of facts and the decision of the Referral Board shall be final and the final grading shall be communicated to the officer reported upon within fifteen days of receipt of the decision of the Referral Board.

(10) 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.

<sup>21</sup>**10. Memorial against assessment.** - Nothing in these rules shall be deemed to preclude an officer from making a memorial within the period of ninety days to the President on the performance appraisal report, as provided under rule 25 of the All India Services (Discipline and Appeal) Rules, 1969:

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<sup>18</sup> Substituted vide Notification No. 11059/01/2016-AIS-III dt.15.6.2017 (GSR No. 596(E) dt. 16.6.2017)

<sup>19</sup> Substituted vide Notification No. 11059/01/2016-AIS-III dt.15.6.2017 (GSR No. 596(E) dt. 16.6.2017)

<sup>20</sup> Inserted vide Notification No. 11059/01/2016-AIS-III dt.15.6.2017 (GSR No. 596(E) dt. 16.6.2017)

<sup>21</sup> Substituted vide Notification No. 11059/01/2016-AIS-III dt.15.6.2017 (GSR No. 596(E) dt. 16.6.2017)



Provided that in cases where due to unavoidable circumstances it is not possible to make a memorial under these rules within the said period of ninety days, the competent authority may relax the timeline for submission of the memorial.

**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

## <sup>22</sup>**SCHEDULE 2**

**[See rule 4]**

### **List of Appendices containing Forms for Performance Appraisal Report**

#### **Appendix I – Performance Appraisal Report Forms and summary of medical report 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.

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<sup>22</sup> Substituted vide Notification No.11059/09/2006-AIS-III dated 31.03.2008 published in GSR No.256(E) dt.31.03.2008

- Form III for the Indian Administrative Service officers who are on deputation under clauses (i) and (ii) of sub-rule (2) of rule 6 of the Indian Administrative Service (Cadre) Rules, 1954.
- Form IIIA Performance Report on study leave or leave for study for Indian Administrative Service officers.
- Form IIIB Performance report on training (applicable for the Indian Administrative Service officers).

**Appendix II – Performance Appraisal Report Forms and summary of medical report for the Indian Police Service officers**

- Form I and general guidelines for filling up the Performance Appraisal Report form for the Indian Police Service officers except the level of Additional Director General of Police or Director General of Police or equivalent.
- Form II and general guidelines for filling up the Performance Appraisal Report form for the Indian Police Service officers of the level of Additional Director General of Police or Director General of Police or equivalent.
- Form III for the Indian Police Service officers who are on deputation under clauses (i) and (ii) of sub-rule 2 of rule 6 of the Indian Police Service (Cadre) Rules, 1954.
- Form IIIA Performance Report on study leave or leave for study for Indian Police Service officers.
- Form IIIB Performance report on training (applicable for the Indian Police Service officers).

**Appendix III – Performance Appraisal Report Forms and summary of medical report for the Indian Forest Service officers**

- Form I and general guidelines for filling up the Performance Appraisal Report form for the Indian Forest Service officers except the level of Principal Chief Conservator of Forests or Additional Principal Chief Conservator of Forests.
- Form II and general guidelines for filling up the Performance Appraisal Report form for the Indian Forest Service officers of the level of Principal Chief Conservator of Forests or Additional Principal Chief Conservator of Forests.
- Form III for the Indian Forest Service officers who are on deputation under clauses (i) and (ii) of sub-rule 2 of rule 6 of the Indian Forest Service (Cadre) Rules, 1966.
- Form IIIA Performance Report on study leave or leave for study for Indian Forest Service officers.
- Form IIIB Performance report on training (applicable for the Indian Forest Service officers).”.

**<sup>23</sup>SCHEDULE 3**

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<sup>23</sup> Substituted vide Notification No.11059/09/2006-AIS-III dated 31.03.2008 published in GSR No.256(E) dt.31.03.2008

[See rule 2 (i)]

**Composition of the Referral Board  
For Indian Administrative Service**

- (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)          | Convener    |
- (b) In respect of officers working in the Centre -
- |                             |             |
|-----------------------------|-------------|
| (i) Cabinet Secretary       | Chairperson |
| (ii) Secretary (Personnel)  | Member      |
| (iii) Establishment Officer | Convener    |

**For Indian Police Service**

- (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)                      | Member      |
| (iv) Principal Secretary/Secretary, Home Department | Convener    |
- (b) In respect of officers working in the Centre –
- |   |             |
|---|-------------|
| (i) Cabinet Secretary   | Chairperson |
| (ii) Secretary (Home)   | Member      |
| (iii) Establishment Officer, Department of Personnel and Training | Member      |
| (iv) Joint Secretary (Police)                                     | Convener    |

Provided that when the officer being appraised is of the level of Joint Secretary or above, the Joint Secretary (Police) may be replaced by an officer of the level of Secretary to be nominated by the Cabinet Secretary.”.

**For Indian Forest Service**

- (a) In respect of officers working in the States -
- |  |             |
|--|-------------|
| (i) Chief Secretary of the State   | Chairperson |
| (ii) Principal Chief Conservator of Forests in the State   | Member      |
| (iii) Secretary (Appointments)   | Member      |
| (iv) <b>Principal Secretary (Environment and Forests)/<br/>Secretary (Environment and Forests)</b> | Convener    |
- (b) In respect of officers working in the Centre –

- |       |   |             |
|-------|---|-------------|
| (i)   | Cabinet Secretary   | Chairperson |
| (ii)  | Secretary (Environment and Forests)                         | Member      |
| (iii) | Establishment Officer, Department of Personnel and Training | Member      |
| (v)   | Joint Secretary (CCI)                                       | Convener    |

Provided that when the officer being appraised is of the level of Joint Secretary or above, the Joint Secretary (CCI) may be replaced by an officer of the level of Secretary to be nominated by the Cabinet Secretary.

<sup>24</sup>Appendix I

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**

	Name & Designation	Period worked
Reporting Authority		
Reviewing Authority		
Accepting Authority		

**10.Period of absence on leave, etc.**

	Period	Type	Remarks
On Leave (specify type)			
Others (specify)			

**11.Training Programs attended**

Date from	Date to	Institute	Subject

<sup>24</sup> Substituted vide Notification No.11059/09/2006-AIS-III dated 31.03.2008 published in GSR No.256(E) dt.31.03.2008

**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**

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**15. <sup>25</sup>Date of last prescribed medical examination (for officers over 40 years of age). Attach copy of the summary of the medical report**

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**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)

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<sup>25</sup> Substituted vide Notification No.11059/09/2006-AIS-III dated 31.03.2008 published in GSR No.256(E) dt.31.03.2008

**2. Annual work plan and achievement:**

Tasks to be performed	Deliverables <sup>26[1]</sup>		Actual Achievement <sup>27[2]</sup>
	Initial <sup>28[3]</sup>	Mid year <sup>29[4]</sup>	

**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):**

<sup>26[1]</sup> Deliverables refer to quantitative or financial targets or verbal description of expected outputs.

<sup>27[2]</sup> 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.

<sup>28[3]</sup> Initial listing of deliverables are to be finalized within 1 month of the start of the period under report.

<sup>29[4]</sup> 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 programs attended/ publications/ 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 all officers for the current year, in respect of whom you are the reporting authority?	Yes/No	

**Signature of officer reported upon \_\_\_\_\_**

**Date:**



**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%).

		Reporting Authority	Reviewing Authority	Initial of Reviewing Authority
i.	Accomplishment of planned work			
ii	Quality of output			
iii.	Accomplishment of exceptional work / unforeseen tasks performed			
<b>Overall Grading on 'Work Output'</b>				

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

		Reporting Authority	Review Authority	Initials of Reviewing Authority
i.	Attitude to work			
li	Sense of responsibility			
lii	Overall bearing and personality			
Iv	Emotional stability			
V	Communication skills			
vi	Moral courage and willingness to take a professional stand			
vii.	Leadership qualities			
viii.	Capacity to work in time limit			
<b>Overall Grading on Personal Attributes</b>				

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

		Reporting Authority	Review Authority	Initials of Reviewing Authority
i.	Knowledge of laws/rules/procedures/ IT skills and awareness of the local norms in the relevant area			
ii.	Strategic planning ability			
iii.	Decision making ability			
iv.	Initiative			
v.	Coordination ability			
vi.	Ability to motivate and develop subordinates / work in a team.			
<b>Overall Grading on 'Functional competency'</b>				

**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)**

	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

**11. Overall grade (on a score 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
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**2. In case of difference of opinion details and reasons for the same may be given.**

**3. <sup>30</sup>Comments, if any, on the pen picture written by the Reporting Authority.**

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

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

**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
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**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** \_\_\_\_\_

<sup>30</sup> Substituted vide Notification No.11059/09/2006-AIS-III dated 31.03.2008 published in GSR No.256(E) dt.31.03.2008

## **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 1<sup>st</sup> of April to 31<sup>st</sup> 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, 10<sup>th</sup> September 2007 – 31<sup>st</sup> 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 <sup>31</sup>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 Department. 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 and 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 30<sup>th</sup> 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 31<sup>st</sup> 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.

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<sup>31</sup> Substituted vide Notification No.11059/09/2006-AIS-III dated 31.03.2008 published in GSR No.256(E) dt.31.03.2008

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 <sup>32</sup>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.

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<sup>32</sup> Substituted vide Notification No.11059/09/2006-AIS-III dated 31.03.2008 published in GSR No.256(E) dt.31.03.2008

## **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**

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	1 <sup>st</sup> April	1 <sup>st</sup> May

Department, specifying the reporting officer and reviewing authority		
Self appraisal for current year	30 <sup>th</sup> April	31 <sup>st</sup> May
Appraisal by reporting authority	31 <sup>st</sup> May	30 <sup>th</sup> June
Appraisal by reviewing authority	30 <sup>th</sup> June	31 <sup>st</sup> July
Appraisal by accepting authority	31 <sup>st</sup> July	31 <sup>st</sup> August
Disclosure to the officer reported upon	15 <sup>th</sup> August	15 <sup>th</sup> September
Comments of the officer reported upon, if any (if none, transmission of the PAR to the DOPT)	31 <sup>st</sup> August	30 <sup>th</sup> 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 <sup>th</sup> September	15 <sup>th</sup> October
Comments of reporting authority	30 <sup>th</sup> September	31 <sup>st</sup> October
Comments of reviewing authority	15 <sup>th</sup> October	15 <sup>th</sup> November
Comments of accepting authority/PAR to be finalized and disclosed to the officer reported upon.	31 <sup>st</sup> October	30 <sup>th</sup> November
Representation to the Referral Board by the officer reported upon	30 <sup>th</sup> November	31 <sup>st</sup> December
Forwarding of representation to the Referral Board along with the comments of reporting authority/reviewing authority and accepting authority	15 <sup>th</sup> December	15 <sup>th</sup> January
Finalization by Referral Board if the officer reported upon represents against the decision of the Accepting Authority.	15 <sup>th</sup> January	15 <sup>th</sup> February
Disclosure to the officer reported upon	31 <sup>st</sup> January	28 <sup>th</sup> February
End of entire PAR Process	31 <sup>st</sup> March	31 <sup>st</sup> March

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 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<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. 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**

<b>I. Agriculture and Rural Development</b>	
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	
<b>II. Social Development</b>	
1) Department of Health	2) Department of Family Welfare
3) Department of Ayurveda, Yoga & Naturopathy, Unani, Siddha 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	
<b>III. Culture and Information</b>	
1) Ministry of Information & Broadcasting	2) Ministry of Culture
3) Ministry of Tourism	4) Ministry of Tribal Affairs
5) Ministry of Youth Affairs & Sports	
<b>IV. Natural Resource Management</b>	
1) Ministry of Environment & Forests	2) Ministry of Water Resources
3) Department of Ocean Development	4) Ministry of Mines
<b>V. Energy and Environment</b>	

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	
<b>VI. Communication Systems and Connectivity Infrastructure</b>	
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
<b>VII. Public Finance &amp; Financial Management</b>	
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	
<b>VIII. Industry and Trade</b>	
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
<b>IX. Internal Affairs and Defence</b>	
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	
<b>X. Housing &amp; Urban Affairs</b>	
1) Ministry of Urban Development	
<b>XI. Personnel &amp; General Administration, Governance Reform, Regulatory Systems</b>	
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	
<b>XII. Science &amp; Technology</b>	
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**

	Name & Designation	Period worked
Reporting Authority		
Reviewing Authority		
Accepting Authority		

**10.Period of absence on leave, etc.**

	Period	Type	Remarks
On Leave (specify type)			
Others (specify)			

**11.Training Programs attended**

Date from	Date to	Institute	Subject

**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**

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**15. <sup>33</sup> Date of last prescribed medical examination (for officers over 40 years of age). Attach copy of the summary of the medical report**

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**Date:**

**Signature on behalf of \_\_\_\_\_  
Admn/Personnel Dept**

**Section II**

**1. 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 all officers for the current year, in respect of whom you are the reporting authority?	Yes/No	
Have you prepared the work plan for yourself?	Yes/No	
Have you enclosed a note on important achievements during the period?	Yes/No	

**Date:**

**Signature \_\_\_\_\_  
Officer reported upon**

<sup>33</sup> Substituted vide Notification No.11059/09/2006-AIS-III dated 31.03.2008 published in GSR No.256(E) dt.31.03.2008

**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).

	Reporting officer	Reviewing officer	Initial of Reviewing Officer
i) Attitude to work			
ii) Decision making ability			
iii) Initiative			
iv) Ability to inspire and motivate			
v) Strategic Planning ability/innovativeness			
vi) Coordination ability			
<b>Overall grading on attributes</b>			

**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.)

	Reporting officer	Review officer	Initial of Reviewing Officer
i) Accomplishment of Planned Work			
ii) Quality of Output			
iii) Accomplishment of exceptional work/ unforeseen tasks during the period			
Overall Grading on 'Work Output'			

**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).**

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

**6. Overall Grade on a scale 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
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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*.

<sup>34</sup>3A. Comments, if any, on the pen picture written by the Reporting Authority

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<sup>34</sup> Substituted vide Notification No.11059/09/2006-AIS-III dated 31.03.2008 published in GSR No.256(E) dt.31.03.2008

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

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

**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?**

<input type="checkbox"/> Yes	<input type="checkbox"/> No
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**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 1<sup>st</sup> of April to 31<sup>st</sup> 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, 10<sup>th</sup> September 2007 – 31<sup>st</sup> 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 <sup>35</sup>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 Department. 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 and Family Welfare.

## **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 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.

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<sup>35</sup> Substituted vide Notification No.11059/09/2006-AIS-III dated 31.03.2008 published in GSR No.256(E) dt.31.03.2008

(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 <sup>36</sup>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 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.

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<sup>36</sup> Substituted vide Notification No.11059/09/2006-AIS-III dated 31.03.2008 published in GSR No.256(E) dt.31.03.2008

## 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

Activity	Cut-off dates
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 <sup>st</sup> June
Filling in Section II by the officer reported upon	15 <sup>th</sup> June*
Appraisal by reporting authority	15 <sup>th</sup> July
Appraisal by reviewing authority	15 <sup>th</sup> August
Appraisal by accepting authority	15 <sup>th</sup> September
Disclosure to the officer reported upon	30 <sup>th</sup> September
Comments of the officer reported upon, if any (if none, transmission of the PAR to the DOPT)	15 <sup>th</sup> October
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	31 <sup>st</sup> October
Comments of reporting authority	15 <sup>th</sup> November
Comments of reviewing authority	30 <sup>th</sup> November
Comments of accepting authority/PAR to be finalized and disclosed to	15 <sup>th</sup> December

him	
Representation to the Referral Board by the officer reported upon	31 <sup>st</sup> December
Forwarding of representation to the Referral Board along with the comments of reporting authority/reviewing authority and accepting authority	31 <sup>st</sup> January
Finalization by Referral Board if the officer reported upon represents against the decision of the Accepting Authority.	28 <sup>th</sup> February
Disclosure to the officer reported upon	15 <sup>th</sup> March
End of entire PAR Process	31 <sup>st</sup> March

\*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

<b>I. Agriculture and Rural Development</b>	
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	
<b>II. Social Development</b>	
1) Department of Health	2) Department of Family Welfare



3) Department of Ayurveda, Yoga & Naturopathy, Unani, Siddha 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	
<b>III. Culture and Information</b>	
1) Ministry of Information & Broadcasting	2) Ministry of Culture
3) Ministry of Tourism	4) Ministry of Tribal Affairs
5) Ministry of Youth Affairs & Sports	
<b>IV. Natural Resource Management</b>	
1) Ministry of Environment & Forests	2) Ministry of Water Resources
3) Department of Ocean Development	4) Ministry of Mines
<b>V. Energy and Environment</b>	
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	
<b>VI. Communication Systems and Connectivity Infrastructure</b>	
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
<b>VII. Public Finance &amp; Financial Management</b>	
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	
<b>VIII. Industry and Trade</b>	
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
<b>IX. Internal Affairs and Defence</b>	
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	
<b>X. Housing &amp; Urban Affairs</b>	
1) Ministry of Urban Development	
<b>XI. Personnel &amp; General Administration, Governance Reform, Regulatory Systems</b>	
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	
<b>XII. Science &amp; Technology</b>	
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**

*[<sup>37</sup>Applicable for Indian Administrative Service officers who are on deputation under clauses (i) and (ii) of sub-rule (2) of rule 6 of the Indian Administrative Service (Cadre) Rules, 1954]*

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**

	Name & Designation	Period worked
Reporting Authority		
Reviewing Authority		
Accepting Authority		

**10.Period of absence on leave, etc.**

	Period	Type	Remarks
On Leave (specify type)			
Others (specify)			

**11.Training Programs attended**

Date from	Date to	Institute	Subject

<sup>37</sup> Substituted vide Notification No.11059/09/2006-AIS-III dated 31.03.2008 published in GSR No.256(E) dt.31.03.2008

**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. <sup>38</sup> Date of last prescribed medical examination (for officers over 40 years of age). Attach copy of the summary of the medical 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)

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**2. Annual work plan and achievement:**

<sup>38</sup> Substituted vide Notification No.11059/09/2006-AIS-III dated 31.03.2008 published in GSR No.256(E) dt.31.03.2008

Tasks to be performed	Deliverables <sup>39[1]</sup>		Actual Achievement <sup>40[2]</sup>
	Initial <sup>41[3]</sup>	Mid year <sup>42[4]</sup>	

**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**

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<sup>39[1]</sup> Deliverables refer to quantitative or financial targets or verbal description of expected outputs.  
<sup>40[2]</sup> 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.  
<sup>41[3]</sup> Initial listing of deliverables are to be finalized within 1 month of the start of the period under report.  
<sup>42[4]</sup> Mid year listing of deliverables are to be finalized within 6 months of the start of the period under report.

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 all officers for the current year, in respect of whom you are the reporting authority?	Yes/No	

**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.

	Reporting officer	Reviewing officer	Initial of Reviewing Officer
i) Attitude to work			
ii) Decision making ability			
iii) Initiative			
iv) Ability to inspire and motivate			
v) Strategic Planning ability/innovativeness			
vi) Coordination ability			
<b>Overall grading on attributes</b>			

**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.)

	Reporting officer	Review officer	Initial of Reviewing Officer
i. Accomplishment of Planned Work			
ii Quality of Output			
iii. Accomplishment of unforeseen tasks/ exceptional work during the period			
Overall Grading on 'Work Output'			

**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).**

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

**6. Overall Grade on a scale 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
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2. In case of difference of opinion details and reasons for the same may be given.

3. <sup>43</sup>Comments, if any, on the pen picture written by the Reporting Authority.



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

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

**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
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**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** \_\_\_\_\_

**<sup>44</sup>General guidelines for filling up the Performance Appraisal Report form for the Indian Administrative Service officers who are on deputation under clause (i) and (ii) of sub-rule (2) of rule 6 of the Indian Administrative Service (Cadre) Rules, 1954**

**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 1<sup>st</sup> of April to 31<sup>st</sup> 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, 10<sup>th</sup> September 2007 – 31<sup>st</sup> 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

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<sup>44</sup> Substituted vide Notification No.11059/09/2006-AIS-III dated 31.03.2008 published in GSR No.256(E) dt.31.03.2008

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 <sup>45</sup>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 for with 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 Department. 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 and 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 30<sup>th</sup> 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 31<sup>st</sup> 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**

4.1 The reporting authority is required to record a numerical grade in respect of certain attributes and work output.

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<sup>45</sup> Substituted vide Notification No.11059/09/2006-AIS-III dated 31.03.2008 published in GSR No.256(E) dt.31.03.2008

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 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.

4.4 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 <sup>46</sup>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 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 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 concerned organisations.

## 9. 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	10) Department of Consumer Affairs

<sup>46</sup> Substituted vide Notification No.11059/09/2006-AIS-III dated 31.03.2008 published in GSR No.256(E) dt.31.03.2008

Distribution	
11) Ministry of Food Processing Industries	
<b>II. Social Development</b>	
1) Department of Health	2) Department of Family Welfare
3) Department of Ayurveda, Yoga & Naturopathy, Unani, Siddha 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	
<b>III. Culture and Information</b>	
1) Ministry of Information & Broadcasting	2) Ministry of Culture
3) Ministry of Tourism	4) Ministry of Tribal Affairs
5) Ministry of Youth Affairs & Sports	
<b>IV. Natural Resource Management</b>	
1) Ministry of Environment & Forests	2) Ministry of Water Resources
3) Department of Ocean Development	4) Ministry of Mines
<b>V. Energy and Environment</b>	
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	
<b>VI. Communication Systems and Connectivity Infrastructure</b>	
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
<b>VII. Public Finance &amp; Financial Management</b>	
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	
<b>VIII. Industry and Trade</b>	
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
<b>IX. Internal Affairs and Defence</b>	
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	
<b>X. Housing &amp; Urban Affairs</b>	
1) Ministry of Urban Development	
<b>XI. Personnel &amp; General Administration, Governance Reform, Regulatory Systems</b>	
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	
<b>XII. Science &amp; Technology</b>	
1) Department of Science & Technology	2) Department of Scientific & Industrial Research
3) Department of Bio-Technology	4) Department of Space





**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**

1. Name of the Officer	
2. Service/Cadre/year of allotment	
3. Date of Birth	
4. Present Grade	Date
5. Training Details	
a) Course	
b) Institution	
c) Duration	
6. Details of Degree/Certificate/Diploma and Evaluation obtained during the period (copies to be enclosed)	
7. 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.

<sup>47</sup> Appendix II

Form I

[See rule 4]

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

*(Applicable for all Indian Police Service officers up to the level of Inspector General of Police)*

Performance Appraisal Report for the period from \_\_\_\_\_ to \_\_\_\_\_

Section I – Basic Information

(To be filled in by the Administration Division/Home 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

	Name & Designation	Period worked
Reporting Authority		
Reviewing Authority		
Accepting Authority		

10.Period of absence on leave, etc.

	Period	Type	Remarks
On Leave (specify type)			
Others (specify)			

11.Training Programs attended

Date from	Date to	Institute	Subject

<sup>47</sup> Amended vide notification No.11059/18/2002-AIS-III dated 16.04.2007 vide GSR No.296(E) dated 16.04.2007 and again modified vide Substituted vide Notification No.11059/09/2006-AIS-III dated 31.03.2008 published in GSR No.256(E) dt.31.03.2008

**12. Awards/Honours**


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

--

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

--

**15. Date of last prescribed medical examination (Mandatory for all Indian Police Service officers) Attach summary of the medical report**

--

**Date:** \_\_\_\_\_ **Signature on behalf of** \_\_\_\_\_  
**Admn/Home 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:**

Tasks to be performed	Deliverables <sup>48[1]</sup>		Actual Achievement <sup>49[2]</sup>
	Initial <sup>50[3]</sup>	Mid year <sup>51[4]</sup>	

**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? If so, please give a verbal description (within 100 words):**

**4. What are the factors that hindered your performance?**

<sup>48[1]</sup> Deliverables refer to quantitative or financial targets or verbal description of expected outputs.

<sup>49[2]</sup> 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.

<sup>50[3]</sup> Initial listing of deliverables are to be finalized within 1 month of the start of the period under report.

<sup>51[4]</sup> Mid year listing of deliverables are to be finalized within 6 months of the start of the period under report.



**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%).

	Reporting Authority	Reviewing Authority	Initial of Reviewing Authority
i. Accomplishment of planned work including training courses for various ranks			
ii Quality of output and effectiveness in areas like supervising, investigation			
iii. Accomplishment of exceptional work / unforeseen tasks performed			
Overall Grading on 'Work Output'			

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

		Reporting Authority	Review Authority	Initials of Reviewing Authority
i.	Attitude to work			
ii	Sense of responsibility			
iii	Overall bearing and personality			
Iv	Emotional stability			
v	Communication skills			
vi	Moral courage and willingness to take a professional stand			
vii.	Leadership qualities			
viii.	Capacity to work in time limit			
	Overall Grading on Personal Attributes			

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

		Reporting Authority	Review Authority	Initials of Reviewing Authority
i.	<b>Knowledge of laws/Police rules/procedures/Knowledge of area and terrain/IT skills and awareness of the local norms in the relevant area</b>			
ii.	Strategic planning ability			
iii.	Decision making ability			
iv.	Initiative			
v.	Interest in welfare of Policemen and their families and appraising ability			
vi.	Ability to motivate and develop subordinates / work in a team.			
	Overall Grading on 'Functional competency'			

**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)**

	Anti-corruption & Vigilance		Police Research & Development
	Criminal Investigation (CBI, CID)		Security Related Communication Network/IT
	Paramilitary forces		Intelligence
	Railways		Counter-insurgency
	Economic Offences		Security (VIP & Industrial)
	Traffic		Armed Police Bn.
	Law & Order		Metropolitan & Urban Policing
	Police Training		Anti Terrorism
	Personnel Administration		Cyber Crimes
	Border Management		Others
	Forest & Wild life related crimes		

**11. Overall grade (on a score 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. Comments, if any, on the pen picture written by the Reporting Authority.**

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

<input type="checkbox"/>	Anti-corruption & Vigilance	<input type="checkbox"/>	Police Research & Development
<input type="checkbox"/>	Criminal Investigation (CBI, CID)	<input type="checkbox"/>	Security Related Communication Network/IT
<input type="checkbox"/>	Paramilitary forces	<input type="checkbox"/>	Intelligence
<input type="checkbox"/>	Railways	<input type="checkbox"/>	Counter-insurgency
<input type="checkbox"/>	Economic Offences	<input type="checkbox"/>	Security (VIP & Industrial)
<input type="checkbox"/>	Traffic	<input type="checkbox"/>	Armed Police Bn.
<input type="checkbox"/>	Law & Order	<input type="checkbox"/>	Metropolitan & Urban Policing
<input type="checkbox"/>	Police Training	<input type="checkbox"/>	Anti Terrorism
<input type="checkbox"/>	Personnel Administration	<input type="checkbox"/>	Cyber Crimes
<input type="checkbox"/>	Border Management	<input type="checkbox"/>	Others
<input type="checkbox"/>	Forest & Wild life related crimes	<input type="checkbox"/>	

**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 score of 1-10)**

**Date**

**Signature of Accepting Authority** \_\_\_\_\_

**General guidelines for filling up the PAR form for Indian Police Service up to the level of Inspector General of Police**

**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.

## **Instructions on filling up the different sections**

### **2. Section-I**

2.1 This Section should be filled up in the Administration Division/Home Deptt. Period of report could either be the entire reporting year, namely, from 1<sup>st</sup> of April to 31<sup>st</sup> 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, 10<sup>th</sup> September 2007 – 31<sup>st</sup> 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 Indian Police Service officers. A copy of the summary of medical report is to be attached to the PAR Form by the Admin./Home Department. The format for 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 and 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 30<sup>th</sup> 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 31<sup>st</sup> 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 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.

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 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 Indian Police Service Officers

9.1 The following schedule should be strictly followed: -

### Reporting Year – Financial Year

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/Home Department, specifying the reporting officer and reviewing authority	1 <sup>st</sup> April	1 <sup>st</sup> May
Self appraisal for current year	30 <sup>th</sup> April	31 <sup>st</sup> May
Appraisal by reporting authority	31 <sup>st</sup> May	30 <sup>th</sup> June
Appraisal by reviewing authority	30 <sup>th</sup> June	31 <sup>st</sup> July
Appraisal by accepting authority	31 <sup>st</sup> July	31 <sup>st</sup> August
Disclosure to the officer reported upon	15 <sup>th</sup> August	15 <sup>th</sup> September
Comments of the officer reported upon, if any (if none, transmission of the PAR to the MHA)	31 <sup>st</sup> August	30 <sup>th</sup> 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 <sup>th</sup> September	15 <sup>th</sup> October
Comments of reporting authority	30 <sup>th</sup> September	31 <sup>st</sup> October
Comments of reviewing authority	15 <sup>th</sup> October	15 <sup>th</sup> November
Comments of accepting authority/PAR to be finalized and disclosed to the officer reported upon.	31 <sup>st</sup> October	30 <sup>th</sup> November
Representation to the Referral Board by the officer reported upon	30 <sup>th</sup> November	31 <sup>st</sup> December
Forwarding of representation to the Referral Board along with the comments of reporting authority/reviewing authority and accepting authority	15 <sup>th</sup> December	15 <sup>th</sup> January
Finalization by Referral Board if the officer reported upon represents against the decision of the Accepting Authority.	15 <sup>th</sup> January	15 <sup>th</sup> February
Disclosure to the officer reported upon	31 <sup>st</sup> January	28 <sup>th</sup> February
End of entire PAR Process	31 <sup>st</sup> March	31 <sup>st</sup> March

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 (Home) in the State and the Joint Secretary (Police) 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. 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.



**Form II**

[See rule 4]

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

**[Applicable for Indian Police Service officers of the level of Additional Director General of Police or Director General of Police or equivalent]**

**Performance Appraisal Report for the period from \_\_\_\_\_ to \_\_\_\_\_**

**Section I – Basic Information**

(To be filled in by the Administration Division/Home 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**

	Name & Designation	Period worked
Reporting Authority		
Reviewing Authority		
Accepting Authority		

**10.Period of absence on leave, etc.**

	Period	Type	Remarks
On Leave (specify type)			
Others (specify)			

**11.Training Programs attended**

Date from	Date to	Institute	Subject

**12. Awards/Honours**


**13. Details of PARs of 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 (Mandatory for all Indian Police Service officers) Attach summary of the medical report**

--

Signature on behalf of \_\_\_\_\_  
Admn/Home Dep

Date:

**Section II**

**1. 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 all officers for the current year, in respect of whom you are the reporting authority?	Yes/No	
Have you prepared the work plan for yourself?	Yes/No	
Have you enclosed a note on important achievements during the period?	Yes/No	

Date: Signature of officer reported upon \_\_\_\_\_

**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).

	Reporting officer	Reviewing officer	Initial of Reviewing Officer
i) Attitude to work			
ii) Decision making ability			
iii) Initiative			
iv) Ability to inspire and motivate			
v) Strategic Planning ability/innovativeness			
vi) Coordination ability			
<b>Overall grading on attributes</b>			

**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.)

	Reporting officer	Review officer	Initial of Reviewing Officer
i) Accomplishment of Planned Work			
ii) Quality of Output			
iii) Accomplishment of exceptional work/ unforeseen tasks during the period			
Overall Grading on 'Work Output'			

**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).**

<input type="checkbox"/>	Anti-corruption & Vigilance	<input type="checkbox"/>	Police Research & Development
<input type="checkbox"/>	Criminal Investigation (CBI, CID)	<input type="checkbox"/>	Security Related Communication Network/IT
<input type="checkbox"/>	Paramilitary forces	<input type="checkbox"/>	Intelligence
<input type="checkbox"/>	Railways	<input type="checkbox"/>	Counter-insurgency
<input type="checkbox"/>	Economic Offences	<input type="checkbox"/>	Security (VIP & Industrial)
<input type="checkbox"/>	Traffic	<input type="checkbox"/>	Armed Police Bn.
<input type="checkbox"/>	Law & Order	<input type="checkbox"/>	Metropolitan & Urban Policing
<input type="checkbox"/>	Police Training	<input type="checkbox"/>	Anti Terrorism
<input type="checkbox"/>	Personnel Administration	<input type="checkbox"/>	Cyber Crimes
<input type="checkbox"/>	Border Management	<input type="checkbox"/>	Others
<input type="checkbox"/>	Forest & Wild life related crimes	<input type="checkbox"/>	

**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. Comments, if any, on the pen picture written by the Reporting Authority.

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

<input type="checkbox"/>	Anti-corruption & Vigilance	<input type="checkbox"/>	Police Research & Development
<input type="checkbox"/>	Criminal Investigation (CBI, CID)	<input type="checkbox"/>	Security Related Communication Network/IT
<input type="checkbox"/>	Paramilitary forces	<input type="checkbox"/>	Intelligence
<input type="checkbox"/>	Railways	<input type="checkbox"/>	Counter-insurgency
<input type="checkbox"/>	Economic Offences	<input type="checkbox"/>	Security (VIP & Industrial)
<input type="checkbox"/>	Traffic	<input type="checkbox"/>	Armed Police Bn.
<input type="checkbox"/>	Law & Order	<input type="checkbox"/>	Metropolitan & Urban Policing
<input type="checkbox"/>	Police Training	<input type="checkbox"/>	Anti Terrorism
<input type="checkbox"/>	Personnel Administration	<input type="checkbox"/>	Cyber Crimes
<input type="checkbox"/>	Border Management	<input type="checkbox"/>	Others
<input type="checkbox"/>	Forest & Wild life related crimes	<input type="checkbox"/>	

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 scale of 1-10.**

**Date**

**Signature of Accepting Authority** \_\_\_\_\_

**General guidelines for filling up the PAR form for Indian Police Service officers of the level of Additional Director General of Police or Director General of Police or equivalent.**

**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.

## **Instructions on filling up the different sections**

### **2. Section-I**

2.1 This Section should be filled up in the Administration Division/Home Deptt. Period of report could either be the entire reporting year, namely, from 1<sup>st</sup> of April to 31<sup>st</sup> 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, 10<sup>th</sup> September 2007 – 31<sup>st</sup> 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 Indian Police Service officers. A copy of the summary of medical report is to be attached to the PAR Form by the Admin./Home Department. The format for 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 and Family Welfare.

### **3. Section-II**

3.1 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. No target should be fixed or considered which may encourage the officer to minimise or avoid registration of crime.

### **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 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.

4.4 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.

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. 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 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 the same may be recorded in the PAR.



## 9. Schedule for completion of PARs of Indian Police Service Officers

9.1 The following schedule should be strictly followed: -

### Reporting Year – Financial Year

Activity	Cut-off dates
Blank PAR form to be given to the officer reported upon by the Administration Division/Home Department, specifying the reporting officer and reviewing authority	1 <sup>st</sup> June
Filling in Section II by the officer reported upon	15 <sup>th</sup> June*
Appraisal by reporting authority	15 <sup>th</sup> July
Appraisal by reviewing authority	15 <sup>th</sup> August
Appraisal by accepting authority	15 <sup>th</sup> September
Disclosure to the officer reported upon	30 <sup>th</sup> September
Comments of the officer reported upon, if any (if none, transmission of the PAR to the MHA)	15 <sup>th</sup> October
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	31 <sup>st</sup> October
Comments of reporting authority	15 <sup>th</sup> November
Comments of reviewing authority	30 <sup>th</sup> November
Comments of accepting authority/PAR to be finalized and disclosed to him	15 <sup>th</sup> December
Representation to the Referral Board by the officer reported upon	31 <sup>st</sup> December
Forwarding of representation to the Referral Board along with the comments of reporting authority/reviewing authority and accepting authority	31 <sup>st</sup> January
Finalization by Referral Board if the officer reported upon represents against the decision of the Accepting Authority.	28 <sup>th</sup> February
Disclosure to the officer reported upon	15 <sup>th</sup> March
End of entire PAR Process	31 <sup>st</sup> March

\*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 (Home) in the State and Joint Secretary (Police) 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.

**Form III**

[See rule 4]

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

**[Applicable for Indian Police Service officers who are on deputation under clauses (i) and (ii) of sub-rule 2 of rule 6 of the Indian Police Service(Cadre) Rules, 1954]**

**Performance Appraisal Report for the period from \_\_\_\_\_ to \_\_\_\_\_**

**Section I – Basic Information**

(To be filled in by the Administration Division/Home 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**

	Name & Designation	Period worked
Reporting Authority		
Reviewing Authority		
Accepting Authority		

**10.Period of absence on leave, etc.**

	Period	Type	Remarks
On Leave (specify type)			
Others (specify)			

**11.Training Programs attended**

Date from	Date to	Institute	Subject

**12. Awards/Honours**


**13. Details of PARs of 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 (Mandatory for all Indian Police Service officers) Attach summary of the medical report**

Signature on behalf of \_\_\_\_\_  
Admn/Home Dept

Date:

**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:**

Tasks to be performed	Deliverables <sup>52[1]</sup>		Actual Achievement <sup>53[2]</sup>
	Initial <sup>54[3]</sup>	Mid year <sup>55[4]</sup>	

<sup>52[1]</sup> Deliverables refer to quantitative or financial targets or verbal description of expected outputs.

<sup>53[2]</sup> 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.

<sup>54[3]</sup> Initial listing of deliverables are to be finalized within 1 month of the start of the period under report.

<sup>55[4]</sup> 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**

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 all officers for the current year, in respect of whom you are the reporting authority?	Yes/No	

**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.

	Reporting officer	Reviewing officer	Initial of Reviewing Officer
i) Attitude to work			
ii) Decision making ability			
iii) Initiative			
iv) Ability to inspire and motivate			
v) Strategic Planning ability/innovativeness			
vi) Coordination ability			
<b>Overall grading on attributes</b>			

**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.)

	Reporting officer	Review officer	Initial of Reviewing Officer
i. Accomplishment of Planned Work			
ii Quality of Output			
iii. Accomplishment of unforeseen tasks/ exceptional work during the period			
Overall Grading on 'Work Output'			

**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).**

<input type="checkbox"/>	Anti-corruption & Vigilance	<input type="checkbox"/>	Police Research & Development
<input type="checkbox"/>	Criminal Investigation (CBI, CID)	<input type="checkbox"/>	Security Related Communication Network/IT
<input type="checkbox"/>	Paramilitary forces	<input type="checkbox"/>	Intelligence
<input type="checkbox"/>	Railways	<input type="checkbox"/>	Counter-insurgency
<input type="checkbox"/>	Economic Offences	<input type="checkbox"/>	Security (VIP & Industrial)
<input type="checkbox"/>		<input type="checkbox"/>	
<input type="checkbox"/>	Traffic	<input type="checkbox"/>	Armed Police Bn.
<input type="checkbox"/>	Law & Order	<input type="checkbox"/>	Metropolitan & Urban Policing

	Police Training		Anti Terrorism
	Personnel Administration		Cyber Crimes
	Border Management		Others
	Forest & Wild life related crimes		

**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. Comments, if any, on the pen picture written by the Reporting Authority.**

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

	Anti-corruption & Vigilance		Police Research & Development
	Criminal Investigation (CBI, CID)		Security Related Communication Network/IT

	Paramilitary forces		Intelligence
	Railways		Counter-insurgency
	Economic Offences		Security (VIP & Industrial)
	Traffic		Armed Police Bn.
	Law & Order		Metropolitan & Urban Policing
	Police Training		Anti Terrorism
	Personnel Administration		Cyber Crimes
	Border Management		Others
	Forest & Wild life related crimes		

5. Overall Grade on a scale

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 Indian Police Service officers who are on deputation under clauses (i) and (ii) of sub-rule 2 of rule 6 of the Indian Police Service (Cadre) Rules, 1954**

**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.

### **Instructions on filling up the different sections**

#### **2. Section-I**

2.1 This Section should be filled up in the Administration Division/Home Deptt. Period of report could either be the entire reporting year, namely, from 1<sup>st</sup> of April to 31<sup>st</sup> 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, 10<sup>th</sup> September 2007 – 31<sup>st</sup> 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 Indian Police Service officers. A copy of the summary of medical report is to be attached to the PAR Form by the Admin./Home Department.. The format for 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 and 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 30<sup>th</sup> 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 31<sup>st</sup> 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**

4.1. 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 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.

4.4 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.

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. 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 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 Indian Police Service Officers**

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 concerned organisations.

**Form IIIA**

[See rule 4]

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

**PERFORMANCE REPORT ON STUDY LEAVE/LEAVE FOR STUDY**

(Applicable for Indian Police Service 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.



**Appendix III**

**Form I**

[See rule 4]

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

***[Applicable for All Indian Forest Service officers except the level of Principal Chief Conservator of Forests or Additional Principal Chief Conservator of Forests]***

Performance Appraisal Report for the period from \_\_\_\_\_ to \_\_\_\_\_

**Section I – Basic Information**

(To be filled in by the Administration Division/ Environment & Forest 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**

	Name & Designation	Period worked
Reporting Authority		
Reviewing Authority		
Accepting Authority		

**10.Period of absence on leave, etc.**

	Period	Type	Remarks
On Leave (specify type)			
Others (specify)			

**11.Training Programs attended**

Date from	Date to	Institute	Subject

**12. Awards/Honours**


**13 Details of PARs of 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 (Mandatory for all Indian Forest Service officers) Attach summary of the medical report**

**Signature on behalf of \_\_\_\_\_  
Admn./ Environment & Forest Department**

**Date:**

**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:**

Tasks to be performed	Deliverables <sup>56[1]</sup>		Actual Achievement <sup>57[2]</sup>
	Initial <sup>58[3]</sup>	Mid year <sup>59[4]</sup>	

<sup>56[1]</sup> Deliverables refer to quantitative or financial targets or verbal description of expected outputs.

<sup>57[2]</sup> 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.

<sup>58[3]</sup> Initial listing of deliverables are to be finalized within 1 month of the start of the period under report.

<sup>59[4]</sup> Mid year listing of deliverables are to be finalized within 6 months of the start of the period under report.





**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.**

**.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%).

	Reporting Authority	Reviewing Authority	Initial of Reviewing Authority
i. Accomplishment of planned work including training courses for various ranks			
li Quality of output and effectiveness in areas like forest and wildlife conservation, supervision and investigation in forest offences.			
iii. Accomplishment of exceptional work / unforeseen tasks performed			
Overall Grading on 'Work Output'			

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

		Reporting Authority	Reviewing Authority	Initials of Reviewing Authority
i.	Attitude to work			
li	Sense of responsibility			
lii	Overall bearing and personality			
lv	Emotional stability			
v	Communication skills			
vi	Moral courage and willingness to take a professional stand			
vii.	Leadership qualities			
viii.	Capacity to work in time limit			
	Overall Grading on Personal Attributes			

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

		Reporting Authority	Review Authority	Initials of Reviewing Authority
i.	Knowledge of forest and related laws/rules/procedures/ knowledge of area and terrain/awareness of local norms (culture, customs, language etc.) in the relevant area and IT skills.			
ii.	Strategic planning ability			
iii.	Decision making ability			
iv.	Initiative			

v.	Interest in welfare of forest officials and appraising ability			
vi.	Ability to motivate and develop subordinates / work in a team.			
	<b>Overall Grading on 'Functional competency'</b>			

**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)**

<input type="checkbox"/>	Afforestation/agro-forestry and tribal/hill areas development	<input type="checkbox"/>	Bio-diversity and wildlife management
<input type="checkbox"/>	Social Welfare of Dwellers in forest and tribal areas	<input type="checkbox"/>	Training
<input type="checkbox"/>	Forest and wild life related crimes	<input type="checkbox"/>	Research and Development
<input type="checkbox"/>	Natural Resource Management (i) General Forestry (ii) Minor Forest Produce	<input type="checkbox"/>	Bio-technology
<input type="checkbox"/>	Environmental issues including climate change	<input type="checkbox"/>	Forest Personnel Administration
<input type="checkbox"/>	Forest conservation and development	<input type="checkbox"/>	Others

**11. Overall grade on a score 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. Comments, if any, on the pen picture written by the Reporting Authority**

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

<input type="checkbox"/>	Afforestation/agro-forestry and tribal/hill areas development	<input type="checkbox"/>	Bio-diversity and wildlife management
<input type="checkbox"/>	Social Welfare of Dwellers in forest and tribal areas	<input type="checkbox"/>	Training
<input type="checkbox"/>	Forest and wild life related crimes	<input type="checkbox"/>	Research and Development
<input type="checkbox"/>	Natural Resource Management (i) General Forestry (ii) Minor Forest Produce	<input type="checkbox"/>	Bio-technology
<input type="checkbox"/>	Environmental issues including climate change	<input type="checkbox"/>	Forest Personnel Administration
<input type="checkbox"/>	Forest conservation and development	<input type="checkbox"/>	Others

**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 score of 1-10**

**Date**

**Signature of Accepting Authority** \_\_\_\_\_

**General guidelines for filling up the PAR form for Indian Forest Service officers except the level of Principal Chief Conservator of Forests or Additional Principal Chief Conservator of Forests.**

**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/Environment & Forest Department. Period of report could either be the entire reporting year, namely, from 1<sup>st</sup> of April to 31<sup>st</sup> 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, 10<sup>th</sup> September 2007 – 31<sup>st</sup> 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 Indian Forest Service officers. A copy of the summary of medical report is to be attached to the PAR Form by the Admin./Environment and Forest Department. The format for 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 and 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 30<sup>th</sup> 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 31<sup>st</sup> 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 successful dealing of an emergency (e.g. major forest fire) 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. 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 reviewing 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 Indian Forest Service Officers

9.1 The following schedule should be strictly followed: -

### Reporting Year – Financial Year

	Cut-off dates	
	Below Time Scale	Super Super Time Scale
Blank PAR form to be given to the officer reported upon by the Administration Division/Environment & Forest specifying the reporting officer and reviewing authority	1 <sup>st</sup> April	1 <sup>st</sup> May
Self appraisal for current year	30 <sup>th</sup> April	31 <sup>st</sup> May
Appraisal by reporting authority	31 <sup>st</sup> May	30 <sup>th</sup> June
Appraisal by reviewing authority	30 <sup>th</sup> June	31 <sup>st</sup> July
Appraisal by accepting authority	31 <sup>st</sup> July	31 <sup>st</sup> August
Disclosure to the officer reported upon	15 <sup>th</sup> August	15 <sup>th</sup> September
Comments of the officer reported upon, if any (if none, transmission of the PAR to the Ministry of Environment & Forests)	31 <sup>st</sup> August	30 <sup>th</sup> 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 <sup>th</sup> September	15 <sup>th</sup> October
Comments of reporting authority	30 <sup>th</sup> September	31 <sup>st</sup> October
Comments of reviewing authority	15 <sup>th</sup> October	15 <sup>th</sup> November
Comments of accepting authority/PAR to be finalized and disclosed to the officer reported upon.	31 <sup>st</sup> October	30 <sup>th</sup> November
Representation to the Referral Board by the officer reported upon	30 <sup>th</sup> November	31 <sup>st</sup> December
Forwarding of representation to the Referral Board along with the comments of reporting authority/reviewing authority and accepting authority	15 <sup>th</sup> December	15 <sup>th</sup> January
Finalization by Referral Board if the officer reported upon represents against the decision of the Accepting Authority.	15 <sup>th</sup> January	15 <sup>th</sup> February
Disclosure to the officer reported upon	31 <sup>st</sup> January	28 <sup>th</sup> February
End of entire PAR Process	31 <sup>st</sup> March	31 <sup>st</sup> March

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 (Environment & Forest) in the State and the Joint Secretary (CCI) 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. 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.

**Form II**

[See rule 4]

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

**[Applicable for Indian Forest Service officers of the level of Principal Chief Conservator of Forests or Additional Principal Chief Conservator of Forests]**

Performance Appraisal Report for the period from \_\_\_\_\_ to \_\_\_\_\_

**Section I – Basic Information**

(To be filled in by the Administration Division/Environment & Forest 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**

	Name & Designation	Period worked
Reporting Authority		
Reviewing Authority		
Accepting Authority		

**10.Period of absence on leave, etc.**

	Period	Type	Remarks
On Leave (specify type)			
Others (specify)			

**11.Training Programs attended**

Date from	Date to	Institute	Subject



iii) Initiative			
iv) Ability to inspire and motivate			
v) Strategic Planning ability/innovativeness			
Overall grading on attributes			

**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.)

	Reporting officer	Review officer	Initial of Reviewing Officer
i. Accomplishment of planned work including training courses for various ranks			
ii Quality of output and effectiveness in areas like forest and wildlife conservation, supervision and investigation in forest offences.			
iii. Accomplishment of exceptional work / unforeseen tasks performed			
Overall Grading on 'Work Output'			

### 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).**

	Afforestation/agro-forestry and tribal/hill areas development		Bio-diversity and wildlife management
	Social Welfare of Dwellers in forest and tribal areas		Training
	Forest and wild life related crimes		Research and Development
	Natural Resource Management (i) General Forestry (ii) Minor Forest Produce		Bio-technology
	Environmental issues including climate change		Forest Personnel Administration
	Forest conservation and development		Others

**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)

Ye s	No
---------	----

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

**3. Comments, if any, on the pen picture written by the Reporting Authority**



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

<input type="checkbox"/>	Afforestation/ agro-forestry and tribal/hill areas development	<input type="checkbox"/>	Bio-diversity and wildlife management
<input type="checkbox"/>	Social Welfare of Dwellers in forest and tribal areas	<input type="checkbox"/>	Training
<input type="checkbox"/>	Forest and wild life related crimes	<input type="checkbox"/>	Research and Development
<input type="checkbox"/>	Natural Resource Management (i) General Forestry (ii) Minor Forest Produce	<input type="checkbox"/>	Bio-technology
<input type="checkbox"/>	Environmental issues including climate change	<input type="checkbox"/>	Forest Personnel Administration
<input type="checkbox"/>	Forest conservation and development	<input type="checkbox"/>	Others

**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?**

<input type="checkbox"/> Yes	<input type="checkbox"/> No
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**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 Indian Forest Service officers of the level of Principal Chief Conservator of Forests or Additional Principal Chief Conservator of Forests.**

**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/Environment & Forest Department. Period of report could either be the entire reporting year, namely, from 1<sup>st</sup> of April to 31<sup>st</sup> 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, 10<sup>th</sup> September 2007 – 31<sup>st</sup> 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 Indian Forest Service officers. A copy of the summary of medical report is to be attached to the PAR Form by the Admin./ Environment and Forest Department and a copy provided to the member of the Service. The format for 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 and Family Welfare.

## **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 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.

4.4 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. 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 reviewing 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 Indian Forest Service Officers

9.1 The following schedule should be strictly followed: -

### Reporting Year – Financial Year

Activity	Cut-off dates
Blank PAR form to be given to the officer reported upon by the Administration Division/Environment & Forest Department, specifying the reporting officer and reviewing authority	1 <sup>st</sup> June
Filling in Section II by the officer reported upon	15 <sup>th</sup> June*
Appraisal by reporting authority	15 <sup>th</sup> July
Appraisal by reviewing authority	15 <sup>th</sup> August
Appraisal by accepting authority	15 <sup>th</sup> September
Disclosure to the officer reported upon	30 <sup>th</sup> September
Comments of the officer reported upon, if any (if none, transmission of the PAR to the Ministry of Environment & Forests)	15 <sup>th</sup> October
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	31 <sup>st</sup> October
Comments of reporting authority	15 <sup>th</sup> November
Comments of reviewing authority	30 <sup>th</sup> November
Comments of accepting authority/PAR to be finalized and disclosed to him	15 <sup>th</sup> December
Representation to the Referral Board by the officer reported upon	31 <sup>st</sup> December
Forwarding of representation to the Referral Board along with the comments of reporting authority/reviewing authority and accepting authority	31 <sup>st</sup> January
Finalization by Referral Board if the officer reported upon represents against the decision of the Accepting Authority.	28 <sup>th</sup> February
Disclosure to the officer reported upon	15 <sup>th</sup> March
End of entire PAR Process	31 <sup>st</sup> March

\*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 (Environment & Forest) in the State and Joint Secretary (CC I) 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.

**Form III**

[See rule 4]

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

**[Applicable for Indian Forest Service officers who are on deputation under clauses (i) and (ii) of sub-rule 2 of rule 6 of the Indian Forest Service (Cadre) Rules, 1966]**

Performance Appraisal Report for the period from \_\_\_\_\_ to \_\_\_\_\_

**Section I – Basic Information**

(To be filled in by the Administration Division/Environment & Forest 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**

	Name & Designation	Period worked
Reporting Authority		
Reviewing Authority		
Accepting Authority		

**10.Period of absence on leave, etc.**

	Period	Type	Remarks
On Leave (specify type)			
Others (specify)			

**11.Training Programs attended**

Date from	Date to	Institute	Subject

**12. Awards/Honours**


**13. Details of PARs of 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 (Mandatory for all Indian Forest Service officers) Attach summary of the medical report**

Signature on behalf of \_\_\_\_\_  
Admn./Environment & Forest Department

Date:

**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:**

Tasks to be performed	Deliverables <sup>60[1]</sup>		Actual Achievement <sup>61[2]</sup>
	Initial <sup>62[3]</sup>	Mid year <sup>63[4]</sup>	

<sup>60[1]</sup> Deliverables refer to quantitative or financial targets or verbal description of expected outputs.

<sup>61[2]</sup> 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.

<sup>62[3]</sup> Initial listing of deliverables are to be finalized within 1 month of the start of the period under report.

<sup>63[4]</sup> 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, 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

--

**4. 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 all officers for the current year, in respect of whom you are the reporting authority?	Yes/No	

**Signature of officer reported upon** \_\_\_\_\_

**Date:**

**Section III Appraisal**

**1. Assessment of Personal 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.

		Reporting Authority	Reviewing Authority	Initials of Reviewing Authority
i.	Attitude to work			
ii	Sense of responsibility			
iii	Overall bearing and personality			
iv	Emotional stability			
v	Communication skills			
vi	Moral courage and willingness to take a professional stand			
vii.	Leadership qualities			
viii.	Capacity to work in time limit			
	Overall Grading on Personal Attributes			

**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.)

	Reporting Authority	Reviewing Authority	Initial of Reviewing Authority
i. Accomplishment of planned work including training courses for various ranks			
ii. Quality of output and effectiveness in areas like forest and wildlife conservation, supervision and investigation in forest offences.			
iii. Accomplishment of exceptional work / unforeseen tasks performed			
Overall Grading on 'Work Output'			

**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).**

<input type="checkbox"/>	Afforestation/agro-forestry and tribal/hill areas development	<input type="checkbox"/>	Bio-diversity and wildlife management
<input type="checkbox"/>	Social Welfare of Dwellers in forest and tribal areas	<input type="checkbox"/>	Training
<input type="checkbox"/>	Forest and wild life related crimes	<input type="checkbox"/>	Research and Development
<input type="checkbox"/>	Natural Resource Management (i) General Forestry (ii) Minor Forest Produce	<input type="checkbox"/>	Bio-technology
<input type="checkbox"/>	Environmental issues including climate change	<input type="checkbox"/>	Forest Personnel Administration
<input type="checkbox"/>	Forest conservation and development	<input type="checkbox"/>	Others

**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. Comments, if any, on the pen picture written by the Reporting Authority**

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

<input type="checkbox"/>	Afforestation/agro-forestry and tribal/hill areas development	<input type="checkbox"/>	Bio-diversity and wildlife management
<input type="checkbox"/>	Social Welfare of Dwellers in forest and tribal areas	<input type="checkbox"/>	Training
<input type="checkbox"/>	Forest and wild life related crimes	<input type="checkbox"/>	Research and Development
<input type="checkbox"/>	Natural Resource Management (i) General Forestry (ii) Minor Forest Produce	<input type="checkbox"/>	Bio-technology
<input type="checkbox"/>	Environmental issues including climate change	<input type="checkbox"/>	Forest Personnel Administration
<input type="checkbox"/>	Forest conservation and development	<input type="checkbox"/>	Others

**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
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**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 Indian Forest Service officers who are on deputation under clauses (i) and (ii) of sub-rule 2 of rule 6 of the Indian Forest Service (Cadre) Rules, 1966**

**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/Environment & Forest Department. Period of report could either be the entire reporting year, namely, from 1<sup>st</sup> of April to 31<sup>st</sup> 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, 10<sup>th</sup> September 2007 – 31<sup>st</sup> 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 up is mandatory for all Indian Forest Service officers. A copy of the summary of medical report is to be attached to the PAR Form by the Admin./ Environment and Forest Department. The format for 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 and 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 30<sup>th</sup> 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 31<sup>st</sup> 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**

4.1 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 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.

4.4 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. 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 reviewing 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 Indian Forest Service Officers**

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 concerned organisations.





**Form III B**

[See rule 4]

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

**PERFORMANCE REPORT ON TRAINING**  
(Applicable for Indian Forest Service Officers)

(For the year/period ending \_\_\_\_\_)

**A. PERSONAL DATA**

1. Name of the Officer	
2. Service/Cadre/year of allotment	
3. Date of Birth	
4. Present Grade	Date
5. Training Details	
a) Course	
b) Institution	
c) Duration	
6. Details of Degree/Certificate/Diploma and Evaluation obtained during the period (copies to be enclosed)	
7. Date of Filing Annual Property Returns	

**B. SELF ASSESSMENT: -**

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Officer's Signature \_\_\_\_\_

Date: \_\_\_\_\_

To be filled in duplicate and submitted to Cadre Controlling Authorities in the State and the Central Government.

## GOVERNMENT OF INDIA DECISIONS

### A. CLARIFICATIONS ON VARIOUS PROVISIONS OF THE RULES

#### 1. Clarification given to Maharashtra and copy endorsed to all State Governments/Ministries/Department of the Government of India

I am directed to refer to State Government's letter No. CPF IOO7/CR-318/2007/X dated the 9th November, 2007 on the subject noted above and to say that the comments of this Department on the clarification sought therein as under:

Clarification sought	Comments of this Department
a). What is the weightage to be given to (i) overall record and (ii) self assessment where the evaluation is to be made on the basis of the 'overall record' in cases where the performance appraisal report is not written within the time? Whether self-assessment is to be accepted as it is or to be scrutinized?	The 'overall record' and 'self assessment' combined together, is to be taken into consideration for the specific report in a year in which the performance appraisal report is not written in time. It may be left to the  Empanelment Committee or the DPC to give due weightage to these two ingredients. The self-assessment is to be accepted as it is, since the officers who have not seen the performance of the officer reported upon are not in a position to comment upon it.
b) As per the AIS (PAR) Rules, the Convener of the Referral Board for IPS & IFS officer is Secretary (Appointments)/Secretary (Personnel). There is no post of Secretary (Appointments) in Government of Maharashtra. In the case of Referral Board of IAS, Secretary (Personnel) may function as Convener or Referral Board. Secretary Home Department) may be the appropriate officer to be nominated as Convener for Referral Board for IPS& IFS.	Proposal for changes in the constitution of Referral Board, in respect of IPS and IFS, are under consideration.
c) Decision of the Referral Board: Taking a decision by the Referral Board on the representation of the officer reported upon, which is chaired by Chief Secretary of the State and where Chief Minister is the accepting, would not be proper. Though the officer reported upon is required to restrict his comments to factual information, it is not certain that he will raise issues limited only to facts. Referral Board's decision should be made final only after approval by the	The Referral Board will only look into the errors of facts. Thus there should be no embarrassment as far as Chief Ministers in the States, who are the Accepting Authorities in a number of cases, are concerned. The representations are expected to be based only on facts given by the reporting/reviewing /accepting authorities. In any case the issues other than the factual errors of facts, if represented by the officer reported upon, may be ignored by the Referral Board.

Chief Minister. He will also take a final decision on the representation of the officer reported upon.	
d) In case of overall gradation of an officer should be defined for deciding outstanding/very good/ good / Average etc. For example, 9-10 should be for 'outstanding', 7-8 for 'very good', 6-8 for 'good', 4-5 for the 'average' and 3 or below for 'below average'.	There are no provision for gradation like outstanding/very good! Good /average etc. under the AIS(PAR) Rules, 2007. The benchmark will be decided on the basis of the numerical grading.
e) In item 5 of Section 2 of the PAR format, the reporting officer is required to indicate specific issues in which he feels to upgrade his still through training programme (i) for the given assignment and (ii) for future career. The items 'domain' the officer would like to specialize in should also be included in it.	This issue will be examined after assessment reports are written, as this Department will be receiving suggestions from other States/members of Service also.
f) 'Overall bearing and personality' and 'emotional stability' which have been mentioned as attributes under the head 'assessment of personal attributes' in Item No.6 in Section 3 are liable to varying interpretation and should therefore be deleted and included in 'pen picture.'	The formats of the AIS (PAR) Rules has been prepared after in depth study and discussions and consultation. This is a new system there may be initial functional difficulties. A Review will be undertaken to address all the problems after assessment reports are written for some time and the experience of the same becomes available.
g) The health check proforma may also include examining of vision ophthalmology test.	It has been proposed that only 'Summary of the medical report' should be kept in the dossier. The changes proposed by the state Government and any other State would be taken up together for consideration in due course.

[DOPT letter No. 11059/18/2002-AIS-III dated 31.01.2008]

**2. Clarification given to Orissa and copy endorsed to all State Governments/Ministries/Department of the Government of India**

I am directed to refer to the State Government's letter No. 5710/SE dated the 6<sup>th</sup> September, 2007 on the subject above and to furnish comments of this Department on the clarification sought by the State Government as under:

<b>Clarification sought</b>	<b>Comments of this Department</b>
Rule 5(3) of AIS (PAR) Rules provides that there shall be Reporting, Reviewing & Accepting, Authority at each level of assessment. Who will write/ review/ accept the PAR when an officer remains	The first proviso to rule 5(3) of AIS (PAR) Rules, 2007 provides 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

<p>in charge of two posts for which there are two Reporting, Reviewing &amp; Accepting Authority(s).</p>	<p>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 can write the PAR the capacity of reporting, reviewing or accepting authority.</p> <p>The second proviso to rule 5(3) ibid provides 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.</p>
<p>Who will disclose the PAR to the officer reported upon?</p>	<p>The State Government may make arrangements to ensure that disclosure is done within the time limit.</p>
<p>If it is accepted that the PAR shall be disclosed to the officer reported upon by the accepting authority, who will disclose the same where no accepting authority has been prescribed and (ii) where accepting authority is not eligible to record his remarks due to retirement/demitting office. The period under him is less than three months.</p>	<p>-Do-</p>
<p>Rule 9(5) of the AIS (PAR) Rules provides that the Reporting Authority shall write the PAR of officer reported upon within 15 days of its receipt, failing which it shall be presumed that he has no Views thereon. However, rule 9(6) ibid, provides that the reviewing authority shall forward the comment or the views of the reporting authority. It does not make any mention if the reviewing authority fails to forward the same to the accepting authority within 15 days.</p>	<p>The general guidelines for filling up the PAR forms prescribed the schedule for completion of various stages of writing PAR. The guidelines further provide that the nodal officer shall evolve a suitable mechanism to ensure that the remarks of the Reporting, Reviewing and the Accepting Authorities are recorded without fail by the dates given in the schedule. This will ensure that the time schedule is adhered to.</p>
<p>Rule 9(5) of the AIS (PAR) Rules, provides that the Reporting Authority shall consider the comments of the officer reported upon, the views of the reporting authority and reviewing authority and after due consideration may accept them and modify the Performance Appraisal Report</p>	<p>The Accepting Authority shall make corrections in original PAR by pasting the existing entries.</p>

<p>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. As there is no separate space for modification by the accepting authority it is not clear whether he will make corrections in the original PAR.</p>	
<p>Who will disclose the PAR to the officer reported upon after finalization by the Accepting Authority?</p>	<p>It is for the State Governments to prescribe the procedure/arrangements, as per their convenience, to ensure compliance within the time schedule.</p>
<p>Rule 9(9) provides that in case an entry or assessment is upgraded or downgraded by the Referral Board, reasons for the same shall be recorded in the PAR. But no space has been provided in the PAR for recording such reasons.</p>	<p>The Referral Board may use a separate sheet for recording the reasons for upgrading or downgrading any entry or assessment.</p>
<p>Who will communicate the PAR to the officer reported upon after it is modified by the Referral Board, as the Referral Board comprises of several members?</p>	<p>It is for the State Government to ensure that disclosure is done within the time limit, as prescribed in the rules.</p>
<p>Who will communicate the PAR to the officer reported upon if the accepting authority has retired from government service or demitted office just after giving his remarks or has recorded his remarks within one month of his retirement or demitting office?</p> <p>Whom the appraise will give his comments in such circumstances and who will take further action on his comments?</p>	<p>As stated above it IS for the State Government to ensure that disclosure is done within the time limit, as prescribed in the rules.</p>
<p>The guidelines provide that 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. It is mentioned in letter No.11059/02/2006-AIS-III, dated the 14<sup>th</sup> February, 2006</p>	<p>The assessment of Screening Committee is not recorded in the ACR of the officer reported upon. If the officer reported upon does not submit self-assessment in time, the same will not be taken into consideration for making his assessment.</p>

<p>that it is for the Screening Committee to make such assessment on the basis of overall record and self-appraisal submitted by him for the concerned year. But it is not clear if such assessment will be recorded in the ACR of the officer; if so, who will record the assessment of the Screening Committee in the ACR, as the said committee consists more than one member. The rule is silent about action to be taken if the officer reported upon does not submit self-assessment in time.</p>	
<p>Rule 2 (b) defines 'Benchmark Score' but is not clear as to what is the exact number above which an officer will be regarded as fit for promotion.</p>	<p>The matter is under consideration in this Department.</p>

[DOPT letter No. 11059/02/2008-AIS-III dated 08.05.2008]

**B. CONSOLIDATED INSTRUCTIONS ON OBSERVANCE OF THE CUT-OFF DATES IN THE TIME SCHEDULE FOR COMPLETION OF PAR AT VARIOUS STAGES**

The undersigned is directed to say that the All India Services (Performance Appraisal Report) Rules, 2007, replacing the All India Services (Confidential Roll) Rules, 1969, has been implemented for assessment of the performance of members of the All India Services from the year 2007-08 onwards. The general guidelines attached to the PAR formats contain the time schedule for completion of various stages of writing of PAR. The consolidated cut-off dates for various levels of officers for the three All India Services were again circulated to all Ministries/ Departments of the Government of India in Secretary(Personnel)'s d.o.no.11059/06/2008-AIS-III dated 19th May, 2008 for information and compliance.

2. This Department has received a number of queries, specifically regarding the difficulties being faced by the Administration Divisions of the Ministries/Departments in complying with the time-schedule for completion of various stages of writing of PAR. It has been decided to issue comprehensive instructions covering these aspects, as under:

- (i) The concerned Administration Divisions which maintain the PARs of members of the All India Services in the Ministries/Departments should send three blank PAR forms to the officers concerned after filling the requisite columns and specifying the Reporting/Reviewing/Accepting Authorities.
- (ii) The officer reported upon should send two copies of the PAR with his/her self-appraisal to the Reporting Authority and one copy to the concerned Administration Division of the Ministry/Department on or before the due date.
- (iii) If the officer reported upon does not send his/her self-appraisal to the Reporting Authority before the due date as per the time schedule given in the "General Guidelines for filling up the PAR forms .....", the concerned Administration Division of the Ministry/Department should send two copies of the blank PAR forms, as were provided to the officer reported upon, to the

Reporting Authority. The Reporting Authority should write his report in the appropriate Section and send one copy to the Reviewing Authority and the other to the concerned Administration Division of the Ministry/Department.

- (iv) If the Reporting Authority does not send the report of the officer concerned to the Reviewing Authority on the due date, the concerned Administration Division should send two copies of the PAR with the Self Appraisal received from the officer reported upon (or two blank copies of the PAR if self-appraisal has not been received from the officer concerned) to the Reviewing Authority who would write his report in the appropriate Section and send one copy to the Accepting Authority and the other to the concerned Administration Division of the Ministry/Department on or before the due date.
- (v) If the Reviewing Authority does not send the report of the officer concerned to the Accepting Authority on the due date, the concerned Administration Division should send a copy of the PAR available with is in respect of the concerned officer (either the copy received from the Reporting Authority, or the copy with self-appraisal received from the officer concerned or in the absence of these, the blank PAR) to the Accepting Authority who would write his report in the appropriate Section and send the same to the concerned Administration Division of the Ministry/Department for disclosure on or before the due date.

3. The concerned Administration Divisions should keep track of the movement for completion of various stages of PAR in respect of the members of All India Services under its administrative control. The Administration Divisions should follow up with the Reporting/ Reviewing/Accepting Authority of each officer to get the PARs completed before the due date.

4. As soon as the PAR is received from the Accepting Authority, the following procedures should be adopted by the concerned Administration Divisions of the Ministries/Departments:

- (i) The Administration Divisions should disclose the PAR to the officer reported upon under rule 9 of the AIS(PAR) Rules, 2007. The officer concerned should submit comments on his/her PAR, if any, within fifteen days of its receipt without waiting for the cut-off date specified in the in the time-schedule. If the concerned Administration Division does not receive any information from the concerned officer on or before fifteen days from the date of disclosure, it may be treated that he/she has no comments to offer and the entire PAR process of the concerned officer will end for the assessment year. The concerned Ministry/Department may, thereafter send copies of the PAR to all concerned for record as per rule 8 of the AIS(PAR) Rules, 2007.
- (ii) If the officer reported upon opts for giving his/her comments under rule 9(2), he/she should give the same to the Accepting Authority in writing, endorsing a copy thereof to the concerned Administration Division as well as a copy to the Nodal Officer in the Central Government i.e., the Establishment Officer in the Department of Personnel and Training in the case of IAS, the Joint Secretary(Police) in the Ministry of Home Affairs in the case of IPS and the Joint Secretary (CCI) in the Ministry of Environment and Forests in the case of IFS for information.



- (iii) The Administration Division should follow up with the concerned Reporting/Reviewing and Accepting Authorities to obtain their comments on the representation received from the officer reported upon within the periods specified in the rule 9 and in the time schedule. For this purpose, the procedure given in para 2 above may be followed.
- (iv) The PAR, with modifications made, if any, after considering the comments of the officer reported upon by the Reporting, Reviewing and Accepting Authorities, should be again disclosed as soon as it is completed without waiting for the cut-off date by the concerned Administration Division of the Ministry /Department.
- (v) The officer reported upon should submit his/her representation, if any, on his/her PAR for consideration of the Referral Board under rule 9(8)( a), to the Accepting Authority within thirty days of its disclosure under intimation to the concerned Administration Division of his/her Ministry/Department as well as to the Nodal Officer(s) in the Central Government. If the concerned Administration Division does not receive any representation from the officer on or before thirty days from the date of disclosure, it may be treated that he/she has no representation to make and the entire PAR process of the concerned officer will end. The PAR should be sent to the Nodal Officer(s) in the Central Government and the State Government concerned for record under rule 8.
- (vi) If a representation for consideration of the Referral Board is received, the concerned Administrative Division should obtain the views of the Reporting, Reviewing and Accepting Authorities as per the procedure mentioned in paragraph-2 and send the same to the Nodal Officer(s) in the Central Government for the All India Services for consideration within the time-limit.

5. The concerned Divisions under the Nodal Officer(s) in the Central Government for the All India Services should place the PARs of all such officers along with the representation of the officer and the comments/views of the Reporting, Reviewing and Accepting Authorities for consideration before the Referral Board within the due date.

6. As envisaged in rule 9(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 PAR, including the overall grade. The decision of the Board shall be confined only to errors of facts and the decision of the Board will be final. The final PAR, including the overall grade after consideration of the Board, should be communicated to the officer by the Nodal Officer(s) of the Central Government through the concerned Ministry/Department before the cut-off date so that the PAR process for the year may be completed in time. No further representation of any kind shall be entertained thereafter.

7. Rule 9 of the All India Services (Performance Appraisal Report) Rules, 2007 prescribes the time periods for completion of various stages of PAR by various authorities whereas the time-schedule given in the "General Guidelines for filling up the PAR forms .... " under these rules indicates the cut-off dates for completion of each stage of PAR. However, the Ministries/Departments and the Reporting/Reviewing and Accepting Authorities should keep in mind that they should not wait for the cut-off dates and should initiate action as soon as the PARs in respect of the concerned officers are

received from various Authorities. The time periods specified in the rules should be counted from the date of receipt of the PAR by the concerned officer/Authority at various stages. If necessary information is not received from the concerned authority within the time period specified in the rules, the concerned Administration Divisions of the Ministries/Departments should take appropriate action on the next stage following the procedure given above.

[DOPT OM No.11059/07/2008-AIS-III dated 26.06.2008]

### **C. GOVERNMENT OF INDIA INSTRUCTIONS REGARDING NUMERICAL GRADING**

#### **1. General Guidelines for awarding numerical gradings by the Reporting/ Reviewing/Accepting Authorities.**

The undersigned is directed to say that the All India Services (Confidential Rolls) Rules, 1970 have been replaced by the All India Services (Performance Appraisal Report) Rules, 2007 and have been implemented from the assessment year 2007-2008 onwards.

2. The relevant instructions given in the 'General guidelines for filling the PAR form' are reiterated below:

- (i) 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.
- (ii) 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.
- (iii) 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.
- (iv) At several places, numerical grades are to be awarded by reporting and reviewing 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.

3. It has come to the notice of the Government that some officers have been awarded a perfect 'ten' in respect of all segments of the Assessment Report, which is in contradiction of the instructions. Such assessments would be considered to be casual and without application of mind by the reporting officer. This would obviously detract from the credibility of the report and would also reflect on the reporting officer himself.

4. The Reporting/Reviewing/Accepting authorities are, therefore, advised that very high credits should not be given in all the cases in a routine manner and it is expected that very high marks can normally be obtained in not more than 20% of the cases reported.

5. This O.M. may be brought to the notice of all reporting, reviewing and accepting authorities.

[DOPT OM No.11059/09/2008-AIS (III) dated 18.07.2008]

**2. Instructions for the Reporting/ Reviewing/Accepting Authorities to justify, with reasons for any grading more than eight.**

The All India Services (Performance Appraisal Report) Rules, 2007, replacing the All India Services (Confidential Roll) Rules, 1969 have been implemented for assessment of the performance of the members of the All India Services from the assessment year 2007-08 onwards. The general guidelines for filling up the PAR form provide that at several places, numerical grades are to be awarded by reporting and reviewing 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. Grade 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.

2. Against the background given in the preceding paragraph, it has come to the notice of this Department that some of the reporting and reviewing authorities have generally been awarding a high score of 9-10 without giving any justification for the same under a misconception that empanelment/promotion of officers would depend solely on their getting high grades.

3. Through this communication it is clarified that the numerical grading would only be one of the grounds/inputs on which the empanelment or promotion of an officer is to be decided. The Empanelment or Promotion Committee would consider other information contained in the body of the report including past performance, notable achievements etc.

4. Further, in continuation of letter No. 11059/09/2008-AIS(III), dated the 18th July, 2008, it is clarified that numerical grading of 8 or above must be justified by giving

reasons in writing for any numerical grading of 8 or above for any of the attributes listed in the PAR. A separate sheet may be attached to the PAR for this purpose.

5. These instructions may be brought to the notice of all reporting and reviewing authorities of the members of the All India Services for strict compliance.

[DOPT OM No.11059/09/2008-AIS-III dated 03.12.2008]

**3. Instructions giving a comparison between conventional grading and numerical grading.**

With the implementation of the All India Services (Performance Appraisal Report) Rules, 2007, the conventional gradings awarded to the members of the All India Services in the old All India Services (Confidential Roll) Rules, 1970 has been changed to numerical gradings in a scale of 1 to 10, where 1 refers to the lowest grade and 10 to the highest. The Government of India instructions issued on 18th July, 2008 envisages that high credit should not be given to the members of the Service in a routine manner by the Reporting/Reviewing Authorities and this should be restricted to 20% of the officers under their supervision. Further, the Government of India instruction issued on 3rd December, 2008 provides that any grading of more than 8 for each attribute must be justified by giving reasons in writing in a separate sheet.

2. For the adoption of the new system of Performance Appraisal, it has been observed that in the absence of commonly understood benchmark, there is wide disparity in awarding numerical grading amongst reporting authorities. In order to bring about uniformity in the interpretation of numerical grades, the following guidelines are issued which Reporting Authorities may keep in mind while awarding numerical gradings:

- i. Members of the Service graded between 8 and 10 will be rated as 'outstanding' and will be given a score of 9 for the purpose of calculating average scores for empanelment/promotion.
- ii. Members of the Service graded between 6 and short of 8 will be rated as 'very good' and will be given a score of 7.
- iii. Members of the Service graded between 4 and 6 short of 6 will be rated as 'good' and given a score of 5.
- iv. Members of the Service graded below 4 will be given a score of zero.

3. Assessment of numerical grading in the above manner will be done for the purpose of promotion/empanelment and for utilizing PAR document for any purpose pertaining to personnel management.

4. These instructions may be brought to the notice of all the All India Service Officers working under your charge.

[DOPT OM No.11059/23/2008-AIS- III dated 04.06.2009]

**D. GOVERNMENT OF INDIA INSTRUCTIONS ON ANNUAL HEALTH CHECK-UP**

**1. Policy/procedure/instructions for annual health check up issued to all Ministries/Departments of the Government of India:-**

The undersigned is directed to say that, as per the All India Services (PAR) Rules 2007, annual health check-up is mandatory for all IAS 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. The proforma for health check up for IAS officers is given in Form IV of the said rules (copy enclosed). A copy of the summary of the health check report in part 'C' of Form IV is to be attached to the Performance Appraisal Report form by the Administrative Department and copy of the report is to be provided to the member of the Service.

2. The issue relating to annual medical check up for IAS officers has been examined in consultation with the Ministry of Health & Family Welfare. The five Central Government Hospitals, viz., Safdarjung Hospital, Ram Manohar Lohia Hospital, Guru Teg Bahadur Hospital, Sucheta Kriplani Hospital (for ladies), and Lok Nayak Jai Prakash Narain Hospital in Delhi have the facility of conducting all the tests prescribed in the health check up proforma. Ministry of Health & Family Welfare has also provided a list of private hospitals which have agreed to conduct all the tests as prescribed in the health check up proforma @ Rs. 1,500/- per officer. Charges for further investigation recommended would be extra, as per the rates prescribed by Ministry of Health & Family Welfare. A list of 16 such hospitals is enclosed.

3. The IAS officers on Central Deputation may have their annual health check-up conducted either at the government hospitals or at the private hospitals, as per their convenience. The expenditure for conducting health check-up will be borne by the concerned Administrative Ministries/Departments, where the officers are working, on reimbursement basis.

4. The rates of special package have been fixed by the Ministry of Health and Family Welfare in consultation with their Internal Finance Division.

5. It is requested that the IAS officers who are required to under go annual health check up may be asked to get the check-up done at the earliest. The Ministry of Health and Family Welfare are being requested to work out the modalities for conducting the tests in order to ensure that the system works smoothly and the individual officer does not face any inconvenience.

6. This OM may please be brought to the notice of all IAS officers and the Chief Medical Officers of the Hospitals.

**“Form IV**

[See rule 3]

**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:**

Physical

A: Examination  
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

**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
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

**C: SUMMARY OF MEDICAL REPORT (ONLY COPY OF THIS PART IS TO BE ATTACHED TO PAR)**

1.	Overall Health of the officer	
2.	Any other remarks based on the health medical check up of the officer	
3.	Health profile grading	

Date

Signature of Medical Authority  
Designation"

***List of Hospitals to be added***

[DOPT O.M.No.11059/18/2002-AIS-III (Pt.3) dated 11.01.2008]

**2. Instructions of the Hospitals to conduct annual health check up**

Please find enclosed herewith a copy of this Department's letter No. 11059/18/2002-AIS-III (Pt.3), dated the 11<sup>th</sup> January, 2008, under which instructions have been issued to all the Central Ministries/Departments for annual health check-up of IAS officers.



2. Ministry of Health and Family Welfare has informed us that your Hospital has agreed to conduct annual health check-up of IAS officers, who are on central deputation, as per the 'Health Check-up Proforma' prescribed by this Department, @ Rs. 1500/- per officer. Charges for further investigation recommended would be extra, as per the rates prescribed by the Ministry of Health & Family Welfare. A copy of the 'Health Check-up Proforma' is also enclosed.
3. You are, therefore, requested to accept the communications that may be addressed to you by different Ministries/Departments and perform the health check-up as per the package rates accepted by you.
4. It is also requested that necessary arrangements for conducting the health check-up smoothly and without inconvenience to the officers concerned may please be made.
5. The summary of the medical report may please be sent to the concerned Ministry/Department and a copy of the report be given to the concerned officers.
6. It is further requested that the name, designation and telephone number of the contact officer in the hospital may please be furnished to this Department by fax (Telefax no. 23093591) so that the same may be circulated to all the central Ministries/Departments.

[DOPT letter No.11059/18/2002-AIS-III (Pt.3) dated 16.01.2008]

**3. Additional instructions for annual health check up issued to all Ministries/Departments of the Government of India:-**

The undersigned is directed to invite attention to this Department's Office Memorandum of even number dated the 11<sup>th</sup> January, 2008, by which a list of 16 private hospitals and 5 Government hospitals in Delhi. was circulated for the purpose of annual health check up of IAS officers who are on Central Deputation.

2. The names of Contact Officers and telephone numbers of 15 private hospitals are enclosed. Details of Contact Officers of Metro Hospital, Faridabad will be circulated as soon as these are received.
3. The concerned administrative Ministries/Departments are requested to issue authority letters to the IAS officers for getting annual health check-up conducted in the hospitals of their choice. The concerned officer may seek appointment from the Contact Officer of the respective hospital. One of the Government hospitals has stated that the officer has to come on empty stomach fasting for the health check-up. The officers may ensure about the requirements of individual hospitals when they fix their appointments. The hospitals are also being requested to get all the prescribed tests conducted in a single day and the report provided to the officer concerned on the next day.
4. The Ministry of Health & Family Welfare has informed, by its letter No. S-11030/7/2007-CGHS (P) dated the 11th January, 2008 that, in addition to the package charge @ Rs. 1,500/- per officer, the private hospitals have undertaken to charge Rs. 400/- each if the consulting physician advises ECHO/TMT or both and also that on any

further investigation, if advised, they will charge at their prevailing hospital tariff and provide a discount of 15% on the same. These rates have been fixed by the Ministry of Health & Family Welfare in consultation with their IFD.

5. This OM may please be brought to the notice of all IAS officers.

[DOPT OM No.11059/18/2002-AIS-III (Pt.3) dated the 04.02.2008]

**4. Instructions to all the State Governments for making arrangements annual health check up procedure for the members of the All India Services posted with them:-**

I am directed to say that rule 3 of the All India Services (Performance Appraisal Report) Rules, 2007 provides for the maintenance of a comprehensive performance appraisal dossier for each member of the Service consisting of the documents specified in Schedule 1. One of these documents is the report on medical check-up. Form IV under the Rules prescribes the proforma for health check-up and the summary of the Medical Report (in part C of Form IV) is to be attached to the PAR. The general guidelines under the PAR forms stipulate that annual health check up is mandatory for all IAS officers above the age of 40 and may be totally dispensed with for officers below the age of 40, except in the case of a medical incident.

2. The Central Government has finalized the modalities for the health check up in respect of IAS officers on Central deputation. The instructions, inter-alia, prescribe a package rate for the health check-up (re-imbursable) and a list of Government as well as Private hospitals where an officer can get the health check up done without any reference from the Authorized Medical Attendant. A copy of the instruction issued in this regard by letter No.11059/18/2002(pt.3) dated the 11<sup>th</sup> January, 2008 is enclosed.

3. It is requested that the State Government may also work out appropriate arrangements and authorize Government as well as the Private Hospitals in the state for the health check up of IAS officers working with them so that the system may function smoothly and the officers do not face any inconvenience. Since the health check-up has been made mandatory, the authorized hospitals may be instructed to perform the tests and examinations without any reference from the Authorized Medical Attendants. The members of the Service working with the state Government may also be informed accordingly.

[DOPT OM No.11059/18/2002-AIS-III dated the 21.01.2008]

**5. Instructions to all Ministries/Departments of the Government of India and State Governments for annual health check up of IAS officers on Central deputation but posted outside Delhi**

In continuation of this Department's communication of even number dated the 11<sup>th</sup> January, 2008, the Central Government has now finalized the modalities for health check up of IAS officers who are on Central Deputation but posted outside Delhi.

2. The IAS officers who are on Central deputation but posted outside Delhi may avail the facility of getting their medical check-up done in the hospitals authorized by the

Central Governments for IAS officers on central deputation and will also be eligible to get their medical check-up conducted in the hospitals authorized by the concerned State Government (where they are posted) and claim reimbursement from their own Ministry/Department/Organization at the rate fixed by the State Government.

3. It is requested that these instructions may be brought to the notice of all members of the IAS.

4. This issues with the approval of Ministry of Health and Family Welfare.

[DOPT OM No.11059/18/2002-AIS-III dated the 21.01.2008]

**6. Revised proforma for annual health check-up**

The undersigned is directed to invite attention to this Department's Notification No. No.11059/03/2012-AIS-III, dated the 19.02.2013, by which Form IV of the All India Services (Performance Appraisal Report) Rules, 2007 relating to 'Health Check-up' of IAS officers was revised.

2. It has been brought to the notice of this Department that some Ministries/ Departments are still providing the old proforma of 'Health check-up' to the IAS officers.

3. A copy of the revised proforma is again forwarded with the request that all the IAS officers should use the same.

4. This may please be brought to the notice of all the IAS officers.

**“Form IV**  
[See rule 3]

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

**PROFORMA FOR HEALTH CHECK UP**

**Date:**

**Name**

**Age**

**Sex: M/F**

**A. Investigations Reports**

1.	<p><b>Haemogram</b></p> <p>(i) Haemoglobin  (ii) TLC  (iii) DLC  (a) Polymorphs  (b) Lymphocytes  (c) Eosinophils</p>
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	<ul style="list-style-type: none"> <li>(d) Basophils</li> <li>(e) Monocytes</li> </ul> <p>(iv) Peripheral Smear</p>
2.	<p><b>Urine Examination</b></p> <ul style="list-style-type: none"> <li>(i) Colour</li> <li>(ii) Albumin</li> <li>(iii) Sugar</li> <li>(iv) Microscopic Exam.</li> </ul>
3.	<p><b>Blood Sugar</b></p> <ul style="list-style-type: none"> <li>(i) Fasting</li> <li>(ii) Post-Prandial</li> </ul>
4.	<p><b>Lipid Profile</b></p> <ul style="list-style-type: none"> <li>(i) Total Cholesterol</li> <li>(ii) HDL Cholesterol</li> <li>(iii) LDL Cholesterol</li> <li>(iv) VLDL Cholesterol</li> <li>(v) Triglycerides</li> </ul>
5.	<p><b>Liver Function Tests</b></p> <ul style="list-style-type: none"> <li>(i) S. Bilirubin (Total)</li> <li>(ii) S. Bilirubin (Direct)</li> <li>(iii) S.G.O.T.</li> <li>(iv) S.G.P.T.</li> </ul>
6.	<p><b>Kidney Function Tests</b></p> <ul style="list-style-type: none"> <li>(i) Blood Urea</li> <li>(ii) S. Creatinine</li> <li>(iii) S. Uric Acid</li> </ul>
7.	<p><b>Cardiac Profile</b></p> <ul style="list-style-type: none"> <li>(i) S.LDH</li> <li>(ii) CK-MB</li> <li>(iii) S.CRP</li> <li>(iv) SGOT</li> </ul> <p><b>For Men</b></p> <ul style="list-style-type: none"> <li>(v) PSA</li> </ul> <p><b>For Women</b></p>

	(vi) PAP SMEAR
8.	X-Ray-Chest PA View Report
9.	ECG Report
10.	USG Abdomen Report
11.	TMT Report
12	Mammography Report (Women)

13.	<p><b>Gynaecological Health Check Up</b></p> <p>(i) Pelvic Examination</p> <p style="padding-left: 40px;">(a) Local Examination</p> <p style="padding-left: 40px;">(b) Per Vaginum (P/V)</p> <p style="padding-left: 40px;">(c) Per Speculum</p> <p>(ii) Surgical Examination</p> <p>(iii) Breast Examination</p>
14.	<p>(i) Urological Examination (For Men Only)</p> <p>(ii) Rectal Examination (For Men Only)</p>
15.	<p><b>Systemic Examination</b></p> <p>(i) Resp System</p> <p>(ii) CVS</p> <p>(iii) Abdomen</p> <p>(iv) CNS</p> <p>(v) Locomotor System</p> <p>(vi) Dental Examination</p>
16.	<p><b>Eye Examination</b></p> <p>(i) Distant Vision</p> <p>(ii) Vision with Glasses</p> <p>(iii) Colour Vision</p> <p>(iv) Tonometry</p> <p>(v) Fundus Examination</p>
17.	<p><b>ENT</b></p> <p>(i) Oral Cavity</p> <p>(ii) Nose</p> <p>(iii) Throat</p> <p>(iv) Larynx</p>

## B. Medical Report of the Officer

1.	Haemoglobin level of the officer	Normal/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

## C: Summary of Medical Report (only copy of this part is to be attached to PAR)

1.	Overall Health of the Officer	
2.	Any other remarks based on the health medical check up of the officer	
3.	Health profile grading	

Date:

Signature of Medical Authority  
Designation

[DOPT Gazette Notification GSR 107(E) dated 19.02.2013 vide File No. 11059/03/2012-AIS-III]

### 7. Instructions to the Hospitals for providing the whole report to the officer concerned and communicating only the summary of annual health check-up to the concerned Ministry/Department.

I am directed to refer to this Department's endorsement of even number dated the 4<sup>th</sup> February, 2008 and to say that a copy of Part 'C' – Summary of the medical report (proforma enclosed) may please be prepared separately and sent directly to the concerned Ministry/Department of the IAS officers who is undergoing medical check-up in your hospital. The Officer may also be handed over the complete medical report.

## C: SUMMARY OF MEDICAL REPORT (ONLY COPY OF THIS PART IS TO BE ATTACHED TO PAR)

1.	Overall Health of the officer	
2.	Any other remarks based on the health medical check up of the officer	
3.	Health profile grading	

Date

Signature of Medical Authority  
Designation”

[DOPT Letter No.11059/18/2002-AIS-III(Pt.3) Dated 20.03.2008]

**8. Final proforma for annual health check up of IAS officers**

I am directed to invite attention to this Ministry's notification of even number dated the 31st March 2008 (a copy of which was sent with Secretary (P)'s D. O. letter No.11059/18/2002-AIS-III, dated the 3rd April, 2008) which, inter alia, provides that the health check-up is mandatory for all Indian Administrative Service Officers above the age of 40 and may be totally dispensed with for officers below the age of 40, except in case of medical incidents. As regards the Indian Police Service and Indian Forest Service, the annual health check-up is mandatory for all officers. The rules further provide that 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 Ministry of Health & Family Welfare.

2. As regards the Indian Administrative Service Officers, a copy of the annual health check up format, which also includes the format of summary of medical report, is enclosed.

3. As regards the Indian Police Service and the Indian Forest Service officers, Ministry of Home Affairs and the Ministry of Environment & Forests are being requested to finalise the same in consultation with the Ministry of Health & Family Welfare and circulate to all the State Government/UTs as well as to the Central Ministries/ Departments.

[DOPT Letter No. 11059/09/2006-AIS III dated 04.????]

**E. EXECUTIVE INSTRUCTIONS/GOVERNMENT OF INDIA'S DECISIONS ISSUED UNDER THE ALL INDIA SERVICES (CONFIDENTIAL ROLL) RULES, 1970 WHICH ARE RELEVANT TO THE ALL INDIA SERVICES (PERFORMANCE APPRAISAL REPORT) RULES, 2007**

**GOVERNMENT OF INDIA'S ORDERS UNDER RULE 3**

**(I) DOCUMENTS TO BE KEPT IN THE ACR DOSSIERS**

**1. Placing of report of the Commission of Inquiry about exoneration of the moS-** I am directed to invite attention to this Department's letter No. 34/5/71-AIS (III), dated 9/8/72, containing instructions regarding communication of adverse remarks and procedure for expunction of such remarks in the Confidential reports of the members of All India Services.

2. It has been decided that whenever a member of an All India Service is exonerated by any Commission of enquiry, which resulted in the change in his Confidential Report,

relevant extracts from the report of the Commission of enquiry may be added to C.R. dossiers of the officer concerned.

[Letter No. 11059/14/75-AIS III, dated 7/4/77]

**2. Placing letters of appreciation/commendation granted in ACR Dossier.-** I am directed to invite attention to item (i) of this Department's Order No. 11059/8/76-AIS(III), dated the 26<sup>th</sup> April, 1976 and to say that some State Governments have sought clarifications as to the nature of letters of appreciation which could be included in the Confidential reports of the members of All India Services.

2. The matter has been considered and it is clarified that the general policy in this regard should be to discourage the practice of placing letters of appreciation or notes of commendation granted to members of the All India Services in their Confidential Roll dossiers. However, exceptions may be made in the following types of cases: -

(i) Letters of appreciation issued by Government or Secretary or Head of Department in respect of any outstanding work done by a member of the Service.

(ii) Letters of appreciation issued by special bodies or Commissions or Committees, or excerpts of reports of such bodies expressing appreciation for a member of the Service by name.

(iii) Letters of appreciation from individual non-officials or from individual officials (other than a Secretary or Head of Department) if confined to expressing appreciation of service rendered by the member of the Service far beyond the normal call of duty, and provided the Secretary or the Head of the Department so directs.

3. Appreciation of an officer's work should more appropriately be recorded in the annual confidential report rather than in a letter of appreciation which does not give a complete perspective of his good and bad points. The mere fact that a stray letter of appreciation goes into his Confidential Roll dossier does not give the officer undue advantage in the matter of promotion which is governed more by consideration of general and consistently high performance than by occasional flashes of good work.

4. These instructions are being issued in exercise of the powers of Central Govt. Under Rule 10(A) of the AISI Rules 1970.

[Letter No. 11059/7/77-AIS(III), dated 31/5/1977]

## **(II) PROCEDURE TO ISSUE A WARNING/DISPLEASURE/REPRIMAND**

**1. Procedure to issue a warning/displeasure/reprimand.-** I am directed to invite a reference to Ministry of Home Affairs letter No. 7/4/59-AIS(II), dated the 20th March, 1959 and letter No. 7/5/60-AIS(III), dated the 4th May, 1960, the contents of which have been reproduced as Government of India decisions 3 and 4 under Rule 6 of the All India Services (Discipline and Appeal) Rules, 1969, at pages 122-23 of the All India Services Manual 4th Edition, Part I, and to say that the matter has been further considered and the following clarifications are given:-



(i) It has been stated in the Ministry of Home Affairs' letter No. 7/5/60-AIS(II), dated 4th May, 1960 that if it is decided, on the conclusion of disciplinary proceedings not to impose any of the prescribed punishments but to administer a warning or reprimand, mention of it should be made in the Confidential Roll. The Delhi High Court in the case of Shri Nadhan Singh vs the Union of India expressed the view that warning kept in the C.R. dossier has all the attributes of 'Censure' which is a formal punishment and which can only be awarded by the competent authority after following the procedure prescribed in the relevant disciplinary Rules. It has, therefore, been decided that where it is considered, after the conclusion of the disciplinary proceedings, that some blame attached to the officer concerned which necessitates cognizance of such fact, the disciplinary authority should award one of the recognized statutory penalties. If the intention of the disciplinary authority is not to award 'Censure', then no recordable warning or reprimand should be awarded.

(ii) In the Ministry of Home Affairs letter No. 7/4/59-AIS(II) of 20th March, 1959, it is stated that there may be occasions when a superior officer may find it necessary to criticize adversely the work of an officer working under him, and he may feel that while the matter is not serious enough to justify the imposition of a formal punishment, it calls for some informal action such as communication of a written warning, admonition or reprimand. It has now been decided that where such a warning/displeasure/ reprimand is issued, it should be placed in the personal file of the officer concerned. At the end of the year (or period of report), the reporting authority while writing the confidential report of the officer, may decide not to make a reference in the confidential report to the warning/displeasure/reprimand, if in the opinion of that authority, the performance of the officer reported upon after the issue of the warning or displeasure or reprimand, as the case may be, has improved and has been found satisfactory. If, however, the reporting authority comes to the conclusion that despite the warning/displeasure/reprimand, the officer has not improved, it may make appropriate mention of such warning/displeasure/reprimand, as the case may be, in the relevant column in Part-II of the ACR from prescribed under the All India Services (Confidential Roll) Rules, and in that case a copy of the warning/displeasure reprimand referred to in the confidential report should be placed in the ACR dossier as an annexure to the confidential report for the relevant period. The adverse remarks should also be conveyed to the officer and his representation, if any, against the same disposed off in accordance with the procedure laid down in the rules.

2. It is requested that these instructions may be brought to the notice of the members of All India Services functioning under the State Government.

[No.11018/5/79-AIS (III), dated the 3rd April, 1981]

**2. Procedure to issue a warning/displeasure/reprimand.-** I am directed to invite a reference to this Department's letter No. 11018/5/79-AIS.III, dated 3.4.81, which prescribes the procedure to be followed when the Reporting authority decides to issue a warning/displeasure/reprimand to the officer reported upon. The question of placing in the CR the warning issued by the Government has reconsidered. It has been decided that as soon as the communication conveying the warning/displeasure/reprimand of the Government is issued to the member of the Service concerned, a copy there of shall be kept in his Confidential dossier.

2. Clause (iii) of Govt. of India's decision under rule 2 of the AIS (CR) Rules, 1970, specifying the documents to be kept in the CR Dossier, has been amended accordingly.

3. It is requested that these instructions may be brought to the notice of the members of the AIS functioning under the State Governments.

[Letter No.11059/18/85-AIS-III dt. 8.12.1987]

**3. Procedure to issue a warning/displeasure/reprimand.- Ref:**

- 1) DP & AR Order No. 11059/16/79-AIS (III), dated 23.5.80
- 2) DP & AR letter No. 11018/5/79-AIS (III) dated 3.4.81
- 3) DP & T letter No. 11059/5/91-AIS (III) dated 25.2.91
- 4) DP & AR Order No. 11018/5/79-AIS (III) dated 31.3.81
- 5) DP & T Order No. 11059/18/85-AIS (III) dated 10.12.87

I am directed to refer to this Departments order mentioned above regarding the procedure for placing of warnings, reprimand etc. given to the members of All India Services, in the Confidential Rolls. According to Rule 2 (b) of All India Services (CR) Rules, 1970, the confidential rolls of an officer includes the confidential report and other documents to be specified by the Central Government. Under the Government of India orders dated 23/5/80, as amended by the orders dated 31/3/81, mentioned above, the following documents can be included in the confidential rolls:

"Copy of the communication addressed to the member of the Service warning him or conveying the displeasure or reprimand of Government, to which a reference is made in the in the confidential report for the relevant period'.

2. The instructions issued vide this Departments letter no. 11018/5/79-AIS (III), dated 3rd April, 1981 provides that -

a) No reprimand or warning should be awarded to an officer at the conclusion of disciplinary proceedings; in case it is felt that some blame attaches to the officer which necessitates cognizance of such fact, the disciplinary authority should award one of the recognised penalties.

b) In the case of superior officer watching the work of a subordinate member of the Service, there may be occasion to criticise adversely the work of the officer reported upon, though the matter may not be serious enough to justify the imposition of a formal punishment. In such cases, the procedure for recording such warnings etc. in the ACR of the officer has been laid down in detail.

It is necessary in this context to distinguish between a warning issued at the conclusion of a departmental proceeding and a warning issued by way of caution to enable the officer to note his deficiencies and improve himself. As already clarified in this Department's letter dated 3/4/81 the former category has all the characteristics of a Censure and should not be resorted to; however, communications like warnings, displeasure, reprimand issued with a view to enable the officer to note his deficiency and improve himself has the characteristics of an adverse remark in the ACR of the officer.

Even in the cases where a warning etc. is issued to an officer with a view to bringing the deficiency in his performance to his notice for making improvements, a distinction has to be made between

c) Warning etc. issued by the Government; and warning etc. issued by the authorities other than the Government. Reprimands, warning and communications of displeasure etc. issued by the Government should straight away be placed in the confidential rolls of the officer. In so far as any warning issued by the reporting/reviewing/accepting authority is concerned, it would be obligatory for the authority concerned to follow the procedure laid down by this departments letter dated 3/4/81 refer to in para 2 above. In regards to warning etc. issued by any other authority including a constitutional authority other than the government it would be for the government to decide, after a careful consideration of the circumstances, whether the same should be placed in the CR of the officer.

3. In every situation where a copy of a communication of warning, reprimand etc. is placed in CR of the officer, such communication should be treated as an adverse remark in the ACR for the relevant period and the procedure prescribed for the communication of adverse remark and consideration of the representation by the officer against the same should be followed.

{No.11059/8/93-AIS (III), dated the 3rd Dec., 1993}

## **GOVERNMENT OF INDIA'S ORDERS UNDER RULE 5**

### **(I) LAYING DOWN THE CHANNEL FOR WRITING PERFORMANCE APPRAISAL REPORT**

**1. Prescribing the reporting, reviewing and accepting authorities.-** I am directed to refer to para 2 of this Department's letter No. 10(2) EO (PR/75, dated the 24th January, 1975, wherein the State Governments were requested to adhere strictly to the definition of this terms "reporting", "reviewing" and "accepting". authorities as given in the All India Services (Confidential Rolls) Rules, 1970. In order to ensure uniformity in writing the confidential reports, it is requested that the State Governments may issue detailed instructions prescribing the reporting, reviewing and accepting authorities for various posts under the State Government to which normally members of the All India Service are appointed. A copy of such order may be endorsed to this Department for record.

[Letter No. 11059/3/75-AIS III, dated 16th Sept., 1975]

**2. Laying down channels for recording of remarks by the Ministries/Departments of the Government of India.-** The undersigned is directed to say that in case of members of the All India Services serving in connection with the affairs of the Union or any public sector undertaking, autonomous or other body within the administrative purview of the Government of India, the concerned ministries are authorised to lay down the channel of recording of remarks in the ACRs of the members of the service as provided for in the All India Services (Confidential Rolls) Rules 1970.

2. It may be pointed out that especially in cases of public sector undertakings, cooperatives and other autonomous bodies, the actual channel of supervision and the

linkage thereof may not be clear and, therefore, it is all the more necessary that the linkage and consequently the channel for recording the remarks in the ACRs of the officer needs to be laid down clearly by the ministries concerned with the approval of the competent authority.

3. It has been noticed that some ministries are yet to lay down the channel of recording of the ACRs in case of members of this service serving within their administrative purview especially in the case of cooperatives, autonomous bodies, etc. It is requested that the situation may please be got rectified immediately and orders issued in this regard may be endorsed to this Department for information.

[No. 11059/9/93-AIS, dated the 30 August, 1993]

**3. Reporting Authority should be immediately superior to the member of the Service or any other authority empowered by the Government.** I am directed to say that there is an impression in some quarters that according to clause (e) of Rule 2 of the All India Services (Confidential Rolls) Rules, 1970, the Reporting Authority can be either the authority immediately superior to the member of the Service reported upon or such other authority as may be specifically empowered in that behalf by the Government. It is hereby clarified that subject to the provision of sub-rule (6) of Rule 5 of the said Rules, the authority who was, during, the period for which the confidential reports is written, immediately superior to the member of the Service, has necessarily to record his report on the performance of the member of the Service. In addition, any other authority may be specially empowered by the Government to act as the Reporting Authority. The use of the conjunction "and" to join two sub-clauses in clause (e), *ibid* makes the above position abundantly clear.

2. It is requested that the above clarification may be brought to the notice of all concerned so that the procedure followed in the matter of writing confidential reports on the members of the All India Services is in consonance with the rules.

[Letter No. 11059/5/77-AIS III, dated 8/7/1977]

**4. Reporting Authority should be in a higher grade of pay than the officers reported upon and the Reviewing Authority should be in a higher grade than the Reporting Authority.-** I am directed to refer to Rule 2(e) of the AIS (CR) Rules, 1970, wherein the reporting authority has been defined as the 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.

2. It appears that some States have kept in view the seniority and pay scale of the reporting officer vis-à-vis the Member of the Service reported upon while assigning reporting authorities whereas others have not. Instances have come to the notice of this Department wherein ACRs of the members of All India Service have been initiated by officers belonging to the same batch or drawing pay in the same scale as that of the officer reported upon.

3. It is suggested to the State Govts. that while assigning reporting/reviewing authorities efforts may be made to ensure that a member of the Service or any other officer does not initiate the C.R. of another member of the Service in the same grade of

pay. It is also desirable that the reviewing authority is in a higher grade than the reporting authority within the limits of administrative convenience.

{No. 11059/4/89-AIS.III, dated the 28th December, 1990.}

**5. Writing of ACRs by a relative of a member of the Services.-** I am directed to forward a copy of the O.M. No. 21011/3/78-Estt. (A), dated 31.5.1978, the instructions stipulated therein shall also apply to the member of All India Services.

2. An instance had come to the notice of the Government in which a reporting officer wrote confidential report on his subordinate who happened to be his close relative. In this connection, a question had arisen whether a reporting officer could write report on his close relative who may happen to be his subordinate officially. The matter had been examined carefully and the following decisions taken:-

- (i) The administrative authority may take care that to the extent possible, a close relative of an official is not placed under the direct charge of that official where the latter has to write the C.R of the former.
- (ii) Should such a situation become inescapable, it should not be allowed to continue beyond the barest minimum time possible.
- (iii) In such a situation, the employee should abstain from writing the ACR of the employee who is his close relative and instead, the reviewing officer should take on the role of the reporting officer.
- (iv) If a similar relationship exist between the reviewing officer on one hand and the officer reported upon then the other, the same would apply in respect of the reviewing officer and the role of the reviewing officer would be transferred to the authority next higher up.
- (v) In case of this nature, where there is any doubt, it would be incumbent upon the reporting officer to consult the next higher authority before he writes the confidential reports.

[Letter No. 11059/13/2000-AIS (III), dated the 18<sup>th</sup> August, 2000]

## **(II) CHANNEL OF WRITING REPORTS OF CVOs.**

**1. Channel of writing Reports of Chief Vigilance Officers in the Ministries/Departments of Government of India, Central Public Sector Undertakings, etc.-** I am directed to say that the authority to record remarks in the Annual Confidential Reports of All India Service Officers has been provided for in Rules, 5,6 and 6A of the All India Services (Confidential Rolls) Rules, 1970. The particular Channels for writing the ACRs are prescribed by the concerned Ministries/Departments in the Government of India and by the State Governments in the case of All India Services officers working in connection with the affairs of the States.

2. As per the provisions contained in the para 7 of the Ministry of Home Affairs' Resolution No. 24/7/64-AVD dated the 11th February 1964, the Central Vigilance Commissioner (CVC) has been empowered to assess the work of Chief Vigilance Officers and Vigilance Officers and to record such assessments in their character rolls. In accordance with the existing practice, the CVC records his assessment of the work done by the CVOs on a separate sheet which is later added to the confidential character rolls

of the officer concerned. In order to further streamline the procedure in this regard, it is felt that a measure of uniformity needs to be brought about in the channel for recording remarks in the confidential reports of officers working as Chief Vigilance Officers etc.

3. It is, therefore, considered that the Annual Confidential Report of Chief Vigilance Officers of Public Sector Undertakings/Organisations, whether working on a full-time or part-time basis should be initiated by the Chief Executive (Chairman/Chairman-cum-managing Director/Managing Director, as the case may be) of the concerned organisation/undertaking, reviewed by the Secretary of the Administrative Ministry/Department (Wherever such review is presently being done, depending on the level of the CVO) and will be sent to the Central Vigilance Commissioner for adding his remarks as the accepting authority.

4. In respect of Chief Vigilance Officers in the Ministries and Departments of the Government of India and their attached/subordinate Offices who look after the vigilance functions in their respective organisations in addition to their normal duties, the assessment made by the Central Vigilance Commissioner will continue to be recorded on a separate sheet to be subsequently added to the confidential rolls of the officer concerned.

5. It is requested that instructions in regard to the channel for writing the ACRs of Central Vigilance Officers as mentioned above may please be circulated to all concerned offices/ organisations/undertakings in their administrative purview and the same may please be intimated to this department for information.

[No. 11059/2/93-AIS (III), dated the 13 March, 1993 & 14th April, 1993]

## **(II) WRITING OF REPORTS OF JOINT SECRETARIES, DIRECTORS IN CHARGE OF THE PUBLIC SECTOR UNDERTAKINGS**

**1. Writing of reports of Joint Secretaries, Directors in charge of the Public Sector Undertakings.-** The undersigned is directed to forward herewith a copy of the O.M No. 21011/2/2000-Estt.(A) Dated 9.3.2000 laying down the procedure for writing ACRs of Joint Secretaries and Directors of PSU prescribed therein shall apply mutates mutandis to member of All India Services also.

2 The creation of the Department of Disinvestment, which is fully dedicated to and responsible for disinvestments, it has become necessary to equip this Department with appropriate control, only for the purpose of disinvestments, over the officers of administrative Ministries dealing with the Public Sector Undertakings.

3. It has, therefore, been decided that for implementation of Government's Decisions relating to disinvestments of Government equity from a PSU, the JS or the Director in charge concerned with the PSU in the administrative Ministry would continue to be responsible. He/She would, therefore, put up the files to Secretary/Minister DOD instead of the Secretary/Minister of the administrative Ministry concerned, using the existing intermediate channels. It has also been decided that the ACRs of such a Joint Secretary or Director in charge would be written at the level of Secretary to Government by both, Secretary of DOD as well as the Secretary of the administrative Ministry in the following manner: -

- (i) ACR of officer concerned would be first written by the Secretary of the administrative Ministry/Department under whose administrative control the PSU falls.
- (ii) The Secretary, DOD would also written a report on JS or Director in charge of the PSU in the administrative Ministry/Department. If the Director/Joint Secretary of the administrative Ministry/Department is looking after more than one component of work in addition to the disinvestments work, then the report/review/acceptance of the ACR by the DOD will be limited only to the disinvestments component of work.
- (iii) The report referred to at (i & ii) above would then be submitted to the Minister-in-Charge of the administrative Ministry for a review.
- (iv) After the review by the Minister-in-Charge, the report would be submitted to the Minister-in-Charge of DOD for his countersignature.
- (v) Where the Minister-in-Charge in administrative Ministry is the Prime Minister himself, the report at (i & ii) above would in the first instance be submitted to the Minister-in-Charge, DOD for a review and thereafter submitted to PM.
- (vi) The ACR will be recorded in Form II of the format prescribed for IAS officers (Super Time Scale).

[O.M. No. 11059/3/2000-AIS-III, dated the 24<sup>th</sup> March, 2000]

## **2. Writing of Reports of Joint Secretaries/Directors in charge of the Public Sector Undertakings in the Administrative Ministry under whose control the PSU falls.-**

The undersigned is directed to state that vide this Department's Officer Memorandum of even number dated the 24<sup>th</sup> March, 2000, forwarded a copy of O.M. dated 9<sup>th</sup> March, 2000, laying down the procedure for writing of ACRs of Joint Secretaries/Directors/Deputy Secretaries handling matters on PSUs in the administrative Ministry under the control of which the PSUs fall. Those instructions have been modified vide this Department's O.M. No. 21011/2/2000-Estt.(A) dated 06/12/2000 (copy enclosed). The revised instructions will apply mutatis mutandis to members of the All India Service also.

2. It is requested that the above said instructions may be brought to the notice of members of All India Services dealing with the Public Sector Undertakings.

[O.M. No.11059/03/2000-AIS (III), dated the 7th February, 2001]

## **(IV) WRITING OF REPORTS ON THE INTEGRATED FINANCIAL ADVISERS (IFA)**

**1. Writing of Confidential Reports on the Integrated Financial Advisers (IFA).-** The undersigned is directed to say that the Cabinet had in August, 1975, while approving the scheme of Integrated Financial Advisers, noted that the IFA attached to a Ministry would be selected jointly by the administrative Ministry and the Finance Ministry even though he would be under the administrative control of the Ministry appointing him. It was considered that this arrangement would help in rendering objective and dispassionate advice by the IFA, on all financial matters. It is in this light that the question of devising

suitable arrangements for the assessment of the performance of IFA both by the administrative Ministry and the Finance Ministry was considered and the following decisions taken:-

- (1) The confidential report on the Integrated Financial Advisers would be initiated by the Secretary of the administrative Ministry/Department to which the IFA is attached.
- (2) Where the IFA is attached to more than one Ministry/Department, the Secretaries in the Ministries/Departments concerned would write separate reports.
- (3) The Secretary in the Ministry of Finance, dealing with the officer reported upon, would write a report on each of the Integrated Financial Adviser.
- (4) The report referred to at (1,2 & 3) above, would then be submitted to the Minister-in-Charge of the administrative Ministry for a review.
- (5) After review by the Minister(s) in the administrative Ministry/Ministries report or reports would be submitted to the Finance Minister for his counter signature.

2. Where the Minister in the administrative Ministry is the Prime Minister himself, the report referred to at (1,2, &3) above would be, in the first instance, be submitted to the Finance Minister for a review and thereafter submitted to the Prime Minister who would act as the counter signing authority.

[O. M. No. 21011/2/77-Estt. (A) DP&AR, dated the 22<sup>nd</sup> June, 1977]

#### **(V) WRITING OF REPORTS OF MEMBERS OF THE INDIAN FOREST SERVICE**

**1. Writing of Reports of members of the Indian Forest Service.-** Attention of the State Government is invited to this Ministry's letter No. 14/20/2000-SU dated 28th September, 2000 vide which a copy of order dated 22/09/2000 passed by the Hon'ble Supreme Court in I.A. No. 424 (Civil Writ Petition No. 202 of 1995) : T.N. Godavarman Thirumulkpad had been forwarded for implementation of various directions given by the Apex Court.

2. One of the directions of the Apex Court was in regard to writing of Annual Confidential report of the members of the Indian Forest Service. The Hon'ble Supreme Court had directed that upto the officers of the rank of Addl. Principal Chief Conservator of Forests the reporting authority has to be the immediately superior officer within the Forest Department. It is only in the case of Principal Chief Conservator of Forest that the reporting authority would be a person other than the one belonging to the Service because there is no one superior to him within the EFS. Therefore, in his case the reporting authority would be a person to whom he reports and who is superior to him in hierarchy.

3. Keeping in view the directions given by the Hon'ble Supreme Court, all the State Governments are advised to ensure that for writing the Annual Confidential Reports of the IFS officers upto the rank of Additional Principal Chief Conservator of Forests, the reporting authority should be their immediate superior authorities in the Forest Department. As regards reviewing/reporting authority in relation to officers of the rank of Addl. Principal Chief Conservator of Forests and Principal Chief Conservator of Forests, the concerned authority would person who is familiar with their work and that will be the



person to whom addl. PCCF/PCCF reports and who is superior to them in rank and hierarchy.

4. The State Government may, if necessary direct the Collectors and Commissioners to record their comments on a separate sheet about the performance of the IFS officers in relation to implementation of developmental work (including 20-point programme) funded by the District Administration for being considered by the superior departmental officers at the time of writing of ACRs.

5. The State Governments are requested to ensure that the directions given by the Hon'ble Supreme Court in the matter of writing of ACRs, as explained above, are strictly followed.

[Copy of the Ministry of Environment & Forest's letter No. 2019/01/2001-IFS-I, dated the 8th November, 2001]

## **(VI) WRITING OF REPORTS OF ALL INDIA SERVICES OFFICERS – INSTRUCTIONS REGARDING.**

### **1. Writing of reports by the Reporting/Reviewing/Accepting Authorities after demitting office.-**

Clarifications have been sought in the matter of writing, reviewing, accepting of an Annual Confidential Report of a member of the Service by a person who is not a Government servant. The same is clarified as under:-

(i) The Reporting Authority, Reviewing Authority or the Accepting Authority, as the case may be shall not be competent to write a Confidential Report in respect of a member of the Service after he demits office.

{Rule 5 of All India Services (Confidential Rolls) Rules, 1970}

(ii) The Reviewing Authority or the Accepting Authority, as the case may be, shall not be competent to review a Confidential Report in respect of a member of the Service after one month of the date on which he demits office.

{Rule 6 of All India Services (Confidential Rolls) Rules, 1970}.

(iii) The Accepting Authority shall not be competent to accept and counter-sign a Confidential Report in respect of a member of the Service after one month of the date on which he demits office.

{Rule 6 A of All India Services (Confidential Rolls) Rules, 1970 }.

[Letter No. 11059/6/96-AIS(III), dated 14th May,1996]

**2. Writing of ACRs of All India Services Officers – instructions regarding.-** The Hon'ble Supreme Court in I.A. No.424 in Writ Petition (Civil) No. 202 of 1995 (T.N.

Godavarman Thirumulkpad Vs. Union of India & Others) had considered the issue of the competent authority to write the confidential report of Forest Department Officers (implementation of the judgement of the Hon'ble Supreme Court). The Ministry of Environment & Forests issued instructions vide letter No. 22019/1/2001-IFS-I dated 8<sup>th</sup> November, 2001 (Copy enclosed) .

2.1 This Department filed I.A.No. 477/2003 for modification or clarification of the above order of the Hon'ble Supreme Court. The Hon'ble Supreme Court directed that the matter be heard by the Central Empowered Committee (CEC), constituted by the Hon'ble Supreme Court of India. The CEC has agreed with the views of Department of Personnel & Training (DOP&T) that the Hon'ble Court's order dated 22.09.2000 was issued in a particular context and should not be generalized to cover other Services. It has also agreed with the view of the DOP&T that if the Forest Officer is working in the Secretariat or other Departments where his immediate supervising officer is a non-forest officer, his C.R should be written by such an officer [para 8(x)].

2.2 The relevant recommendation of the CEC is reproduced below:-

“In the light of the above, the Committee is of the considered view that this Hon'ble Court's order dated 22.09.2000 requires no modification. The Hon'ble Court's order has set right the anomaly that existed in the State of Madhya Pradesh regarding CRs of the Forest Officers. The Hon'ble Court's order is not inconsistent with the amended CR Rules. It may be clarified that the order of 22.09.2000 of this Hon'ble Court is applicable only for reporting, reviewing or accepting the confidential reports of the Forest Officers working within the Forest Department and is not applicable for Forest Officers working outside the Department or for other Services”.(para 10) .

2.3 In pursuance of the recommendations of CEC, the Hon'ble Supreme Court has in its order of 26<sup>th</sup> April, 2004 in I.A.No. 1035, (Report of the Central Empowered Committee in I.A. No. 776) in WP (Civil) No. 202 of 1995 , agreed with the same and has dismissed I.A.No. 424 and disposed of I.A.No. 1035. A copy of the Recommendation of the CEC can be made available on request.

2.4 It is therefore, clarified that the order passed by Hon'ble Supreme Court on 22.9.2000 is applicable to Forest Officers working within the Forest Department and is not applicable to Forest Officers working outside the Department. It is also clarified that if the Forest Officer is working in the Secretariat or other Department where his immediate superior officer is a non-Forest officer, his CR should be written by that superior officer. This order of the Hon'ble Apex Court is also not applicable to other Services viz., the Indian Administrative Service and the Indian Police Service.

[DOPT O.M. No.22012/4/2001-AIS(III) dated 2<sup>nd</sup> September, 2004]

## **(VII) TREATMENT OF THE PERIOD OF TRAINING/LEAVE ETC. FOR THE PURPOSE OF COMPUTING 3 MONTHS**

**1. Treatment of the period of training for the purpose of computing 3 months under Rule 5(4) & 5(5) of AIS (CR) Rules, 1970.-** I am directed to say that as per rule 5(5) of the AIS (CR) Rules where the reporting authority, 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, an entry to that effect shall be made in the confidential report for any such period by Government.

2. Doubts have been raised whether a period of training should be excluded from the period of the report for computing the 3 months period under Rule 5(4). The matter has been considered and it has been decided that as the member of the Service would not be physically present during the period of training and his performance cannot be observed by the reporting/reviewing/accepting authorities that period of training should be excluded from the period of the report.

3. For computing the 3 months period under Rule 5(4) also the above decision may be applied.

{Department of Personnel & Training letter No. 11059/3/91-AIS.III, dated the 30 January, 1991}

## **2. Treating the period of Earned Leave for the purpose of computing 3 months for writing reports.-**

I am directed to state that as per rule 5(4) of AIS (CR) Rules, 1970 where the Reporting / Reviewing / Accepting authorities 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, an entry to that effect shall be made in the confidential report for any such period by Government.

2. In case of training, it has been clarified vide letter No.11059/3/91-AIS-III, dated 30.1.1991 that since a member of Service would not be physically present during the period of training and his performance cannot be observed by the Reporting / Reviewing / Accepting authorities, that period of training should be excluded from the period of Report.

3. On the analogy of aforementioned instructions, it has been decided that where an officer has taken Earned Leave for a long period, which is being defined as more than 15 days, the total period spent on leave can be deducted from the total period spent on any post, for purposes of computing the period of three months which is relevant for writing of entries under Rule 5 (4) of AIS (CR) Rules, 1970. Leave taken for a shorter duration need not be treated as relevant for the purpose.

[Letter No. 11059/7/2003-AIS-III, dated the 11<sup>th</sup> November, 2003]

## **(VIII) INTEGRITY COLUMN**

**1. Filling up 'Integrity Column'.-** Attention is invited to the instructions issued vide MHA O.M. No.51/4/64-Estt.(A) dated the 21<sup>st</sup> June, 1965, which are incorporated in the Note-below ACR Format under AIS(CR) Rules,1970 regarding filling up Integrity Column of a member of the All India Service. Instances have come to the notice of this Department where the prescribed procedure regarding filling up the 'Integrity Column' has not been followed by the concerned authorities.

2. It is again emphasized that while filling up the '**Integrity Column**', the concerned authority should either write '**beyond doubt**' or the column should be **left blank** and the procedure prescribed therein should be followed. No other words such as 'certified' or 'not certified' should be used by the concerned authorities.

3. It is requested that these instructions may be brought to the notice of all concerned authorities.

[Letter No.11059/26 /2005-AIS (III), dated the 2<sup>nd</sup> January, 2006]

## MISCELLANEOUS

### 1. Retention of ACRs

I am directed to say that the Government of India Instructions issued in letter No. 11059/16/76-AIS(III) dated 26<sup>th</sup> February, 1977 provide that Confidential Rolls of the members of All India Services may be destroyed after a period of two years after their death or retirement. The Confidential Rolls are important documents for the career development of the members of the Services. However, these were confidential documents under the All India Services (Confidential Roll) Rules, 1970 till the adoption of the All India Services (Performance Performance Appraisal Report) Rules, 2007. The new rules, adopted from the assessment year 2007-08 provide that the whole content of the PAR, including the overall grading shall be communicated to the officer concerned for making representation at appropriate authority. Therefore, the confidentiality of the ACR/PAR has no relevance now.

2. The AIS(PAR) Rules, 2007 envisages for maintenance of a personal dossier containing, inter-alia, the PARs earned throughout the career, certificates of training or study, details of books or articles published, appreciation letters and other documented achievements made by the officer throughout his career. Some of the members of All India Services have shown their keenness that after retirement this record be handed over to them.

3. It has, therefore, been decided that after the normal period of retention of two years and on the request of the officer, the CR dossiers of the retired members of the Services may be provided to them. Each interested member of the Service may indicate his/her intention in this regard to the concerned authority in the Central Government or the State Government at the time of retirement with the complete postal address. The Concerned authority in the Central Government as well as in the State Government shall maintain a list in this regard and send the CR dossiers to the concerned retired Member of the Service after the period of normal retention is over.

[Letter No. 11059/13/2010-AIS (III) dated 09/09/2010]

### 2. Retention of ACRs

I am directed to refer to this Department's letter No. 11059/16/76-AIS (III), dated the 26<sup>th</sup> February, 1977, a copy of which is enclosed, and to say that the confidential dossiers of members of All India Services, who are retired from service in public interest under rule 16(3) of All India Services (DCRB) Rules, 1958 should not be destroyed five

years after the date of their retirement from service if the officer concerned has submitted representation/memorial against the order of his retirement from service or if he has challenged the order of his retirement in a court of law. In such cases, the confidential dossiers should be retained till the representation/memorial is finally disposed of or, if the officer has gone to the court, the judicial proceedings, including possible appeal against the ruling of the lower court, are over.

[Letter No. 11059/11/78-AIS III, dated 16<sup>th</sup> May, 1978]

**2. Dispensing with the need of writing ACR of - Direct Recruit IAS officers during the period of probation.-**

I am directed to state that under the AIS (Probation) Rules, 1954, an Assessment Report has been prescribed to maintain a record of the performance of Direct Recruit Probationers undergoing training under the charge of the Director, LBSNAA, This Assessment Report is designed to assess whether the probationer has the requisite qualities of mind, character and aptitude to be confirmed in the service. If the Competent Authority on considering the Assessment Report is of view that the probationer lacks qualities of mind, character and aptitude to be confirmed in the service, then he can be discharged under the probation rules.

[No.11059/10/95-AIS (III) dt.09.10.1996]