



**PUBLIC (SPECIAL B) DEPARTMENT
SECRETARIAT CHENNAI – 600 009**

Letter No.3060/Special-B/2013-3, Dated: 05.05.2014

From
Thiru Mohan Verghese Chunkath, IAS
Chief Secretary to Government

To
All the officers of IAS
TN Cadre (in Name Cover)

Sir/Madam/Selvi,

Sub: PAR – E-Filing of Performance Appraisal Report –
Digital Signature Certificate (DSC) – Application
Called for – Regarding.

Ref: From the Establishment Officer and Additional Secretary
to Government of India, Department of Personnel
and Training, Ministry of Personnel, Public Grievances
and Pensions, New Delhi D.O.No.4(2)/2013-EO(PR)
Dated 9.10.2013

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I am to state that the GOI have notified the AIS (PAR) Rules during March 2007 in super-session of AIS (CR) Rules 1970. In order to obviate certain contingencies in transition of ACRs/PARs while being sent to the GOI physically and vice versa and also for better monitoring, the GOI have proposed to introduce e-filing of PAR by IAS Officers from the assessment year 2013-14.

2. In order to make the e-filing of PAR operational, each Member of the Service (MoS) is required to have a Digital Signature Certificate (DSC) which can be used for submitting his own PAR as well as writing the PAR of other officers in his capacity as Reporting / Reviewing / Accepting authority, for which each officer has to apply on a prescribed form (enclosed). The form can also be downloaded from NICCA website (<http://nicca.nic.in/Pdf/DSC-Request-Form.pdf>).

p.t.o.

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3. I am to request you to furnish the DSC request form duly filled-in in duplicate at once to the Government for onward transmission to the NIC Headquarters, New Delhi through the State Informatics Officer, NIC Secretariat, Chennai for issue of DSC.

Yours faithfully,



for Chief Secretary to Government

Copy to:
The State Informatics Officer
NIC, Secretariat,
Chennai 600 009
Thiru D.E. Sunder
Senior Technical Director
NIC, Secretariat
Chennai 600 009

Agenda No.9

E-Filing of Performance Appraisal Report (PAR)

The All India Service (Performance Appraisal Report) Rules were notified in March, 2007 in supersession of AIS (CR) Rules 1970. As per schedule given in para 9.1 of general guidelines for filling up the PAR form by IAS officers annexed with the PAR Rules 2007, the entire process of PAR should get completed and reach the cadre controlling authorities by 31st March of the following year. Secretary (GAD) in the States has been designated as the nodal officer to ensure that the PARs of members of service in the State are completed by the stipulated date. The cadre controlling authorities are also required to prepare a list of PARs not received and follow up with the Secretaries of the concerned Ministries. While timelines are indicated for each activity of PAR completion in the said schedule, para 5 of the PAR Rules, 2007 lays down ".....that if a performance appraisal report for financial year is not recorded by 31st of December of the year in which the financial year ended, no remarks may be recorded thereafter and the officer may be assessed on the basis of the overall record and self-assessment for the year, if he has submitted his self-assessment on time."

In consonance of above proviso, self-appraisal and remarks of the reporting authorities which are recorded after 31st December of the year are not taken on record and treated as 'Time Barred'. In spite of requirement of indicating the date of submission of self-appraisal / date of recording of remarks by the reporting authorities, it is noted that in large number of cases, the dates are not indicated by the officer reported upon as well as by the reporting authorities. As a result, many officers represent to the appropriate authorities for taking the grading and remarks given by reporting authorities on record, even if these are 'Time Barred'. Instances of over-writing of date, tampering of year of assessment period, ante-dating, reports being written by proxies, certain important columns being left blank, etc. have also come to notice.

It has also been noticed that sometimes ACRs/PARs are lost in the transition while being sent physically to the Central Government by the State Government and vice-versa, as a result of which the officer's record remains incomplete and puts him in a disadvantageous position when considered for promotion/empanelment, etc.

To obviate these kind of situations and also for better monitoring, it is proposed to introduce e-filing of PAR by IAS officers from the assessment year 2013-14. A prototype of the software has been developed and demonstration of which is planned to be given in the Annual Conference of Principal Secretaries scheduled for 27.09.2013. This will be a preliminary step towards online filing of performance appraisal reports and will be further fine-tuned after taking suggestions/feedback from the State Government in the meeting. The State Governments will be equal partners for successful implementation of this program.

The above software would be linked to the Executive Records available on DoPT's website indicating the name of the officer, the State where attached, present posting,

etc. Thus, the form would be pre-populated with existing information already available in the ER Sheet and only details like reporting, reviewing and accepting authorities, based on the work flow for each officer would have to be filled up by GAD Department in the State before sending it to each officer online. Pr. Secretary or two-three officials designated by him only would be provided access to the system from their office from where they would be able to track movement of these PARs. However, they would not have access to the text or contents of the PAR, till the PARs are completed.

After receipt of the PAR form, the officer reported upon would fill up the self-appraisal and other columns and send it online to reporting authority after digital signature.

The software would also have an in-built system of generating auto-alerts which would go to the concerned officer with whom the PARs are pending for more than twenty days or so. The Reporting Officer as well as the Reviewing Officer will have to fill up each column and give their comments in not less than 80 words on the overall qualities of the officer. If the pen picture is less than 80 words and any other column is left blank, the system won't accept it and officer would not be able to complete his part and send it to the next appropriate authority. Only the integrity column can be left blank as per the provisions of the PAR Rules which can be filled up subsequently, after requisite follow up. It may be noted that each officer will have to digitally sign the report before forwarding it to appropriate authority.

As there is a provision for a disclosure of PAR to the concerned officer, the grading and remarks recorded in the PAR by reporting/reviewing/accepting authority can be modified on the basis of officer's representation. PAR recorded initially by these authorities would remain sacrosanct and in case of alteration/modification of remarks/revision of grading etc., the changes would be reflected separately. Any modification, etc. would be done in a separate copy that would be treated as the final copy and only this final copy would move. This would ensure that the entire history of the PAR remains on record.

In case of representation, the Secretary (GAD) would submit it on-line to the accepting authority through reporting and reviewing authorities.

In case the officer reported upon chooses to represent against the final assessment, he may represent on-line to Referral Board through Secretary (GAD).

Decision of the Referral Board shall be communicated online to the officer concerned by the Secretary (GAD) of the State.

The officer concerned can submit a memorial on-line to the President through Secretary (GAD) on the PAR, as provided under Rule 25 of AIS (Discipline and Appeal) Rules, 1969.

After the PAR is complete, one copy of each PAR is to be forwarded to the O/o Establishment Officer for record. Similarly, a copy of all the PARs, received by the O/o E.O. from the Nodal Authorities nominated in various Central

Ministries/Departments, will be forwarded online to the respective cadres of the IAS officers for their record.

The system would have the facility of uploading summary of medical report, certificates of training, academic courses, appreciation letters, etc.

PRE-REQUISITES TO MAKE ON-LINE FILING OF PAR OPERATIONAL

- (i) For e-filing, each officer/authority involved in the work flow will have to be issued a digital signature certificate. The digital signature certificate (DSC) is a digital equivalent (i.e. electronic format) of physical or paper certificate. It is available in the form of a smart card or USB e-token.
- (ii) A copy of the digital signature certificate request form is enclosed as Annexure-I. The request form along with passport size photograph duly signed by the applicant will have to be verified by the GAD Department of the respective State Government for issue of digital signature certificate.
- (iii) The DSC form can be downloaded from NICCA website (<http://nicca.nic.in/Pdf/DSC-Request-Form.pdf>). State Informatics Officer (SIO) of the respective State Government would assist the Secretary (GAD) in issuing blank form and get it filled from the officers. Secretary (GAD) will have to certify the details filled by the officer concerned before these are sent by SIO to NIC Headquarters for issue of DSC.
- (iv) A system is also being put in place for monitoring the progress of issue of DSC by Secretary (GAD) as well as E.O. as issue of DSC within 2-3 months is very critical to operationalise the proposed program.
- (v) Every officer would also be required to have a NIC e-mail id before he applies for Digital Signature Certificate. The username and password used by the officer to access the 'e-APAR' program will be the same which is being used by him to access NIC website.
- (vi) As it is a known fact that the Reporting Authorities of IAS officers are not only their seniors but the performance reports are also written by the President, Prime Minister, Chief Ministers, Governors, Ministers in Central/State Governments. For the time being, the performance appraisals would be sent by such political authorities physically with their signatures on the hard copy itself.
- (vii) Similarly, in case any of the reporting authority is non-IAS, it would be optional for the State Governments to issue DSC to such authorities or accept the physical copy of the PAR from them.
- (viii) The software will have an in-built mechanism where GAD could indicate the level beyond which the PAR would transform from online to manual for recording of remarks by the political authorities physically after which the PAR would be sent to the Secretary (GAD) for getting it uploaded on the system and also for onward transmission to the O/o Establishment Officer.

{Any feedback/suggestions are welcome on this issue during the meeting and can be separately sent to DOPT}