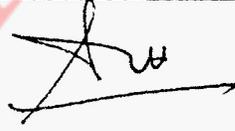
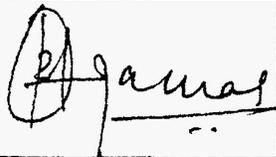


**REPORT OF THE GROUP CONSTITUTED TO REVIEW
THE SYSTEM OF PERFORMANCE APPRAISAL,
PROMOTION, EMPANELMENT AND PLACEMENT
FOR THE "AIS" AND OTHER GROUP 'A' SERVICES**

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Foreword

The Civil Services of India have, overall, served the country well. They have, since Independence, met myriad challenges of development, national integration, mobilization of resources, maintaining communal and sectarian harmony, internal security, ecological conservation, and external relations, to name just a few, competently and impartially. At the same time, it needs to be acknowledged that the world of the 21st century is different, and changing rapidly, from that in which the Civil Services as we know them today were conceived, born, and nurtured.

These changes, within India and beyond, involve significant re-orientation of the goals, norms, and approaches to public management. These comprise the formulation of policies, programmes embodying these policies, and their effective implementation. In turn, these call for, not drastic but nevertheless significant, changes in the orientations, knowledge pool, and incentive structures of the Civil Services. The organizing principle of these needed changes is greater professionalism. This is also the trend, for similar reasons, in the civil services of numerous countries worldwide, both developed and developing.

The group was tasked to address some of the changes believed to be necessary in the management of the Civil Services. More specifically, the mandate of the group was to recommend changes in the system of performance appraisal to ensure greater transparency, so that better performance (or its lack) is fairly and accurately reflected in the appraisal; and to ensure a more clearly defined linkage between performance appraisal, experience and skills, with career advancement and placements in senior positions in the Government. The group realized early in its work that a measure of fidelity to the mandate would require several paradigm shifts in these areas.

Diverse as the challenges of civil service reform are, so too are perspectives and views on how they may be addressed. The group accordingly actively sought the opinions of as many knowledgeable persons as was possible within the time-frame of the study. The group has attempted to reconcile a number of different viewpoints in making its recommendations. The result, we believe, are a coherent set of recommended reforms, whose implementation may be feasible within the constraints of our democratic political system and governmental structure, and yet help realize in significant measure, the overarching objective of greater professionalism.

The group was tasked, in respect of its mandate, to cover all Group A services of the Government of India. Given the time available, it has been possible to cover the three All-India Services only, i.e. the Indian Administrative Service (IAS), the Indian Police Service (IPS), and the Indian Forest Service (IFoS). However, the group feels that the approach and recommendations of the group would broadly apply to all other Group A (non-technical) services. Divergences, as may be necessary to accommodate the specific characteristics of these services may be identified by a separate exercise. The group is also aware that significant detailing work would be necessary before the recommendations can be embodied in the relevant rules, regulations, and guidelines.

We hope that this work would help in some tangible way in restructuring the Civil Services to contribute to the realization of good governance and economic reforms in the country.

New Delhi

July 2003

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Acknowledgements

On behalf of the Group, I would like to thank the Honourable Prime Minister, the Cabinet Secretary and the Department of Personnel & Training, for giving us an opportunity to deliberate on an extremely important issue relating to the career management of the senior most civil servants in the country. Given the rapid changes taking place in the area of public management, the need for having an extremely efficient and competent group of civil servants cannot be understated.

We would like to thank all those who have responded to our request for suggestions and sent valuable contributions. The Group benefited immensely from the views that it received from a wide cross-section of people. We would particularly like to thank all those who spared their time to meet the Group and give us their ideas. In particular, we would like to thank the Government of Andhra Pradesh, who hosted the Group during its visit to the State. We would also like to thank the Director of the LBSNAA and all its faculty members and staff for the excellent arrangements made during the meetings of the Group at the LBSNAA.

The Group would like to place on record the valuable assistance provided by the Department of Personnel & Training, the Ministry of Home Affairs and the Ministry of Environment and Forests in nominating senior officers to liaise with the group for providing information in respect of the All India Services.

We would like to thank the staff of the Training Division of the DOP&T as well as the ISTM, who facilitated all the meetings of the Group in the Training Division. In particular, we would like to place on record the immense support and assistance provided by Shri K.S. Saha, Deputy Secretary, without whom the meetings could not have been organised as efficiently as they were.

Finally, I would like to thank the members of the group for all the time they have spared in making the deliberations so meaningful and enlightening. The fact that the group met over 40 times and yet almost every meeting was fully attended is testimony to the time devoted to this extremely important task by all the members.

Lt. Gen. (Retd.) Surinder Nath

Executive Summary

1. The Department of Personnel & Training (DoPT) constituted a group, in December 2002, under the Chairmanship of Lt. Gen. (Retd.) Surinder Nath, former Chairman of the UPSC, to review and make recommendations with regard to the present systems of performance appraisal, promotions and lateral movement in respect of the All India Services and other Group A services. The terms of reference of the Group were as follows:

- To comprehensively review the present system of recording Annual Confidential Reports so as to bring greater transparency and efficiency in order to motivate good officers.
- To develop a system of recording of ACRs so that better performance or lack of performance gets properly and fairly reflected. There is need to bring about a culture where a superior officer does not hesitate in recording the weakness in an officer merely due to the possible 'risk' of having to convey adverse remarks and subsequently respond to the representation received against adverse entries.
- To evolve a new system for performance appraisal after looking at practices being followed elsewhere, particularly in the Defense Services, some of the leading corporate houses, some multi-lateral organizations as well as the civil services of some other countries.
- To make recommendations/suggestions for a performance appraisal system for the All India Services and subsequently, for the Group 'A' Central Services.
- To review the present system of promotion of All India Services and other Group 'A' officers, at the level of Joint Secretary, Additional Secretary and Secretary to Govt. of India (and their equivalents), to ensure greater transparency, objectivity, and a more clearly defined linkage with the performance appraisal system.
- To make recommendations for establishing a more clearly defined linkage between the performance appraisal system and the background and

experience of officers at these levels, and their lateral movement, in respect of All India Service, and other Group 'A' Services.

2. Given the short time available, the Group focused attention on the All India Services. While the recommendations of the Group would broadly apply to all the other Group 'A' services, a separate detailed exercise would be necessary to factor in the individual service characteristics.

3. The recommendations of the Group are in two parts, the first relating to the system of performance appraisal and the second to promotions and placement (including empanelment and posting) in the Central Government, under the Central Staffing Scheme.

Performance Appraisal System

Objectives

4. Given the rapidly evolving challenges of public management, the present objectives of performance appraisal need to be widened and deepened to respond to the emerging needs of governance. In this context, performance appraisal cannot serve only as a tool to assess suitability for vertical movement, but should be primarily used for the overall development of an officer, and for his placement in an area where his abilities and potential can be used to best advantage. There is, thus, a need for a paradigm shift in the philosophy of appraisal and the objectives should be the following:

- To make an assessment of the officer's professional capabilities, with a view to determining capacity building needs and suitability for particular areas of responsibility/assignments. (Training and Placement Function)
- To counsel the officer on directions for improving performance, professional capabilities, and conduct with peers, juniors, elected representatives, and the general public (Feedback and Counseling function)
- To be a tool for developing a work plan for the year (Planning of work function)

- To make an objective assessment of the officer's performance in the current assignment, including performance in training, study courses and deputation outside the government, based on monitorable inputs, relative to his/her peers, with a view to determining suitability for higher responsibilities and special assignments. (Promotion Function)
- To identify genuinely exceptional work accomplished, including innovations, with a view to giving due recognition (Recognition function)
- To enable officers to identify systemic shortcomings in the organization with a view to improving governance standards (Strengthening Governance Function)

(see para 4.17)

5. At the beginning of each year, each appraisee and his reporting officer would prepare a work plan for the coming year, setting forth the key tasks to be accomplished in order of priority, the specific deliverables for each task (in quantitative/financial or qualitative terms) and the key assumptions made in arriving at the plan. This work plan would be updated at mid year, to take account of changed circumstances, if any. The initial and mid-year work plans would be filed with the review officer.

(see para 4.12.10)

Better monitoring and scrutiny through computerization

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

7. The agency assigned the responsibility of monitoring the timely writing of annual performance reports should then put in place a computerized system for more effective monitoring. Computerization would be useful for the following purposes:

- Monitoring the timely writing of the appraisal report by the appropriate Reporting and Reviewing Officers.
- Facilitating the development of a master data sheet (MDS), which could be used by any promotion/screening committees, for various personnel actions.
- Providing assistance to promotion/empanelment committees in accounting for systematic variations in grading standards across different State cadres of the same service, and identifying inconsistencies between overall grades and grades for individual attributes.
- Aggregating numerical scores on the basis of frequency distribution or fuzzy set analysis.
- Drawing panels/shortlist of officers for specific assignment/training programs.
- Maintaining an effective database of officers, that can be tapped for various purposes.

(see para 5.2)

Staggering cut off dates

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

(see para 5.3)

Need for greater openness

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

10. The Group, after weighing the pros and cons of the various options, favours disclosure of the entire PAR, including the overall grade. The disclosure should only be after review by the Reviewing Officer.

11. The appraisee may be given the option to give his comments on the PAR, which may, however, be restricted to the specific *factual* observations made by the Reporting and Reviewing Officers. In case the appraisee submits any comments, it would be open to the reporting and reviewing officers to accept the comments of the appraisee and modify the PAR accordingly. In case they do not accept the representation of the appraisee, the same, along with the entire report (and the comments by the Reporting and Reviewing Officers, if any), may be placed before a designated "Referral Board" who would consider the matter and make any changes, as considered necessary in any part of the PAR, including the overall grading.

(see para 5.5)

Numerical Grading

12. A system of numerical grading may be introduced for evaluating the work output, the personal attributes, the functional competencies and the overall assessment. These may be done on a 1-10 scale, with 1 referring to the poorest grade and 10 to the highest.

(see para 5.7)

State of Health

13. In order to ensure that health/physical fitness aspects are given due consideration in making placements, it is necessary that information on the state of health should be provided by a formal medical examination, (rather than non-professional impressions by the Reporting Officer). Accordingly, a comprehensive health check up, at least once in two years, should be insisted upon. A summary of the medical report, should be placed in the PAR dossier.

(see para 5.10)

"360 degree" reporting

14. As yet there is no established modality for evaluation of an officer's performance and qualities by peers, subordinates and clients (termed 360 degree assessments). The group considered that it would be useful to supplement the

formal PAR regime with an institutionalized means of ascertaining the reputations of civil servants, consistent with our culture and ethos. Accordingly, each cadre controlling authority may, at its discretion, set up a “Eminent Persons Group” (EPG) whose names would be kept strictly confidential), i.e. persons of acknowledged character and wisdom who clearly do not (no longer) have any personal stakes in the civil service career of anyone in particular. The EPG may, through appropriate means (e.g. discreet personal enquiries or more structured surveys) ascertain from a range of peers, juniors, and clients (e.g. public representatives, media persons, NGO functionaries, business persons, etc.), the reputation (in respect of financial and moral integrity), professional competence, attitudes, and personal qualities of each civil servant of the concerned cadre once every five years, starting from the 10th year of service. It would set out their findings in a confidential report to the concerned cadre controlling authority. This information may be compiled separately from the PAR dossier, and may be useful in the following contexts, besides others:

- (i) Placements to sensitive or special appointments.
- (ii) Counseling officers at 20 years of service or 50 years, whichever is earlier, regarding the advisability of their accepting VRS.
- (iii) Confidential counseling of officers regarding their attitudes or conduct (e.g. with respect to juniors or public representatives), or activities that have a bearing on moral or financial integrity, so that they may remedy themselves.

(see para 5.12)

Personal Dossier

15. The cadre controlling authority should maintain a comprehensive personal dossier on each officer, which should comprise of the following documents:

- A Curriculum Vitae of the officer, to be updated by means of the annual PAR and a five yearly CV update submitted by the appraisee.
- The set of PARs earned in service throughout one's career.

- The set of PARs (or similar appraisal) earned by the officer on deputation on foreign service to organizations outside the Indian governmental system.
 - The set of records of performance from the concerned institution during training and academic courses attended, including while on Study Leave.
 - Reports of biennial medical check ups
16. The Curriculum Vitae may comprise of the following sections:
- Section I: Personal Data
 - Section II: Academic and Professional Qualifications
 - Section III: Professional Publications Record:
 - Section IV: Work Experience (Job content of position held):
 - Section V: Exceptional work accomplished/ Recognitions earned and reprimands/ strictures/ penalties received

(see paras 6.3,6.4 & 6.5)

Structure of the PAR:

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

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

Section I	Basic information
Section II	Self appraisal
Section III	Appraisal
Section IV	Review

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

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

Section IV would require a review on more or less similar lines, i.e. assessment of the work output/personal attributes/functional competencies as well as recording of a pen-picture and an overall grade.

19. Due to shortage of time the Group has not been able to design suitable proforma for the other Group 'A' Services. However, it is suggested that individual cadre controlling authorities may adopt the proforma suggested for the All India Services, with some minor modifications as may be required to reflect service specific requirements.

(see para 6.6)

Calendar

20. The suggested schedule of cut-off dates (deadlines) for various activities in the performance appraisal system has been given in the main body of the report in Chapter VI.

(see para 6.7)

Promotions, Empanelment & Placements

21. At junior levels, when officers are in the formative years of their service careers, they should be guided, counseled and trained so as to help them realize their full potential. Promotions should be assured to them, subject to generally satisfactory performance, and may be on a time-scale basis. However, as the officer grows in service and is to be considered for positions dealing with policy and program formulation and implementation, there should be deep selection and only

those who can demonstrate a credible record of actual performance, and possess the necessary knowledge and skills required for higher responsibilities, should be promoted. Promotion norms should be stringent and the process of promotions based on merit and competition rather than on simple attainment of a-priori benchmarks.

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

23. The Group addressed the following issues:

1. The composition of the Screening Committee – it should be in a position to resist pressures to promote certain favoured candidates who otherwise lack merit.
2. Models for the promotion process.

Composition of the Screening Committee in States

24. With a view to enhancing the credibility and impartiality of the Screening Committee, involvement of a senior officer from outside the State cadre is recommended. The composition of the Screening Committee may, therefore, be the following:

For the level of	Current composition	Recommended composition
Super Time Scale	<ul style="list-style-type: none"> • Chief Secretary • Two Principal Secretaries of the State 	<ul style="list-style-type: none"> • Chief Secretary • Officer of the rank of Principal Secretary or higher, of the relevant service, serving in the state • Representative of Govt. of India at the level of Additional Secretary, not belonging to the state cadre and not domiciled in the state
Principal Secretary Grade	<ul style="list-style-type: none"> • Chief Secretary • One senior most officer working in the grades of Chief Secretary and Principal Secretary 	<ul style="list-style-type: none"> • Chief Secretary • Senior most Officer other than the Chief Secretary, of the service concerned and serving in the state, being himself at least in the Principal Secretary's grade. • Representative of Govt. of India at the level of Secretary to Govt. of India, not belonging to

		the state cadre and not domiciled in the state
Chief Secretary	<ul style="list-style-type: none"> • Chief Secretary • One officer in this grade working in the State • One officer in this grade of the cadre, serving in the Government of India, in the grade 	<ul style="list-style-type: none"> • Chief Secretary • Senior most officer of the cadre and concerned service, other than the Chief Secretary, serving in the state or outside, except when such officer is himself not in the grade of Chief Secretary. • Representative of the Government of India, at the level of Secretary to GOI, not belonging to state cadre or domiciled in the state

Similar changes may be made in respect of promotions in the IPS and IFoS.

(see para 9.8)

Models for promotion

25. Two models may be considered for the process of promotions to the super-time scale and above. Both models are based on the principle of merit cum seniority, with the zone of consideration taken as $(1.5n + 2)$ officers, rounded off to the next higher integer ($n =$ number of anticipated vacancies). The difference between the two models lies in the assessment parameters and basis for evaluation, as explained below:

Model A

In this model the criteria and process for selection for the higher positions may be the following:

- Satisfactory completion of all the required training programs (including approved substitutes) for the higher positions
- Evaluation of performance appraisal reports of the last 10 years, which should be moderated to ensure consistency between¹:

¹ Necessary adjustments may be made by the Screening Committee where the PARs are not in a consistent format, for example, the transition years during which ACRs (old format) and PARs (new format) are to be evaluated, or alternatively, the PARs relate to agencies outside the Indian governmental system. Adjustments may also be necessary where systematic biases in evaluations are noticed between different State cadres, or where a single Reporting/Reviewing officer has furnished the PAR of a particular officer an unusually large number of times.

1. **The overall grading secured**
2. **The assessment against work performance**
3. **The assessment against different attributes**
4. **The pen picture of the officer**
 - The evaluation of the PARs should yield a single score on a 10 point scale (the higher the better) for each candidate officer. This may be the mode or preferably the median, but not the average, of the moderated scores, as evaluated above.
 - Officers may be identified for selection, starting with the officers attaining the highest score, and moving down, until the number of anticipated vacancies is (just) reached.
 - The merit list of officers may then be arranged in their order of inter-se seniority for promotions in turn against vacancies.

The cases of such officers who are not included in the merit list in a given year may be reconsidered after a period of two years, i.e. after two more annual PARs have been added to their dossiers, and they have qualified in the required career courses (if not done earlier). The case of each officer may be considered three times in all (once as a fresh case and twice under reconsideration). After three unsuccessful attempts, the officer need not be considered for promotion any further. (For promotions to the grade of Chief Secretary in the States cases would be reconsidered in each subsequent year, i.e. after one year's PAR has been added to their dossier.

(para 9.9.3)

Model – B

In this model, a greater emphasis is placed on acquisition of necessary skills and experience for the higher positions than in the case of Model A. The following evaluation criteria, with corresponding weight for each, may be adopted:

1. **An evaluation of the officer from his performance appraisal reports (including performance in positions outside the Indian Governmental system) for the last 10 years - weight of 50%**
2. **“Richness of work experience”, as determined from his entire service record - weight of 20%**

3. **Evaluation of significant achievements or failures (“critical events”) in his entire service period - weight of 5%**
4. **Acquisition of formal professional skills for the higher positions - weight of 25%**

The evaluation from the performance appraisal reports would primarily be an assessment made from his overall grades and the ratings against the work output, different attributes, remarks from the pen picture, etc. as for Model A. The *richness of work experience* would be an assessment of the job content of his previous assignments that would contribute towards his ability to perform in the higher position by way of experience based skills and knowledge. This would involve the substance of job content (i.e. discounting for purely staff jobs, enhanced weightage to substantive field or secretariat positions), sufficient but not excessive diversity of job content (i.e. avoidance of long-periods spent in a single sector or type of position, or insufficient time spent in a large number of different sectors), as well as sufficient focus on particular sectors (e.g. education, tribal welfare, public finance [IAS]), or roles (e.g. crime detection, intelligence, security [IPS]; silviculture, wildlife management [IFoS]). The significant achievements or failures (“critical events”) would primarily relate to out-of-the-ordinary positive or negative achievements, which may also have been recognized through rewards or penalties from the relevant authorities or agencies.² The assessment of skills for the higher assignments would be based on his successful efforts at improving his relevant formal professional qualifications, including career training other relevant study/training programs, including those pursued during study leave, and his portfolio of published research, all of which would be reflected in his CV. Actual performance in these efforts and not simply the fact of successful completion, would be taken into account. The weights proposed for the different criteria of evaluating merit reflect equal consideration to performance in the lower grade and extent of preparation for higher level responsibilities. 75% of the total weight arises from information available in the PARs.

² Generally, but not invariably, these would be available in the PARs. Some exceptional achievements may not relate strictly to one's official work, for example outstanding and nationally/internationally recognized literary and scientific work.

As in case of Model A, officers who are not selected in the first attempt, may be re-considered upto twice more, provided that they have earned at least two year's PARs in the interim for super-time and Principal Secretary scales, and at least one year's PAR for higher levels and/or enhanced their relevant formal qualifications.

(see paras 9.9.4, 9.9.5 & 9.9.6)

26. The models that may be adopted at the different functional levels in respect of the different All India Services may be as follows:

Functional level	IAS	IPS	IFoS	Model
Super-time scale	Commissioner	Inspector General of Police	Chief Conservator of Forests	A
Principal Secretary Grade	Principal Secretary	Additional Director General of Police	Additional Principal Chief Conservator of Forest	B
Chief Secretary Grade	Chief Secretary	Director General of Police	Principal Chief Conservator of Forest	B

27. The proposed system cannot be introduced immediately, as time would have to be given for officers to take necessary action to upgrade their skills and for the requisite training programs to be put in place. Hence, in all cases where Model A is to be adopted for promotions, a period of three years may be allowed before the new system is implemented. Where, Model B is to be used, a phased process of implementation may be introduced so that officers may have reasonable time to prepare for the new system. A graduated weightage for different aspects, during this transition period, has been recommended.

(see para 9.10)

Screening deadwood

28. There is no benefit in retaining in service officers who lack demonstrated competence, or who are unqualified, or of doubtful moral or financial integrity or who are in unacceptably poor health. It is accordingly, important that an effective system of screening such officers be put in place. Provisions already exist for the

compulsory retirement of those who have completed 50 years of age or 30 years of service³. However, this provision has not been adequately utilized so far.

29. In order to implement the system, a Standing Committee may be set up under the Cabinet Secretary, which should, by a given date each year, review the records of all officers who have reached the age of 50 years, or have completed 20 (twenty) years of service. These records would comprise the Performance Appraisal Reports, report of performance in specified career courses, results of vigilance enquiries, *in personum* court proceedings, and disciplinary proceedings faced by the officer in his/her career. It would also include a statement of pending proceedings in each of these categories.

30. The following norms may be adopted for identifying the officers to be screened out:

1. An officer who has failed to make the select list for promotion to the next higher grade 3 times.
2. An officer who has encountered 3 proceedings resulting from vigilance enquiries (i.e. major disciplinary proceeding, or criminal proceeding in court) in respect of alleged lapses of moral or financial integrity in the course of his/her career, *even if the officer is cleared on completion of the proceedings in each of these*, may be screened out as lack of moral or financial integrity would be considered as "highly probable" in his case.
3. An officer who has failed 3 times to qualify in the requisite career course(s) for his next promotion.
4. An officer who is permanently medically unfit to perform the normal duties of the service, as revealed from the biennial medical examination

31. Officers screened out should be informed of the fact and advised that they may, *if they wish*, avail of a voluntary separation package (as already available to surplus staff). If they choose to remain in service, their cadre controlling authorities would be advised of the findings of the Standing Committee, so that the same may be appropriately taken into account in planning future postings of the officer.

³ As provided under FR 56(j) and Rule 16(3) of All India Services (Death-cum-Retirement Benefits) Rules, 1958

32. A second review may be carried out after a further period of five years, i.e. after the officer has completed 25 years of service or 55 years of age. If the performance of the officer does not show any marked improvement and the chances of further career advancement continue to be dim, the available provisions for compulsory retirement should be invoked.

(see para 9.11)

Career Courses

33. The job profile of an AIS officer undergoes significant change as the officer moves from program implementation levels in the first few years of his career to program formulation and policy making levels in subsequent years. It is, therefore, essential that all services must specify career training programs, which would equip an officer with the necessary skills for positions likely to be held in the next 9-10 years. Accordingly compulsory training programs at suitably timed in-service levels would be necessary so that the performance in these programs could be taken into account for the next promotion.

34. These career-training programs would need to be more rigorous and of greater duration than the one/two week programs currently being offered to IAS officers. Performance in these programs must be evaluated in terms of the norms followed for professional training programs.

(see para 9.12)

Empanelment and Placements in the Government of India

Domain Assignment

35. Assigning particular domains to officers is a key step in accomplishing this objective. The following 11 domains may be adopted for assignment to officers for selection to Central Staffing Scheme posts:

1. Agriculture and rural development
2. Social sectors (Education, Health, Tribal Welfare, etc.)
3. Culture and Information
4. Natural Resource Management including Environment (green side).

5. Energy and Environment (brown side)
6. Communication systems and Connectivity Infrastructure
7. Public Finance and Financial management
8. Industry and Trade
9. Domestic Affairs and Defense
10. Housing and Urban Affairs
11. Personnel and General Administration, Governance Reform and Regulatory systems

Officers may be assigned to a maximum of three domains out of the eleven given above.

(see para 10.2)

36. The assignment of Domains may be part of the empanelment process at JS/AS levels, which would identify officers for posting to the Gol at levels of JS and above. Officers empaneled as Secretaries to Gol may carry their Domain assignments at the AS level empanelment, unless there is a significant change in their qualifications or work experience at the AS level. Officers due for consideration for empanelment may submit a write-up (not more than 1000 words), summarizing their experience, academic background, training courses undergone, research accomplishments, recognitions relevant to the Domain areas, and significant achievements during their career relevant to these areas. These write-ups may be scrutinized by the Empanelment Committee which may be assisted by several eminent academics/experts in the respective fields for evaluation of work experience, academic and training courses undergone, research accomplished, etc. The Committee would evaluate the claims of the officers to specific Domains, which may be accepted or denied.

(see para 10.3)

Empanelment

37. Since empanelment is a select list of those who have already been promoted in their respective cadres, for manning positions of great responsibility, the criteria for empanelment have to be more stringent than that for promotion. Accordingly, the following recommendations are made:

1. The output of the empanelment process would be a list of officers found suitable for selection to specific positions under the Central Staffing Scheme, together with their respective Domain assignments. All empanelled officers must be informed of the fact of their empanelment, including Domain assignment.
2. Individual batches may be taken up sequentially along with those from previous batches who are due for review. Thus, there would be a fresh batch to be considered each year and some review batches. Cases of such officers who are not empanelled when their batch is taken up for consideration on the first occasion, may be reviewed up to twice more. Before each review, for the Joint Secretary's level, an officer should have earned two more annual PARs and for higher levels one more annual PAR. .
3. A norm of empanelling not more than 50% of the officers of the fresh batch, for the Joint Secretary level, should be adopted. All the non-empanelled officers of the review batches, who secure higher overall scores in the evaluation, compared to the last empanelled officer of the fresh batch, may also be empanelled. Thus, the percentage of empanelment within a batch may go over 50% after the review stage. The percentage of officers of the fresh batch empanelled at higher levels would be lower, and would need to be worked out on the basis of the likely vacancies as well as a cushion to allow meaningful selection for particular positions depending upon skills and background.
4. In awarding scores to each officer for empanelment at all levels, the formulation suggested in Model B for promotions may be adopted, with the same transition provisions, except that the zone of consideration would not be $(1.5n + 2)$, but the entire batch and review cases from previous batches.
5. The UPSC should be involved in the empanelment process and should include an interview. The interview would validate the claims of skills for the higher position, and would not be a personality test.
6. The empanelment committee should be chaired by the Chairman/ member of the UPSC and should include at least two eminent professionals and other suitable senior officers as may be agreed between the Cabinet Secretary and Chairman of the UPSC.

7. The exercise of domain assignment should be done first and then followed by evaluating suitability for higher positions (both being components of the empanelment process). The domain assignment when the officer was first considered for empanelment may hold at the review stage also, unless the officer has made a specific request for reassignment of the domain.
8. The approval of ACC should be obtained for the entire output of the empanelment process, i.e., suitability for the higher positions and Domain assignment.

(see para 10.4)

Placement

38. For selection to particular positions under the Central Staffing Scheme, at the level of Joint Secretary and above, the following procedure may be adopted:

- Step 1: Notification of vacancies likely to arise in the course of the forthcoming year
- Step 2: Identifying the relevant Domain Competency and job requirements for each post
- Step 3: Publication of the list of vacancies and invitation of interest from prospective candidate officers of up to 3 specific positions
- Step 4: Generation of long-lists for each position, on the basis of interests expressed and the assigned domains
- Step 5: Generation of Short-Lists by the CSB by matching the requirements of the position with the specific backgrounds and experience of the officer
- Step 6: Final Selection for the post by the ACC

(see para 10.6)

1. Introduction & Methodology Adopted

1.1 On the directions of the Cabinet Secretariat, the Department of Personnel & Training (DoPT) constituted a group, under the Chairmanship of Lt. Gen. (Retd.) Surinder Nath, to review and make recommendations with regard to the present systems of performance appraisal, promotions and lateral movement in respect of the All India Services and Group A services. The composition of the Group was as follows:

- | | | |
|----|--|-------------------|
| 1. | Lt. Gen (Retd) Surinder Nath
Former Chairman, UPSC | Chairman |
| 2. | Shri A.K. Agarwal
Former Secretary, Dept of Personnel & Training | Member |
| 3. | Dr Prodipto Ghosh
Additional Secretary,
Department of Economic Affairs | Member |
| 4. | Prof. Vinay Sheel Gautam
Dept. of Management Studies, IIT, Delhi | Member |
| 5. | Shri O.P. Agarwal
Joint Secretary (Training) | Member- Secretary |

1.2 The terms of reference were first notified by the DoPT on December 19th, 2002 (Annex-1). They were expanded vide orders dated January 27th, 2003 (Annex 2) and then amended vide orders dated March 3rd, 2003. (Annex 3).

1.3 The final terms of reference were as follows:

- To comprehensively review the present system of recording Annual Confidential Reports so as to bring greater transparency and efficiency in order to motivate good officers.
- To develop a system of recording of ACRs so that better performance or lack of performance gets properly and fairly reflected. There is need to bring about a culture where a superior officer does not hesitate in recording the weakness in an officer merely due to the possible 'risk' of

having to convey adverse remarks and subsequently respond to the representation received against adverse entries.

- To evolve a new system for performance appraisal after looking at practices being followed elsewhere, particularly in the Defence Services, some of the leading corporate houses, some multi-lateral organizations as well as the civil services of some other countries.
- To make recommendations/suggestions for a performance appraisal system for the All India Services and subsequently, for the Group 'A' Central Services.
- To review the present system of promotion of All India Services and other Group 'A' officers, at the level of Joint Secretary, Additional Secretary and Secretary to Govt. of India (and their equivalents), to ensure greater transparency, objectivity, and a more clearly defined linkage with the performance appraisal system.
- To make recommendations for establishing a more clearly defined linkage between the performance appraisal system and the background and experience of officers at these levels, and their lateral movement, in respect of All India Service, and other Group 'A' Services.

1.4 The Group held its first meeting on the 26th of December, 2002 and has since met 43 times.

1.5 The Group had several meetings with representatives of the cadre controlling authorities of the three All India Services. It also met several officers from the All India Services to elicit their views and suggestions. Letters were sent to all the State Chief Secretaries and Secretaries of the Ministries in the Govt. of India for their views. A set of reminders was also sent to those who did not respond.

1.6 Given the short time available, the Group focused attention on the All India Services. The Group felt that within the time available it would not be possible to make specific suggestions with regard to all the Group 'A' services. While the recommendations of the Group would broadly apply to all the other Group 'A' services, a separate detailed exercise would be necessary to factor in their individual service characteristics.

1.7 The Group also visited Hyderabad where it met the Chief Secretary and other Officers of the State of Andhra Pradesh. A presentation was made on behalf of the IPS by the National Police Academy. The Group also met the Hon'ble Finance Minister of Andhra Pradesh. Members of the IAS, IPS and IFoS associations, as also officers from the IA&AS, IRAS, etc. met the Group in Hyderabad.

1.8 The Group visited the LBSNAA and interacted with the faculty. At New Delhi, the Group met a number of senior officers, including the Chairman of the UPSC and the Cabinet Secretary, from whom extremely useful suggestions were received. The Group was given a presentation on the system prevailing in the armed forces by the Military Secretary's branch. A list of persons met by the Group is at annex - 4.

1.9 The Group also invited suggestions from members of the services. A web site was set up, highlighting the issues being considered by the group. Views were invited over the web site as well as by letters to all State Chief Secretaries and Secretaries to the Government of India.

1.10 The Group also took note of the comments received from some of the State Governments on the N.C. Saxena committee report that had been constituted in 1999.

1.11 A summary of major suggestions/views/comments received by the Group along with its views on each, is at Annex 5.

1.12 The Group collected material on the prevailing performance appraisal system in several organizations, including some corporate houses, international agencies, and civil services of a few other countries. A list of such organizations is at Annex 6. In making its recommendations, the Group drew important lessons from the practices followed in each of these agencies.

1.13 The Group first went into the system of performance appraisal. It studied the present system of appraisal and based on the comments received as well the experience of its own members, identified its strengths and weaknesses. It also identified several issues that needed to be addressed in making its recommendations. The Group has tried to deal comprehensively with the identified weaknesses of the present system, without diluting its existing strengths.

1.14 Thereafter, the Group went into the issues of promotion, and placements, including empanelment and selection for particular positions under the Central Staffing Scheme. It again identified the weaknesses of the present system and tried to evolve an approach that would best meet the needs of public management in the present context, while providing signals to officers that both actual performance and enhancement of relevant skills would count. In doing so, it drew on lessons from the practices followed in the civil services of some other countries and multilateral agencies.

1.15 Part I of the report, comprising of Chapters 2 to 6 deals with the performance appraisal system. Chapter 2 gives the salient features of the existing system and also highlights when and how it was introduced. In Chapter 3, the strengths and weaknesses of the current system have been presented. Also highlighted in this chapter are the specific issues that the Group dealt with in addressing these issues. Chapter 4 contains the recommendations of the Group with regard to the purposes for which the performance appraisal could be used. Chapter 5 contains recommendations with regard to other issues. Chapter 6 presents the format that the Group recommends for adoption as also the associated guidelines.

1.16 Part II of the report, comprising Chapters 7 to 10, deal with the terms of reference relating to promotions and lateral movement (placement). Chapter 7 describes the present system and Chapter 8 presents the strengths and weaknesses as identified by the group. Chapter 9 contains recommendations on promotions and empanelment, whereas Chapter 10 contains the recommendations with regard to selections for particular positions under the Central Staffing Scheme.

1.17 This is followed by the annexes referred to in the main body of the report.

Part I – Performance Appraisal

OKDISCD

2. The Present System

2.1 Present system of writing Annual Confidential Reports (ACRs), for the All India Services, is governed by the All India Services (Confidential Roll) Rules 1970. These rules provide that a confidential report, assessing the “performance, character, conduct and qualities of every member of the service shall be written for each financial year, or calendar year, as may be specified by the Government”. They also provide that the confidential report shall be written by the reporting authority “in such form as may be specified by the Central Government.”

2.2 The ACR format has undergone several changes over the years. Till 1985, a single form was prescribed for writing the reports of the IAS officers at all levels. This was a simple two page form requiring only a general assessment by the Reporting Officer and a validation of these remarks by the Reviewing Officer. The only other requirements were a comment on the “State of Health”, attitude towards weaker sections, and integrity. All other traits and qualities were to be covered in a descriptive general assessment. There was no requirement of an overall grading, but the Reviewing Officer was required to indicate whether or not the appraisee was “fit”, “not yet fit”, or “unfit” for promotion. The Reviewing Officer was also required to indicate whether the officer had qualities justifying special selection for higher appointment out of turn.

2.3 The performance appraisal is required to be done for each financial year and only an officer who has supervised the performance of an appraisee for a period of at least 90 days is eligible to give his appraisal. The appraisal is entirely confidential, with the exception that “adverse remarks”, if any, are required to be conveyed to the appraisee by the Department of Personnel, giving him an opportunity to represent against such remarks to the cadre controlling authority (i.e. the Government). If his representation is (partly) accepted, the adverse remarks are (modified) expunged. The following are the major changes made in 1985:

- Separate proforma was introduced for three levels, i.e. one for all levels upto the supertime scale; second, for the supertime scale; and third, for officers above the supertime scale.

- Quantifiable targets were required to be set at the beginning of the year, jointly by the Reporting Officer and the appraisee (except for the above super time level).
- A self appraisal was required from the appraisee (except for the above supertime level).
- Upto the supertime level, appraisees were to be reported upon on eight diverse attributes. Those with more than 12 years of service were to be appraised on four additional attributes. At the supertime level the appraisee was assessed on a different set of 10 attributes.
- An overall grade had to be recorded (i.e. "Outstanding"/"Very Good"/"Good"/"Average"/"Below Average") by the reporting officer and validated (or altered) by the Reviewing Officer and Accepting Authority.
- While the broad structure of the proforma was the same for the IPS and IFoS, as for the IAS, there were differences with regard to the specific attributes evaluated, given the differences in the nature of the work of the IPS and IFoS in relation to the IAS.

2.4 The system of appraisal, including the proforma, introduced in 1985 have remained more or less unchanged since then. They were last studied by a committee constituted under the chairmanship of Dr N.C. Saxena, which made the following major recommendations:

- There should be only two sets of forms, with one being applicable for officers up to and including those in the super-time scale and the other applicable to officers in the grade of Additional Secretary to Govt or Principal Secretary to a State Government.
- The self appraisal by the appraisee should be in a highly simplified format where the officer is only required to indicate the highlights of the work done by him. In addition he should be required to indicate when he submitted his last immovable property return and whether he is submitting his self assessment in time. In case of delay in submitting the self assessment, he is required to give reasons.
- In the event of any adverse remark being expunged, the overall grade should also be expunged and the assessing authorities should make an

independent assessment of the overall grade by taking into account the remaining portions of the appraisal.

- The appraisal by the reporting officer is also to be in a highly simplified format and may include only an assessment of the appraisee's performance with regard to his duties and responsibilities and a general assessment of his job relevant attributes. In addition, the reporting officer is required to indicate if the report is being submitted in time and, if not, record reasons for the delay.
- There should be a separate section in which the appraisee could record his training needs. With the comments of the reporting officer, this section should be sent to the Training Division of the DoPT.
- The Joint Secretary (Administration) in the Ministries of the Government of India and the Secretary (Personnel) in the State governments should be made responsible for the timely completion of the ACRs.
- A statutory time limit of 6 months may be considered for disposal of all representations against adverse remarks.
- No report needs to be written in respect of Secretaries to Government of India.

2.5 The recommendations of the N.C. Saxena Committee have not been implemented as it was felt by the GoI that the systems prevailing in other countries also need to be studied.

3. Strengths and Weaknesses of the Current System of Performance Appraisal

3.1 Based on feedback received during its meetings with several officers, the responses received through letters, e-mail, and over the web, as well as from the experience of its own members, the Group identified the following strengths in the present practice of performance appraisal:

- The system had been tried and tested over several years and everyone was familiar with it.
- It did encourage a certain degree of consciousness of the need to pre-set one's annual work plan.
- Being co-terminus with the financial year, it permitted work plans to be drawn up for a financial year.
- It encouraged a certain degree of discipline in the system and a sense of respect for authority and the chain of command.

3.2 Unfortunately, however, several weaknesses existed in the original design of the system and others crept in over the years. These are:

- Since the system is non-transparent, except in respect of communicating "adverse" entries, it does not give feedback to officers about their areas of strength and potential. It also does not motivate officers through recognition of good work accomplished.
- The monitoring system for the timely writing of the reports is extremely weak. As a result there is considerable delay in the writing of annual reports, even though there are instructions specifying cut off dates for different stages in the reporting process. The delays often go undetected till promotions become due. In many cases, reports of several years are written together, thus eroding the objectivity of the assessment. Besides, the evaluations of Reviewing Officers and Accepting Authorities are often not available on account of their having demitted office, in which case the reports are deprived of valuable inputs.

- There is generally no report on officers who are on deputation outside the governmental system, even though existing instructions require reports to be written for such periods also. Besides, performance in training/study courses is not taken into account, even though officers often attend such courses at a substantial cost to the government and, in any case, on government time.
- There is an acute problem of grade inflation, with a very large proportion of the officers being graded as “very good” or “outstanding”. Under a normal distribution curve, the most frequent grading should be in the “good” category whereas, in actual practice the distribution is skewed towards the “Very Good” and “Outstanding” categories. This is largely due to the tendency of maintaining a Group of subordinates in good humour (referred to as “the happy family syndrome”). This makes it very difficult to identify the really outstanding officers and reward them suitably or weed out the incompetent . As a result, almost all officers get promoted and a high proportion of officers also get empanelled for holding very responsible positions in the Government of India.
- Adverse remarks are rarely given due to the hassles of having to defend such remarks subsequently. Even advisory remarks are not recorded for fear that they would be construed as adverse remarks and will need to be subsequently defended.
- Although the present system requires an annual set of quantifiable targets to be agreed upon in advance between the appraisee and his supervisor, this is rarely done. In most cases the annual targets are decided at the end of the year, after the achievements are already known. As a result, evaluation of performance is not based on monitorable inputs
- There is little moderation for differing standards of assessment of different assessors and personal likes and dislikes tend to intervene.
- There is no clear linkage between evaluation against individual parameters and the overall grading. Implicit weights for different attributes are subjective and variable.

- There is no focus on exceptional work accomplished or manifestly revealed incompetence (e.g. in crisis situations). There is also no provision for recognition of innovation and creativity.
- There is no provision for feedback from juniors and peers on leadership, teamwork skills, behavioral and reputational aspects.
- There is insufficient variance in the structure of the format across differing types of jobs, for example, field versus secretariat assignments, program implementation versus policy formulation assignments, etc.
- There is virtually no evaluation of the core professional competency.
- The current system of records management does not facilitate a trend (individual level) or macro (cadre level) analysis.

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

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

4. Objectives of Performance Appraisal

4.1 The current objectives of the ACR system, as spelt out in the relevant rules/guidelines applicable to different organizations studied by the group, vary considerably in wording but not too much in essence. For example, the objectives of performance appraisal in respect of the All India Services have been spelt out as follows:

1. *“To provide basic and vital input for assessing the performance of an officer and for his/her advancement in his/her career”*
2. *“To be used as a tool for human resource development so that an officer realises his/her time potential”*

4.2 Similarly, in the case of the Indian Army the objectives have been spelt out as follows:

1. *“To have an objective assessment of an officer’s competence, employability and potential, primarily for organizational requirements”.*

4.3 The objectives of the ACR system in the Indian Railways are:

1. *“To assess the performance of the subordinate and provide guidance and counseling to him to improve his performance”*
2. *“To assess potential and to prepare an employee through appropriate feedback and guidance for higher responsibilities”*
3. *“To be a tool for human resource development”*

4.4 In the Japanese Civil Services, performance appraisal has the following objectives:

1. *“To evaluate the standard of accomplishment of work, including character, ability and suitability connected to their work”*
2. *“To decide on promotion, transfer, change, special raise in salary”*
3. *“To help give recognition to good performers and to counsel under performers”*

4.5 A sampling of the objectives of performance appraisal, in case of some of the other organizations studied by the group, is given at Annex 7.

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

4.7 After detailed discussions the Group was of the view that the objectives of performance appraisal of AIS and Group 'A' services should be the following:

- To make an assessment of the officer's professional capabilities, with a view to determining capacity building needs and suitability for particular areas of responsibility/assignments. (Training and Placement Function)
- To counsel the officer on directions for improving performance, professional capabilities, and conduct with peers, juniors, elected representatives, and the general public (Feedback and Counseling function)
- To be a tool for developing a work plan for the year (Planning of work function)
- To make an objective assessment of the officer's performance in the current assignment, including performance in training, study courses and deputation outside the government, based on monitorable inputs, relative

to his/her peers, with a view to determining suitability for higher responsibilities and special assignments. (Promotion Function)

- To identify genuinely exceptional work accomplished, including innovations, with a view to giving due recognition (Recognition function)
- To enable officers to identify systemic shortcomings in the organization with a view to improving governance standards (Strengthening Governance Function).

4.8 The ways in which the performance appraisal system can perform each of the above functions, except the promotion and placement functions, have been highlighted in the rest of this chapter. The ways in which it may be used for the promotion and placement functions are presented in the relevant chapters of Part II of this report.

4.9 The following matrix maps the problems encountered in the present system of ACRs with the proposed objectives:

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

Objective	Perceived Weaknesses related to realization of the objective
Planning work and setting work expectations	<ul style="list-style-type: none"> • The present system of appraisal is not based on monitorable inputs (relationship to accomplishment of an agreed work plan).
Feedback & Counselling	<ul style="list-style-type: none"> • The present system of appraisal is not based on monitorable inputs (relationship to accomplishment of an agreed work plan). • Adverse remarks are rarely given due to the hassles of having to defend such remarks subsequently. Even advisory remarks are not recorded for fear that they would be construed as adverse remarks and will need to be subsequently defended. • There is considerable delay in the writing of ACRs, even though there are instructions regarding cut off dates for this purpose. In many cases, ACRs of several years are written together. As a result, objectivity of the assessment is suspect and promotions often get delayed. Besides, the remarks of reviewing and accepting authorities are often not available on account of their having demitted office. This is largely due to a weak monitoring mechanism. • There is insufficient variance in the structure of ACRs across differing types of jobs, (for example, field versus secretariat assignments, program implementation vs. policy formulation assignments, etc.)
Training & Placement	<ul style="list-style-type: none"> • ACRs of officers who are on deputation outside the government system are generally not available for the period of such deputation. Besides, performance in training/study courses is not taken into

	<p>account.</p> <ul style="list-style-type: none"> • In the State governments the ACR is rarely used, as an officer is better known through his general reputation. • There is insufficient variance in the structure of ACRs across differing types of jobs, (for example, field vs. secretariat assignments, program implementation vs. policy formulation assignments, etc.) • There is considerable delay in the writing of ACRs, even though there are instructions regarding cut-off dates for this purpose. In many cases, ACRs of several years are written together. As a result, objectivity of the assessment is suspect and promotions often get delayed. Besides, the remarks of reviewing and accepting authorities are often not available on account of their having demitted office. This is largely due to a weak monitoring mechanism. • There is no provision for feedback from juniors and peers on leadership, teamwork skills, behavioral and reputational aspects.
Promotion	<ul style="list-style-type: none"> • The present system of appraisal is not based on monitorable inputs (relationship to accomplishment of an agreed work plan). And without moderation for differing standards of assessment of different assessors (personal likes and dislikes intervene). • Adverse remarks are rarely given due to the hassles of having to defend such remarks subsequently. • In many cases the rating of officers is below the benchmark for promotion but since it was not adverse it was not communicated to the officer. Such cases have been challenged in the courts of law, who have held that such recording, in effect, worked adversely to an officer and should have been conveyed like an adverse entry. • There is no clear linkage between evaluation for individual parameters and overall grading (implicit weights for different attributes are subjective and variable). • There is insufficient variance in the structure of ACRs across differing types of jobs, (for example, field versus secretariat assignments, program implementation versus policy formulation assignments, etc.) • In the State governments the ACR is rarely used, as an officer is better known through his general reputation. • There is no system for a trend (individual level) or macro (cadre level) analysis. • There is an acute problem of a very large proportion of the officers being graded as very good or outstanding. This makes it very difficult to identify the really outstanding officers. • ACRs of officers who are on deputation outside the governmental system are generally not available for the period of such deputation. Besides, performance in training/study courses is not taken into account. • There is considerable delay in the writing of ACRs, even though there are instructions regarding cut off dates for this purpose. In many cases, ACRs of several years are written together. As a result,

	objectivity of the assessment is suspect and promotions often get delayed. Besides, the remarks of reviewing and accepting authorities are often not available on account of their having demitted office. This is largely due to a weak monitoring mechanism.
Recognition	<ul style="list-style-type: none"> • There is an acute problem of a very large proportion of the officers being graded as very good or outstanding. This makes it very difficult to identify the really outstanding officers. • There is no focus on exceptional work accomplished or manifestly revealed incompetence (e.g. in crisis situations). There is also no provision for recognition of innovation and creativity.
Strengthening Governance	<ul style="list-style-type: none"> • Although there are enabling powers for screening non-performers at the age of 50 (or after 20 years of service), the lack of clear norms for such screening seems to constrain this activity. • Core professional competency is not evaluated adequately. • There is no system for a trend (individual level) or macro (cadre level) analysis. • There is no provision for feedback from juniors and peers on leadership, teamwork skills, behavioral and reputational aspects. • There is no focus on exceptional work accomplished or manifestly revealed incompetence (e.g. in crisis situations). There is also no provision for recognition of innovation and creativity.

4.10 Training function

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

4.10.2 In the current system, the ACR forms provide for a column in which the Reporting officer gives recommendations for training with a view to further improving the effectiveness and capabilities of an office, but only upto the selection grade and not beyond. Besides, there is no effective system of ensuring that officers are able to attend training programs to meet their identified skill gaps. Even in cases where officers attend long duration training programs (often abroad at high cost to the

government), many officers tend to take them lightly, since either there is no appraisal of performance during such training, or if any is made by the training institution, it is not reflected in the performance appraisal, and accordingly does not count in future career advancement.⁴ Besides, selections for foreign and other prestigious training courses are not necessarily made on merit but on other factors like regional and service spread, etc.

Necessary features:

4.10.3 In this context, it may be recognized that training needs are of two kinds: (1) that needed to meet the requirements of an officer's current or immediately forthcoming assignment, and (2) that needed to strengthen or impart the requisite skills and competence to discharge responsibilities at higher levels and in different thematic areas during one's service. While the responsibility for sponsoring the officer for the first type of training should rest with the immediate supervisor/department, responsibility for sponsorship for the second category should rest with the training unit of the cadre controlling authority.

BOX 1: Functions of Civil Service Positions:

The functions of professional level civil service positions can be classified into three categories, i.e. Implementation; Program/Project Preparation; and Policy Formulation. The first relates to operations involving execution of existing policies, schemes, orders, guidelines, regulations, and laws (i.e. "the detailed execution of the public law"[Woodrow Wilson's definition of "Public Administration"]). The second relates to preparation of action plans, under which distinct activities relating to accomplishment of specified policy objectives are encapsulated in a coordinated set of concurrent and sequential activities which are bound in space, time, required resources. The third relates to identification of problems, which may be addressed by public action, and in

⁴ Often the same is true of periods spent on "Study Leave", when officers are paid leave salary; the leave being granted on the consideration that there would be an enhancement of relevant skills.

relation to these problems, identification of objectives, resources required, constraints, instruments, and strategic (i.e. long-term or not easily reversed) themes for public action (including public investments and regulatory and legislative measures). Policy formulation should precede the preparation of programs/projects in the strategic themes identified; the latter should precede their implementation. *Each of these functions involves a body of formal knowledge, comprising methodologies, techniques, skills and norms, apart from practical experience.*

Typically, in the early phase of a civil service career, the Implementation function dominates. The mix of functions of different positions gradually changes with ascending hierarchy of positions, with, first, increasing dominance of the program/project formulation function, and later increasing dominance of the policy formulation role.⁵ Accordingly, in case of the IAS, field positions upto and including the Deputy Commissioner/Collector largely focus on implementation; positions of Heads of Line Agencies (e.g. Agriculture or Education) have a greater component of program/project preparation (with perhaps some exposure to policy formulation); while positions of Secretary in the State Governments/Joint Secretary (and above) at the Centre have increasing focus on policy formulation (while retaining some aspects of the other two functions).

The formal training at initiation into the civil services concentrates largely on acquisition of Implementation skills (besides acculturation into the civil service ethos and traditions). *There is very little attention to program/project preparation or policy formulation skills at that stage.* The deficiency is not made good in any systematic manner later in the typical civil service career. Accordingly, there is need to work out mid-career training schedules to address these needs at the appropriate stage(s). Satisfactory completion of the required training programs should be mandatory for promotions, at least at the Super-Time Scale and above.⁶

⁵ While we state this progression as a stylized fact, it is neither uniform over positions at the same hierarchical level, nor inexorable as one rises in the official hierarchy.

⁶ However, some of these courses may be substitutable by equivalent (or higher) formal University programs, which may be pursued on study leave.

4.11 Amendments proposed to the present system:

4.11.1 Given these requirements, the annual performance appraisal would be a useful tool for identifying training needs for an officers current/forthcoming assignment. To facilitate such identification, the appraisal system should provide for the officer to indicate his training needs as he perceives them. Thereafter, the Reporting Officer may comment on this stated requirement, and if he agrees with the identified needs, indicate (in the next annual cycle) the steps taken by him to enable the officer to attend the requisite training program(s).

4.11.2 With regard to the training requirements for occupying higher positions and in different thematic areas, these have to be met through a combination of mandatory career courses⁷ and optional training programs, organized by the training unit of the cadre controlling authority. The performance in such career courses should be one of the criteria for various personnel actions (e.g. promotions, placements, etc.) .

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

BOX 2: Evaluating the acquisition of professional skills:

Professional skills of officers may relate to the three functional categories (Implementation, Program/Project Preparation, and Policy Formulation) as well as to specific themes (e.g. Domain Areas, Specializations). Skill acquisition is

⁷ Some of these mandatory courses may be substitutable by suitable formal academic courses which may be pursued on study leave.

through two distinct processes. In the first, formal knowledge relating to the skill may be acquired through courses of institutionalized training and/or academic study (including research)⁸. In the second, the formal knowledge acquired may be validated and strengthened through work experience. In general, formal knowledge and work experience are complements, rather than substitutes. Thus, a claim to Domain or Specialized knowledge, or policy formulation skills solely on the basis of either formal training or work experience would be less plausible than a claim based on both.

Indicators of the level of skill acquisition would, accordingly, relate to performance in each of the processes of skills acquisition. Thus, the indicators would be performance levels in relevant training/academic study (including research)⁹, as well as in work performance revealed in the PARs.

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

4.12 Planning Work and Setting Work Expectations

4.12.1 This objective of the performance appraisal system refers to identification of performance expectations of the appraisee in relation to the goals, targets and functions of the organization, as also of self-realization and development of the

⁸ It is not, of course necessary that all officers conduct research and build a portfolio of published peer reviewed papers. However, to the extent that officers take Study Leave for conducting research, or proceed on deputation to research institutions, their research output would indicate the skills enhanced during such periods. In general, accomplishing published peer reviewed research while holding full-time non-academic assignments should not be expected.

⁹In respect of research as an indicator of formal knowledge, performance may be adjudged in terms of the quality of research publications, for which a ready yardstick is whether or not they are published in peer reviewed publications of repute, and frequency of citations of the work in published research by others.

appraisee.¹⁰ Performance expectations furnish one benchmark against which actual performance may be judged. The main weakness in the present system of performance appraisal which stymies the realization of this objective is that currently (at least in practice), the appraisal is not based on monitorable inputs of accomplishment of an agreed Work Plan.

Necessary features:

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

Problems:

4.12.3 At present, while the current PAR form has a provision for *ex-ante* setting of work targets and of reckoning achievements against the targets, this is generally not

¹⁰ It may also involve appraisee participation in setting the agenda of the agency itself, but this may not be feasible in many situations.

followed. Performance appraisal typically proceeds without reference to monitorable expectations. Some reasons for this situation are as follows:

- It is difficult to set individual work expectations in many situations, e.g. Secretariat assignments. Where it is feasible to set expectations on an organization-wide, or unit (group) basis, it may be difficult to translate them to individual targets. This may be on account of extensive requirements of cooperation from other team members to fulfill one's targets. Alternatively, the targets/tasks may be conceptually meaningful only as the output of teams, rather than of individuals.
- There is a prevailing misconception that only quantitative targets are to be furnished in setting performance expectations. The notion that qualitative descriptions of tasks to be accomplished is an alternative, legitimate way to set performance expectations, against which actual accomplishment may be evaluated, is not clear to many.
- Government agencies are generally acculturated to reacting to situations as they emerge, rather than anticipating and planning for them. Further, there is little interest in pro-actively seeking improvement in the functioning of Government agencies, and most officers are content with the status-quo in terms of systems, practices and functions. This results in an inability to identify meaningful, non-routine tasks which may be accomplished.
- There is no mechanism to ensure that the task of setting annual work plans at the beginning of the appraisal period is actually done.

4.12.4 The problems noted above may be addressed as follows:

Option 1:

4.12.5 At the beginning of each appraisal period, each appraisee should be required to prepare and submit for confirmation a draft Work Plan to the Reporting Officer. The Work Plan should provide quantitative targets where feasible, or qualitative *but unambiguous* statements of non-quantifiable tasks proposed to be accomplished, or both. The targets/tasks may relate to those of the appraisee, or of a defined Group of which the appraisee is a member. Where the targets or tasks relate to a Group as a whole, rather than of the individual, the specific responsibilities of the appraisee in

ensuring that the Group is able to deliver on the work plan should be spelt out. In case of individual targets/tasks, it should set forth the requirements of inputs from colleagues or other agencies, as well as the staff, material and financial resources needed. The targets/tasks, whether of the appraisee or group, may also be prioritized in order of importance to the overall appraisal, and this prioritization should reflect the priorities attached by the agency itself to accomplishment of the targets/tasks. It is not necessary (and it may not be possible) for the work plan to be exhaustive; the targets/tasks may, for example, relate to the 8-10 targets/tasks that are most salient, listed in descending order of priority (most important first). The Work Plan may be finalized in consultation with the Reporting Officer, who in turn, may consult other colleagues as necessary, within a specified time, *and promptly placed on record with the Reviewing Officer*. The Work Plan may be updated by mutual consultation during the course of the appraisal period, if and when significant changes in the situation occur.

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

4.12.7 During the appraisal exercise, the Reporting Officer should comment specifically on the claims/explanations by the appraisee in respect of realization of the Work Plan. These observations should comprise a significant input to the overall grading¹¹.

¹¹ This approach is followed in some multilateral financial institutions. The Work Plans usually relate to qualitative descriptions of tasks to be accomplished (e.g. preparation of projects and obtaining Board approval; implementation of technical assistance programs). In many cases, the targets/tasks are those of teams which are generally inter-departmental or inter-disciplinary (e.g. a project team may comprise of a sector specialist, a financial analyst, an economist, an environmental specialist, a social development specialist, a legal counsel, and a country specialist, any one of whom may be the Team Leader. The overall product, i.e. a project document which meets Board approval involves contributions by each team member). In other cases (e.g. implementation of a technical assistance program), the output may be largely the work of an individual (who may actually manage a team of consultants from outside the organization). The PAR exercise for a past year is simultaneous with the preparation of a work plan for the coming year.

Option 2:

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

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

Choice between options

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

4.13 Feedback and Counseling Function

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

Necessary features:

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

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

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

4.13.5 The treatment of the topic of feedback and counseling has a second component, in addition to the one noted above, and that is of the “processes”.

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

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

Amendments to the present system:

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

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

4.14 Promotion Function

4.14.1 One of the key functions of any performance appraisal system is to judge if an officer is suitable for occupying a higher position. This is partly assessed from the manner in which the officer has discharged his earlier responsibilities. Since there is an entire chapter in this report devoted to the promotion system, further details on how the performance appraisal system can be used for the promotion function have been elaborated in that chapter. It would be sufficient to note, at this stage, that the annual performance appraisal reports would give useful information for deciding

suitability for promotion, but need not comprise the sole input for this personnel action.

4.15 Performance Appraisal as a Tool for Recognition

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

Necessary features:

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

Box 3: "Critical Incidents"

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

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

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

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

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

4.16 Performance appraisal as a tool for strengthening governance

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

- The appraisee's personal contribution to enhancement of governance standards of the organization, both within existing systems and through innovation.
- Perception of clients' (internal and external) regarding enhancement of governance standards.
- The extent to which the enhancement of governance standards through innovation can be institutionalized, are sustainable, and of general applicability (i.e. to other public organizations).

Necessary features:

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

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

4.16.4 Contributions of an appraisee to good governance, either individually, or as a member of a team, would relate to enhancements, both in design and execution, of

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

Problems with the present system:

4.16.5 Several problems have been identified as potentially impeding the realization of good governance:

- The present system of appraisal is not based on monitorable inputs, i.e. relationship to accomplishment of an agreed work plan. The agreed Work Plan may include setting performance standards (e.g. cost/time reductions, and their variance, in delivery of specified functions), or a plan of innovation in practices/procedures for good governance, including assessment of their replicability.
- There is no focus on exceptional work accomplished, whether within or outside the Work Plan, including in particular, that relating to innovations for good governance.
- Professional competencies are not sufficiently evaluated in the current performance appraisal process. This leads to attrition of professional competencies over time, in turn leading to sub-optimal performance by the organization.
- There is no systematic feedback from juniors and peers on leadership, teamwork skills, besides behaviour pattern and reputation, , i.e. the personal and professional attributes.
- There is no provision for feedback from clients on behaviour patterns and reputation, or enhancements of organizational performance. This fact may lead to complacency, or worse, apathy, on the part of officers.
- Exceptional work accomplished by officers is rarely noted in the Performance Appraisal Reports. This lacuna may lead to officers not being sufficiently motivated to innovate, or alternatively, unconcerned

about the consequences of serious errors of judgment, omission, or commission.

- “Deadwood” is not screened out and given incentives to seek placements outside the Government, because of lack of clear norms and processes in this regard.
- A time trend of the evaluations of officers is not done, which would enable steady improvement or deterioration in performance to be detected, and in case of the latter, appropriate measures to be taken.

4.16.6 Possible approaches to dealing with each of the above problems have been dealt with in the appropriate sections of this report and hence not repeated here.

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5. Other recommendations relating to performance appraisal

5.1 In this chapter we take up some of the other weaknesses and issues that were identified in Chapter 3 and suggest options for those that have not been dealt with elsewhere in the report.

5.2 Better monitoring and scrutiny through computerization

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

- Low priority is accorded to recording the appraisal reports, as there is no visible pinch for delays. Even a system of gentle reminders does not exist except when an appraisee is due for promotion and such promotion gets held up for want of his annual report.
- Filling up the appraisal form is complex and officers tend to delay this in order to avoid a difficult task.
- Sometimes appraisees seek to avoid having their reports written by a (particular) superior on account of an apprehension that the report would not be good enough. In some cases, the ACR form is submitted to an officer, who, while higher in the hierarchy than the appraisee, is not in fact the actual reporting officer. There is no systematic means of monitoring such practices.
- Some superiors being unhappy with certain subordinates tend to delay writing reports as a means of harassment. This is often resorted to as a substitute for giving adverse entries in order to avoid the hassles of having to subsequently justify the adverse remarks.

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

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

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

5.2.5 Computerization would be useful for the following purposes:

- Monitoring the timely writing of the appraisal report by the appropriate Reporting and Reviewing Officers.
- Facilitating the development of a master data sheet (MDS) which could be used by the committees/authorities concerned in the various personnel actions, including promotions, selection for particular positions, selection for training programs, etc.
- Providing assistance to promotion/empanelment committees in accounting for systematic variations in grading standards across different State cadres of the same service, and identifying inconsistencies between overall grades and grades for individual attributes.
- Aggregating ordinal numerical scores on the basis of frequency distribution or fuzzy set analysis.
- For drawing panels/shortlist of officers for specific assignment/training programmes.
- Maintaining an effective data base of officers, that may be tapped for various other purposes.

5.2.6 With regard to the problems in filling up a complex form, it would be best if the parts relating to the Reporting and Reviewing Officers are simplified. The Group has kept this in mind in redesigning the proforma. Further, the entire form should be

available as a computer file, both for ease of filling in, and to facilitate electronic record keeping.

5.3 Staggering cut-off dates

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

5.4 Need for an overall grade

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

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

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

5.5 Need for greater openness

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

To disclose or not to disclose

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

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

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

make a judgment on whether the overall grade is a true summary index of the rest of the report.

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

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

At what stage is disclosure to be made

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

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

appraisee, and amend the PAR in light of these comments, in which case the matter need not be referred to the Referral Board).

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

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

Process of Disclosure of the PAR to the Appraisee

5.5.10 The following sequential steps may be followed:

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

- The Reviewing Officer would consider the representation of the appraisee, the views of the Reporting Officer, and convey them to the Referral Board with his comments. It would be open to the Reporting and Reviewing Officers to accept the comments of the appraisee and modify the PAR accordingly, in which case the matter need not proceed to the Referral Board.
- The Referral Board would consider the claims of the appraisee in light of the comments of the Reporting and Reviewing Officers, and confirm or modify the PAR, including the overall grade. The PAR process would be complete at this point, and further relief may only be sought by way of a Memorial to the President, as provided under Rule 25 of the All India Services, Discipline & Appeal Rules, 1969.
- The entire PAR, may then be disclosed to the appraisee.

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

5.5.12 The reasons for eschewing a third level of evaluation (“Accepting Authority”) are the following: One effect of multiple levels of performance appraisal is that the numbers of PARs that need to be considered at the higher levels typically cascades in geometric progression, leading to unreasonable demands of time and effort on the part of higher authorities in considering these PARs.¹² This is also a major reason for delay in completion of PARs. Further, it is unlikely that authorities at higher levels would have much personal interaction with officers more than two levels below, and accordingly, would have little basis for making their appraisals. Accordingly, an original performance appraisal by a third level (Accepting Authority) is generally difficult to accomplish in the majority of cases. A two level performance appraisal is also the international norm.

¹² Frequently, the number of officers and staff for which a senior officer is the Accepting Authority may run into the hundreds, and he may not have (or be able to recall) any actual interaction with the majority of them. Sometimes he may be unable to associate a name with the individual.

5.5.13 The different stages in the performance appraisal system would, thus, be as given at Annex 9.

5.6 Grade Inflation and Insufficient Variance in Grading

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

- First, that the appraisee may be revealed the assessment only after the stage of review, on the premise that the Reviewing Officer being two levels removed from the appraisee would be relatively more objective.
- Second, a system of numerical grading (see below) rather than qualitative grading, on a 10 point scale, which furnishes sufficient space to distinguish between levels of accomplishment.
- Third, that very high (9,10) or very low (1,2) overall grades would have to be specifically explained by the evaluators in terms of work accomplished, or concrete evidence of exceptional achievement (or lack of passable achievement) as the case may be.
- Fourth, with computerization, systematic upward or downward biases in assessment (across State cadres or evaluators) may be detected, and necessary corrections effected at the time of relevant personnel actions (e.g. promotion).
- Fifth, that the evaluation of work accomplished would necessarily relate to a pre-determined (and filed) work plan, and thus less subject to discretionary assessment.
- Sixth, that of clearly specifying to the Reporting/Reviewing/ authorities that the assessment must be made relative to the peer Group of officers similarly placed, and not in relation to the general public, or some undefined group.
- Finally, by eliminating the need to separately convey an "adverse remark", and permitting comments by the appraisee only in relation to factual observations and the specific evaluations actually impacted by these factual observations.

5.7 Numerical Grading

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

5.7.2 In the opinion of the Group, while the numerical scores may be viewed either as indexes of relative performance in the concerned dimension of the appraisee in relation to his peers ("ordinal score"), or as a measure of absolute level of performance in some underlying value scale ("cardinal scale"), in the latter case subjective evaluations cannot be compared inter-personally.¹³ Further, while for a given evaluator an award of a higher (lower) numerical score may be considered to reflect unambiguously higher (lower) performance on an absolute scale, such a scale is unlikely to be linear in that it would be incorrect to consider that a score of 8/10 represents a level performance which is twice that of a score of 4/10, on some underlying value scale. Rather, the correct interpretation is that a score of 8/10 is worse than 9/10, and better than 7/10, which, in turn, is better than 6/10, and so on¹⁴. This interpretation puts some restrictions on how these scores may be aggregated. It is, in general, meaningless to compute the arithmetic (or weighted) average of a set of scores which are not inter-personally comparable. The aggregation is, however, permissible in terms of either determining the mode (most frequent occurrence) or median (i.e. below and above which the frequencies of the scores are identical). (Between median and mode, the former may be considered to be less prone to ambiguity, and hence preferred). Alternatively, the scores may be aggregated by classifying appraisees (over a period of time) into a smaller number of defined categories (e.g. "A", "B", "C", etc.) through techniques of "fuzzy set analysis" (which are well-known in empirical work in social science, and for which standard software are available).

¹³ The implication of lack of inter-personal comparability is that numerical scores awarded by different persons (e.g. overall grades in PARs of different years) cannot be averaged.

¹⁴ An analogy may be made with the concept of "utility functions" or "preference functions" which underlie economics. The economic rationale is that while there may indeed be significant variation in strength of preferences over different consumption baskets in terms of some underlying value scale, it is cognitively extremely difficult to do more than assign relative ranks to the baskets. Also, as noted above, cardinal valuations made by different individuals are not inter-personally comparable.

5.7.3 The same restriction on summing (or averaging) such scores across different value dimensions also arises if one considers that they are in respect of distinct and incommensurable (i.e. not comparable) value entities (e.g. “credibility” and “citizen focus”). In such case, even if for the sake of argument scores in each value dimension were considered to be cardinal quantities, it would be impermissible to sum quantities of dissimilar entities (“adding apples and oranges”). However, there would be no conceptual objection to determining the median or modal score across different value entities.¹⁵

5.7.4 The Group also considered that while, in principle, there is no conceptual difficulty in scoring in terms of real numbers (e.g. integers as well as decimals), in practice, the cognitive burden of distinguishing ranks in decimal places would be too great, and accordingly prone to error. Accordingly, it is felt that all scoring must be restricted to integer values (i.e. 1, 2, 3, ...etc.). A scale of 1 to 10 would provide sufficient space for distinguishing between different levels of performance in each value category.

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

5.8 Dealing with Adverse and Advisory Remarks

5.8.1- The concept of “adverse remark”, and the process currently followed to address these is responsible for innumerable cases of long delays in finalization of ACRs, frequently leading to missed promotion chances and other adverse consequences. Various court rulings have set forth the principle that an entry is

¹⁵ While our objection to summing (and averaging) the grades is based on conceptual grounds, an added, pragmatic reason is that such averaging easily leads to a situation where officers are sought to be distinguished on the basis of the second place of decimal on the average score, which is essentially meaningless on account of various sources of error in subjective evaluations, even by the most perceptive and dispassionate of evaluators.

“adverse” if it would act as a barrier to promotion (in the strict usage of the term of advancement to a higher grade of pay, and not for other personnel actions, e.g. placement, including empanelment). The Group considered the question at considerable length. It was felt that the problem may be resolved through eschewing the very concept of an “adverse remark” by a combination of two approaches: (i) removing the stipulation of *a-priori* “benchmarks” for promotion or any other personnel action conferring benefits on officers, all such personnel actions being conducted by strictly competitive processes without need of benchmarks; and (ii) devising the PAR process in such manner as to provide opportunity for comment by the appraiser after he receives the entire assessment, but limited to factual observations and only those evaluative aspects actually impacted by these factual observations; and completing its consideration within the PAR process itself.¹⁶

5.9 Dealing with insufficient variance in the proforma across levels and job types

5.9.1 As stated in Box 1, the functions of professional level civil service positions (AIS and other Group A services) can be classified into three categories, i.e. Implementation; Program/Project Preparation; and Policy Formulation. Typically, in the early phase of a civil service career, the Implementation function dominates. The mix of functions of different positions gradually changes with ascending hierarchy of positions, with, first, increasing dominance of the program/project formulation function, and later increasing dominance of the policy formulation role.¹⁷ Accordingly, in case of the IAS, field positions upto and including the Deputy Commissioner/Collector largely focus on implementation; positions of Heads of Line Agencies (e.g. Agriculture or Education) have a greater component of program/project preparation (with perhaps some exposure to policy formulation); while positions of Secretary in the State Governments/Joint Secretary (and above) at

¹⁶ This would mean that the current practice of the Personnel Department identifying “adverse remarks” in the ACRs, communicating them to the appraisees, receiving representations against the adverse remarks from the appraisees, and examining them in-extenso, would also be terminated. The relief from a finding by the Referral Board would be by way of Memorial to the President.

¹⁷ While we state this progression as a stylized fact, it is neither uniform over positions at the same hierarchical level, nor inexorable as one rises in the official hierarchy.

the Centre have increasing focus on policy formulation (while retaining some aspects of the other two functions).

5.9.2 Accordingly, it has been considered that the PAR form (and perhaps process) should take account of these differences in functions as one moves up in the civil service hierarchy. At higher-level positions, several attributes that are necessary for field positions may not be relevant. Besides, at junior levels, where promotions are mostly time bound, the format could be simpler as it should be used largely as a tool for development and counseling. This would call for separate appraisal proforma for different levels. These may vary from field positions, which are focused on programme implementation to higher-level positions involving responsibilities for programme formulation and policy analysis. However, the Group was of the view that having a large number of forms would create avoidable confusion. In the interest of simplicity it would be better to have fewer forms but with suitable provisions that indicate which portions are relevant for which assignments. Through this method it would be possible to bring in sufficient variance in the PAR across job types. Further, since functional requirements do not change inexorably with hierarchy, it would enable relevant portions to be identified by function, rather than only by level.

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

5.10 State of Health

5.10.1 The state of health and physical fitness of officers is a relevant consideration in placements on account of factors such as the climate of a location, requirements of touring in the field, level of work-related stress, etc. However, this is rarely taken into account, except when representations are received against postings to areas with extreme climate or poor medical facilities. In order to ensure that health/physical fitness aspects are given due consideration in making placements, it is necessary

that information on the state of health should be provided by a formal medical examination, (rather than non-professional impressions by the reporting officer).

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

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

5.11 Review by a Board

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

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

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

5.12 “360 degree” reporting

5.12.1 It is often considered that the reputations of professionals/civil servants among their peers, juniors, members of the public, public representatives, businessmen, journalists, etc. are an accurate index of their capabilities, attitudes,

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

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

- Placements to sensitive or special appointments.
- Counseling officers at 20 years of service or 50 years regarding the advisability of their accepting VRS.

- Confidential counseling of officers regarding their attitudes or conduct (e.g. with respect to juniors or public representatives), or activities that have a bearing on moral or financial integrity, so that they may remedy themselves.

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6. Redesigning the PAR Format and Personal Dossier

6.1 For various personnel actions (e.g. promotions, placement, selection for special assignments, selection for training programs), different kinds of information about an officer would be required. At present, the Personnel Dossier of officers comprises the compilation of the ACRs over one's career. The rules provide that in addition, the first page of the dossier should comprise information about the officer's academic qualifications, languages known, papers and books published, recognitions earned, desserts received, etc. This requirement is not usually observed, largely on account of such information not being generally used for any significant personnel actions, such as promotion and empanelment.

6.2 It is proposed to adhere to the existing broad structure, with some enhancements to make the Personnel Dossier a comprehensive source of information about an officer for different personnel actions (except for the 360 degree evaluation, which is at the option of each cadre controlling authority)¹⁸ An illustration of the kinds of information required for different personnel actions is given in the table below:

Table 2: Mapping Different kinds of Information about Officers to Various Personnel Actions:

Personnel Actions > Kinds of Information V →	Confirmation in a grade/service	Promotion to a higher grade	Empanelment	Selection to Particular Positions	Selection for Training	Retention in service
Performance in a given position/grade	Y	Y	Y	Y	Y	Y
Professional qualifications/academic background/research publications	N	Y	Y	Y	Y	N
Work Experience	N	Y	Y	Y	Y	N
Exceptional work accomplished	N	Y	Y	Y	Y	Y

¹⁸ In Part II of this Report, we discuss the use of the information in the Personnel Dossier for promotions and placements (including empanelment).

Reprimands/strictures	Y	Y	Y	Y	Y	Y
Reputation (360 degree evaluation)	N	N	N	Y	Y	Y

Structure of the PAR Dossier:

6.3 Accordingly, the PAR Dossier may comprise the following documents:

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

The Personnel Dossier may comprise the following sections:

6.4 *Part A: Curriculum Vitae:*

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

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

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

6.4.4 Section IV: Work Experience: Such data will comprise a listing of all positions held (title, organization, period held, description of work content), including those held in organizations outside the Indian governmental system. Such data would be updated each year during the PAR process.

6.4.5 Section V: Recognitions Earned and Reprimands/ Strictures/ Penalties Received: Such recognitions would include letters of commendation/medals/honours received from the State or Central Government for particular actions or accomplishments, and recognition from prestigious bodies either for public service or other accomplishment. (Such recognitions need not be limited to accomplishments related to one's strictly official responsibilities, but may comprise, for example, literary or scientific or sports or community service accomplishments). Additionally, letters of reprimand, punishment by disciplinary authorities including courts, and strictures from courts would be included. Such data would be included as and when each such recognition/dessert arises.

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

6.5 Part B: Performance Reports:

6.5.1 For periods in the service of the Government (State, Centre, or local), the PARs will be compiled for each reporting period in the format set forth below. Specific sections in the PAR would be used to update each of the sections in the CV. While

the PARs in the new format may be prepared and compiled in the future, the existing ACRs would be retained till start of the new system (i.e. for past periods for which the ACRs are missing, they should be prepared in terms of the old ACR format).

6.5.2 In case of periods spent on training courses or Study Leave or deputation on foreign service to organizations outside the Indian governmental system, the performance reports from the institution or organization¹⁹ should be compiled in the Part B of the Personnel Dossier in chronological order with the usual PARs.

6.6 Structure of the PAR:

6.6.1 Taking note of the discussion and recommendations contained in Chapters 4 and 5, the Group recommends that only 2 sets of proforma be used for each of the All-India Services. One proforma would apply for all levels equivalent to that of the Chief Secretary (in the case of IAS)/ Director General of Police (in the case of IPS)/ Principal CCF (in the case of IFoS). This would be a common proforma applicable to all the three All India Services. For the remaining levels there would be only one proforma, with the IAS and IFoS having a common proforma and the IPS having a slightly different version to accommodate some of the specific requirements of the service. The recommended proformae are Annex 10A (for the top levels) and at Annex 10B (for remaining levels). Annex 11 is a set of general guidelines that could be adopted for filling up the performance appraisal reports. Due to shortage of time the Group has not been able to design suitable proforma for the other Group 'A' Services. An exercise may be carried out to make any necessary amendments in the proforma suggested for the All India Services, to reflect service specific requirements of the other Group A services.

6.6.2 The Group also recognizes that once a decision is taken to computerize the performance appraisal management system, suitable changes may be needed in the PAR proformae to facilitate easier and more accurate data entry. However, the exact

¹⁹ Performance reports (grade cards) from training/academic institutions would, in general, vary widely from the PAR format. In case of organizations outside the Indian governmental system, the choice of the format of performance appraisal (and process), i.e. whether to follow the format/process for the concerned service, or their own, should be left to the borrowing organization.

design will depend on the structure of the software designed and will have to await the same.

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

6.7 Calendar

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

Activity	Cut-off dates		
	Below super-time scale	Super-time scale	Above super-time scale
Submission of draft Work Plan for current year to reporting officer (if not submitted by appraisee within the deadline, reporting officer to prepare and file on behalf of appraisee)	15 th April	15 th April	15 th April
Finalization of Work Plan for current year after discussion with reporting officer and filing of Work Plan with Reviewing Officer; Feedback and Counselling session	30 th April	30 th April	30 th April
Mid-year review of Work Plan and filing with Reviewing Officer (if not completed by deadline, the original Work Plan will prevail)	31 st October	31 st October	31 st October
Blank PAR form to be given to appraisee by Department of Personnel, specifying the reporting officer and review officer	1 st April	1 st May	1 st June
Self appraisal for current year	30 th April	31 st May	30 th June
Appraisal by reporting officer	31 st May	30 th June	31 st July
Appraisal by reviewing officer	30 th June	31 st July	31 st August
Disclosure to appraisee	15 th July	15 th August	15 th September
Representation of appraisee, if any (if none, transmission of the PAR to the Department of Personnel)	31 st July	31 st August	30 th September
Comments of reporting officer, in case of appraisee makes comments	15 th August	15 th Sept.	15 th October
Comments of reviewing officer, in case appraisee makes comments. If appraisee's comments are accepted, revised PAR to be finalized and disclosed to appraisee	31 st August	30 th September	31 st October
Finalization by Referral Board if reviewing	31 st October	30 th November	31 st December

officer does not accept appraisee's comments			
Disclosure to Appraisee	15 th November	15 th Dec.	15 th January
End of entire PAR process	31 st March	31 st March	31 st March

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

Part II – Promotions, Empanelment & Placements

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7. The current system

7.1 Promotions

7.1.1 The formal channel of promotions for all the All India Services and other Group 'A' Services is their respective state/departmental cadre. In respect of the All India Services, guidelines for such promotions are issued by the respective administrative ministries of the Government of India, namely the DoPT for the IAS, the Home Ministry for the IPS and the Ministry of Environment & Forests for the IFoS. Though the guidelines are distinct, they are broadly similar in content. They cover issues such as minimum requirements for promotion, as well as the composition of the Screening Committee. The guidelines for promotion to the super-time and higher levels are as follows:

1. For promotion to Super Time Scale, a member of the service should be working in the selection grade and should have completed 16 years of service. The Screening Committee should consist of the Chief Secretary as Chairman and two other officers working in the grade of Principal Secretary in the State Government concerned as Members.
2. For promotion to the post of Principal Secretary to the State Government, the zone of consideration consists of officers in the super time scale who have completed 25 years of service. The Screening Committee will be chaired by the Chief Secretary and will have two other members, the senior most officer working in the grade of Chief Secretary, and the senior most officer working in the grade of Principal Secretary.
3. For promotion to the grade of Chief Secretary, the Screening Committee shall consist of Chief Secretary, one officer working in this grade in the cadre, and another officer of the cadre serving in the Government of India in the same grade.

7.1.2 In respect of the All India Services, the requirement of consultation with the UPSC has been dispensed with, under the provisions of Union Public Service Commission (Consultation) Regulation, 1958. However, in case of other Group A Services (except for the Indian Foreign Service), the Departmental Promotion Committees are chaired by the UPSC.

7.2 Placements in the Central Government under the Central Staffing Scheme

7.2.1 Placements of officers of the All-India Services as well as other Group 'A' services under the Central Staffing Scheme may be considered to involve two stages, i.e. Empanelment, and Selections for Particular Positions.

Empanelment

7.2.2 Empanelment is the process of drawing up a list of officers from the All-India Services and other Group 'A' Services, for possible selection to positions under the Central Staffing Scheme. This exercise is normally conducted annually, considering officers with the same year of allotment together. Empanelment relates strictly to suitability for holding posts under the Central Government. It is not (although sometimes misunderstood as such), a substantive promotion to a higher grade.

7.2.3 For posts of Joint Secretary and equivalent, an independent evaluation of the annual confidential reports is initially made by four Secretaries to the Government of India. The evaluation is then considered by a "Civil Services Board" (CSB), headed by the Cabinet Secretary, which makes recommendations to the ACC for the empanelment of suitable officers.

7.2.4 The cases of such officers who are not included in the panel in a particular year are reviewed after a period of two years, i.e. after two more ACRs on their performance have been added to their dossiers. Another such review may be conducted after a further period of two years. A special review may be made in the case of any officer whose ACR undergoes a material change as a result of his representation against adverse comments in his ACR being accepted by the cadre-controlling authority.

7.2.5 Inclusion in the panel at the level of Joint Secretary is through selection based on the criteria of merit and competence. For the posts of Additional Secretary/Secretary to GoI, empanelment is based on the recommendations of a four Member Committee consisting of Cabinet Secretary, Principal Secretary to Prime Minister, Home Secretary, and Secretary, Department of Personnel. Inclusion in the panel is also through strict selection and evaluation of such qualities as merit, competence, leadership and *a flair for participating in the policy-making process.*

However,, empanelment at any level *does not confer a right to appointment under the Central Government.*

Selection for Particular Positions under the Central Staffing Scheme:

7.2.6 The current system of placement in the Central Government at the level of Joint Secretary, involves several stages. In the first stage, each year the Establishment Officer invites nominations of officers from State Governments and other cadre controlling authorities. Once the nominations are received and scrutinized for eligibility to be considered for a placement under the Central Staffing Scheme (i.e. cooling off completed, officer empanelled, not otherwise debarred, etc.), an "offer list" for the year is prepared. Thereafter, the Establishment Officer prepares a short list in respect of each vacancy that arises during the year. Such short lists are usually prepared about 2/3 months in advance of the relevant vacancy arising. The short lists are prepared taking into account the grading in the ACRs, the past experience of the officer in the relevant area and his overall suitability for the post. Based on this, a short list of three officers is placed before the CSB. The CSB, in turn, recommends one or two officers, from out of the short list, in order of preference. Approval of the Appointments Committee of Cabinet (ACC) is then sought to the recommendations of the CSB.

7.2.7 For Joint Secretary level positions the CSB comprises of the following:-

Cabinet Secretary	Chairman
Secretary, Department of Personnel	Member
One other Secretary to Govt of India	Member
Establishment Officer	Member - Secretary
Secretary of the Administrative Department	Co-opted member

7.2.8 The practice in respect of Additional Secretary and Secretary level positions is similar, except that recommendations for appointment are made to the ACC by the Cabinet Secretary, rather than by a Committee.

7.2.9 Placements in the State Governments, at the levels equivalent to Joint Secretary, Additional Secretary, and Secretary to the Government of India, are generally decided by the Chief Secretary and the Chief Minister after consultation with the respective head of the relevant service (DGP for IPS/ Principal CCF for IFoS) and the concerned departmental Minister. There is no civil service board or other similar committee. In general the capabilities of officers are well known to the State authorities, and officers are placed on the basis of their known competencies.

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8. Weaknesses of the current system

This chapter covers the weaknesses in the present systems of promotion, and placement, including empanelment and selection for particular positions, under the Central Staffing Scheme.

8.1 Promotions

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

1. Since suitability for promotion is judged solely on the basis of the ACRs, which in turn are afflicted by a serious problem of grade inflation (most officers typically obtaining "Very Good" or "Outstanding" grades), it is difficult to distinguish between officers on the basis of merit, and almost all officers are routinely promoted. Promotions are generally denied only if there are vigilance cases pending or contemplated against the officer.
2. This breeds complacency among mediocre, status-quo minded officers, coupled with frustration on the part of competent, pro-active officers, who see that the system makes no distinction between them and their non-performing colleagues. On the other hand, they are more vulnerable to criticism and attack as their pro-active actions may lead to occasional, bona-fide mistakes (*"those who do nothing make no mistakes"*). Hence, officers try to "play safe" by inaction rather than pro-actively addressing administrative and policy issues. Thus, a system where non-performance is safe and may be rewarded while performance is risky and may be punished (or at least not recognized) has emerged.
3. There has been a growing tendency to resort to sycophancy and unhealthy networking as the means to obtain "outstanding" assessments, and hence promotions, rather than proving one's merit through actual performance.
4. There is no formal evaluation of an officer's ability to perform at the higher level, where the required skills, mindset, knowledge base, aptitudes, and other attributes may be significantly different. The current promotion system

only evaluates how the officer performed at the lower level. This is clearly inadequate, especially for senior positions.

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

8.2 Placements:

Empanelment

8.2.1 The weaknesses in the empanelment system are similar to those of the promotion system, although a significantly higher proportion of officers fail to be selected for the panel. Here again, the sole dependence on the ACR, from which, owing to pervasive grade inflation, it is difficult to distinguish between the performance levels of officers, is the principal source of the problems. The result, once again, is that many officers in the panel are ill-equipped for the program and policy formulation positions that they come to occupy.

8.2.2 Yet another problem arises from the fact that the members of the Screening Committee, being all serving civil servants, are not perceived to be sufficiently independent. Accordingly, unstructured influences are believed to prevail in the empanelment of otherwise undeserving officers. The empanelment process is also not seen as transparent, in that the criteria for inclusion in the panel is not revealed, leading to speculation on the extent to which pressures have been brought to bear on the Screening Committee.

8.2.3 The empanelment process and criteria do not take into account the capacities of an officer to undertake policy-making and program formulation roles, and only evaluates officers on how they performed at lower levels (which, in practice, may mean how few mistakes they committed instead of what they actually achieved at the lower level).

Selection for Particular Positions under the Central Staffing Scheme:

8.2.4 The principal problem with the present system of selections for particular positions under the Central Staffing Scheme is that there is no systematic matching of the competency requirements for particular positions and the backgrounds of the candidate officers. Also, there is no formal system of eliciting the interests and

preferences of officers for particular positions, consistent with their background and broader career interests. These lead to unseemly scrambles for particular prestigious positions, in which unstructured influences are pervasive. The result is, frequently, a glaring mismatch between the required competencies and the backgrounds of officers selected for the positions. Career profiles of officers end up displaying the features of a “random walk”, with no regard to building skills and capabilities. In the long-term, these result in poor policy-making and implementation, as well as insufficient capacity for policy-making and public management.

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9. Recommendations relating to Promotions

9.1 On the general principles for promotion, the Group recommends that at junior levels of the AIS, when officers are in the formative years of their service careers, they should be guided, counseled, and trained to help them realize their full potential. Promotions should be assured to them, subject to generally satisfactory performance, and may be on a time-scale basis. However, as the officer grows in service and is to be considered for positions dealing with policy and program formulation and implementation, there should be deeper selection and only those who can demonstrate a creditable record of actual performance, and possess the necessary knowledge and skills required for holding such responsible posts, should be promoted. Promotion norms should be more stringent than at present and based explicitly on competition rather than on simple attainment of a-priori benchmarks. A clear signal should be conveyed to the officers that unless they perform well and improve their professional knowledge and skills, they would not be promoted.

9.2 This would be in line with the practice followed in most advanced countries, where promotions are neither automatic, nor based on a-priori benchmarks. Every one has to strive hard to earn them. For example, in the UK a system has been introduced whereby all posts are advertised internally within the department. Officers have to apply, and compete for higher positions on merit. Those not selected are superceded. The practice in multilateral development banks (MDBs) is similar, except that the positions are, in principle, open to all staff working in the institution, and not confined to particular department. In Australia and New Zealand, where major reforms have been introduced in the civil services, all posts are required to be openly advertised (unlike in UK/Multilateral Development Banks where they are only advertised internally). Selections are made competitively on merit alone from out of the applications received. In determining merit, the demonstrated competence to hold the higher position carries considerable weight²⁰. Candidates who have relevant professional academic qualifications to demonstrate their competence for policy making positions have a definite edge in selections. This clearly indicates the

²⁰ This explains the large number of academic programs in Public Policy in several universities of UK, Australia and New Zealand.

importance attached to acquisition of relevant skills for senior level appointments where an officer is required to formulate programs and develop policies that place at stake the interests of an entire nation or a whole state.

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

9.4 Yet another factor to be borne in mind is that officers who have been superceded are often frustrated elements within the system and can be a serious nuisance. They can impede the smooth functioning of the organization by giving vent to their frustration in various ways. It is, therefore, essential that dignified methods of persuading them to leave the system should be found, either through reasonably attractive compensation packages or by finding placements for them outside the policy-making structure. Consistently poor performers should be weeded out and procedures for such weeding out should be streamlined²¹.

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

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

9.7 The recommendations of the Group are, therefore, based on the above principles. The Group addressed the following issues:

1. The composition of the Screening Committee to ensure that it is not susceptible to unstructured influences.

²¹ These issues are addressed later in the report.

2. Models for the process of selection for higher positions to ensure consideration of performance in the lower positions and acquisition of knowledge and skills for higher positions, and competition..

9.8 Composition of the Screening Committee

9.8.1 With a view to enhancing the credibility and impartiality of the Screening Committee, involvement of a senior officer from outside the cadre is recommended.

The composition of the Screening Committee may, therefore, be the following:

For the level of	Current composition	Recommended composition
Super Time Scale	<ul style="list-style-type: none"> Chief Secretary Two Principal Secretaries of the State 	<ul style="list-style-type: none"> Chief Secretary Officer of the rank of Principal Secretary or higher, of the relevant service, serving in the state Representative of Govt. of India at the level of Additional Secretary, not belonging to the state cadre and not domiciled in the state
Principal Secretary Grade	<ul style="list-style-type: none"> Chief Secretary One senior most officer working in the grades of Chief Secretary and Principal Secretary 	<ul style="list-style-type: none"> Chief Secretary Senior most Officer other than the Chief Secretary, of the service concerned and serving in the state, being himself at least in the Principal Secretary's grade. Representative of Govt. of India at the level of Secretary to Govt. of India, not belonging to the state cadre and not domiciled in the state
Chief Secretary	<ul style="list-style-type: none"> Chief Secretary One officer in this grade working in the State One officer in this grade of the cadre, serving in the Government of India, in the grade 	<ul style="list-style-type: none"> Chief Secretary Senior most officer of the cadre and concerned service, other than the Chief Secretary, serving in the state or outside, except when such officer is himself not in the grade of Chief Secretary. Representative of the Government of India, at the level of Secretary to GOI, not belonging to state cadre or domiciled in the state

9.9 Models for promotion

9.9.1 The following two models may be considered for the process of promotions to super-time scale and above. Both models are based on the

9.9.2 principle of merit cum seniority, with the zone of consideration taken as $(1.5n + 2)^{22}$ officers, rounded off to the next higher integer (n = number of anticipated vacancies).

9.9.2 The difference between the two models lies in the assessment parameters and basis for evaluation, as explained below:

Model A

9.9.3 In this model the criteria and process for selection for the higher positions may be the following:

- Satisfactory completion of all the required training programs (including approved substitutes) for the higher positions
- Evaluation of performance appraisal reports of the last 10 years, which should be moderated to ensure consistency between²³:

1. The overall grading secured

2. The assessment against work performance

3. The assessment against different attributes

4. The pen picture of the officer

- The evaluation of the PARs should yield a single score on a 10 point scale (the higher the better) for each candidate officer. This may be the mode or preferably the median, but not the average, of the moderated scores, as evaluated above.

²² A larger zone of consideration may lead to an unacceptable rate of supersession, while a narrower range may not yield sufficient competition.

²³ Necessary adjustments may be made by the Screening Committee where the PARs are not in a consistent format, for example, the transition years during which ACRs (old format) and PARs (new format) are to be evaluated, or alternatively, the PARs relate to agencies outside the Indian governmental system. Adjustments may also be necessary where systematic biases in evaluations are noticed between different State cadres, or where a single Reporting/Reviewing officer has furnished the PAR of a particular officer an unusually large number of times.

- Candidate officers may be identified for selection, starting with the officers attaining the highest score, and moving down, until the number of anticipated vacancies is (just) reached.
- The merit list of officers may then be arranged in their order of inter-se seniority for promotions in turn against vacancies.
- The cases of such officers who are not included in the merit list in a given year may be reconsidered after a period of two years, i.e. after two more annual PARs have been added to their dossiers, and they have qualified in the required career courses (if not done earlier). The case of each officer may be considered three times in all (once as a fresh case and twice under reconsideration). After three unsuccessful attempts, the officer need not be considered for promotion any further. (For promotions to the grade of Chief Secretary in the States cases would be reconsidered in each subsequent year, i.e. after one year's PAR has been added to their dossier.

Model – B

9.9.4 In this model, a greater emphasis is placed on acquisition of necessary skills for the higher positions than in the case of Model A. The following evaluation criteria, with corresponding weight for each, may be adopted:

1. **An evaluation of the officer from his performance appraisal reports (including performance in positions outside the Indian Governmental system), for the last 10 years - weight of 50%**
2. **“Richness of work experience”, as determined from his entire service record - weight of 20%**
3. **Evaluation of significant achievements or failures (“critical events”) in his entire service period - weight of 5%**
4. **Acquisition of formal professional skills for the higher positions weight of 25%**

9.9.5 The evaluation from the performance appraisal reports would primarily be an assessment made from his overall grades and the ratings against the work output, different attributes, remarks from the pen picture, etc. as for Model A. The *richness of work experience* would be an assessment of the job content of his previous

assignments that would contribute towards his ability to perform in the higher position by way of experience based skills and knowledge. This would involve the substance of job content (i.e. discounting for purely staff jobs, enhanced weightage to substantive field or secretariat positions), sufficient but not excessive diversity of job content (i.e. avoidance of long-periods spent in a single sector or type of position, or insufficient time spent in a large number of different sectors), as well as sufficient focus on particular sectors (e.g. education, tribal welfare, public finance [IAS]), or roles (e.g. crime detection, intelligence, security [IPS]; silviculture, wildlife management [IFoS]). The significant achievements or failures ("critical events") would primarily relate to out-of-the-ordinary positive or negative achievements, which may also have been recognized through rewards or penalties from the relevant authorities or agencies.²⁴ The assessment of skills for the higher assignments would be based on his successful efforts at improving his relevant formal professional qualifications, including career training, other relevant study/training programs, including those pursued during study leave, and his portfolio of published research, all of which would be reflected in his CV. Actual performance in these efforts and not simply the fact of successful completion, would be taken into account. The weights proposed for the different criteria of evaluating merit reflect equal consideration to performance in the lower grade and extent of preparation for higher level responsibilities. 75% of the total weight arises from information available in the PARs.

9.9.6 As in case of Model A, officers who are not selected in the first attempt, may be re-considered upto twice more, provided that they have earned at least two year's PARs in the interim for super-time and Principal Secretary scales, and at least one year's PAR for higher levels and/or enhanced their relevant formal qualifications.

9.10 Analysis of the models

9.10.1 Both the models presented above have their respective advantages and disadvantages. While Model A has the disadvantage that it may not yield a select list of the most qualified officers, on account of being based entirely on performance at

²⁴ Generally, but not invariably, these would be available in the PARs. Some exceptional achievements may not relate strictly to one's official work, for example outstanding and nationally/internationally recognized literary and scientific work.

the lower level as reflected in the PARs, except for the requirement of qualifying in prescribed career courses, it has the advantage of being simple to implement. On the other hand, Model B has the advantage of ensuring that the better qualified officers are selected, thus furnishing clear signals to the officers that they must perform well, enhance their qualifications, and plan their careers, if they aspire to higher positions.

9.10.1 The Group felt that for promotions in the State to the super time scale, Model A may be adopted. However, for the scales of Principal Secretary and Chief Secretary, Model B would be more appropriate.

9.10.2 This system of promotion that may be adopted at the different functional levels in respect of the different All India Services, is, accordingly, as follows:

Functional level	IAS	IPS	IFoS	Model
Super-time scale	Commissioner	Inspector General of Police	Chief Conservator of Forests	A
Principal Secretary Grade	Principal Secretary	Additional Director General of Police	Additional Principal Chief Conservator of Forest	B
Chief Secretary Grade	Chief Secretary	Director General of Police	Principal Chief Conservator of Forest	B

Phased introduction of the new system

9.10.3 The Group recognized that the proposed system cannot be introduced immediately as time would have to be given for officers to take necessary action to upgrade themselves and for the requisite training programs to be put in place. Hence, in all cases where Model A is to be adopted for promotions, the Group recommends that a period of three years be allowed before the new system is enforced. Where, Model B is to be used, a phased process of implementation may be introduced so that officers may have reasonable time to prepare for the new system. The weights for different aspects, during this transition period, may be as follows:

	Evaluation of PARs (subject to satisfactory completion of required courses)	Richness of work experience	Evaluation of significant achievements	Demonstrated skill for higher assignment
Year 0	100%	NIL	NIL	NIL
Year 1	100%	NIL	NIL	NIL
Year 2	100%	NIL	NIL	NIL
Year 3	80%	10%	NIL	10%
Year 4	80%	10%	NIL	10%
Year 5	50%	20%	5%	25%

9.11 Screening deadwood

9.11.1 There is no benefit in retaining in service officers who lack demonstrated competence, or who are unqualified, or of doubtful moral or financial integrity or who are in unacceptably poor health. It is, accordingly, important that an effective system of screening such officers be put in place. Provisions already exist for the compulsory retirement of those who have completed 50 years of age or 30 years of service²⁵. However, this provision has been utilized only very rarely so far. The only occasion when it was used significantly was during the Internal Emergency of 1975-77. On that occasion, while a number of officers of different services were compulsorily retired, almost all were reinstated, following interventions by the Courts. In light of the past experience, procedures have been laid down for operating this provision.

9.11.2 The group felt that owing to the revealed practical difficulties or reluctance on the part of cadre controlling authorities in operating this provision, a supplementary mechanism may be put in place to persuade officers to leave the service at a stage when they may still have some career prospects outside the Government.²⁶ However, two notes of caution are in order. First, the screening should be by an independent mechanism and transparent process. Second, after identification of the officers proposed for separation, they should be induced to retire through a voluntary separation scheme, as opposed to mandatory termination or retirement.

²⁵ As provided under FR 56(j) and Rule 16(3) of All India Services (Death-cum-Retirement Benefits) Rules, 1958

²⁶ At age 50, or 30 years of service, when they would have been promoted to senior positions, it is unlikely that they may be able or inclined to pursue a career outside the Government.

9.11.3 In order to implement the system, the Group recommends that a Standing Committee be set up under the Cabinet Secretary, which should, by a given date each year, review the records of all officers who have reached the age of 50 years, or have completed 20 years of service, in the past year.²⁷ These records would comprise the Performance Appraisal Reports, report of performance in specified career courses, results of vigilance enquiries, *in personum* court proceedings, and disciplinary proceedings faced by the officer in his/her career. It would also include a statement of pending proceedings in each of these categories. The objectives of this review would be to identify those who have only a low possibility of further promotions and need to be screened out.

9.11.4 The following norms may be adopted for identifying the officers to be screened out:

1. An officer who has failed to make the select list for promotion to the next higher grade 3 times.
2. An officer who has encountered 3 proceedings resulting from vigilance enquiries (i.e. major disciplinary proceeding, or criminal proceeding in court) in respect of alleged lapses of moral or financial integrity in the course of his/her career, even if the officer is cleared on completion of the proceedings in each of these, as lack of moral or financial integrity would be considered as "highly probable" in such cases.
3. An officer who has failed 3 times to qualify in the requisite career course(s) for his next promotion.
4. An officer who is permanently medically unfit to perform the normal duties of the service, as revealed from the biennial medical examination

9.11.5 Officers screened out should be informed of the fact and advised that their chances of further advancement in their career are not bright. Further, that they may, if they wish, avail of a voluntary separation package (as already available to surplus staff). If they choose to remain in service, their cadre controlling authorities would be advised of the findings of the Standing Committee, so that the same may be appropriately taken into account in planning the future postings of the officer.

²⁷ Most officers, at the time of completing 20 years of service would be in their mid-forties, when there may still be reasonable prospects of making a career outside the Government.

9.11.6 A second review may be carried out after a further period of five years, i.e. after the officer has completed 25 years of service or 55 years of age. If the performance of the officer does not show any marked improvement and the chances of further career advancement continue to be dim, the available provisions for compulsory retirement should be invoked.

9.12 Career Courses

9.12.1 The job profile of an AIS officer undergoes significant change as the officer moves from program implementation levels in the first few years of his career to program formulation and policy making levels in subsequent years. There is no guarantee that an officer who performs well in program implementation roles level would perform equally well in program/policy formulation roles. Unfortunately, despite this change in job profile, there is no system by which officers are imparted the requisite training to undertake the differentiated responsibilities at the higher levels. It is, therefore, essential that all services must specify career-training programs, which would be mandatory for promotion to different levels. These training programmes should aim to equip an officer with the necessary skills for the positions likely to be held in the next 9-10 years. Accordingly compulsory training programmes at suitably timed in-service levels would be necessary²⁸ so that the performance in these programmes could be taken into account for the next promotion.

9.12.2 These career-training programs should lead to significant enhancement of an officer's skills and competence. Accordingly, they would need to be more rigorous and of significantly greater duration than the one/two week programs currently being offered to IAS officers. Performance in these programs must be evaluated in terms of the norms followed for professional training programs.

²⁸ As noted above, some mandatory training courses may be substituted by other formal training/academic programmes that may be pursued on Study Leave. There may also be a cafeteria of training courses, of which officers may choose a specified number. The cafeteria approach may help address differentiated backgrounds and career plans of officers.

10. Recommendations relating to Empanelment and Placements in the Government of India

10.1 Given the time available, the recommendations of the Group relating to placements in the Central Government cover only positions under the Central Staffing Scheme, at the level of Joint Secretary and above.. The approach followed, which marks some departure from current practice, is to more carefully match the skills and backgrounds of officers to the requirements of particular positions, while preserving a broad spectrum orientation of the services as a whole across a range of sectors, while not confining individual officers to narrowly defined tasks or sectors.

10.2 Domain Assignment

10.2.1 Assigning specific Domains to officers is a key step in accomplishing this objective. Domain competency relates to sufficient background in a certain *context* of policy making. It differs from general skills of policy/program formulation in that such general skills would relate primarily to knowledge of formal techniques of policy analysis/program formulation and experience of policy/program formulation generally, while "Domain Competence" would involve, in addition, significant subject matter knowledge, gained from work experience, academic study, training, and research ["backgrounds"].

10.2.2 In defining and assigning Domains to officers, two broad alternatives are possible. In the first, the number of Domains may be very few, say 3-4 (e.g. economic, social development, political and security, and culture and media) and officers may qualify for (not more than) one Domain each. In the second, Domains are defined more finely, say 10-12 (e.g. agriculture and rural development, natural resources management, social sectors, culture and information, public finance and financial management, energy, etc.), and officers are assigned to several (say, 3) Domains. In the first alternative, significant differences in the backgrounds and requirements of formal knowledge in different sectors (e.g. public finance versus energy) are not captured. Also, if officers are confined to a single Domain, they may have fewer opportunities to pursue their career interests. Additionally, long-lists generated for particular positions on the basis of officers available in a given Domain

may be too large, imposing strain on the process of shortlisting. The second alternative is, accordingly, preferred.²⁹

10.2.3 Domain knowledge may also be distinguished from Specialized Knowledge (in the context of the business of the different AIS) in that the latter relates to more specific *policy relevant* (as opposed to strictly technical) knowledge *within a given Domain*, but is also based on relevant backgrounds. In addition, definition of areas of specialized knowledge is more difficult, given that issues are numerous, and typically gain (and lose) salience in policy making rather rapidly.³⁰ The group, therefore recommends that the following 11 Domains be adopted for assignment to officers for selection to Central Staffing Scheme posts but not earmarked for particular services (e.g. Central Police Organizations, Forest Department positions):

1. Agriculture and rural development
2. Social sectors (Education, Health, Tribal Welfare, etc.)
3. Culture and Information
4. Natural Resource Management including Environment (green side).
5. Energy and Environment (brown side)
6. Communication Systems and Connectivity Infrastructure
7. Public Finance and Financial management
8. Industry and Trade
9. Domestic Affairs and Defense
10. Housing and Urban Affairs

²⁹ In the view of the group, the second alternative is also more consistent with the approach set forth at the beginning of this chapter.

³⁰ However, some examples of specialized knowledge within particular Domains are: (i) Agriculture: IPRs on plant varieties; (ii) Social sectors: Population and Family Welfare; (iii) Energy and Environment (brown side): Climate Change; (iv) Public Finance and Financial Management: Monetary Policy, etc.

11. Personnel and General Administration, Governance Reform and Regulatory systems

10.2.4 A matrix giving the relevant departments where each of the above Domains would be broadly relevant by way of acquiring the necessary background and posting, is at Annex 12. A matrix giving an indicative set of academic backgrounds and areas of training, higher study or research that would be relevant for each of the domains is at Annex 13.

10.3 Process of assigning Domains

10.3.1 The assignment of Domains may be part of the empanelment process at JS/AS levels, which would identify officers for posting to the Gol at levels of JS and above. Officers empaneled as Secretaries to Gol may carry their Domain assignments at the AS level empanelment, unless there is a significant change in their qualifications or work experience at the AS level. Officers due for consideration for empanelment may claim (and be assigned) upto three Domains. They may submit a write-up (not more than 1000 words), summarizing their experience, academic background, training courses undergone, research accomplishments, recognitions earned, and significant achievements during their career relevant to these areas. The factual material in these write-ups should reflect the contents of the PAR dossiers. These write-ups may be scrutinized by the Empanelment Committee (see below) which may be assisted by several eminent academics/experts in the respective fields for evaluation of work experience, academic and training courses undergone, research accomplished, etc. The Committee would evaluate the claims of the officers to specific Domains, which may be accepted or denied. No quota system need be imposed in respect of how many empaneled officers may figure in each Domain, as the interests of efficient personnel management would require that the pool of officers who may be considered for particular positions should be sufficiently large.

10.3.2 In the unlikely event that one or more of the listed Domains do not attract sufficient applicants, the Committee may assign these Domains to officers with the relevant backgrounds, exceeding the limit of 3 Domains in their case, if necessary.

10.4 Empanelment

10.4.1 Empanelment is the process of preparing a select-list of officers suitable to be considered for selection to positions under the Central Staffing Scheme at the levels of Joint Secretary, Additional Secretary, and Secretary to the Government of India. Empanelment is not promotion to a particular grade. Promotion to the relevant level, which is earned in the respective cadres, would typically precede empanelment.

10.4.2 Since empanelment is a select list of those who have already been promoted, the criteria for empanelment have to be more stringent than that for promotion. It must also be recognised that empanelment means that an officer is found fit to occupy positions at national policy/program formulation levels. This is indeed an extremely responsible level and only the best available talent should be identified for these positions. Accordingly, there is no alternative but to use merit and demonstrated competence as the basis for empanelment.

10.4.3 The Group also noted that Empanelment is not an assurance of posting under the Central Staffing Scheme. The numbers of empaneled officers need not, therefore, strictly correspond to the number of vacancies likely to arise in a year.

10.4.4 After detailed discussions, the Group makes the following recommendations with regard to Empanelment:

1. The output of the empanelment process would be a list of officers found suitable for selection to specific positions under the Central Staffing Scheme, together with their respective Domain assignments. All empanelled officers must be informed of the fact of their empanelment, including Domain assignment.
2. Individual batches may be taken up sequentially along with those from previous batches who are due for review. Thus, there would be a fresh batch to be considered each year and some review batches. Cases of such officers who are not empanelled when their batch is taken up for consideration on the first occasion, may be reviewed up to twice more. Before each review, for the Joint Secretary's level, an officer should have earned two more annual PARs and for higher levels one more annual PAR. .

3. A norm of empanelling not more than 50% of the officers of the fresh batch, for the Joint Secretary level, should be adopted. All the non-empanelled officers of the review batches, who secure higher overall scores, in the evaluation, compared to the last empanelled officer of the fresh batch, may also be empanelled. Thus, the percentage of empanelment within a batch may go over 50% after the review stage. The percentage of officers of the fresh batch empanelled at higher levels would be lower, and would need to be worked out on the basis of the likely vacancies, as well as the cushion to allow meaningful selection for particular positions depending upon the skills and background.
4. In awarding scores to each candidate, for empanelment to positions of Joint Secretary and above, the empanelment committee may adopt the formulation suggested in Model B (above) for promotions except that the zone of consideration would be the entire fresh batch and review batches. The transition provisions may also be the same as for promotions under Model B.
5. The UPSC should be involved in the empanelment process. Interviews for empanelment to the positions of Joint Secretary and above should be introduced.³¹ The interview would validate the claims of skills for the higher position, and would not be a personality test.
6. The empanelment committee should be chaired by the Chairman/ member of the UPSC and should include at least two eminent professionals and other suitable senior officers as may be agreed between the Cabinet Secretary and Chairman of the UPSC.

10.4.5 In making its recommendations that only 50% of the primary batch should be empanelled for the level of Joint Secretary, the Group has taken into account the

³¹ The Group considered three options with regard to the process of empanelment. One was to involve the UPSC and introduce a process of interview in which the interview committee could make an assessment of the performance claims made by the candidate officer in his annual performance appraisal reports as also his claims to competence for the higher position. The second was to involve the UPSC but not have an interview process but ask a committee to make an evaluation from the performance appraisal dossier (including CV) made available to them. The third was to use the present screening committee of Secretaries itself. Keeping in view that there can be no compromise on quality at such responsible positions, the Group was of the view that stringent selection procedures need to be in place and hence the recommendation that the UPSC be involved along with an interview process. The recommendations of the UPSC would not only be with regard to the suitability for empanelment but also the appropriate domains to be assigned. The recommendations should be submitted to the Cabinet Secretary for obtaining the approval of the ACC.

average number of officers appointed to the different levels in any particular year, the average number of officers available in a particular batch, as well as the average tenure of officers at different level. The Group is of the view that restricting empanelment to only 50% of the batch would help in reducing unhealthy competition for specific positions and would, instead, introduce healthier competition for empanelment itself. The information made available to the Group on the average number of appointments made at each of the levels of Joint Secretary, Additional Secretary and Secretary, in a year, is placed at Annexure 14.

10.5 Combining Domain Assignment and Empanelment

10.5.1 The Group also discussed the merits of combining the domain assignment and the process of evaluating suitability for the higher positions (both being components of the Empanelment) into a single exercise, particularly since the necessary information for each would be contained in the PAR dossiers (including CV). This would help reduce the workload. However, the Group is of the view that domain assignment requires scrutiny by several professionals who would be in a better position to judge demonstrated skills and background of an officer for a particular Domain. On the other hand, the suitability for higher positions may be better judged by fellow practitioners. It is for the above reason that the Group recommends that the domain assignment and determination of suitability for higher positions should be taken up as separate exercises and not as a common exercise.

10.5.2 This raised the question of inter-se sequencing between the two exercises. If domain assignment were to precede determining suitability for higher positions, it would mean that the entire batch would have to be assigned domains, including those officers not ultimately found suitable. This would mean extra workload in the domain assignment process. Against this, if determining suitability were to be done first, assignment of a domain would not be available for non-empanelled officers.

10.5.3 After considerable discussion, the Group was of the view that it would be better to first accomplish the domain assignment and then take up the process of determining suitability for higher positions. This would have the following advantages:

- It would enable the approval of the ACC to be obtained for the entire output of the empanelment process, i.e. suitability for the higher positions and Domain assigned. This would make it very difficult to post an officer to an area for which where he is not well suited.
- It would provide useful information of an officer's capabilities to the cadre authorities, who may like to take note of the fact in deciding his placement within the cadre.
- It would give an indication to the officer of the areas in which he should grow for being considered or empanelment in subsequent years.

10.5.4 The domain assigned when the officer was first considered for empanelment may hold at the review stage also, unless the officer has made a specific request, with supporting justification, for reassignment of domain. In case the officer makes such a request, the same may be examined as part of the domain assignment process.

10.6 Selection for specific positions under the central Staffing Scheme

10.6.1 With regard to placements in the Government of India, at the level of Joint Secretary and above, the Group has been guided by the need to ensure that the skills and backgrounds of officers are optimally used. The Group also feels that unhealthy competition for specific positions, on account of which unstructured influences are brought to bear on the selection process, may be avoided through greater transparency in the placement process. The group, therefore, recommends the following procedure for placements:

Step 1: Notification of vacancies likely to arise in the course of the forthcoming year

10.6.2 Each Administrative Ministry would convey to the Department of Personnel & Training (DoPT), 3 months prior to the start of the year, the vacancies at each level likely to arise during the year. Each notice would include a job description of the subjects/themes/functions of the position.

Step 2: Identifying the relevant Domain Competency for each post

10.6.3 The DoPT would tentatively identify the appropriate Domain competency for each post notified on the basis of the job descriptions. This identification would be confirmed by the CSB.

Step 3: Publication of the list of vacancies

10.6.4 Following Steps 1 & 2, the DoPT would publicize the list of likely vacancies during the year (through its website and other means), together with the job descriptions and identified Domain competencies, for access by all prospective candidate officers. The candidate (empaneled) officers may, in turn, indicate by e-mail to the website itself, or by other means, their interest in being considered for (upto 3) particular positions. (A software would have to be developed for consolidating all such responses, and confirming to each officer the registering of their expressions of interest, as well as restricting access for expressions of interest through passwords).

Step 4: Generation of Long-Lists

10.6.5 For each post, a long-list would be generated by the Department of Personnel listing all the officers who are still available from among those who have indicated their interest in the post and with the requisite Domain competency. In case sufficient officers who have indicated their interest in the post are no longer available, or an insufficient number had expressed interest in the first place, the DoPT may generate/add to the long-list other available officers with the requisite Domain competency. This long-list, together with the Performance Appraisal dossiers of the officers would be forwarded to the CSB.

Step 5: Generation of Short-Lists

10.6.6 The long-list for each post would be pruned by the CSB by matching the requirements for the post as revealed in the respective job descriptions and the specific background of each officer, and considering their overall suitability for the particular position. The output would be a short-list for each post.

Step 6: Final Selection for the post

10.6.7 The CSB would transmit this short-list to the ACC for final selection to the post.

Part III - Annexures

OKDISCD

Immediate
By Special Messenger

No.11059/18/2002-AIS-III
GOVERNMENT OF INDIA
MINISTRY OF PERSONNEL, P.G & PENSIONS
(DEPARTMENT OF PERSONNEL & TRAINING)

NEW DELHI, the 19th December 2002

Annex 1

Subject: Review of the system of performance appraisal for the All India Services and Group 'A' Services.

It has been decided to constitute a Group under the chairmanship of Lt. Gen.(Retd.) Surendra Nath to look at the performance appraisal system being followed elsewhere and then come up with suggestions for a performance appraisal system that could be adopted for the All India Services and, subsequently, for Group 'A' Central Services.

2. **The composition of the Group is as follows:-**

- | | |
|--|------------------|
| (i) Lt. Gen. (Retd.) Surendra Nath
Former Chairman, UPSC | Chairman |
| (ii) Shri A. K Agarwal
Former Secretary (Personnel) | Member |
| (iii) Prof. Vinaysheel Gautam
Department of Management Studies,
IIT, Delhi | Member |
| (iv) Shri Prodipto Ghosh
Additional Secretary,
P M O | Member |
| (v) Shri. O.P. Aggarwal,
Joint Secretary, Department of Personnel
& Training | Member Secretary |

3. **The terms of reference of the Group are as follows:-**

- (i) To comprehensively review the present system of recording Annual Confidential Reports so as to bring greater transparency and efficiency in order to motivate good officers.
- (ii) To develop a system of recording of ACRs so that better performance or lack of performance gets properly and fairly reflected.
- (iii) To develop a new system for performance appraisal after looking at practices being followed elsewhere, particularly in the Defence Services, leading corporate houses, multi-lateral organizations as well as the civil services of other countries.

(iv) To make recommendations/suggestions for a performance appraisal system for All India Services and subsequently, for Group 'A' Central Services.

4. The Group shall finalise its recommendations/suggestions positively by 15th February, 2003 so that the same could be placed before Hon'ble Prime Minister by 28th February, 2003 and the decisions are implemented from 1st April, 2003 onwards.


(SANGEETA SINGH)
DIRECTOR (SERVICES)
T.No. 23093591

19/12/02

To

1. Lt. Gen.(Retd.) Surendra Nath
Former Chairman, UPSC,
D-27, Saket,
New Delhi
(Tel.No.26865209)
2. Shri A. K Agarwal
Former Secretary (Personnel)
C-1/43, Bapa Nagar, New Delhi-110003
3. Prof. Vinaysheel Gautam
Department of Mangement Studies,
I I T, Delhi
4. Shri Prodipto Ghosh
Additional Secretary,
P M O
5. Shri. O.P. Aggarwal,
Joint Secretary,
Deptt. of Personnel & Training,
Old JNU Campus, Mehrauli Road, New Delhi-110067

Copy for information to :-

1. Shri Atul Kaushik, Deputy Secretary, Cabinet Sectt., Rashtrapati Bhawan, New Delhi.
2. Secretary/AS(S&V), DOP&T, New Delhi

Orders of DoPT of January 27, 2003

Annex 2

No.11059/18/2002-AIS-III
GOVERNMENT OF INDIA
MINISTRY OF PERSONNEL, P.G & PENSIONS
(DEPARTMENT OF PERSONNEL & TRAINING)

NEW DELHI, Dated the 27 January, 2003

Subject: Review of the system of performance appraisal for the All India Services and Group 'A' Services.

In continuation of this Department's note of even number dated 18.12.2002 on the subject mentioned above the undersigned is directed to say that the Prime Minister has approved the proposal to further enhance the Terms of Reference of the Group. The Terms of Reference of the Group mentioned under para 3 of the note dt. 18.12.2002 now stands revised as follows:-

- (i) To comprehensively review the present system of recording Annual Confidential Reports so as to bring greater transparency and efficiency in order to motivate good officers.
- (ii) To develop a system of recording of ACRs so that better performance or lack of performance gets properly and fairly reflected. There is need to bring about a culture where a superior officer does not hesitate in recording the weakness in an officer merely due to the possible 'risk' of having to convey adverse remarks and subsequently respond to the representation received against adverse entries.
- (iii) To evolve a new system for performance appraisal to looking at practices being followed elsewhere, particularly in the Defence Services, some of the leading corporate houses, some multi-lateral organizations as well as the civil services of some other countries.
- (iv) Recommendations/ suggestions for a performance appraisal system for the All India Services and subsequently, for the Group 'A' Central Services.
- (v) To review the present system of promotion of All India Service and other Group 'A' officers, at the level of Joint Secretary to Govt. of India (and their equivalents), to ensure greater transparency, objectivity, and a more clearly defined linkage with the performance appraisal system.

(vi) To make recommendations for establishing a more clearly defined linkage between the performance appraisal system and the background and experience of officer at these levels, and their lateral movement, in respect of All India Service , and other Group 'A' Services.

4. The Group shall finalise its recommendations/suggestions by the scheduled date mentioned therein so that the same could be placed before the Hon'ble P.M within the prescribed time limit.


(SANGEEITA SINGH)
DIRECTOR (S)
T.No. 23093591 27/1/03

To

- 1 Lt. Gen.(Retd.) Surendra Nath
Former Chairman, UPSC
2. Shri A. K Agarwal
Former Secretary (Personnel)
C-I/43, Bapa Nagar,
New Delhi-110003
3. Prof. Vinaysheel Gautam
Department of Mangement Studies,
I I T, Delhi
4. Shri Prodipto Ghosh
Additional Secretary,
P.M.O
- 5 Shri. O.P. Aggarwal,
Joint Secretary,
Deptt. of Personnel & Training,
Old JNU Campus, Mehrauli Road,
New Delhi-110067

Copy for information to :-

- Shri Anup Mukerji, Joint Secretary, Cabinet Sectt., Rashtrapati Bhawan, New Delhi, with reference to U.O.No.501/2/4/2002-CA.V dt. 22.1.2003.
- Secretary/AS(S&V)/E.O./J.S(E) DOP&T, New Delhi

Orders of DoPT of March 4th, 2003

Annex 3

... Annex - III

No. 11059/18/2002- AIS – III(Pt.)
GOVERNMENT OF INDIA
MINISTRY OF PERSONNEL, P.G. & PENSIONS
(DEPARTMENT OF PERSONNEL AND TRAINING)

New Delhi, the 3rd March, 2003

- 4 MAR 2003

**SUBJECT: REVIEW OF THE SYSTEM OF PERFORMANCE
APPRAISAL FOR ALL INDIA SERVICES AND GROUP
'A' SERVICES**

In continuation of this Department's note of even number dated 27th January, 03 on the subject mentioned above the undersigned is directed to state that the Prime Minister has approved the proposal to further enhance the Terms of Reference of the Group constituted for review of the system of performance appraisal for the All India Services and group 'A' Services. Accordingly, Para 5 of this Department's note dated 27th January, 03 may please be treated as modified and it will now read as follows :

(V) "To review the present system of promotion of All India Service and other Group "A" officers, at the level of Joint Secretary, Additional Secretary and Secretary to Govt. of India (and their equivalents), to ensure greater transparency, objectivity, and a more clearly defined linkage with the performance appraisal system."

2. It has also been decided to give the Group three months for completing the report.

3. The other contents of this Department's note of same number dated 27th January, 03 will remain unchanged.


(SANGEETA SINGH)
Director(S)
Phone : 23093591

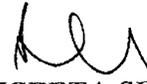
To

1. Lt. Gen.(Retd.) Surendra Nath,
Former Chairman, UPSC,
D-27, Saket, New Delhi.

2. Shri A. K. Agarwal,
Former Secretary(Personnel)
C-I/43, Bapa Nagar,
New Delhi-110003
3. Prof. Vinaysheel Gautam
Department of Management Studies,
IIT, Delhi
4. Shri Prodipto Ghosh,
Additional Secretary,
PMO
5. Shri O.P.Aggarwal,
Joint Secretary,
Department of Personnel & Training,
Old JNU Campus, Mehrauli Road,
New Delhi-110067

Copy for information to :

- Shri Anup Mukerji, Joint Secretary, Cabinet Sectt., Rashtrapati Bhawan, New Delhi, with reference to UO No. 501/2/4/2002-CA.V-dated 17.02.2003.
- Secretary/AS(S&V)/E.O./JS(E), DOP&T, New Delhi.


(SANGEETA SINGH)
Director(S)

List of those whom the Group met

1. Shri Y. Ramarishnudu, Minister for Finance, Planning, Small Savings, Lotteries and Legislative Affairs, Govt. of Andhra Pradesh (since the Chief Minister was out of town, the Minister for Finance had been advised to meet the Group)
2. Shri P.C. Hota, Chairman, UPSC.
3. Shri Kamal Pande, Cabinet Secretary
4. Smt. Sathi Nair, Chief Secretary, Govt. of Andhra Pradesh
5. Lt. Gen. Mahesh Vij, Military Secretary, Army Headquarters.
6. Director General of Police, Govt. of Andhra Pradesh
7. Chief Conservator of Forests, Govt. of Andhra Pradesh
8. Shri Binoy Kumar, Secretary (Services) Govt. of Andhra Pradesh
9. Shri Gyaneshwar Jha, Director, SVP National Police Academy
10. Shri M.K. Kaw, IAS(Retd)
11. Dr. E.A.S. Sarma, IAS(Retd.), Principal, ASCI, Hyderabad
12. Dr. Trinath Mishra, IPS(Retd.)
13. Shri N. Velluri, IAS(Retd.)
14. Shri R.R. Shah, Secretary, Department of IT, Government of India
15. Shri D.C. Gupta, Secretary (Expenditure), Government Of India
16. Shri Binod Kumar, Director, Lal Bahadur Shastri National Academy of Administration, Mussoorie.
17. Shri P.L. Sanjeeva Reddy, IAS(Retd.) and Director, IIPA
18. Shri R.K. Sharma, Special Secretary, Ministry of Home Affairs.
19. Shri S.K. Purukayastha, Additional Seretary (S&V), Department Of Personnel & Training, Government Of India
20. Smt. Chitra Chopra, Establishment Officer & Additional Secretary, Department Of Personnel & Training, Government Of India
21. Shri M.K. Sharma, IFoS, DG(Forests), Government Of India

22. Shri A.K. Jain, Joint Secretary (Police), Ministry of Home Affairs, Government Of India
23. Shri Vivek Rae, Joint Secretary, CBDT, Department of Revenue, Ministry of Finance, Government Of India
24. Shri R. Chandramohan, Joint Secretary, Ministry of Environment & Forests, Government of India
25. Shri A.K. Rana, Director, Indian Forest Research Institute, Dehradun
26. Shri Himanshu Kumar, Addl. DG, CRPF.
27. Shri Vikram Srivastava, IG, CRPF
28. Shri Surya Prakash, Director, Ministry of Environment & Forests, Government Of India
29. Shri Jagdish Kishwan, Inspector General of Forests,
30. Shri V.K. Bahuguna, , Inspector General of Forests, Ministry of Environment & Forests, Government of India
31. Shri L.R. Thanga, Dy. , Inspector General of Forests, Ministry of Environment & Forests, Government of India
32. Ms. B.V. Uma Devi, IFoS, Dy. Director, LBSNAA.
33. Shri Maithili Sharan Gupta, DIG (Admn.) ITBP
34. Shri D.M. Mitra, Dy. Director, BPR&D
35. Shri Salim Haque, Indian Postal Service, Director, Training Divn. Department Of Personnel & Training, Government Of India
36. Shri S.N. Pradhan, Dy. Director, Indian Police Academy, Hyderabad.
37. Shri Bharat Prasad, Deputy Secretary, Estt. Officers Office, Department Of Personnel & Training, Government Of India.
38. Dr.J.C.Mohanty, IAS, Centre for Good Governance, Govt. of Andhra Pradesh
39. Officers of IAS/IPS/IFoS Associations at Hyderabad.
40. Officers of IAS, IPS, IRAS, IA&AS and ASCI in a Meeting organized at ASCI, Hyderabad.
41. Faculty members of LBSNAA, Mussoorie.

Gist of suggestions received

Gist of suggestion	Comments
Transparent Placements	
Selection for posts should be through open competitions organized in a fair, transparent manner in place of the current secretive system.	This concern has been partially addressed by proposing that all vacancies for placements at the Centre would be put on the net and the empanelled officers would be asked to give their preference for placement upto 3 choices.
Global openness in the matter of ACRs should be in place	It is proposed to make the PAR system transparent by showing the full assessment to the officer being reported upon
Transparency should be limited to the assessment on self-assessment and views on targets and achievements. The general assessment need not be shown as it may lead to acrimony.	
Cadre controlling authority must make its decision making process about placement and training of officers more transparent	
Transparency will be conducive to greater objectivity.	
Feedback and Counselling	
Provide feedback mechanism	Under the proposed system, there would be a counseling session when the PAR is being shown to the officer and the annual work plan is being agreed upon.
The ACR should include a counseling session.	
ACR not being utilized for counseling or alerting management on performance improvement skill upgrading or need job change.	
Corrective or suggestive comments should be shared with the appraisee before submission of the CR by Reporting officer.	
Work Plan and output	
Target setting should be followed	This is being proposed
Target fixing by mutual discussion should either be strictly enforced or removed.	
Some part of Performance Appraisal should be against pre-set work plan with weightage of more than 50%.	

Timely submission	
A way out of the problem on non-timely recording of CRs should be found	This is proposed to be addressed by (a) prescribing a strict time schedule and (b) certification by the reporting officer that he has initiated the PARs of all his subordinates before he initiates his own PAR
Timely submission of CRs should be enforced for all superior officers with a provision of an adverse entry in the ACRs of the superior officer in case of delay.	
Staggering of CR writing at different levels.	The proposed system addresses this suggestion
Training	
Performance during long-term training should count towards empanelment and promotion	It is being proposed that performance during training finds a place in the PAR. It is also being proposed that the efforts made towards building competence be taken into account for promotions, domain assignment and empanelment.
Training needs of the officer should be identified by a Review Board.	
Little attention paid to training needs	
360 degrees appraisal	
Should include other aspects viz. Report Card studies, Peoples perception studies, media feedback analysis reports and anti-corruption and vigilance reports etc.	A proposal for setting up of a committee of elders is being recommended to provide feed back from outside the system on the officer being reported upon.
360 degree evaluation of officers in the super time scale	
360 degree appraisal should not be introduced	
Format/Attributes	
Drastic simplification of the form required with the reporting officer writing a short pen picture followed by an overall grading.	The form has been simplified for the reporting and review officers to the extent that instead of descriptive assessment of various attributes, numerical assessments are being proposed followed by a pen picture and an overall grading.
Any innovative idea/scheme conceived and implemented by the Officer should find place in the PAR	The officer can include this in the self appraisal. The Pen picture by the Reporting officer would also reflect any innovative schemes implemented. The Personal attributes also include an assessment of innovativeness.
The proforma should also make provision for the specialized skills in the field of research and other elements specific to Forest Service	The IFoS association feels that the attributes identified by the Group take care of all aspects of functioning of IFoS officers.
The appraisal of Indian Forest Service officer should also include appraisal with regard to field visits and Inspection within the officers jurisdiction	
Accepting authority is unnecessary.	It is proposed to remove the third level of "Accepting Authority".

Appraisal during the first 5-10 years of service should be to build human resource.	This principle has been accepted.
Weightages	
There should be a weightage system in the C.R. i. Performance indicators – 70% ii. Process indicators 30%	Weightage has been recommended for different aspects of performance appraisal, such as (i) performance at work, (ii) richness of experience, (iii) exceptional work done and (iv) demonstrated skill for higher responsibility. Group has also recommended a system of interviews for empanelment. An assessment of process indicators across job types would be a complicated exercise and is hence not recommended till a satisfactory formula for such assessment is developed.
Weightage given to ACRs and interview should be equal or more for interviews so that the variances in the ACRs on account of factors other than performance can be moderated.	
Skill upgradation	
Upgradation of competency should be once every 3-5 years	Mandatory in-service training has been recommended.
Integrity	
Integrity if not good, grading should be average or below average and any negative aspect of integrity should be adequately substantiated ACR of a bureaucrat should reflect the Corruption aspect and include if the officer was effective in preventing corruption.	Current provisions relating to integrity have been retained.
Grading	
Very good/outstanding should be considered equivalent since the margin may be very thin between the two and the culture of writing CRs in State Governments vary Since a number of grades such as Very Good, Good, Average are not good enough for various purposes, only two grades, namely Good and Bad should be there.	A system of numerical grades has been proposed. Computerisation of the performance appraisal system has also been proposed. One of the possibilities through computerisation would be a more scientific moderation of variations in the culture of writing performance appraisal reports.
For grading of below average or outstanding, a description of specific shortcomings/ achievements should follow	It has been provided that for poor and outstanding grades, clear justification should be provided with references to specific failures/accomplishments.

Adverse comments should be read out or communicated to the officer by the Reporting officer himself and his reply/representation should be incorporated in the CR itself. The next higher authority should then decide on whether to expunge the adverse	The proposal is for the entire performance appraisal report to be shown to the appraisee, after review.
Grading column in the ACRs should be done away with while retaining the subjective nature of the ACR. Alternatively, numerical system should be adopted.	The Group discussed the issue of doing away with an overall grade. However, it was felt that since the reporting and reviewing officers had a close knowledge on the abilities of the officer, there should be a provision for an overall grade to be recorded by them.
Reporting officer/reviewing officer should be precluded from grading the officer.	
Empanelment	
Empanel everybody unless serious charges are pending against an officer or whose less than 75% CRs are in outstanding/very good	This has not been agreed to, as it would accentuate complacency and mediocrity at the highest levels. In fact, a more rigorous empanelment procedure is being proposed.
Empanel officers statewide in proportion to number to be empanelled and officers of the batch in the particular State Cadre.	Empanelment being merit based, the concept of reservation would not be acceptable.
For Empanelment <ul style="list-style-type: none"> • hold informal retreat of the concerned batch under few retired eminent bureaucrats. • consider 3 five-yearly reports • conduct interview • written test in some basic papers. 	A more rigorous empanelment procedure is being proposed, with an interview through the UPSC.
Promotion/empanelment should be on the basis of ACRs and interview by neutral panel comprising of officers whose State cadres are different from that of the officer	
Empanelment should be a selection process rather than elimination process based on ACRs alone	
High benchmark for empanelment as Joint Secretary	
Every five years, all reports to be considered by a small Group of officers senior to the officer reported upon. The Group of officers would bring a balancing impact into the Performance appraisal system and produce one report on the officer encapsulating his performance in 5 years	The Group does not agree to this as it would be extremely complex to implement

Postings should be decided based on an officers domain knowledge	A new system of streaming officers at the super-time scale is being proposed so that postings can be decided based on an officer's domain knowledge.
Review by Board	
Review by Review Board of PAR of officers of the level of Secy in the State and JS./Addl. Secy at the Centre.	This is a good suggestion and was discussed by the group. It was, however, felt that in the present context this might not be practical. However, this could be considered for adoption after the new system stabilizes.
Promotion	
Promotion/empanelment should be on the basis of ACRs and interview by neutral panel comprising of officers whose State cadres are different from that of the officer	A system of interviews, through the UPSC, is being proposed for empanelment. Similarly, it is being suggested that the Screening Committee for recommending promotions should include an officer from a different State cadre.
In the DPC, outside members should be associated	
Introduction of other parameters in addition to CRs should be introduced for promotion	This is being proposed for promotions at certain levels.
Other comments	
Stronger outward accountability is essential for greater responsiveness to the needs of the public and thus to improved service quality.	Evaluation of a special attribute, namely "Citizen Focus" is being included
For Additional Secretaries and Secretaries and for officers having completed 30 years of service, there should not be any PAR/ACR	This has not been agreed to. However, a simpler form is being proposed for Secretary level officers
Performance appraisal of officers should be made upto Secretary and not the political executive.	This has not been agreed to. However, by removing the third level of evaluation, the political executive will be excluded for several lower positions
Adverse comments should not be decided by the authority who made the adverse remarks.	There is a provision for representation against such remarks and hence decisions are taken at higher levels
Instead of focusing on professional papers, the focus could be on any papers written by the officer including newspaper articles, internal policy papers, reports of committees and task forces, etc.	Expectation of papers is only after about 12 years of service. The officer could highlight all papers written by him. This is being clarified in the proposed guidelines.
The final grading of the Reviewing & Accepting officer should be communicated to the concerned officer.	It is being proposed that the entire report, after review, should be shown to the officer.
Time limits should be specified for different stages of the appraisal process.	This is being done.
A detailed procedure for appeals should be set out and a decision taken regarding the number of appeals permitted.	The entire system of representations is proposed to be internalized in the performance appraisal reporting system by providing for any representations received, after the

	appraisee has seen his report, to be placed before a Referral Board. Decision of the Referral Board would be final.
Past court/CAT judgments will need to be kept in view while formulating the new guidelines.	To the extent possible, this has been done. However, in case any of the recommendations of the Group are not in conformity with past court/CAT judgments, it is presumed that the Department would take this into account while taking a view on the recommendations.
A separate committee may be established, consisting of 2-3 Joint Secretaries and a representative of the UPSC, for framing fresh guidelines. The Additional Secretary, DOP&T, may head this.	A set of guidelines is being proposed along with the recommendations of the group. However, the Department may like to take a view on working out further details, through a committee headed by the Additional Secretary, DOP&T.
It would be worthwhile to instituting a system whereby the subordinate officer assesses the performance of his senior at the level of Joint Secretary and above in the Government of India and Secretary and above in the State Governments. This need not have a bearing on the annual performance review but should be a feedback made available to the concerned officer for better self-appraisal.	This is a good suggestion and may be considered by the DOP&T, outside of the performance appraisal system.
A major effort is needed on advocacy/orientation in the new system proposed to be introduced.	This is essential and will be needed to be taken up by the DOP&T.
Emphasis may be laid on innovativeness by the appraiser to improve services to the people, human resource management practices, office management practices, training and development of subordinates, networking with other organizations, technology adoption for improvement, image of civil services, etc.	An attribute on innovativeness has been introduced in the performance appraisal proforma. The guidelines amplify that such innovativeness should include the items being suggested.
The format on annual work target and achievements should be developed in the beginning of a year and subsequently quarterly reviews should be done.	This has been proposed. However, instead of quarterly reviews, a mid-year review has been suggested.
Report should be reviewed by a Board instead of a single officer.	The Group discussed this issue. The Group felt that in the present context this might be somewhat impractical. However, the idea is a good one and should be considered for implementation as a further improvement, after the new system has stabilized.
The system of postings is a relic of the past. Officers should be slotted into streams with specialization.	This suggestion is being proposed for implementation.
There should be a provision for recording advisory remarks, which need not be circulated when empanelment is being considered.	This issue was discussed in the group. It was felt that such advisory remarks could be communicated outside the performance appraisal report. In case such advice is not adhered to, the reporting/reviewing officers could record it in the performance appraisal report as an adverse comment. There is, thus, no need for an advisory portion in the

	performance appraisal report.
In order to avoid undue pressure on the reviewing officer, the level at which the appraisee may be shown the comments of the reporting officer can be raised to that of reviewing officer.	It is being proposed that the report may be shown to the appraisee after the review stage.
Criteria for placement should be made transparent to avoid many of the pitfalls of the present system. At a certain level, the area of interest / specialization of the officer should be ascertained and the officer placed in such a stream.	A system of streaming officers into different areas of specialization is being proposed from the super-time scale onwards.

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List of Organizations/Agencies whose performance appraisal systems were studied

Government Agencies:

- All India Services
- Indian Army
- Indian Railway
- Indian Navy

Foreign Governments:

- Civil Service of U.K. (Department for International Development)
- Civil Service of Australia
- Civil Service of Japan
- Civil Service of Malaysia
- Civil Service of USA

Public Sector Organisations:

- SAIL
- C-DOT
- IL & FS
- NTPC
- GAIL
- Punjab National Bank
- BHEL
- KRIBHCO
- UPSEB
- NABARD

Private Corporate Sector:

- Tata Chemicals
- Tata Consultancy Services
- TELCO
- Reliance Industries
- Allan Bradley India Ltd.
- Punjab Chemicals & Pharmaceuticals Ltd.
- Castrol

Multi Lateral Agency:

- UNDP
- Asian Development Bank

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Sampling of the objectives, as spelt out in some of the organizations studied by the group

Organisation	Objective
UNDP	<ul style="list-style-type: none"> • In important vehicle for decisions on human resource planning, development and management- • -Manager plans and directs performance, receives and provides feedback, facilitates staff development; assigns recognition, rewards and sanctions.
Govt. of UK	<p>Staff need to know</p> <ul style="list-style-type: none"> • What they are expected to do • How they are doing • How they could do better (training needs and development for present and future jobs is a part of this) <p>Line Managers need to</p> <ul style="list-style-type: none"> • Coordinate their staffs job content with their own and the objectives of the organization • Appraise performance in the job and identify areas for improvement, training or development <p>Central Personnel Deptt. need accurate and honest staff appraisals in order to</p> <ul style="list-style-type: none"> • Assess staff and deploy them to the best advantage and for their own career development • Allocate pay awards
Civil service of USA	<p>Performance Management is the systematic process of</p> <ul style="list-style-type: none"> • Planning work and setting expectations • Continually monitoring performance • Developing the capacity to perform • Periodically rating performance in a summary fashion • Rewarding good performance.
Civil Service of Australia	<p>An essential tool that is relevant at all levels in all Australian Public Service agencies. It provides a means to improve organizational performance by linking and aligning individual team and organizational objectives and results. It also provides a means to recognise and reward good performance and to manage under-performers.</p>
C-DOT	<p>To provide a basis for inputs for Growth and Development of the Appraisee</p> <ul style="list-style-type: none"> • recommend training needs • inputs for improvement in job behaviour • basis for salary recommendation • placement decisions

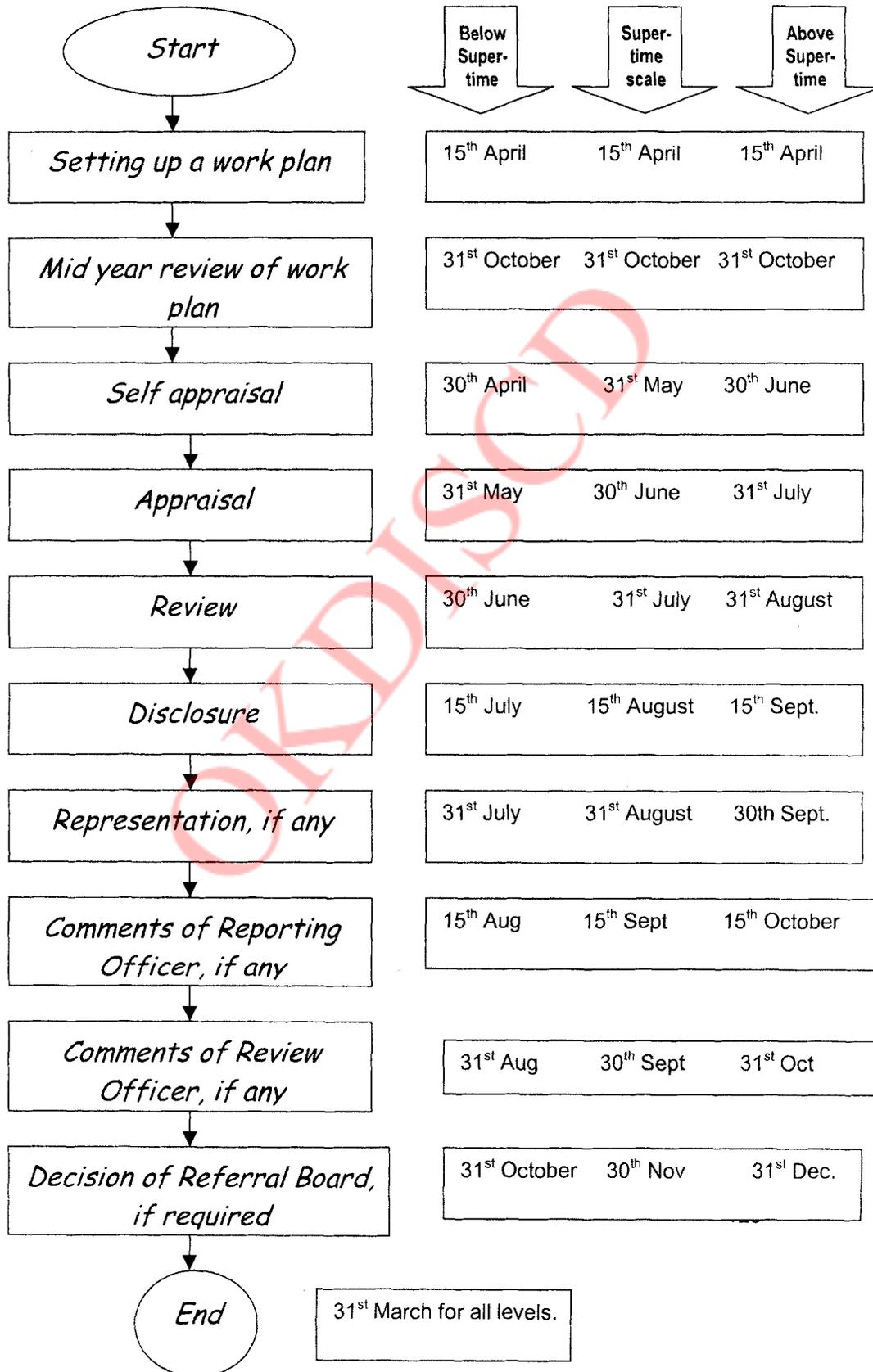
	<ul style="list-style-type: none"> • discharge • input for promotion • input for lateral transfer/additional responsibility • sponsorship for educational programmes
SAIL	<ul style="list-style-type: none"> • to integrate company & individual goals through a process of performance assessment linked to achievement of organizational objectives • to increase awareness of targets/tasks and the responsibility of the officer • to ensure a more objective assessment of performance and potential • to distinguish between differing levels of performance on relative basis and to identify officers with potential to grow in the organization • to identify the actions to be taken to enhance the performance of officers • to facilitate the process of executive development through performance planning
Railway Board	<ul style="list-style-type: none"> • To assess truly the performance of the sub-ordinate and provide guidance and counseling to him to improve his performance • To assess his potential and to prepare him through appropriate feedback and guidance for higher responsibilities • It is used as a tool for human resource development
Navy	<ul style="list-style-type: none"> • to decide the suitability for promotion and confirmation • professional development including appointment planning and selection in professional courses • selection for special assignments • to decide suitability for extension of service, re-employment and retention in service.
TATA Chemicals	An instrument for managing the growth and development of all Management Cadre employees on a competitive basis

Comparative position with regard to TRANSPARENCY of the appraisal system in some of the organizations studied

S.No.	Name of the Organisation	Provision in the Performance Appraisal form
1.	Civil Service of UK (Foreign and Commonwealth office)	Jobholder is shown the completed form with comments of Reporting officer, Countersigning officer and after Performance and Development Discussion. Jobholder comments, signs and passes it back to the Reporting officer. Job Holder may send separate comments to Personal Command and General Services Management Department.
2.	Civil Service of Malaysia	There is no provision for transparency
3.	UNDP	Staff member is shown the Performance appraisal at all stages including the final Management Review Committee comments.
4.	ADB	Appraisee is entitled to give his comments on the assessment of the supervisor. The appraisee is also given a copy of the Performance appraisal form after the completion of the form including the overall performance assessment made by the President.
5.	France	The employee is shown the performance appraisal report and his signatures obtained.
6.	USA	Employees are informed how they are doing – both positive and negative.
7.	Indian Army	Comments of the reporting officer, except comments regarding potential for promotion, are shown to the appraisee.
9.	National Thermal Power Corporation (for DGM, AGM and above)	The assessment upto the level of Reporting officer is transparent. However, the assessment on Performance & potential profile of Reporting officer and the assessment of Reviewing officer(s) and countersigning authority are not disclosed to the appraisee.
10.	National Thermal Power Corporation (for executives)	No provision for transparency but performance of the appraisee to be discussed by Reporting officer.
11.	GAIL (executives in Grade E8-E9)	Transparency till assessment of Performance Plan and year end performance review of Key Performance indicators. No transparency in regard to general performance review, assessment of competencies, values, potential appraisal and performance and potential profile

12.	Steel Authority of India	No provision for transparency. But performance review discussion with the appraisee takes place twice in a year and the outcome is recorded and jointly signed by appraisee and Reporting officer.
13.	IL&FS	There is a full transparency. While assessment of overall performance is shown, gist of assessment of Individual's potential shared with the appraisee
14.	TELCO	Proforma in respect of Development Plan of the officer is filled by immediate superior after discussion with the assessee. Other parts of the assessment of the officer not disclosed.
15.	TCS	Goal setting and the assessment of the appraiser of the results achieved vis-à-vis the agreed key objectives jointly signed by the appraisee and appraiser. Other performance assessment not disclosed.
16.	TATA Chemicals	The performance appraisal is fully transparent
17.	Reliance Industries	The performance appraisal is fully transparent.

Stages of Performance Appraisal Reporting



**(Applicable for All India Services at the level of
Chief Secretary/Secretary to GOI/DGP/ Principal
CCF**

Annex 10 A

**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 appraisee:

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. Awards/Honours*

10.Reporting and Reviewing officers

	Name & Designation
Reporting officer	
Review officer	

11.Period of absence on leave, etc.

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

Section II – Certification

i.Have you filed your immovable property return, as due	Yes/No
ii.Have you undergone the prescribed medical check up within the last two years	Yes/No
iii.Have you set the annual work plan for the current year, in respect of all officers for whom you are the reporting authority	Yes/No
iv.Have you completed the Performance Appraisal reports of all the officers for whom you are the reporting officer (if not, please indicate details in the following table)	Yes/No

Name	Designation	Reason for non-submission of performance appraisal

Signature of appraisee with date

*includes medals for gallantry/meritorious service and any other recognition earned.

Section III - Appraisal

1. For how long has the appraisee served under you during the period under report (please specify dates)?

2. Pen Picture by reporting authority

Please comment (in about 100 words) on the overall qualities of the officer and his performance



Signature of Reporting Authority with date

Section IV – Review

1. For how long has the appraisee served under you during the period under report (please specify dates)?

2. Please record a pen-picture of the appraisee in about 100 words.



Signature of review officer, with date

(Applicable for all IAS/IFoS officers except level of Chief Secretary/Secretary to GOI/DGP/Principal CCF)

Annex 10 B

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 appraisee:

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. Awards/Honours*

Name & Designation	
Reporting officer	

On Leave (specify type)			
Others (specify)			

Date from	Date to	Institute	Subject

Date

Signature on behalf of
Admn/Personnel Dept

*includes medals for gallantry/meritorious service and any other recognition earned.

3. Please indicate the critical assumptions made (including resources available to you) in preparing the above list of tasks and deliverables:

3.1 Beginning of the year:

--

3.2 Mid year:

--

4. Details of unforeseen tasks accomplished/underway:

Sl. No.	Tasks (with date of start)	Stage of accomplishment (at end of period under report)
1.		
2.		
3.		
4.		
5.		

5. 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):

--

6. What are the factors that helped your performance?

--

7. What are the factors that hindered your performance?

--

8. What did you learn from the experience during the period under report? Can you suggest any specific systemic improvements?

9. Please indicate specific areas in which you feel the need to upgrade your skills and attend training programs:

For your current assignment

For your future career

10. Please mention specific training programs that you have opted for:

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.

11. Certification

Have you filed your immovable property return, as due	Yes/No
Have you undergone the prescribed medical check up within the last two years	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 completed the Performance Appraisal reports of all the officers for whom you are the reporting officer (if not, please indicate details in the following table)	Yes/No

Name	Designation	Reason for non-submission of performance appraisal

Signature of appraisee with date

Section III

Appraisal

1. For how long has the appraisee served under you during the period under report (please specify the dates)?

2. 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.

3. Please comment on the claim (if made) of exceptional contribution by the appraisee.

--

4. Has the appraisee met with any significant failures in respect of his work? If yes, please furnish factual details.

--

5. Do you agree with the skill up-gradation needs as identified by the officer? Yes/No

6. If Yes, please indicate the specific steps taken/proposed to be taken to enable the officer to attend the relevant training programs.

7. If No, please indicate the reasons for your disagreement.

8. Assessment of work output [§] -	Reporting officer	Review officer
i. Accomplishment of planned work		
ii. Accomplishment of unforeseen tasks		
iii. Quality of 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.

9.	Assessment of Attributes ⁵	Reporting officer	Review officer	Initials of review officer
A	Personal attributes			
1	Credibility			
2	Sense of responsibility			
3	Overall bearing and personality			
9	General awareness			
10				
11				
12				
13				
14				
16	Citizen focus			
17	Moral courage and willingness to take a professional stand			
18	Leadership Qualities			
B	Functional competency			
20	Knowledge of laws/rules/procedures			
21	Ability to act in a manner consistent with articulated policy			
22	Awareness of techniques and methodologies relating to his work			
23	Ability to judiciously allocate resources (financial, human and material)			
24	Ability to view an issue from different vantage points			
25	Ability to anticipate and respond to emerging situations			
26	Subject/sector specific knowledge			
27	IT skills and competency			
28	Negotiating ability			
29#	Local language proficiency			
30#	Awareness of the local norms and local area			
31**	Ability to maintain social harmony (religious, caste, sectarian, linguistic, ethnic, etc.)			
32***	Strategic planning ability			

10.Integrity

Please comment on the integrity of the officer, keeping in mind both his financial integrity and his moral integrity:

11.Attitude towards SC/ST

Please comment on the officer's attitude towards the SC/ST

12.Pen Picture⁵ by Reporting Officer

Please comment (in about 100 words) on the overall qualities of the officer and his performance that you feel has not been adequately highlighted through the attributes and work assessment given above.

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13.Overall Grade⁶

On a scale of 1-10

Signature of Reporting Officer with date

⁵ This is meant to be a qualitative supplement to the quantitative assessments made in this section.

⁶ This should be on a scale of 1-10, with 1 referring to the poorest grade and 10 to the best. It is expected that a grade of 9 or 10 and of 1 or 2 would be a rare occurrence. Hence these should be adequately justified through specific achievements or specific failures. The grade should be in whole numbers (integers) and not in decimals or fractions.

Section IV – Review

1. For how long has the appraisee served under you during the period under report (Please specify dates)?

2. 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 appraisee?

(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).

3. Please record a pen-picture⁷ of the appraisee in about 100 words.

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4. Overall Grade⁸
On a scale of 1-10

Signature of Reviewing Officer, with date

⁷ This is also meant to be a qualitative supplement to the quantitative assessments made in this section

⁸ This should be on a scale of 1-10, with 1 referring to the poorest grade and 10 to the best. It is expected that a grade of 9 or 10 and of 1 or 2 would be a rare occurrence. Hence these should be adequately justified through specific achievements or specific failures. The grade should be in whole numbers (integers) and not in decimals or fractions.

General guidelines for filling up the PAR form

Introduction

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

Performance appraisal should be used as a tool for human resource development. Reporting Officers 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 fault-finding process but a development tool. The Reporting Officer and the Reviewing Officer should not shy away from reporting shortcomings in performance, attitudes or overall personality of the officer reported upon.

The columns should be filled with due care and attention and after devoting adequate time. Any attempt to fill the report in a casual or superficial manner will be easily discernible to the higher authorities.

Although the actual documentation of performance appraisal is a year-end exercise, in order that it may be a tool for human resource development, the Reporting Officer and the appraisee should meet during the course of the year at regular intervals to review the performance and to take necessary corrective steps.

Proforma

The revised proforma for the annual performance appraisal comprises of 4 sections. The requirement under each section and the authority responsible for filling up these sections is indicated in the table below.

Section No.	Information required	Authority responsible for filling up
I	Basic Information	Administration division/ Personnel Dept
II	Self appraisal	Appraisee
III	Appraisal	Reporting officer/ Review Officer, if necessary
IV	Review	Review Officer

Thus, the portions to be filled up by each authority are the following:-

Administration Division/ Personnel Department	Section I
Appraisee	Section II
Reporting Officer	Section III
Review Officer	Sections IV and Section III (part), if required

Guidelines for filling up the different components of the 4 sections have been given in the rest of this note. It would be most convenient if the appraisee fills up the form "on-line" by downloading the same from the web-site of the Ministry of Personnel, "persmin.nic.in". After it is filled up, it could be printed and submitted to the reporting and review authorities, adding section I, which would have been filled up by the administration division/personnel department.

Instructions on filling up the different sections

Section-I

This section should be filled up in the Administration Division/Personnel Deptt. Period of report could either be the entire reporting year, namely, from 1st of April to 31st March or a part of the year (exceeding 3 months). In case the period of report is a full year, it should be indicated accordingly for example, 2003-2004. In case the period of report is less than the entire year, specific start and end dates should be indicated, for example, 10th September 2003 – 31st March 2004.

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

In the table relating to reporting and review authorities the name and designation of the reporting and review authorities should be mentioned so that the appraisee is clear about whom he/she is required to send the report to.

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 should be mentioned under the remarks column of the table.

Section-II

In Section II, the appraisee is first required to give brief description of his/her duties and responsibilities. This need not be very lengthy and would normally not exceed about 100 words. Ideally, this should be in bullet form.

Under the revised system of performance appraisal, all officers are required to develop a work plan for the year and agree upon the same with the reporting officer. This exercise is to be carried out at the beginning of the year, typically within the first 15 days. In case of a change in 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 again be reviewed during the month of September/October as a mid year exercise. Based on This review the work plan may undergo some changes from that originally prepared.

The work plans, duly signed by the appraisee and the reporting officer have to be submitted to the review officer for his/her perusal and custody. The end of the year 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 appraisee is required to fill up the table provided by the purpose in Section-II.

It is not necessary that the work plan should be entirely quantitative in nature. While some assignments permit quantitative work targets to be fixed, others do not. Where quantitative targets are not possible, it would be adequate to indicate specific work proposed to be accomplished.

The sample of possible work plans for different positions has been developed and is placed at Annex-11-A. This may be used as a guide for officers to develop their own annual work plans. Ideally, individual work plans should be drawn from the annual action plan of the Ministry/deptt./organization. Aggregation of the individual work plans should really be the work plan of the Ministry/Deptt./Organization.

It is possible that an officer has accomplished certain major tasks which were not foreseen either at the commencement of the year or even during the mid year review. Examples of these may be relief and rescue work following a natural calamity or dealing with some other kind of emergency. Section II provides for such unforeseen work accomplished/underway to also be recorded by the appraiser to project his/her complete achievements during the year.

Section II also provides an opportunity for the officer to reflect upon his/her performance during the year and indicate one item which he/she thought was a significant contribution made by him/her during the year. It is not possible for any officer to make such significant contribution every year and hence this need not be attempted for each year of his/her service. 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).

In all such cases, the officer should reflect upon and record factors that helped in his/her performance or hindered his/her performance. His/her reflection should also enable him/her to record his/her specific learning from the experience and possible systemic changes that could be made. Section II provides an opportunity for the officer to mention all of these.

This section also requires the appraiser 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.

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, atleast once in five years, of all educational and training programs attended, including the details of marks/grades secured in such programs. Similarly, all officers are advised to intimate details of professional papers published, with all relevant details. These would be taken into

account in the future career progression and hence the need to keep the records of the cadre controlling authority updated.

In this context it is to be noted that officers would not normally be expected to publish papers during their first 12 years of service, when they would be in their field postings. Even at subsequent levels, publication of papers would, at best, be an ancillary activity and not something that takes up a substantial part of an officer's time, who obviously has a responsibility to discharge. This information is being sought primarily to assess the ability and willingness of an officer to think and research independently as well as structure his/her thoughts into a meaningful document.

Section II also requires the appraiser to record certain certificates. Apart from certifying submission of property returns, this section requires the officer to certify that he/she has undergone a medical check up within the last two years. Such a medical certificate is being insisted upon in the larger interest of the officer and the organization. The appraiser is also required to certify that he/she has agreed upon an annual work plan with all his/her immediate subordinate officers for whom he/she would be the reporting authority.

Another certificate is with regard to having submitted the annual performance report of all his/her subordinate officers for the period under report. In case the annual performance report of any subordinate officer could not be submitted, the reasons for the same need to be indicated in the table provided. This could be due to the concerned appraiser not having submitted his/her self-appraisal or some delay having taken place due to emergent work. In this connection, it is clarified that this certificate is required only in respect of those officers for whom the appraiser is the reporting authority.

Section-III

This section relates to the actual appraisal and is to be recorded by the reporting authority. The reporting authority must first indicate the actual period, out of the year under report, during which the appraiser has served under him/her. In entering this information, the reporting authority may see information in Section I, where the date from which the appraiser has been in his/her present position would be available.

Section III then requires the reporting authority to comment on section II as filled out by the appraisee, 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.

This section then requires the reporting officer to comment on the skill upgradation needs as identified by the officer. In case, the reporting officer agrees with the training needs indicated by the appraisee, he/she is required to indicate specific steps taken/proposed to be taken by him/her to enable the appraisee to have the skill upgraded. In case, he/she disagrees with the appraisee, he/she should record his/her reasons for such disagreement.

Thereafter, this section requires the reporting authority to record a numerical grade in respect of the workout put of the appraisee 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 appraisee has been cost conscious), the time taken and whether the laid down rules/procedures have been adhered to in accomplishing the tasks.

The reporting authority is also required to record a numerical grade in respect of certain personal attributes and functional competencies. As mentioned in the proforma, some of the attributes only relate to some of the posts and need not be given in respect of officers occupying different posts.

Section III requires the reporting officer to comment on the integrity of the appraisee. 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 appraisee. The following procedure should be followed in filling up the column relating to integrity:

- (i) If the Officers 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 Confidential 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 Confidential Report
- (c) If the doubts or suspicions are confirmed, this fact should also be recorded and duly communicated to the officer concerned.
- (d) If as a result of the follow up action, the doubts or suspicions are neither cleared nor confirmed, the officer's conduct should be watched for a further period and thereafter action taken as indicated at (b) and (c) above.

(Ministry of Home Affairs OM No.51/4/64-Estt(A), dated 21.6.1965.)

The reporting authority is then required to comment on the attitude of the appraisee towards Scheduled Castes and Scheduled Tribes.

The reporting officer is also required to record a descriptive pen-picture on the overall qualities of the appraisee and his/her performance. This need not exceed about 100 words and should try to cover qualities which the reporting officer feels have not been adequately covered through the specific attributes and the work assessment. The pen-picture is also meant to be a qualitative supplement to the quantitative assessments made earlier part of this section.

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.

Section-IV

This section is to be filled up by the review officer and is self-explanatory. Again, as in the case of the reporting authority, the review authority is first required to indicate the time for which the appraisee has served under him/her.

Thereafter he/she is required to indicate if he/she agrees with the assessments made by the reporting officer. In case he/she does not 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 the table in Section II. In case he/she agrees with the assessment he/she need not fill in the column meant for him/her in the attributes/work output tables.

The review officer is required to record a pen-picture, not exceeding about 100 words. Finally he/she is required to record an overall grade in the scale of 1-10.

Numerical Grades

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 review 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.

Disclosure

The new performance appraisal system is no longer a confidential process and the entire appraisal is now required to be revealed to the appraisee. This fits in with the primary objective of the performance appraisal being a tool for the development of the officer. As such, the final report, after review, is required to be communicated to

the officer. For this purpose, a copy of the report should be sent to the appraisee, after the review officer has recorded his remarks and the overall grade. A record of having sent a copy of the report should be maintained for record.

Representation

The appraisee may submit a representation against any observation in his/her performance appraisal. It is expected that such a representation would only be against factual observations and not any subjective assessment of the reporting and review authority. In case a representation is submitted, it should be routed through the reporting and review officers to reach the cadre controlling authority. In case the reporting or review officers, being satisfied with the contentions made by the appraisee, wish to change any of the remarks or assessments, they may do so. In case they are not satisfied, they may give their observations, if any, on the representation of the appraisee. The cadre controlling authority would place the representation along-with any remarks made by the reporting and review authorities, on the representation, before a "Referral Board" to be specifically constituted for the purpose of deciding on such representations. The decision of the Referral Board would be final and it may result in the grades being amended in the light of any representation that the Board may accept.

In case the appraisee has alleged malafide against the reporting and/or review officers, the Referral Board would examine the claim. In case it is found that the allegation is without factual basis, the Referral Board would enter the finding and, if necessary, record an appropriate stricture in the PAR for that year. At the same time, if the claims are found to be true, it may be reflected appropriately in the report of the reporting/review officer.

Sample Work Plans

Sample 1 – District posting Annual work target and achievement

Tasks to be performed	Deliverables		Accomplishment*
	Initial	Mid year	
Disposal of outstanding revenue cases	150		
Collection of land revenue	Rs. 4 crores		
Inspection of tahsil/block offices	25		
Surplus land distribution	2500 acres		
Streamlining the system for appointment of Fair Price Shop dealers	Complete		
Electoral roll revisions	Publish draft roll		
Collection under National Savings Schemes	Rs 8.5 crores		
Immunization of children	2,00,000 cases		
New enrolments under Total Literacy Program	2,50,000		
Loan disbursements under IRDP	2000 cases		

Sample 2 – Head of Department (Director of Agriculture)

Annual work target and achievement

Tasks to be performed	Deliverables		Accomplishment*
	Initial	Mid year	
Distribution of HYV seeds			
Distribution of nutrient fertilizer			
Consumption of pesticides			
No. of farmer training programs held			
Area expansion under HYV			
Area expansion under horticulture and other cash crops			
Production in demonstration plots of the department			
Percentage utilization of departmental tractors			
No. of shallow tube wells promoted			
No. of vacant extension officer posts filled up			
Percentage increase in agricultural production in the State			

Sample 3 – Secretariat (Mid level)
(Additional Secretary, Department of Environment & Forests, State Government)

Tasks to be performed	Deliverables		Accomplishment*
	Initial	Mid year	
Consolidate work on the computerized monitoring system for ongoing works			
Finalize pension scheme for timely disbursal of pensions			
Obtain approval for and notify Restoration and Improvement of Degraded Forest Land Act			
Coordinate timely formulation and notification of rules under the Forest Produce Trade Regulation Act			
Ensure timely preparation of Plan schemes			
Finalize gradation list of Forest department officers			
Organize filling up of all vacant positions of forest range officers			
Ensure preparation of management plan for wildlife sanctuary			
Ensure finalization of in-service training plan of Forest Service Officers			
Complete zero based budget of forest department schemes			

**Sample 4 - Secretariat – Top Level
(Transport Department - State Government)**

Tasks to be performed	Deliverables		Accomplishment*
	Initial	Mid year	
Finalize motor vehicle rules and notify			
Review schemes for computerization of transport data management and licensing system			
Cadre review of transport department officers			
Review MV Taxation rules and notify revised tax rates			
Review performance of State Transport Corporation			
Formulate scheme for VRS in State Transport Corporation			
Review 5-year work plan of State Transport Corporation and obtain approval for State financial support			
Finalize scheme for pollution check by private parties			
Inspect district transport offices	5		

Mapping of departments to domains

Agriculture and Rural Development

- Department of Agriculture & Cooperation
- Department of Animal Husbandry & Dairying,
- Dept of Agro and Rural Industries,.
- Department of Rural Development,
- Department of Land Resources
- Department of Drinking Water Supply,
- Department of Food & Public Distribution,
- Department of Consumer Affairs,
- Ministry of Food Processing Industries,

Social Development

- Department of Health,
- Department of Family Welfare.
- Department of Indian Systems of Medicine & Homeopathy
- Department of Secondary & Higher Education,
- Department of Elementary Education & Literacy,
- Department of Women & Child Development,
- Ministry of Social Justice & Empowerment,
- Department of Urban Employment & Poverty Alleviation,

Culture and Information

- Ministry of Information & Broadcasting
- Department of Culture
- Department of Tourism,
- Ministry of Tribal Affairs,
- Ministry of Youth Affairs & Sports,

Natural Resource Management

- Ministry of Environment and Forests,
- Ministry of Water Resources

- Department of Ocean Development,
- Department of Mines,
- Ministry of Petroleum & Natural Gas, . .

Energy and Environment

- Department of Atomic Energy,
- Department of Coal,
- Ministry of Power,
- Ministry of Non-conventional Energy Sources,

Communication Systems and Connectivity Infrastructure

- Ministry of Civil Aviation .
- Department of Information Technology,
- Ministry of Road Transport & Highways,
- Ministry of Shipping Transport

Public Finance and Financial Management

- Ministry of Disinvestment
- Department of Economic Affairs,
- Department of Expenditure,
- Department of Company Affairs,
- Department of Revenue,
- Ministry of Statistics & Programme Implementation,
- Planning Commission,

Industry and Trade

- Department of Industrial Policy & Promotion, .
- Department of Commerce .
- Department of Chemicals & Petrochemicals,
- Department of Fertilizers,.
- Department of Heavy Industries
- Department of Public Enterprises

- Ministry of Steel
- Ministry of Textiles,
- Ministry of Small Scale Industries

Domestic Affairs and Defense

- Ministry of Defense,
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-
- Ministry of Home Affairs
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- Department of North Eastern Region

Housing & Urban Affairs

- Department of Urban Development

Personnel & General Administration, Governance Reform, Regulatory Systems

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-
-
-
-
- Department of Personnel and Training
- Department of Administrative Reforms & Public Grievances, , .
- Department of Pensions & Pensioners Welfare,
- Cabinet Secretariat
- Ministry of Labour,
- President's Secretariat ,
- Ministry of Parliamentary Affairs .
- Prime Minister's Office
- UPSC
- Election Commission

**Indicative academic backgrounds and areas of training,
research and study relevant for the identified domains**

Domain	Indicative Academic Backgrounds (at Bachelor's or higher levels)	Indicative Themes of training/study/research
Agriculture and Rural Development	All	Agril. Economics; Development Studies
Social Development	All	Education, Public Health, Development Studies
Culture and Information	Liberal Arts, Social Sciences	Media, Arts & Culture Administration
Natural Resources Management	Natural Sciences, Physical Sciences, Economics	Environmental and Natural Resource Economics, Forestry, Ecology
Energy and Environment (brown side)	Physical Sciences, Economics	Energy and Environmental Economics, Regulatory Studies
Communication systems and Connectivity Infrastructure	Physical Sciences, Economics	Economics of Infrastructure and Public Systems, Information Science, Regulatory Studies
Public finance and Financial Management	Economics, Physical Sciences	Public Financial Management, Public Finance, Public Choice, Macroeconomics
Industry and trade	Economics, Physical Sciences	Management, International Trade, Industrial Organization
Domestic Affairs and Defence	All	Security and Defence Studies
Housing, and Urban Affairs	Economics, Social Sciences	Urban and Regional Planning
Personnel & General Administration, Governance Reform, Regulatory Systems	All	Personnel Administration, Management, Public Choice, Regulatory Studies, O&M

Note:

- The proposed themes of study/training, etc. would be in addition to any requirements of establishing general skills of policy formulation.
- Natural Sciences would include Life Sciences, as well as applied areas such as agriculture, forestry, medicine, veterinary science, etc.
- Physical Sciences would include Physics, Chemistry, Mathematics, as well as applied areas such as engineering (all branches), geology, etc. (In general, officers with Physical Sciences backgrounds also would have strong quantitative skills).

- Social Sciences would include Social Sciences other than Economics and Political Science, besides applied areas such as gender studies, social work, education, public health, architecture.
- Economics would also include applied areas such as Management Studies and Operations Research (with significant formal economics content).
- Liberal Arts would include: History, Literature, Philosophy, Political Science, Law, etc., besides applied areas such as media.
- Research accomplished should be reflected in publications in refereed journals/books.]

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**Number of annual appointments of JS/AS/ Secretary in
Government of India**

Appointments made	2001	2002	Average
Secretary	38	57	50
Additional Secretary	28	51	40
Joint Secretary	77	83	80

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